



# Buckinghamshire & Milton Keynes Fire Authority

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**Meeting and date:** Overview and Audit Committee, 8 November 2023

**Report title:** Corporate Risk Management

**Lead Member:** Councillor Gary Hall, Health, Safety and Corporate Risk

**Report sponsor:** Graham Britten, Director of Legal & Governance

**Author and contact:** Stuart Gowanlock, Corporate Planning Manager

[sgowanlock@bucksfire.gov.uk](mailto:sgowanlock@bucksfire.gov.uk)

**Action:** Decision

**Recommendations:**

1. That the status of identified corporate risks at Annex C be reviewed and approved.
2. That comments be provided to officers for consideration and attention in future updates / reports.

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**Executive summary:**

This report provides an update on the current status of identified corporate risks. Risk registers are maintained at project, departmental and directorate levels. Corporate risks are those that have been escalated from these levels for scrutiny by the Strategic Management Board (SMB) because of their magnitude, proximity or because the treatments and controls require significant development.

Officers draw on a range of sources to assist with the identification and evaluation of corporate risks. For example, membership of the Thames Valley Local Resilience Forum (TVLRF)'s Strategic Coordinating Group (SCG) facilitates active monitoring of a range of risks with the potential for impacts on local communities and services.

Involvement with the Local Resilience Forum directly links officers into national Government agencies and departments such as the UK Health Security Agency and the Department for Levelling Up, Housing and Communities. This allows the sharing of intelligence and information with those who are making decisions at the very highest levels.

The TVLRF SCG enables its partners to jointly develop combined responses to civil emergencies, and strategic consequence management. This multi-agency partnership approach helps target activity directly to the needs of the public.

The Corporate Risk Register was last reviewed by the Overview and Audit Committee at its 19 July 2023 meeting. Since then, it has been subject to review by the Performance Monitoring Board (PMB), at which all the directorate and departmental risk registers are reviewed, and by SMB at its monthly meetings. Also, Lead Members

have been consulted during the evaluation process for risks falling within their portfolios of responsibility.

Since the last Overview and Audit Committee review, the Corporate Risk Register has been updated to reflect:

- In relation to the Workforce Availability / Stability risk, ongoing progress with recruitment and, in particular, the achievement of an operational wholetime establishment of 314 against the target of 300, facilitating a reduction to the probability risk score resulting in a move from red to amber RAG status;
- In relation to the third party industrial relations risk, the settlement of the teaching unions' pay dispute and ongoing strike action in the NHS;
- Regarding information management / security, the introduction of the Data Protection and Digital Information (No.2) Bill intended to reduce compliance costs relative to preceding legislation;
- Regarding the McCloud / Sargeant pensions risk, the regulations relating to the Matthews RDS (On-Call) case coming into force from 1st October 2023. The Authority and the pension administrator will work through the prospective cases and process them in a timely manner in line with the regulations;
- Regarding the climate change related risk, operational preparedness now focusing on forthcoming winter pressures, in particular flooding. Training for wildfire vehicle provision continues in preparation for next year;
- Progress in relation to the HMICFRS Values and Culture Recommendations, including:
  - Achievement of the Employers Network for Equality and Inclusion (ENEI) Talent Inclusion and Diversity Evaluation (TIDE) Silver standard for 23/24; and also, 'White Ribbon' accreditation;
  - Following changes to legislation, DBS process for all staff underway;
  - Roll out of the 'Speak up' campaign;
  - 360 feedback trial with SMT complete and now being rolled out to the wider leadership team.

The current distribution of corporate risks relative to probability and potential impact is shown at Appendix 1.

Changes to the corporate risk ratings over the last 12 months are shown at Appendix 2.

Detailed assessments of identified corporate risks are shown in the Corporate Risk Register at Appendix 3.

The next Overview and Audit Committee review is scheduled for 13 March 2024, preceded by review at the 20 February 2024 SMB meeting.

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### **Financial implications:**

No direct financial implications arising from the presentation of this report. It is envisaged that the further development of the Authority's corporate risk management framework will be undertaken from within agreed budgets.

**Risk management:**

The development, implementation and operation of effective corporate risk management structures, processes and procedures are considered critical to assure continuity of service to the public, compliance with relevant statutory and regulatory requirements and the successful delivery of the Authority's strategic aims, priorities and plans.

**Legal implications:**

None directly arising from this report. Any legal consequences associated with the crystallisation of individual risks are detailed in the Risk Register report at Appendix 3.

Within the role description of a Lead Member is a requirement 'to attend the Overview and Audit Committee, at its request, in connection with any issues associated with the portfolio which is the subject of scrutiny'.

**Privacy and security implications:**

None directly arising from the presentation of this report. However, potential risks to privacy and security together with mitigating actions are captured within applicable risk evaluations.

**Duty to collaborate:**

The potential to share corporate risk intelligence with neighbouring fire and rescue services and other relevant agencies will be considered. Buckinghamshire and Milton Keynes Fire Authority already participates in the multi-agency Thames Valley Local Resilience Forum which produces a Community Risk Register which is among the sources used to identify potential risks to the Authority.

**Health and safety implications:**

Development of the framework does not impact directly on the legal compliance to health and safety, however if risks are not appropriately identified or evaluated then this may present Health and Safety risks.

**Environmental implications:**

None directly arising from the presentation of this report. However, potential environmental implications together with mitigating actions are captured within applicable risk evaluations.

**Equality, diversity, and inclusion implications:**

No direct implications from the presentation of this report. However, risks to achieving the Authority's equality, diversity and inclusion objectives or compliance with relevant statutes or regulations are identified assessed and managed via this process and are currently monitored within the HR Risk Register. Equality Impact Assessments are undertaken on strategies, change, procedures and projects.

