



CORPORATE RISK REGISTER

Guidance for Completion :-

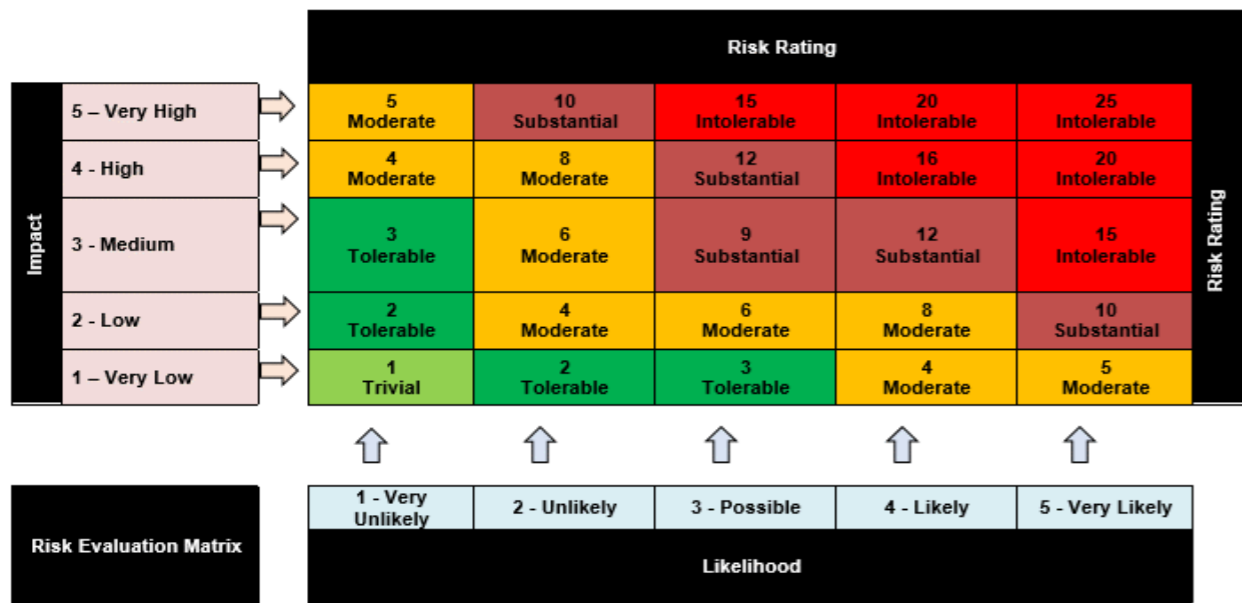
- IDENTIFY RISK** - Consider the cause, event and effect to create a risk description; consider impact of this risk on wider Service implications.
- ASSESS RISK** - Complete the BASELINE RISK RATING - using the matrix for guidance on the respective worksheet. Select 1-5 for likelihood/impact, score and rating; repeat for CURRENT RISK RATING.
- TREAT RISK** - Capture actions taken/planned within the MITIGATION/CONTROL MEASURES.
- REPORT RISK** - Use this template to communicate risks/progress to your stakeholders.
- REVIEW RISK** - Regularly review the risk and record on the Risk Management and Assurance Database.

Refer to Admin Procedure 2.38 Risk Management or contact a member of the Resilience Team for further information/support.

