

Appendix 3 - Corporate Risk Register – as at 19 October 2021

Corporate Risks

Risk Description	Resp.	Consequences if Untreated Risk Occurs	Risk Score (Former) / New			Risk Level	Current Treatment	RAG	Comments / Further Treatment Proposed
			P	I	Σ	HML			
<p>CRR 014.4 Staff Availability: 1/ Staff inability to get to work due to external factors e.g. Pandemic Flu, disruption to fuel supplies etc.</p> <p>2/Impact of transformation at pace and / or employment market conditions on attraction of new staff, retention and overall workforce stability.</p> <p>This is a composite risk more detailed evaluations of individual risk components</p>	Lead Member for Service Delivery, Protection & Collaboration	Potential detrimental effects on service delivery to the community and the Service's reputation.	(2)	(5)	(10)	(M)	<ul style="list-style-type: none"> • Full business continuity plans in place & uploaded to Resilience Direct. • Peer review of the business continuity arrangements • Bank System • Flexi-Duty System Pilot • Staff Transfer Procedure • Employee assistance and welfare support • Training Needs Assessment process • Monitoring of staff 'stability ratio' relative to best practice and sector norms • Review of Resourcing and Retention strategies • Wider range of contracts offering more flexible ways of working • A variety of approaches are being adopted to replenish the workforce. These include more operational apprentices, transferees, and re-engagement options • Workforce planning data is regularly reviewed with Prevention, Response & Resilience, HR and Finance. • Growth bids to be considered to support future resourcing demands. • HR are reviewing the future promotion and career development options 	R	<p>19 January 2021 SMB HR attend Pandemic planning meetings. Government guidance is reviewed regularly and communicated to employees. HR are working closely with Managers, Occupational Health, Welfare Officer and Employee Assistance providers to ensure welfare is in place to support employees. As cases of COVID19 continue to rise HR and RMT review absence on a daily basis to ensure it is correct for the absence reporting and resourcing requirements. Recruitment continues in a socially distanced way and virtually where possible. It is reviewed regularly to ensure compliance. The Pensions ruling is expected shortly, Finance and HR liaise on a regular basis on Pensions matters.</p> <p>16 February 2021 SMB In light of the recommendation from the 4 February PMB, SMB approved the extraction of the pensions related aspects of this risk and their inclusion as a separate risk in the corporate risk register (see page 11 below).</p> <p>13 April 2021 SMB Agreed to keep at red RAG status in light of longer term contingent strategic risks and uncertainties potentially arising from the Government's fire reform agenda and national resilience strategy (mandated by the Integrated Review), the outcomes of which are as yet to emerge.</p>
			(5)	(5)	(25)	(H)			
			(3)	(5)	(15)	(H)			
			(4)	(5)	(20)	(H)			
			(3)	(5)	(15)	(H)			
			(5)	(4)	(20)	(H)			
	Chief Operating Officer	Failure to discharge statutory duties.	(4)	(3)	(12)	(M)			
			(5)	(3)	(15)	(H)			
			(4)	(3)	(12)	(M)			
			(5)	(3)	(15)	(H)			
			(3)	(3)	(9)	(M)			
			(4)	(3)	(12)	(M)			
	Loss of critical knowledge / skills / capacity /competency levels.	4	4	16	H				