### Consultation and communication:

Senior managers and principal officers are key stakeholders in the development of the corporate risk management framework and have an active role in this at every stage as well as in ongoing identification, evaluation and monitoring of corporate risks. The Lead Member for Health, Safety and Corporate Risk is also be involved in the development of the framework with particular responsibility for determining the reporting arrangements for the Authority.

### Background papers:

The current Corporate Risk Management Policy was approved at the 24 March 2021 Executive Committee:

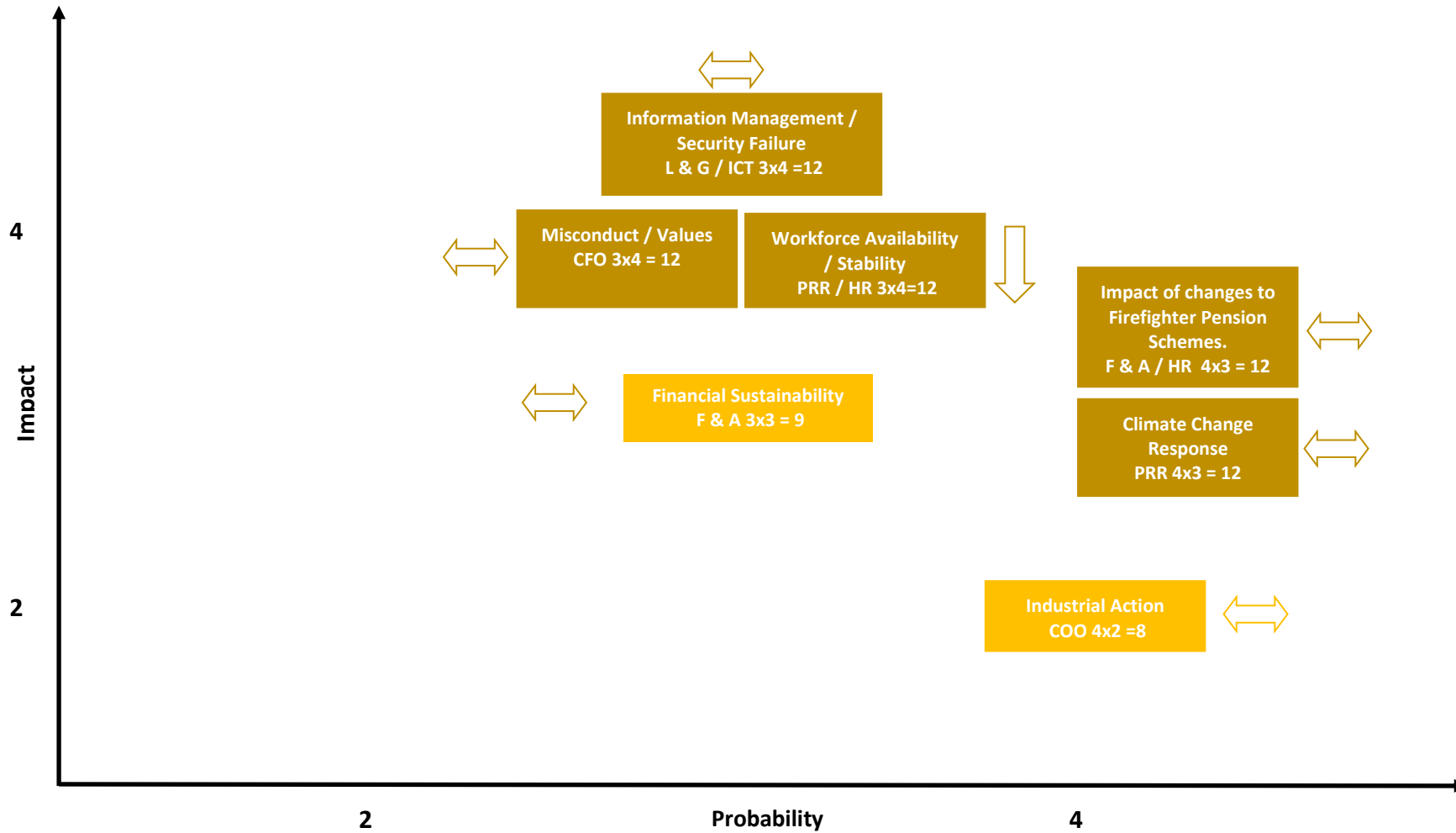
<https://bucksfire.gov.uk/documents/2021/03/ec-240321-item-5.pdf/>

Fire Authority Members were last updated on the status of the Authority's Corporate Risks at the 19 July 2023 Overview and Audit Committee meeting:

[bucksfire.gov.uk/documents/2023/07/overview-and-audit-committee-19-july-2023-item-14-corporate-risk-management.pdf/](https://bucksfire.gov.uk/documents/2023/07/overview-and-audit-committee-19-july-2023-item-14-corporate-risk-management.pdf/)

Appendix	Title	Protective Marking
1	Distribution of Corporate Risks as at 17 October 2023.	None
2	12 Month View of Changes to Corporate Risks	None
3	Corporate Risk Register Report	None