Archived Risks

Risk No	Category	Risk Description	Risk Owner	Risk Manager	Link to Corporate Goal	Link to Departmental Risks	Departmental Risk Number(s)	BASELINE RISK RATING				CURRENT RISK RATING				Risk Trend	MITIGATION / CONTROL MEASURES	Previous Mitigating Actions
								Likelihood	Impact	Risk Score	Risk Rating	Likelihood	Impact	Risk Score	Risk Rating			
08/29.	People	Wide spread non-availability of key staff (not related to industrial action) for a prolonged period of time resulting in the inability to deliver core activities. Full Risk Description	ACO OD/ DCO CS	SMG	Cross Cutting			4	4	16	INTOLERABLE	2	4	8	MODERATE	→	<p>Update August 2021 The full annual review of all departmental business continuity plans has been undertaken (August 2021) and critical activities have been refreshed with appropriate contingency arrangements being identified for any loss of resources to ensure that any interruption to business would be managed appropriately. Following a comprehensive review of risk management the reporting cycle of corporate risks has been increased (monthly). Members of ELT receive regular reports to ensure enhanced corporate oversight to enable resources to be allocated appropriately to ensure business as usual continues. Early August ELT received a report to significantly increase the throughput of recruits through the brigade training centre resulting in further work being commissioned to finalise the plans for final approval. Additional resilience within the Fire Safety team through the introduction of two Primary Authority green book positions and Station Manager roles within the department. Risk remains unchanged at this point.</p> <p>Update 25 May 2021: Degradation plan for FS in place to ensure that prohibition notices can be served all other critical activities covered within specific or departmental Business Continuity Plans that are reviewed regularly to ensure the impact of a business interruption is mitigated appropriately with risk being eliminated, reduced or managed appropriately. Risk assessments continue to be reviewed to ensure premises remain COVID secure with staff undertaking regular rapid flow tests to ensure the workplace is safe. The service have produced an infographic which aligns to the easing of restrictions outlined within the governments roadmap to clearly communicate messages to staff to ensure any return to the workplace is within acceptable parameters. The COVID portal is updated regularly with government and management guidance. The risk rating remains unchanged at this point, however, direction of travel is changed from increased to steady state.</p>	Mitigation
11/02.	Financial	Risk that financial pressures will impact on Service's decision making and delivery of its goals/priorities and objectives. Full Risk Description	CFO	Finance Director	Cross Cutting		ER/SD/1401	5	5	25	INTOLERABLE	4	3	12	SUBSTANTIAL	→	<p>Update August 2021 received notification of pay award for staff. Grey book confirmed 1.5% and green book have currently been offered 1.75%. This represents an additional cost to the revenue budget which will have to be funded from either corporate underspend during the year or use of reserves. Also received notification that the Comprehensive Spending review will take place towards the end of the Autumn. Risk rating remains unchanged at this point.</p> <p>Update 07 June 2021: The outturn position for the financial year 2021 is currently being finalised and will be reported to members at July's authority meeting. With regard to covered funding the authority received £1.483 million of which we spent £1.380 million and the surplus funds of £0.103 million is to be transferred to the covid19 reserve to address any further potential related costs. The risk rating remains unchanged at this point.</p> <p>Update 15 Feb 21: The Authority approved its revenue budget for 2021/22 on 15th February setting a net budget requirement of £48.542m (which takes into account utilisation of £1.178m of reserves which the in year losses 20/21 grant will hopefully replenish once determined later in 21/22). The Final Finance Settlement saw no changes to government funding as set out in the Provisional Settlement however the Authority was notified of a net council tax deficit for 20/21 of £47k and a business rates deficit of £2,086k because of the impact of covid19 both of which adversely impacted on the budget for 21/22. These are the main reasons the Authority had to use reserves in order to balance its budget for 21/22. The Budget means a council tax increase of 1.99% to avoid a referendum of £85.64 at Band D for 21/22 (£83.97 in 20/21). No Covid 19 grant money for the fire service was confirmed for 21/22 and the government did not change its Finance Settlement for any of the comments made by the Authority in the consultation process unfortunately as expected. There