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<p>are contained in the HR Directorate Risk Register.</p>							<ul style="list-style-type: none"> • Resourcing levels are constantly monitored to ensure coverage. • The Recruitment Oversight Board meets regularly to review resourcing and ensure a joined-up approach. • Pensions remedy consultation received, response to be drafted. Workforce planning to be reviewed for implications and plans put in place • GC/AC development centre held. • CC/WC/SC development centre held in September 2020. • On-call virtual awareness evenings held and recruitment continues ensuring compliance with government guidance. 	<p><u>22 June 2021 SMB</u> No change to risk evaluation or score required at this time.</p> <p><u>21 September 2021 SMB</u> In light of the continuing staffing challenges, latest workforce planning assumptions and recent numbers of staff who have either given notice to retire or transfer to another Service. Agreement has been given toward commencing a recruitment campaign to employ between 15 – 18 new operational Firefighters.</p> <p><u>19 October 2021 SMB</u> The Wholetime Firefighter recruitment campaign has closed. The applications have been shortlisted and invited to take part in the next stages of the process.</p> <p>Support Services and Operational recruitment continues. A range of different attraction methods are being used and evaluated to ensure the most diverse pool of candidates are reached. The findings of the evaluation will inform the recruitment toolkit.</p>
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Fin 14 – Funding and Savings Requirement	Lead Member for Finance and Assets, Information Security & IT	The funding settlement now assumes that a council tax increase is required each year in line with the prevailing capping limit, currently 2% for the Fire Authority, and that local growth meets expectations.	(4)	(4)	(16)	H	Proactive management of the MTFP is in force and is very closely aligned to workforce planning.	R	<p><u>22 September 2020 SMB</u> No change to position reported at last meeting. No changes to risk score / RAG status recommended at this time.</p> <p><u>20 October 2020 SMB</u> The Draft Financial Strategy was approved by SMB for recommendation to the Executive Committee and Fire Authority. The Strategy presents multiple financial scenarios with potential actions that the Service could take in relation to each.</p> <p><u>21 October 2020 Update</u> The Government announced that the Chancellor has decided to conduct a one-year Spending Review. The Review will conclude in “late November” and it is therefore expected that the Local Government Finance Settlement will be announced in late December.</p> <p><u>19 January 2021 SMB</u> On 17 December 2020, the Government published the provisional local government finance settlement for 2021-22. The proposed referendum principles for fire and rescue services is that any increases in Council Tax are limited to less than 2% (same as for 2020-21). In a letter dated 24 December 2020, the Minister confirmed that the pensions grant will continue to be paid next year, at the same allocations as last year, and will be baselined into the local government finance settlement from 2022-23.</p> <p><u>16 February 2021 SMB</u> Final figures received from the billing authorities on council tax and business rates result in an overall budget deficit of circa £1.1m for 2021-22. However, there is still a great deal of uncertainty over the level of support available from the Government, which will in-part depend on the outturn position of the collection funds for 2020-21. The level of business rates funding could be especially volatile and will</p>
			(3)	(4)	(12)	M			
			(3)	(4)	(12)	M			
	Director Finance & Assets	If either, or both, did not come to fruition then there is a risk the Authority will not meet its commitment to the PSP 2020 - 25 and that a fundamental re-think of service provision would be required.	4	4	16	H			
						The Authority has responded to consultations and lobbied MPs to increase the referendum threshold for fire authorities to £5.			
						As part of the budget setting process, Officers will seek to identify savings opportunities to address the deficit in the overall revenue budget for potential implementation in 2022-23.			

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									<p>require close attention over the coming years due to the substantial level of provisions for bad debts and appeals contained within the figures that have been provided.</p> <p><u>13 April 2021 SMB</u> The Director of Finance & Assets advised that some sundry revenue receipts have been identified or received but these are not material to the strategic financial outlook for the Authority. No change to risk score or RAG status recommended at this time.</p> <p><u>22 June 2021 SMB</u> The Government has declared it is looking to rule out material change of circumstances appeals in relation to Covid-19, which should lead to an improvement to the business rates collectable for 2022-23. Support staff pay has increased by 2% in line with the final year of the three-year pay deal. The NJC has agreed a pay increase of 1.5% for grey book staff and brigade managers. The Authority had budgeted for 0%, in line with the Government’s declared pay pause. This will therefore be an in-year pressure for 2021-22 as well as increasing costs in future years.</p> <p><u>21 September 2021 SMB</u> An initial evaluation of the potential impact of the Government’s recent announcement of increases to employer National Insurance contributions would indicate an increase in revenue costs of c. £150k-£200k. However, Officers current understanding is that local government organisations will be reimbursed for increased employer costs by way of a central government grant.</p> <p><u>19 October 2021 SMB</u> It has been confirmed that the Comprehensive Spending Review 2021 will be a multi-year review covering the financial years 2022-23 to 2024-25. The review will conclude on 27 October 2021, alongside Autumn Budget 2021.</p>
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<p>Information Management* / Security failure to -</p> <p>a) comply with statutory or regulatory requirements</p> <p>b) manage technology</p> <p>c) manage organisational resources</p> <p>Deliberate: unauthorised access and theft or encryption of data.</p> <p>Accidental: loss, damage or destruction of data</p>	<p>Lead Member for Finance and Assets, Information Security & IT</p> <p>Senior Information Risk Owner (SIRO)</p> <p>Director Legal & Governance</p>	<ul style="list-style-type: none"> Inability to access/use the e-information systems. Severe financial penalties from the Information Commissioner Lawsuits from the public whose sensitive personal information is accessed causing damage and distress. <p>*Information management is concerned with the acquisition, custodianship and the distribution of information to those who need it, and its ultimate disposition through archiving or deletion. Information security is the practice of protecting information by mitigating risks such as unauthorised access and its unlawful use, disclosure, disruption,</p>	(4) 3	(4) 4	(16) 12	(H) M	<p>1. Appropriate roles:</p> <ul style="list-style-type: none"> SIRO has overall responsibility for the management of risk Information and information systems assigned to relevant Information Asset Owners (IAO's) Department Security Officer (DSO) the Information Governance & Compliance Manager has day-to-day responsibility for the identification of information risks and their treatments 'Stewards' assigned by IAO's with day-to-day responsibility for relevant information. <p>2. Virus detection/avoidance:</p> <p>Anti-Malware report – no significant adverse trends identified which indicates that improved security measures such as new email and web filters are being successful in intercepting infected emails and links.</p> <p>3. Policies / procedure:</p> <p>Comprehensive review and amendment of the retention and disposal schedules / Information Asset Registers,</p> <ul style="list-style-type: none"> current and tested business continuity plans / disaster recovery plans employee training/education tested data/systems protection clauses in contracts and data-sharing agreements Integrated Impact Assessments (IIA) disincentives to unauthorised access e.g. disciplinary action <p>4. Premises security:</p> <ul style="list-style-type: none"> Preventative maintenance schedule Frequent audits at Stations and inventory aligned to asset management system. Reduction in the number of CCTV requests following improved education and guidance in relation to the use of the same; 	A	<p>19 February 2021 SMB</p> <p>Protections in place with our suppliers regarding SolarWinds. Following the attack on Microsoft by WannaCry ICT are working through application of patches.</p> <p>13 April 2021 SMB</p> <p>SMB reviewed the risk evaluation in light of the recent 'Qakbot' incident but agreed that no change to the current RAG status / score was required given early detection of the potential vulnerability and steps taken to contain and remove the risk.</p> <p>22 June 2021 SMB</p> <p>A number of high-profile websites across the globe, including UK government, experienced disruption on 8 June 2021 due to a software bug at 'Fastly' the cloud-computing company. Although BFRS does not use Fastly's services directly the BFRS website nonetheless experienced a very brief outage as a consequence of this highlighting the vulnerability of complex interdependent systems (Fastly operate servers at strategic points around the world to facilitate movement and storage of content close to their end users). However, the main threat remains that of malicious attacks as demonstrated by the recent ransomware attack on the Colonial Pipeline operator which carries 45% of the US east coast's diesel, petrol and jet fuel supplies. The attack disrupted supplies for several days causing fuel shortages.</p>