# Appendix 1: Corporate Risk Map – As at 17 October 2023 SMB



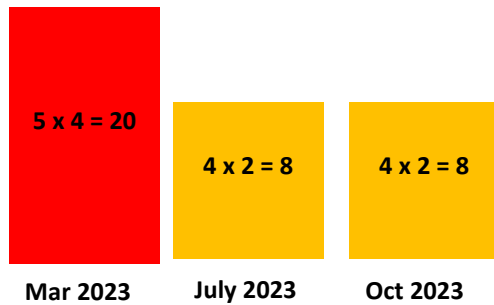
RAG

P x I = Score

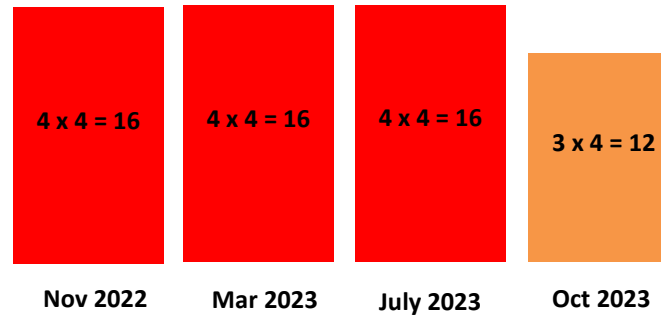
**Risk Trend Indicator**  
 Risk increasing = ↑  
 No change = ↔  
 Risk Reducing = ↓

## Appendix 2 – Risk Register Changes (12 Month View)

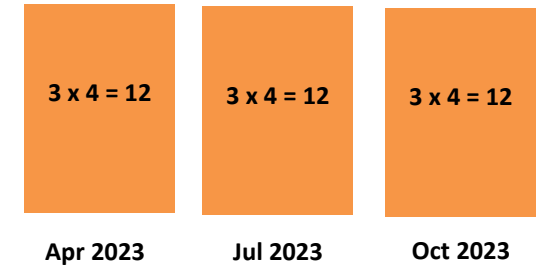
### Industrial Action



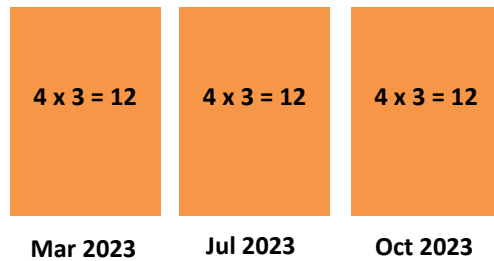
### Workforce Availability / Stability



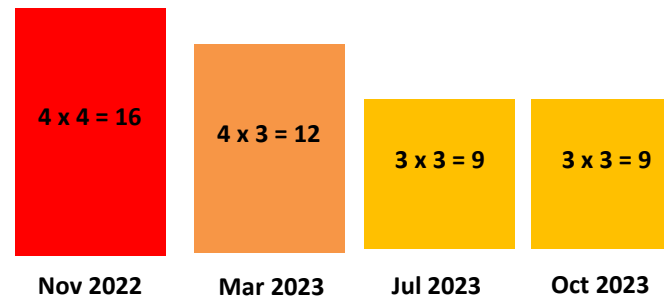
### Misconduct / Values



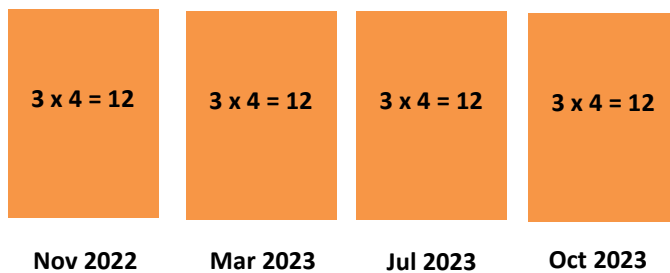
### Climate Change Response



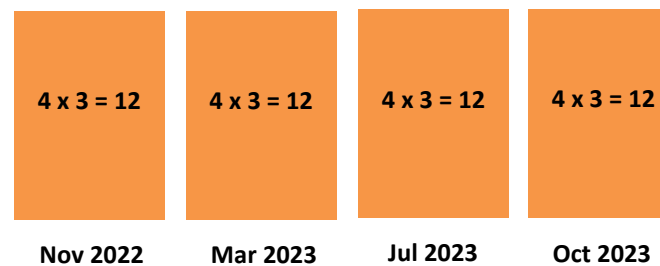
### Financial Sustainability



### Information Management / Security Failure



### Impact of Changes to Firefighter Pension Schemes



## Appendix 3 - Corporate Risk Register – as at 17 October 2023

### 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><b>Workforce Availability / Stability:</b>  <b>1/ Staff inability or reduced ability to work due to disruption caused by factors such as Pandemic Flu, fuel supply issues, industrial action etc.</b></p> <p><b>2/Impact of employment market conditions on attraction of new staff, retention of existing staff, and overall workforce stability (specifically the ratio of experienced / competent staff to inexperienced</b></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"> <li>Business continuity plans in place &amp; uploaded to Resilience Direct.</li> <li>Succession Plans in place for key leadership and management personnel.</li> <li>Contingency arrangements in place to mitigate risks to Principal Officer operational rota capacity.</li> <li>Peer review of the business continuity arrangements</li> <li>Bank System</li> <li>Flexi-Duty System <del>Pilot</del></li> <li>Staff Transfer Procedure</li> <li>Employee assistance and welfare support</li> <li>Training Needs Assessment process</li> <li>Annual monitoring of staff 'stability ratio' relative to best practice and sector norms, presented to Workforce Planning Group</li> <li>Review People Strategy and annual updates on progress to Fire Authority</li> <li>Wider range of contracts offering more flexible ways of working</li> <li>A variety of approaches are being adopted to replenish the workforce. These include more operational apprentices, transferees, and re-engagement options.</li> <li>Workforce planning data is regularly reviewed -by the Workforce Planning Group.</li> </ul>	<b>R</b>	<p><b><u>21 February 2023 SMB</u></b>                      Workforce planning group due to meet 13 February. On-Call to Wholetime transferee (internal) advert open. 16 Apprentices plus 1 Firefighter trainee to start 1 March. 2 March cohort applicants, starting in October, as can't be released form RAF before then. Wholetime advert 20 February to 26 March. On Call and Wholetime Crew and Watch Commander (internal and external) transferee advert opens 16 February and On Call and Wholetime Firefighter (internal and external) transferee advert opens 12 May. Recruitment Fairs planned in throughout 2023. Updates given at SMB and Executive Committee.  <b><u>4 April 2023 SMB</u></b>                      Nothing further to report. No change to risk score or RAG status.  <b><u>16 May 2023 SMB</u></b>                      Risk description updated following feedback from 27 April PMB review regarding the effects of recruitment at scale on the ratio of inexperienced to experienced staff. WPG met on 15 May. Recruitment now a standing item at PMB. 42 currently being interviewed for Apprenticeship. 10 Transferees starting on 5 June. No August course for On Call due to low candidate numbers / not passing tests.  <b><u>20 June 2023 SMB:</u></b>                      18 candidates have been offered employment to commence on 27 September 2023. A pool of candidates has been created should any of them leave the course unexpectedly. 9 Firefighter transferees commenced on 5 June 2023.</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)					
	<b>3</b>	<b>4</b>	<b>12</b>	<b>M</b>					