remains uncertainty of funding into the medium term which will be clarified by the proposed CSR21 in the summer. There is also risks that the government's in year losses 20/21 grant does not meet the reserves utilised to balance the budget for 21/22 and this position will be regularly reviewed throughout 21/22 and also that additional covid costs are not met by government. Again this position will be monitored appropriately and reported to government with the aim of receiving additional funding. Update 26 Jan 21: The Authority's Provisional Grant settlement for 2021/22 was broadly as assumed in the updated October 2020 MTFs reported to Authority. A balanced budget for 21/22 is expected without the need to draw down on reserves but this position may change as some data on business rates income is still not known nor is the amount the Govt has promised to meet 75% of any in year 2020/21 losses on council tax and business rates income. Covid 19 grant funding for 2021 will be fully exhausted and it is very disappointing to report that nationally none of the £1.55bn for 21/22 has been allocated by the government to any fire service, so we will have to assess if any additional costs are to be incurred and how they will be funded unless the HO are allocated funding at a later date. We will monitor any implications on all these aspects set out above on the revenue budget position for 21/22.</p>	Mitigation
08/15.	Cross Cutting	Strike action or other industrial action as a result of a national or local dispute resulting in disruption to business continuity. Full Risk Description	ACO OD/ DCO CS	ELT	Cross Cutting	Service Delivery	ER/SD/1403	4	5	20	INTOLERABLE	2	4	8	MODERATE	→	<p>Update August 2021 DCOF Heath has produced a document (strategic principals and concept of operations in relation to the threat of industrial action) to support the industrial action business continuity plan to assist in any action to ensure that the service would understand what our approach would be in the event of an industrial action. Risk remains unchanged at this point.</p> <p>Update 02 June 2021: there remains no change at present in the national picture and productive relationships continue with union representatives. As there is no intelligence to suggest this will change it is suggested that it would be appropriate that the risk rating remains unchanged at this point.</p>	Mitigation
09/05.	Cross Cutting	There is a risk that protective security measures fail resulting in an unauthorised access to sensitive information, attacks on personnel or premises that impacts directly on service delivery and the reputation of the Service. Full Risk Description	ACO OD	ELT	Cross Cutting			3	4	12	SUBSTANTIAL	2	4	8	MODERATE	→	<p>Update August 2021 ICT health check has been commissioned by ARISTI following which an action plan has been produced to assist in gaining Cyber Essentials Plus accreditation. Work has commenced on enhancing security on all of our stations in terms of access both vehicle and footfall.</p> <p>Update 25 May 2021: In terms of physical security of staff there are robust lone working procedures in place in addition to out of hours management procedures in relation to frequent contact. A buddy system is also operated to ensure that where lone working is not deemed appropriate, where historic data would suggest there may be potential to expose staff to volatile situations. The risk rating remains unchanged at this point.</p> <p>Update 04 March 2021 Following a meeting on 03 March 2021 it has been determined that it will be unlikely that the service can achieve the Cyber Essentials accreditation this year and will be more likely next year (late 2022). This is due to some devices which are part of the mobilisation system which touch our corporate network and due to the age of the equipment it would result in a non-compliance until they have been replaced. We are looking at options about the replacement of these devices anyway as part of the ESN implementation (which is also the main reason we need the Cyber Essentials accreditation). Existing controls in place for our corporate network and since our mobilisation system has not changed and is currently compliant with the Airwave CoCo it would remain the same.</p>	Mitigation
08/13.	People	Failure to make sufficient and consistent progress in diversifying the service workforce. Full Risk Description	ACO OD	HR Director	Cross Cutting			3	4	12	SUBSTANTIAL	2	4	8	MODERATE	→	<p>Update 24 August 2021: Work continues in relation to the review of recruitment and selection. The risk rating remains unchanged at this point.</p> <p>Update 02 June 2021: work on reviewing recruitment and selection processes in relation to operational firefighters to diversify the intake continues. We now have the benefit of our new inclusion manager who joined the service in February 2021. The risk rating remains unchanged at this point.</p>	Mitigation