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		<p>deletion and corruption. As more and more information is held electronically risks have become systems, as well as process and people based and are therefore vulnerable to cyber-attacks. Cyber-crime is unrelenting and issues arise at a greater frequency than existing intrusion attempts can be resolved. As such, this is a constant on the CRR.</p>					<p>- Premises Security Group re-established to meet on a 3 monthly basis aligned to the PMB meeting schedule has been suspended during the internal governance review. The associated risks are being monitored.</p> <p>5. Training: The biennial “Responsible for Information” training will be supplemented by the National Cyber Security Centre’s new e-learning package ‘Top Tips for Staff’ which has been built into the Heat training platform as a mandatory biennial package. Cyber-security training, delivered by Thames Valley Police’s cyber security advisor, rolled out to members of the Leadership Group during September 2020. Further training planned for 21/22.</p>	<p><u>24 August 2021 SMB</u> Employees in the Leadership Group were written to reminding them of the need for them and their teams to complete two mandatory e-learning packages in a 2-year cycle: ‘Responsible for information – General Users’ and ‘Stay Safe Online: Top Tips for Staff’ to assist in protecting the cybersecurity of the organisation as well as protecting employees in their on-line activities outside of work.</p> <p><u>19 October 2021 SMB</u> On 11 October the head of the National Cyber Security Centre (NCSC) stated at the Chatham House Cyber Conference that “ransomware presents the most immediate danger to the UK, UK businesses and most other organisations – from FTSE 100 companies to schools; from critical national infrastructure to local councils.”; and that “... UK’s response to these threats is resilience. We need the UK’s public sector to be the best defended [from cyber-attack] in the world”.</p>
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Risk of resurgence of Covid-19 and / or seasonal influenza in Autumn / Winter 2020 and into 2021.	Lead Member for Health and Safety and Corporate Risk Chief Operating Officer	Increased levels of sickness absence amongst staff. Potential degradation of capacity or capability to deliver key services to the public and / or sustain supporting functions.	(4)	(3)	(12)	M	In addition to controls identified for existing staff availability risk (see page 1-2 above): <ul style="list-style-type: none"> Maintenance of current social distancing and sanitisation regimes in all Authority workplaces. Remote working for functions that do not require physical presences in Authority workspaces. Risk assess and prioritise non-emergency services requiring physical contact with the public, suppliers, partner agencies etc. Provision of appropriate PPE for staff required to work in close proximity with the public. Appliance / service availability degradation planning. Free seasonal flu jabs available to all staff. Covid-19 app rolled out to all sites, and pushed to all Authority phones Lateral flow testing available to all staff via workplace collect scheme. 	A	<p>16 February 2021 SMB The Service continues to deploy safeguarding measures for staff to protect them from the effects of COVID-19 due to the virus being unknowingly spread. Lateral Flow Testing has now been made available to all staff and will help to identify anyone in the workplace who may not be displaying any symptoms (asymptomatic). Furthermore, effective working with colleagues within the NHS and CCGs, has enabled 263 staff, to be offered the COVID vaccine earlier than would otherwise have been expected by drawing on unused capacity within vaccine batches. This equates to 54% of the establishment / workforce.</p> <p>13 April 2021 SMB The Head of Covid 19 Preparedness & Response updated on plans to introduce arrangements for staff to undertake lateral flow tests at home, through the Workplace Collect programme, in association with the Dept of Health and Social Care (DHSC). Although current direction of travel in relation to Covid recovery aligned to Government road-map is positive it was agreed that the current risk score would remain but be kept under review in light of external developments.</p> <p>22 June 2021 SMB Officers continue to monitor developments in relation to the Government’s recovery road-map and potential delays to the relaxation of ‘lockdown’ measures in light of the rise in Delta variant infections. No change to risk score or evaluation at this time.</p>