### Appendix 3 - Corporate Risk Register – as at 17 October 2023

<p>staff / staff in development.</p> <p><b>3/ Simultaneous loss of Principal Officers / Senior Management Team members.</b></p> <p>This is a composite risk more detailed evaluations of individual risk components are contained in Directorate Risk Registers.</p>						<ul style="list-style-type: none"> <li>• Growth bids to be considered to support future resourcing demands.</li> <li>• OD are reviewing the future promotion and career development options.</li> <li>• Resourcing levels are constantly monitored to ensure coverage.</li> <li>• Pensions remedy consultation received, response to be drafted. Workforce planning reviewed for implications and plans put in place</li> <li>• Development Centres held as required.</li> <li>• On-call virtual and face to face awareness evenings held, and recruitment continues.</li> <li>• Analysis of feedback from staff leaver exit interviews.</li> </ul>	<p>The Workforce Planning Group meet monthly to ensure consistency across the organisation and to ensure the target of 300 is met. The advert for the Junior Officer Transferee planned for September 2023 intake is in discussions.</p> <p><b><u>22 August 2023 SMB:</u></b> 18 candidates have been offered employment to commence on 27 September 2023 and the pool of candidates that were remaining have now been offered employment with seven additional recruits commencing on 29th August 2023.</p> <p><b><u>19 September 2023 SMB:</u></b> 7 Apprentices started 29 August. We recently advertised for Crew Commander/Watch Commander transferees and invited 3 CC's to the Organisational Development Selection process on 2 October and a WC to the process on 5 October. This is on track with the proposed recruitment roadmap of an intake of four Supervisory Managers. Wholtime recruitment due to commence end of September for 18 to start in May 2024. A range of transformation measures being progressed and trialled to improve the resilience of operational delivery.</p> <p><b><u>17 October 2023 SMB:</u></b> Operational establishment now at 314 against target of 300. Workforce planning group – workshops on recruitment, diversity, comms, succession plan / talent management, retention. Wholtime Apprentice advert open, closes 5 November. In light of the progress made in relation to the Wholtime establishment SMB agreed to reduce the risk score to 12 (P3 x I4) resulting in an amber RAG status. Regarding the outlook for industrial relations, on 13 September 23 the FBU released a <a href="#">'firefighters manifesto'</a>, which included positioning in relation to pay and the right to strike.</p>
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### Appendix 3 - Corporate Risk Register – as at 17 October 2023

Risk Description	Resp.	Consequences if Untreated Risk Occurs	Risk Score (Former) / New			Risk Level	Current Treatment	RAG	Comments / Further Treatment Proposed
			P	I	Σ				
<b>Disruption to key Service functions due to third party industrial action potentially leading to reduced staff availability and / or diversion of resources to help partner services maintain continuity of service.</b>	Lead Member for Service Delivery, Protection & Collaboration	Detrimental effects on service delivery to the community and the Service’s reputation.	4	2	8	M	<ul style="list-style-type: none"> <li>• Business continuity plans in place &amp; uploaded to Resilience Direct.</li> <li>• Bank System</li> <li>• Wider range of contracts offering more flexible ways of working</li> <li>• Flexible and hybrid working procedures.</li> <li>• Remote working technologies.</li> <li>• Regular communication with staff, rep bodies and, where appropriate, third party organisations.</li> </ul>	A	<p><b><u>20 June 2023 SMB:</u></b> The Industrial Action picture continues to be monitored, as a number of Trade Unions continue to ballot for, or announce dates, for Industrial Action. The Royal College of Nursing’s Industrial Action formally came to an end on 27 June 2023. On 17 June 2023, the executive of the National Education Union (NEU) voted for further strike action in England’s schools on 5 and 7 July. Should the strikes go ahead, it is up to individual head teachers to decide on whether they close their school. This is likely to be dependent on teacher availability. We are currently evaluating any potential implications for BFRS staff with childcare responsibilities together with options for minimising any impact on core service delivery functions.</p> <p><b><u>22 August 2023 SMB:</u></b> Two of the four unions involved in the dispute about teacher pay in England will not hold strikes in the autumn term, after accepting a 6.5% pay rise. The NEU has announced that it would accept the government’s pay offer. The ASCL union has also accepted the offer.</p> <p><b><u>19 September 2023 SMB:</u></b> All of the four unions involved in the Teachers pay dispute have accepted the pay deal. So, no Teacher strikes planned for the immediate future, however, campaigning will continue for improved pay. The National picture regarding Industrial Relations continues to be monitored, to assess risks to the organisation.</p> <p><b><u>17 October 2023 SMB:</u></b> Officers continue to monitor developments. No change to risk score or RAG status.</p>
	Chief Operating Officer	Increased risk to the public (including life and property), economy and the environment due to inadequate or insufficient response to emergency incidents.							
		Failure to discharge statutory target duties.							
		Disruption to service delivery and support functions due to loss of capacity.							
		Delay to implementation of Service plans and projects due to loss of capacity.							