13/01.	Cross Cutting	Risk that the transition from Airwave to ESN will not be completed within the timescales and agreed budget set by central government leading to an impact on service delivery communications. Full Risk Description	DCO CS	AM SP	Cross Cutting			3	3	9	SUBSTANTIAL	4	2	8	MODERATE	→	<p>Update August 2021 final business case has now been approved by the Major Projects Review group. Government are in discussions with Airwave to extend the current contract to 2026 to mitigate any risks to the delivery of the project, risk rating remains unchanged.</p> <p>Update 06 June 2021: full business case remains outstanding for sign off by government. Independence Assurance Panel has concluded that this is the correct technology to use after consulting with Emergency Services around the world. The delivery of the project seems to be increasingly likely however there are still unanswered questions as to the financial implications for each FRS.</p> <p>Update 25 February 2021: Project is still awaiting sign off of the full business case at ministerial level. Paper has updated Fire Authority members of the current position following which the CFO has written to the home office to establish the future financial state. Impact of this risk has been reduced to score 2 from 3 given the current situation in terms of longer term financial planning. The risk rating remains unchanged at this point.</p>	Mitigation

01.20.	Cross Cutting	Risk that the impending Remedy for Age Discrimination in Pension Schemes results in detrimental Financial and workforce impacts for the Service. Full Risk Description	ACO OD	Finance Director/HR Director	Cross Cutting	Finance and Procurement	ER/HR/FP2001 ER/HR/FP/A201	5	3	15	INTOLERABLE	5	2	10	SUBSTANTIAL	→	<p>Update August 2021 The pension team has been strengthened to deal with the additional work from remedy and we are still awaiting guidance from government. Risk remains unchanged.</p> <p>Update 17 June 2021: additional guidance from government recently received (in respect of the complexity of contribution holidays, HMT have suggested these cases should not be processed at this time, which means in HMT's view that these cases cannot be actioned) has identified that the estimate in relation to the number of employees that would be effected (13) has reduced slightly. Those who the recent guidance will impact on will be contacted as appropriate. The recent additional guidance does not change the current risk rating.</p> <p>Update 02 June 2021: monthly workforce planning meetings continue and look at vacancy scenarios including 'worst case' scenarios and necessary future planning is discussed in an effort to identify any gaps to ensure effective workforce planning measures / actions can be undertaken. ELT will receive update report re workforce planning and a report detailing options to increase recruitment capacity at their meeting in July 2021. The pensions team is being strengthened to deal with the additional workload with regards to immediate detriment which the authority is committed to for all retirees that are affected. We continue to review the guidance and publish any updates on the intranet as necessary and signpost members to the relevant Pensions portal. We currently estimate that we have a maximum of 13 employees that could retire in this financial year where immediate detriment applies. Overall we estimate we have in total 80 grey book staff affected by pension remedy (either currently employed or retired). The risk rating remains unchanged at this point.</p> <p>Update 15 Feb 21: Immediate Detriment Guidance has been provided by the Government however this fails to provide sufficient detail for the Authority to be able to accurately assess which option is best for those affected. Legal opinion recently confirmed that FRA's can carry out Immediate Detriment but this could be open to challenge as the authority does not have the complete guidance to provide a fully informed choice for those affected. This stance has been adopted by the majority of FRA's as we await more detailed guidance from the government. We will of course comply with all legal requirements. The government has also notified FRA's of the fact the next revaluation of the firefighters pension scheme has been put back a year to 24/25. This could reflect the fact they are going to take into account remedy in the next revaluation exercise. At this stage it is not clear who will pay for remedy and the Authority's MTFs has no recognition of this cost on the assumption the government pension scheme changes were age discriminatory and that they therefore need to fully fund the corrective action in the form of remedy. This position will be monitored in the next year and the CSR21 may also provide some clarity on this matter. Any change will be reflected in the MTFs in due course. All those affected and still currently employed will be transferred to the 2015 scheme on 1st April 22 and all retrospective changes must be introduced by 1st October 23. Those retiring will not receive immediate detriment as guidance is still not adequate in our opinion and we have in effect until 1st Oct 23 to plan for any workforce implications as a mass retirement position is not anticipated. If it is then we have time to make good the prospective gap by effective workforce planning measures / actions.</p>	Mitigation