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								<p><u>6 July 2021 Update</u> The Parliamentary decision on whether to move to step four on 19 July will be taken on 12 July. The pandemic management group continue to monitor the risks to staff and will ensure the appropriate controls remain in place as wider social restrictions are lifted.</p> <p><u>24 August 2021 SMB</u> On 2 August the Service’s strategy for ongoing mitigation of Covid risks was released following the Government’s move to ‘Step 4’ from 19 July.</p> <p><u>19 October 2021 SMB</u> Throughout the different phases of the Covid pandemic the Service has taken a measured approach to reintroducing activities previously paused or restricted. Following the Government’s announcement in relation to its Autumn / Winter plan, we are now at the stage whereby all our business-as-usual activities can resume, so long as we continue to consider our own safety and that of the communities we serve, by accepting a well-embedded range of Covid-19 controls. Furthermore, despite the increase in the number of Covid cases across both Buckinghamshire and Milton Keynes, this has not seen in a rise in Covid related absence amongst staff.</p>
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Court of Appeal ruling on the McCloud / Sargeant cases: potential impact on staff retirement profile, resourcing to implement required changes and financial impacts thereof.	Lead Member for Finance and Assets, Information Security & IT	Potential detrimental effects on service delivery to the community and Service reputation.	5	3	15	H	<ul style="list-style-type: none"> Review of Resourcing and Retention strategies Workforce planning data is regularly reviewed with Prevention, Response & Resilience, HR and Finance. Resourcing levels are constantly monitored to ensure coverage. Potential impacts on costs to be factored into future Medium-Term Financial Planning process. Recruitment of dedicated specialist resource to evaluate requirements arising from the Court of Appeal ruling and implement necessary administrative changes. 	R	<p><u>16 February 2021 SMB</u> In light of the recommendation from the 4 February PMB, SMB approved the extraction of the pensions related aspects of this risk and their inclusion as a separate risk in the corporate risk register. On 12 February 2021 the judgment of the Employment Appeal Tribunal was handed down. This found that authorities had acted unlawfully in implementing the legislated changes to the Firefighters Pension Scheme. Officers await further advice on the implications of this judgment, especially in relation to payments due to those who have recently retired or are due to do so imminently.</p> <p><u>13 April 2021 SMB</u> A recent Home Office 'one-off' allocation of funding to mitigate some of the cost of additional administrative burdens arising from Court / Tribunal decisions in relation to the Firefighters Pension Scheme (£32,301 being the pro rata share of the £3m allocated nationally) was noted. The potential risks to the schemes administration nationally as a result of provider consolidation were discussed and noted alongside potential cost sharing across fire authorities nationally to offset potential financial risks arising from further litigation in relation to schemes at individual authority level.</p> <p><u>22 June 2021 SMB</u> The Home Office and LGA issued version 2 of their immediate detriment guidance in June 2021. This will assist with the handling of immediate detriment payments.</p>
		Failure to discharge statutory duties.							
	Loss of critical knowledge / skills / capacity / competency levels,								
	Failure to comply with legal requirements.								
	Director Finance & Assets	Unknown / unquantified budgetary impacts.							