### Appendix 3 - Corporate Risk Register – as at 17 October 2023

Risk Description	Resp.	Consequence if Untreated Risk Occurs	Risk Score (Former) / New			Risk Level	Current Treatment	RAG	Comments / Further Treatment Proposed
			P	I	Σ				
<b>Financial Sustainability</b>	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.  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 £1.6m (circa five per cent 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.	<b>A</b>	<b>20 September 2022 SMB</b> Awaiting details of Government support for non-domestic energy users to facilitate assessment of likely impact on revenue budget forecast. <b>18 October 2022 SMB</b> The announcement of the energy price cap for non-domestic customers has reduced the forecast spend for the year on gas and electricity by £400k. However, the cap is currently only confirmed to apply for six months until 31 March 2023. On 4 October 2022, the UK National Employers for Fire & Rescue Services have agreed to make an improved pay offer of five per cent on all basic pay rates and continual professional development payments. While a five per cent pay award can be absorbed this year, it is because of the recent non-domestic energy support announcement and assumes no further financial pressures emerging. However, without additional funding through either grant funding and/or precept flexibility in the forthcoming Local Government Finance Settlement, the Service would not be on a sustainable footing in future years. <b>17 January 2023 SMB</b> Outlook for funding improved following: government confirmation that fire and rescue authorities may raise Council Tax by £5 (Band D equivalent) without recourse to a referendum; and confirmation that Settlement Funding Assessment will be raised by CPI inflation rate as at September 2022 (10.1%). These measures will enable the Authority to offset the effect of inflationary pressures and reduce the likelihood of needing to draw on reserves. However, the Service has also received notification that the Government will look to discontinue the USAR grant funding that the Service receives at the end of March 2023. This is currently worth over £800k and the loss of this will need to be factored into the MTFP for 2024/25.
		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.	(3)	(4)	(12)	(M)			
		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)			
	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.	(4)	(3)	(12)	(M)			
	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)				
	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.	(3)	(4)	(12)	M				
	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	<b>3</b>	<b>3</b>	<b>9</b>	<b>M</b>				

### Appendix 3 - Corporate Risk Register – as at 17 October 2023

		<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><b><u>21 February 2023 SMB</u></b>                  The Authority approved the MTFP for 2023/24 to 2027/28 at its meeting on 15 February 2023. As noted in the update of 17 January 2023 (see above) this factored in the discontinuation of the USAR grant funding that the Service has been informally notified of. It was also updated to reflect the latest NJC pay offer of 7% from 1 July 2022 and 5% from 1 July 2023, the recently agreed twelve-month utilities contracts from 1 April 2023 and confirmed business rates payments from the billing authorities.                  The net impact of all the above is that reserves are now forecast to increase very slightly during 2023-24 before remaining broadly level during the period of the MTFP. The risk is to remain at amber due to uncertainty about energy prices over the next 12 months and the sensitivity of the finances to small changes in assumed pay awards after July 2023.</p> <p><b><u>4 April 23 SMB</u></b>                  No further developments to report. No change to risk score or RAG status.</p> <p><b><u>16 May 2023 SMB</u></b>                  Agreed that the risk impact score be reduced from 4 to 3, in light of improved MTFP outlook resulting in overall reduction to low-medium RAG status.</p> <p><b><u>20 June 2023 SMB</u></b>                  No new developments of significance to report. No changes to risk score or RAG status.</p> <p><b><u>22 August 2023 SMB:</u></b>                  No further developments to report. No change to risk score or RAG status.</p> <p><b><u>19 September 2023 SMB:</u></b>                  No further developments to report. No change to risk score or RAG status.</p> <p><b><u>17 October 2023 SMB:</u></b>                  No further developments to report. No change to risk score or RAG status.</p>
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## Appendix 3 - Corporate Risk Register – as at 17 October 2023

Risk Description	Resp.	Consequences if Untreated Risk Occurs	Risk Score (Former) / New			Risk Level	Current Treatment	RAG	Comments / Further Treatment Proposed
			P	I	Σ				
<p><b>Information Management* / Security failure to -</b></p> <p><b>a) comply with statutory or regulatory requirements</b></p> <p><b>b) manage technology</b></p> <p><b>c) manage organisational resources</b></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 &amp; IT</p> <p>Senior Information Risk Owner (SIRO)</p> <p>Director Legal &amp; Governance</p>	<ul style="list-style-type: none"> <li>Inability to access/use the e-information systems.</li> <li>Severe financial penalties from the Information Commissioner</li> <li>Lawsuits from the public whose sensitive personal information is accessed causing damage and distress.</li> </ul> <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) <b>3</b>	(4) <b>4</b>	(16) <b>12</b>	(H) <b>M</b>	<p><b>1. Appropriate roles:</b></p> <ul style="list-style-type: none"> <li>SIRO has overall responsibility for the management of risk</li> <li>Information and information systems assigned to relevant Information Asset Owners (IAO's)</li> <li>'Stewards' assigned by IAO's with day-to-day responsibility for relevant information.</li> </ul> <p><b>2. Virus detection/avoidance:</b></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><b>3. Policies / procedure:</b></p> <p>Comprehensive review and amendment of the retention and disposal schedules / Information Asset Registers,</p> <ul style="list-style-type: none"> <li>current and tested business continuity plans / disaster recovery plans</li> <li>employee training/education</li> <li>tested data/systems protection clauses in contracts and data-sharing agreements</li> <li>Integrated Impact Assessments (IIA)</li> <li>disincentives to unauthorised access e.g. disciplinary action</li> </ul> <p><b>4. Premises security:</b></p> <ul style="list-style-type: none"> <li>Preventative maintenance schedule</li> <li>Frequent audits at Stations and inventory aligned to asset management system.</li> </ul> <p><b>5. Training:</b></p> <p>The biennial "Responsible for Information" training supplemented by the National Cyber Security Centre's e-learning package 'Top Tips for Staff' which has been built into the Heat training platform as a mandatory biennial package.</p>	A	<p><b>15 November 2022 SMB</b></p> <p>No change to risk score or RAG status</p> <p><b>17 January 2023 SMB</b></p> <p>The UK Government Resilience Framework, published by the Cabinet Office 19 December 2022 reported that 39% of all UK businesses reported a cyber breach or attack in 2022 and warns of the risks of a Hostile State using cyber to disrupt emergency services operations, or malicious communications to reduce public cooperation with emergency services and authorities in a crisis.</p> <p><b>21 February 2023 SMB</b></p> <p>Since last reported to the O&amp;A Committee (20 July 2022), against South-East Government Warning, Advisory and Reporting Point (SEGWARP) criteria, BMKFA's email security ranking continues to improve and is expected to improve further with the installation of <a href="#">MTA-STX (Mail Transfer Agent Strict Transport Security)</a></p> <p><b>4 April 23 SMB</b></p> <p>Nothing further to report. No change to risk score or RAG status.</p> <p><b>20 June 2023 SMB</b></p> <p>The investment in Microsoft Defender, its additional layer of protection to the existing firewall, and its reporting tools since March 2023 enable BFRS to better monitor its exposure and vulnerability to cyberattacks via email and prioritise remedial actions.</p>

