

Appendix 3 - Corporate Risk Register – as at 22 February 2022

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><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> <p><u>18 January 2022 SMB</u> Following a successful Flexi-Firefighter recruitment campaign the Service were able to appoint 10 candidates, split equally between external and internal applicants, into this specific operational role. Having successfully completed the required upskilling training, these staff were, as of the 17 December 2021, able to be utilised from a resourcing perspective. This unquestionably enhanced our operational frontline capability, whilst also enabling the internal transfer requests of existing Flexi-Firefighters, wishing to move into alternative operational roles, to be accommodated.</p>
			(5)	(5)	(25)	(H)			
			(3)	(5)	(15)	(H)			
			(4)	(5)	(20)	(H)			
			(3)	(5)	(15)	(H)			
			(5)	(4)	(20)	(H)			
	(4)	(3)	(12)	(M)					
	(5)	(3)	(15)	(H)					
	(4)	(3)	(12)	(M)					
	(5)	(3)	(15)	(H)					
	(3)	(3)	(9)	(M)					
	(4)	(3)	(12)	(M)					
	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>The Wholetime Firefighter recruitment is in the final stages, contracts are due to be issued for March 2022 start.</p> <p>The EDI group and HR Operations team are working to increase the diversity of the organisation. Learns have been collected to help inform the recruitment toolkit.</p> <p>The HR team continue to support employees to return to work following long term absence. Covid19 absence has increased, the HR team work closely with managers to ensure appropriate support is in place.</p> <p><u>22 February 2022 SMB</u></p> <p>In light of the recent London Fire Brigade advert for operational transferees, we are aware a number of applications have been received from BFRS staff.</p> <p>Whilst it remains unclear how many of these applicants will be successful, any reduction in the current number of operational staff will present challenges from a resourcing perspective. It is therefore likely that further Wholetime Firefighter recruitment / transferee campaigns will need to be commenced. However, due to the limited timeframe between the last recruitment campaign, the work being undertaken to increase the diversity of the workforce, may not necessarily be reflected within this next intake.</p> <p>18 new operational Firefighters will start on the 1 March 2022 and commence their acquisition training at the Fire Service College on 7 March 2022.</p> <p>Following consultations with the Lead Member for People, Equality and Diversity and Assurance a Recruitment Board is to be established to provide strategic oversight of staff recruitment, retention, and wider workforce planning.</p>
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Fin 14 – Funding and Savings Requirement	Lead Member for Finance and Assets, Information Security & IT	The Medium-Term Financial Plan (MTFP) factors in several assumptions when forecasting the financial position.	(4)	(4)	(16)	H	Proactive management of the MTFP is in force and is very closely aligned to workforce planning.	A	<p>13 April 2021 SMB</p> <p>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>22 June 2021 SMB</p> <p>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>21 September 2021 SMB</p> <p>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>19 October 2021 SMB</p> <p>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>
			(3)	(4)	(12)	M			
			(3)	(4)	(12)	M			
			(4)	(4)	(16)	(H)			
	Director Finance & Assets	Future costs are significantly affected by the level of pay awards (which for most staff are determined nationally), general price inflation and changes to employer pension contributions. Future funding levels are affected by council tax referendum limits, growth in council tax and business rate bases, the level of general government funding and specific grants. If a number of these areas are significantly worse than forecast	4	3	12	M	As part of the budget setting process, Officers will seek to identify savings opportunities to address potential future cost pressures.		
						A risk-assessed General Fund reserve of £1.5m (circa 5% of the net budget requirement) is held to cover a range of potential financial risks. In addition, earmarked reserves are held to fund specific anticipated future costs.			

