

Appendix 3 - Corporate Risk Register – as at 6 July 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 or reduced ability to work due to disruption caused by factors such as Pandemic Flu, fuel supply issues, industrial action etc.</p> <p>2/Impact of employment market conditions on attraction of new staff, retention and overall workforce stability.</p> <p>3/ Simultaneous loss of Principal Officers /</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. • Succession Plans in place for key leadership and management personnel. • Contingency arrangements in place to mitigate risks to Principal Officer operational rota capacity. • 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. 	R	<p><u>5 April 2022 SMB</u> 17 new Wholetime Firefighter recruits joined the Service on 1 March and have commenced training at the Fire Service College. Mitigation of staff retention risks is ongoing via dialogue with: LFB regarding transferee process; training provider re: supporting future new recruitment activities; and, establishment of a Recruitment Board to provide strategic oversight of recruitment process.</p> <p><u>17 May 2022 SMB</u> Current employment market conditions are also affecting the attraction of support services staff. The risk is particularly acute in areas such as ICT and Workshops. Consideration also needs to be given to the impact of national living wage (NLW) increases on other support services staff pay scales, as NLW increases are starting to erode the gap to the lower bandings. Leavers and workforce planning are being monitored on a regular basis, to ensure measures are in place. Wholetime recruitment is underway, with new recruits due to join in October 2022. Other employment options are also being reviewed, such as Transferees and Flexi Firefighters.</p> <p><u>21 June 2022 SMB</u> Wholetime recruitment has progressed to the interview stage, which will take place shortly. The On Call/Firefighter transferee advert is live and closes on 3 July.</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)			
			4	4	16	H			

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<p>Senior Management Team members.</p> <p>This is a composite risk more detailed evaluations of individual risk components are contained in the HR Directorate Risk Register.</p>							<ul style="list-style-type: none"> • Growth bids to be considered to support future resourcing demands. • HR are reviewing the future promotion and career development options • Resourcing levels are constantly monitored to ensure coverage. • The Recruitment Oversight Board meets periodically 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 advert for Promotion/Development Centres for Watch, Crew and Station Commanders is live, they take place w/c 17 September. Support Services and On Call recruitment continues.</p> <p>HR and the recruiting managers work closely with the Marketing Communication Team to attract diverse candidates with the right skills and experience.</p> <p>Meetings are taking place to discuss workforce planning/establishment.</p> <p>National pay negotiations for 'Grey Book' staff between employer representatives and the representative bodies are ongoing via the NJC. These are being closely monitored given the sensitivity of this issue across the public sector and the potential for industrial action in the event that an agreement cannot be reached.</p> <p><u>Post meeting Update:</u> On 27 June 2022, the Fire Brigades Union recommended that its members reject the employer's proposal for a 2% increase to firefighters' pay and indicated that it will consider all options, including strike action.</p>
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			P	I	Σ				
Fin 14 – Financial Sustainability	Lead Member for Finance and Assets, Information Security & IT	The Medium-Term Financial Plan (MTFP) factors in several assumptions when forecasting the financial position. 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)	(4)	(16)	H	Proactive management of the MTFP is in force and is very closely aligned to workforce planning. 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.	A	<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> <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.</p> <p>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.</p> <p>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>
			(3)	(4)	(12)	M			
			(3)	(4)	(12)	M			
			(4)	(4)	(16)	(H)			
		Director Finance & Assets		4	3	12			

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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>5 April 2022 SMB Recommended that risk score and RAG status remain at current level given current inflationary pressures particularly in relation to energy, fuel, other consumables, contract prices and also future staff pay settlements.</p> <p>17 May 2022 SMB The Service continues to monitor the impact of inflation on key contracts. Inflationary pressures will form a key part of the sector’s submission to the Government in relation to the financial settlement.</p> <p>21 June 2022 SMB The MTFP process has commenced for 2023/24 and consideration will be given to all inflationary pressures highlighted, to mitigate them as part of the MTFP process. Pay settlements for staff on ‘Grey Book’ contracts is negotiated nationally and therefore outside of the Authority’s control. The current budget provision for this is 2%. The incremental cost of an additional 1% is c. £200k. which could place the revenue budget under considerable pressure were any settlement to be significantly greater than the current provision. There is also uncertainty as to the continuity of some of the hypothecated grant funding that Fire and Rescue Services receive from central government – the USAR grant is of particular concern. The fire sector is working closely to highlight these financial pressures to the Government so they can be considered as part of the financial settlement.</p> <p>According to the Bank of England’s Monetary Policy Summary (June 2022) “CPI inflation was expected to average slightly over 10% at its peak in 2022 Q4”. For comparative purposes, a £5 increase in the Authority’s Band D precept would be equivalent to c.7%.</p> <p>At its meeting on 15 June 2022 the base rate was increased by 0.25 percentage points to 1.25%. As all the Authority’s borrowing is at a fixed rate of interest and there are no plans to borrow further, this on its own does not have a direct impact on the financial position.</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>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 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>18 January 2022 SMB</p> <p>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</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>appropriate patched, to prevent any exposure.</p> <p>22 February 2022 SMB 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> <p>5 April 2022 SMB Meeting Recommended that Risk Score and RAG status remain at present levels in light of National Cyber Security Centre guidance in relation to heightened virus and malware risks following measures taken by UK, EU, US and other countries in response to the Russian invasion of Ukraine. ICT Manager has been appointed as Single Point of Control for liaison with the Home Office in relation to related cyber risks in addition to other control measures already in place.</p> <p>21 June 2022 SMB Against South-East Government Warning, Advisory and Reporting Point (SEGWARP) criteria, due to interventions applied by ICT, BMKFA’s email security ranking has improved since last evaluated in March 2022.</p>
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Risk of resurgence of Covid-19 and / or seasonal influenza in 2022/23	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>6 July 2021 Update 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>24 August 2021 SMB 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>19 October 2021 SMB 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> <p>18 January 2022 SMB 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</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>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></p> <p>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> <p><u>5 April 2022 SMB</u></p> <p>The effect of the vaccine programme and residual control measures continues to keep staff Covid related staff absence levels within manageable levels. The ability to provide staff with access to Lateral Flow Tests remains to assist with infection control. No change to risk score or RAG status recommended.</p> <p><u>21 June 2022 SMB</u></p> <p>Case rates are currently low across the country and whilst staff are still contracting coronavirus, absence levels are lower than experienced previously. We continue to monitor the situation, as the media is starting to suggest that there are early indications of cases starting to rise once again, especially in Scotland.</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.	(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>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> <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. 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>
		Failure to comply with legal requirements. Unknown / unquantified budgetary impacts.	4	3	12	M			

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									<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> <p><u>5 April 2022 SMB</u> Staff retirement trends remain manageable with near term exits effected by 31 March 2022, following which remaining affected staff revert to the revised 2015 scheme. Potential financial risks arising from the 4 yearly revaluation of the scheme will be mitigated as part of the MTFP process. No change to risk score or RAG status recommended.</p> <p><u>21 June 2022 SMB</u> Claimants’ representatives have submitted schedules of test claimants for the purposes of the levels of financial awards to be paid by employers for ‘injury to feelings’. The LGA’s position is that employers should be recompensed by government for any awards.</p>
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