### Appendix 3 - Corporate Risk Register – as at 17 October 2023

		<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>Mandatory HEAT training completion is monitored quarterly as part of the Service performance measures.</p>	<p><b><u>22 August 2023 SMB:</u></b> The Data Protection and Digital Information Bill (DPDI Bill) introduced into Parliament on 18 July 2022 (comment 18 October 2022) was withdrawn on 8 March 2023. Its replacement is the Data Protection and Digital Information (No.2) Bill, for which the <a href="#">Written Ministerial Statement</a> confirms government’s intention to “reduce compliance costs [...] and reduce the amount of paperwork that organisations need to complete to demonstrate compliance”</p> <p><b><u>19 September 2023 SMB:</u></b> On 1 September 2023 the Information Commissioner’s Office confirmed that it had <a href="#">issued a reprimand to Gloucester City Council</a> in respect of breaches of the UK GDPR. Gloucester City Council (GCC) had failed to implement appropriate technical and organisational measures to properly secure its systems. GCC had suffered a cyber-attack via phishing email from a legitimate third-party email address which resulted in some of its systems being affected more than 18 months after the attack.</p> <p><b><u>17 October 2023 SMB:</u></b> Proposals from Buckinghamshire Council for data retention/minimisation training agreed by SMB’</p>
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### Appendix 3 - Corporate Risk Register – as at 17 October 2023

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			
<b>Court of Appeal ruling on the McCloud / Sargeant cases: potential impact on staff retirement profile, resourcing to implement required changes and financial impacts thereof.</b>	Lead Member for Finance and Assets, Information Security & IT	Failure to discharge statutory duties.  Failure to comply with legal requirements.  Unknown / unquantified budgetary impacts.	(5) 4	(3) 3	(15) 12	H M	<ul style="list-style-type: none"> <li>Potential impacts on costs are factored into future Medium-Term Financial Planning process.</li> <li>Recruitment of dedicated specialist resource to evaluate requirements arising from the Court of Appeal ruling and implement necessary administrative changes.</li> </ul>	<b>M</b>	<p><b>5 April 2022 SMB</b> 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><b>21 June 2022 SMB</b> 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> <p><b>18 October 2022 SMB</b> Cases are being processed as they arise. A provision of circa £250k had been made in the 2020-21 financial year to cover potential awards in relation to the ‘injury to feelings’ claims (referenced 21 June 2022). However, this amount is now available to use for other purposes, as the LGA confirmed on 14 October 2022 that all the settlement payment costs for FBU claimants will be met by the Government and that funds will be provided to FRAs before any payments are made to FBU claimants by FRAs</p> <p><b>15 November 2022 SMB</b> No change to risk score or RAG status</p> <p><b>21 February 2023 SMB</b> No significant developments to report. Monitoring continues. No change to risk score / RAG status.</p> <p><b>4 April 23 SMB</b> No further developments to report. No change to risk score or RAG status.</p> <p><b>16 May 23 SMB</b> The Home Office have launched a consultation on the amendments to the pension scheme regulations to</p>
	Director Finance & Assets								