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		<p>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.</p>						<p><u>16 November 2021 SMB</u> Inflationary pressures, particularly relating to energy and fuel prices, have the potential to have adverse impacts on revenue budget costs in the new financial year following expiry of existing contract prices.</p> <p><u>18 January 2022 SMB</u> The Provisional Local Government Finance Settlement was published on 16 December 2021. The draft principles for council tax increases allow fire and rescue services with Band D charges in the lower quartile (which includes this Service) to increase council tax by up to £5 in 2022-23 without the need for a referendum.</p> <p><u>22 February 2022 SMB</u> At its meeting on 16 February 2022 the Fire Authority resolved to increase the Band D council tax precept by £5. This will enable the Authority to address concerns raised by HMICFRS regarding the sustainability of funding and reserves. Inflation as of January 2022 was 5.5% (CPI) which increases the risk that pay awards and other costs may be higher than budgeted for. There is also further uncertainty caused by the potential for the formula used to allocate Government funding to be reviewed during 2022-23. Increasing the Band D precept by £5 generated c£1.15m more than if the precept referendum limit had remained at 2%. Therefore, despite the uncertainties noted above, it is proposed to reduce the impact score to three, giving a total risk score of twelve (medium risk).</p>
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			P	I	Σ				
			(4)	(4)	(16)	(H)			
			3	4	12	(M)			
<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>					<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>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> <p>24 August 2021 SMB</p> <p>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>19 October 2021 SMB</p> <p>On 11 October the head of the National Cyber Security Centre (NCSC) stated at the</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>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> <p><u>18 January 2022 SMB</u> The Service’s ICT team were made aware of the national issues with the ‘Log4j 2’ vulnerability early due to their close ties with the UK National Cyber Security Centre, they took immediate action to scan internal resources and found that they were not affected. They then worked with suppliers to ensure any systems hosted externally which the Service utilises were checked, and where appropriate patched, to prevent any exposure.</p> <p><u>22 February 2022 SMB</u> The mandatory staff cybersecurity training packages have been rolled out to Members. A Cabinet Office report published on 25 January 2022 advised that of the 777 incidents managed by the National Cyber Security Centre between September 2020 and August 2021, around 40% were aimed at the public sector. The Authority is now a subscriber to the South-East Employers (SEE) sub-group South-East Government Warning, Advisory and Reporting Point (SEGWARP) -which shares knowledge, resources and benchmarking among participating IT Security Specialists & IT Managers https://www.seemp.co.uk/segwarp/</p>
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Risk of resurgence of Covid-19 and / or seasonal influenza in Autumn / Winter 2021 and into 2022	Lead Member for Health and Safety and Corporate Risk	Increased levels of sickness absence amongst staff.	(4)	(3)	(12)	M	<ul style="list-style-type: none"> Maintenance of current social distancing and sanitisation regimes in all Authority workplaces, including covid-secure monthly assessments. Hybrid working and gradual reintroduction to office environment 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><u>13 April 2021 SMB</u> 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><u>22 June 2021 SMB</u> 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> <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</p>
	Chief Operating Officer	Potential degradation of capacity or capability to deliver key services to the public and / or sustain supporting functions.	4	2	8	M			

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										<p>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> <p><u>18 January 2022 SMB</u> The progression of the highly transmissible Omicron variant is resulting in increased staff absence levels across departments. It is reassuring that the new variant appears less severe, thus reducing the health risks to staff, however, the bigger risk now is our ability to maintain effective service delivery should case numbers continue to rise. The Service has degradation plans in place to manage high staff absence levels and continues to mitigate risks through infection prevention control measures.</p> <p><u>22 February 2022 SMB</u> Current control measures are keeping Covid absence to a tolerable level, resulting in reduced impact on staff resourcing. Decreasing case numbers, shorter isolation periods and less severe symptoms, owing to Omicron dominance and good vaccine availability and uptake, is leading to an improved picture across the Service. Short term absence spikes and the ongoing risk of emerging variants of concern, continue to be monitored. Impact score reduced from 3-2, probability to remain at 4 owing to turnover of covid absence (3%-6%) within the workforce and ongoing risk to service delivery.</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 Director Finance & Assets	Failure to discharge statutory duties. Failure to comply with legal requirements. Unknown / unquantified budgetary impacts.	(5)	(3)	(15)	H	<ul style="list-style-type: none"> 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. 	M	<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>
			4	3	12	M			

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								<p><u>19 October 2021 SMB</u> The LGA and the FBU have identified a mutually acceptable framework for handling immediate detriment cases, to assist all parties prior to completion and implementation of the McCloud / Sargeant remedying legislation.</p> <p>A paper will be presented to the meeting of the Executive Committee on 17 November 2021 recommending that the Service adopts this framework.</p> <p>The framework will have internal resource implications for the Service, as well as resourcing implications for its pension administrator.</p> <p><u>18 January 2022 SMB</u> On 17 November 2021 the Executive Committee adopted the Framework with the proviso that the timescale for payments may be extended where it is beneficial to the recipient and the Service to do so.</p> <p>On 29 November 2021 the Home Office withdrew its informal and non-statutory guidance on processing certain kinds of immediate detriment case ahead of legislation, with immediate effect. However, the MoU and the accompanying Framework is separate from, and is not subject to or dependent on, any guidance issued in relation to immediate detriment before the legislation comes into force.</p> <p><u>22 February 2022 SMB</u> No changes to the risks identified since the meeting on 18 January 2022.</p>
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