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									<p>enact second phase of remedy in the McCloud/Sargeant cases. The consultation is open until 23 May 2023. The legislation is expected to be implemented from 1 October to remedy the discrimination that had taken place between 1 April 2015 and 31 March 2022.</p> <p><b><u>20 June 2023 SMB</u></b> No new developments. No changes to risk score or RAG status</p> <p><b><u>22 August 2023 SMB:</u></b> The Home Office has published the Government’s formal response to the consultation on the draft Firefighters’ Pensions (Remediable Service) Regulations 2023 and policy intent to implement the retrospective phase of the McCloud/Sargeant remedy. The Regulations were laid before Parliament on 20 July 2023 and will come into force 1 October 2023. This will allow the Service to more accurately process prospective cases and revisit and finalise cases already processed. Although the Regulations provide clarity, risks remain about the capacity to deliver within defined timescales due to the number of cases our pension administrator will be dealing with nationally.</p> <p><b><u>19 September 2023 SMB:</u></b> No new developments. No changes to risk score or RAG status</p> <p><b><u>17 October 2023 SMB:</u></b> The regulations that govern this exercise have now been laid and came into force from 1 October 2023. The regulations relating to the Matthews RDS (On-Call) case have also come into force as of 1<sup>st</sup> October 2023. The FRA and pension administrator will work through the prospective cases and process them in a timely manner in line with the regulations.</p>
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Risk Description	Resp.	Consequences if Untreated Risk Occurs	Risk Score (Former) / New			Risk Level	Current Treatment	R A G	Comments / Further Treatment Proposed
			P	I	Σ	HML			
<p>Increased risk of wildfires, flooding, gales and altered hydrology due to effects of climate change.</p> <p><a href="#">UK Climate Change Risk Assessment 2022 (publishing.service.gov.uk)</a></p>	<p>Vice Chairman of the Authority.</p> <p>Chief Operating Officer.</p>	<p>Failure to protect people from the risks associated with climate change including potential damage to:</p> <ul style="list-style-type: none"> <li>• Infrastructure and local businesses</li> <li>• Housing</li> <li>• Agriculture</li> <li>• Food production and distribution</li> <li>• Forestry</li> <li>• Heritage</li> <li>• Sensitive environments</li> <li>• BFRS premises (building fabric)</li> <li>• Education</li> <li>• CNI sites</li> </ul> <p>Inability to effectively respond during extreme weather events.</p> <p>Inability to effectively deal with increasing incidents within recycling, electricity generation and distribution, largescale battery storage, and electric/hydrogen fuelled vehicles.</p>	4	3	12	M	<p>Provision of National Operational Guidance programme which adapts to changing environment. Adoption of guidance as best practice across Thames Valley. Strategic gap analysis underway to identify and close gaps relative to national best practice.</p> <p>Provision of equipment and training to deal with wildfire, water rescue and flooding, and extreme weather events. Adverse weather procedure in place and business continuity plans for all sites. Research and development officer continues to identify new equipment and practice to mitigate emerging risks (e.g. new equipment to reduce risk involving fires with photovoltaics)</p> <p>Access to and provision of specialist tactical advisors through national resilience framework.</p> <p>Urban Search and Rescue team in-service equipped to deal with major building/infrastructure collapse.</p> <p>Specialist boat rescue capability situated in north and south of county. Both included on national asset register. All staff trained appropriately in working in flood water.</p> <p>Site-specific risk assessments and risk information for high risk sites – being expanded to include broader risks such as wildfire, water rescue and flooding and transport. Access to wildfire severity index</p>	A	<p><b><u>20 September 2022 SMB:</u></b>                      Added to Corporate Risk Register. The likelihood and impact of extreme weather-related incidents has been reviewed and escalated following the exceptional summer conditions which stretched the sector beyond what was previously foreseeable. The Service will explore possibilities of short-term adaptations to existing capabilities and consider long term requirements to inform development of new Community Risk Management Plan Consider any recent PESTEL factors that may have increased the risks and potential impacts to inform the next CRMP, e.g. expanding rural/urban interface increasing wildfire risks, or increased risks of flooding etc. The operational debriefs for the summer major incidents are underway for a ‘Lessons Learned’ report relating to extreme heat conditions experienced in July. The NFCC is also planning to capture national work on learning and capability gaps. Potential to use Northumberland FRS for Wildfire risk assessment and learn from other services who are more influenced by prominent wildfire risks. Impact of extreme spate / simultaneous demand risks on operating model / capacity gap to feed into future community risk management planning.</p> <p><b><u>21 February 2023 SMB</u></b>                      Quotes and finance secured for 2 wildfire vehicle adaptations, and Iveco 4x4 to be recategorized as a specialist 4x4 appliance – training / fleet requirements being explored.</p> <p><b><u>4 April 23 SMB</u></b>                      Supplier for 2 x Wildfire vehicle conversations identified. Lex Autolease have agreed vehicle</p>



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						<p>and flood forecasting data to assist planning.</p> <p>Targeted national and local prevention messaging to mitigate risks at key points in the calendar (e.g. water safety summer/winter – Barbecues spring/summer – Chimneys – Autumn).</p> <p>Back-up power generators to protect emergency response sites from power outages. Regular building surveys from facilities team. Fleet replacement programme ongoing.</p> <p>Bunkered fuel stocks and establishing fleet of alternative fuel vehicles where appropriate to mitigate risk of fuel disruption</p> <p>Strategic infrastructure group in place to horizon scan and ensure preparedness for future risks.</p> <p>Engaged with NFCC to identify and prepare for longer term “fit for the future” considerations</p> <p>Engaged in local resilience groups for flood management</p> <p>Isotonic supplements and cool boxes added to appliance inventories</p> <p>Wildfire response capability developed</p>	<p>adaptations and lease extension. Driver training scheduled for 7.5 tonne 4x4 off road vehicle to be relocated to WAS. 3 officers to attend wildfire training course in Surrey in April. Objectives set to introduce long-term wildfire project, to include scope for prevention and effective response. Funding approved for 2 wildfire tac advisor training courses.</p> <p><b><u>20 June 23 SMB</u></b></p> <p>Iveco 7.5 tonne pumping appliance is now prepared for mobilisation as a specialist off-road appliance. The vehicle is switch crewed at WAS and will be positively crewed during periods of high wildfire risk. Two further utility vehicles are being modified to include a high-pressure hose and off-road capability. Training to improve resilience of our existing bulk water carriers is also underway. Two officers have been trained as wildfire tactical advisors by Surrey FRS. Officers are engaging with the NFU and Forestry Commission as well as developing prevention materials for use across the Thames Valley.</p> <p><b><u>19 September 2023 SMB:</u></b></p> <p>Three wildfire units now in the service. One vehicle is operational and has been utilised for emergencies. Training underway for other vehicles. Two wildfire advisors now trained. Wildfire prevention messaging developed and in use.</p> <p><b><u>17 October 2023 SMB:</u></b></p> <p>Operational preparedness now focussing on forthcoming winter pressures. BFRS officers attended national wide area flooding training exercise in October 2023. Thames Valley LRF Winter Pressures function is now stood up, ensuring partners work collaboratively over winter period, cognisant of weather-related risks and service impacts. Surface, fluvial and groundwater flood alerts are shared to the service to ensure operational plans are implemented when required. Training for wildfire vehicle provision continues in preparation for next year.</p>
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Risk Description	Resp.	Consequences if Untreated Risk Occurs	Risk Score (Former) / New			Risk Level	Current Treatment	RAG	Comments / Further Treatment Proposed
			P	I	Σ				
<b>Risk of misconduct / behaviours at odds with Service Values on the part of individuals or groups in the employ of, or associated with, the Service and / or the Fire Authority.</b>	Lead Member for Service Delivery, Protection & Collaboration  Chief Fire Officer	Harm to members of the public and / or Service personnel.  Potential exposure to litigation and financial loss  Reputational damage resulting in negative publicity locally / nationally leading to public loss of confidence in the Authority / Service.  Staff / member loss of confidence in Authority and / or Service leadership / management.	<b>3</b>	<b>4</b>	<b>12</b>	<b>M</b>	<ul style="list-style-type: none"> <li>• Updated employee Code of Conduct approved by the Authority’s Executive Committee on 22 March 2023.</li> <li>• Updated Whistleblowing procedure and reporting process in place.</li> <li>• Since 2016, DBS checks on all relevant staff, including all frontline staff, undertaken. In 2019 additional vetting implemented with move to annual Enhanced with barred list DBS checks.</li> <li>• A range of support in place for staff to raise concerns, including access to the Welfare Officer and Occupational Health and also, in relation to investigations, the allocation of a point of contact who is not part of the investigation.</li> <li>• Procedure for members of the public to raise concerns and complaints in place and reported on annually to the Overview and Audit Committee.</li> <li>• Biennial staff surveys undertaken since 2017.</li> <li>• Quarterly performance reporting of key people related measures to Fire Authority members.</li> <li>• Thorough review of the Equality Impact Assessment process undertaken in 2022. This led to the update of the template and supporting guidance. A e-learning package was created and face to face support available across the service. This remains a key focus when items are presented at our governance meetings.</li> </ul>	<b>M</b>	There have been a number of recent high profile cases of unacceptable behaviours by employees of Fire and Rescue Services that have attracted national media attention e.g. <a href="#">South Wales FRS</a> & <a href="#">Dorset and Wiltshire FRS</a> . Alongside these are the findings of recent FRS Culture reviews identifying cases of bullying, harassment and discrimination including: <a href="#">London Fire Brigade</a> and, more widely, in a national report produced by the <a href="#">HMICFRS</a> . The Service’s <a href="#">initial response</a> (‘Exploring our Culture’) to the issues raised by the above was presented to the Fire Authority Executive Committee on 22 March 2023.  Steps being taken by Service management to address the recommendations made by the HMICFRS in their national ‘Values and culture in fire and rescue services’ will be considered at an exceptional meeting of the Fire Authority on 28 April 2023.  <b>Further Treatments</b> <ul style="list-style-type: none"> <li>• Review and relaunch of confidential whistleblowing line planned supported by a promotional ‘speak up’ campaign.</li> <li>• Gap analysis underway in relation to the Fire Standards Board’s ‘Leading the Service’ and Leading and Developing People standards.</li> <li>• Staff survey increased to annual.</li> </ul> <b>20 June 2023 SMB</b> Exploring our Culture report presented to the June Fire Authority, incorporating the HMICFRS action plan. Head of HR working with Marketing and Communications team to

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							<ul style="list-style-type: none"> <li>• Ongoing engagement with the representative bodies issues to identify potential issues / concerns.</li> <li>• Analysis of feedback from staff leaver exit interviews.</li> <li>• Analysis of grievance / complaint procedure findings to identify recurring issues that could indicate systemic origins.</li> </ul>	<p>raise awareness of the report and follow-on internal staff 'Speak Up' campaign.</p> <p><b><u>22 August 2023 SMB:</u></b>            HMICFRS Values and Culture actions (fire service owned) are updated regularly and submitted to HMICFRS.            The NFCC Culture plan has been released: <a href="https://www.ukfrs.com/People">People   NFCC CPO (ukfrs.com)</a> Work is underway to look at how this feeds into our People Strategy.            Budget approved to launch 'Speak up' campaign in Q2.            Relunched People Awards took place on Friday 14<sup>th</sup> July which brought staff from across the Service together to highlight and celebrate their work.</p> <p><b><u>19 September 2023 SMB:</u></b>            Work continues on delivering the HMICFRS Values and Culture Recommendations.            Our Anti-Bullying and Harassment procedure has been updated and includes the different ways people can raise their concerns, supported by the Speak Up Campaign.            The Service continues to look at ways our work can be scrutinised externally:</p> <ul style="list-style-type: none"> <li>• Achieved Employers Network for Equality and Inclusion (ENEI) Talent Inclusion and Diversity Evaluation (TIDE) Silver standard for 23/24.</li> <li>• Achieved White Ribbon Accreditation</li> </ul> <p><b><u>17 October 2023 SMB:</u></b>            Work continues on delivering the HMICFRS Values and Culture Recommendations:</p> <ul style="list-style-type: none"> <li>○ Following change in legislation, DBS checks for all staff underway;</li> <li>○ Speak up campaign being rolled out;</li> <li>○ 360 feedback trial complete and being rolled out to the wider leadership team.</li> </ul>
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