01.21.	Cross Cutting	Risk that Integrated Services Digital Network (ISDN) Switch off will happen in December 2025 and move to digital services will fail. Full Risk Description	DCO CS	AM SP	To deliver a modern effective service, ensuring value for money with staff who reflect the communities we serve	Information and Communications Technology	ER/SPRA/ICT1704	5	5	25	INTOLERABLE	5	1	5	MODERATE	→	<p>Update August 2021 Plans in place to incorporate the SIP upgrade into the new Lifexiccs. Risk remains unchanged.</p> <p>Update 06 June 2021: Meetings have taken place with BT and Frequentis and work is ongoing to integrate SIP into the new Lifex ICCS System prior to ISDN lines being terminated. The risk rating remains unchanged at this point.</p>	Mitigation
02.21.	Cross Cutting	Risk that inadequate workforce planning and recruitment will impact on the ability to implement IRMP proposals in relation to the proposed increases in establishment. Full Risk Description	ACO OD	AM CS/AM SD	To respond appropriately to the risk			3	4	12	SUBSTANTIAL	3	2	6	MODERATE	→	<p>Update August 2021: Consultation closed 11 August and the consultation report is being produced to be submitted to FA on 13 September in relation to IRMP proposals. Recruits course in September has been increased to 36 from 24. Risk remains unchanged.</p> <p>Update 03 June 2021: IRMP consultation phase is expected to commence following June Fire Authority, however, should all the proposals be approved this results in an increase in establishment of 54 posts in total. There is currently a recruits course of 24 being delivered with a further course with a minimum of 24 currently in the planning stages for Q3 in 2021. It is envisaged that following this there is potential for a further 3 recruits courses to be programmed and delivered to address this risk in addition to future planning for any impact of the Pension Remedy. Pilots in terms of additional fire appliance A02 and staffing of the Aerial Ladder Platform (ALP) M03 are being undertaken and supported through voluntary transfers, swap a shift, pre-arranged overtime and dayshift staff providing cover for shortfalls. ELT receive a quarterly report outlining current staffing figures, progress against recruitment and retirement profiles. The risk rating remains unchanged at this point.</p>	Mitigation
03.21.	Cross Cutting	Failure to attain anticipated grading as a result of HMICFRS may impact on the reputation of the Service and represent a significant increase in workload to implement improvement activities. Full Risk Description	ACO OD	AM SP	Cross Cutting			3	4	12	SUBSTANTIAL	2	3	6	MODERATE	↓	<p>Update August 2021 weekly meetings with ELT continue and reality testing of evidence is ongoing to identify any gaps. Risk remains unchanged.</p> <p>Update 08 June 2021: A draft risk register has been produced and will be agreed by ELT. Weekly meetings in relation to preparation for inspection with members of ELT continue therefore corporate oversight is being maintained in this area. The risk rating remains unchanged at this point.</p> <p>Update 14 July 2021 Following announcement of the inspection week taking place w/c 25 October the following update has been provided. In addition to the ongoing risk and impact as a result of potential COVID related sickness absence, an issue has been presented to the HMI preparation group concerning the timing of fieldwork and the clash with school holidays. In anticipation of a formal inspection schedule for fieldwork, heads of department have been asked to review leave around this time within their teams to ensure that each potential interviewees remain available.</p> <p>Update 25 June 2021: Building on the weekly HMI meetings and focus on key areas and previous AFIs as well as focussed meetings on areas relating to the people strand and communications it is considered that the control measures are significantly mitigating this risk. Corporate oversight and governance are strong and overall, this risk has been significantly reduced. It is recommended that the risk can now be considered as a 2 likelihood and 3 impact. Agreed at the July meeting of ELT.</p> <p>Update April 2021: Following review of inspection criteria and as part of initial self assessment BSI have identified areas of improvement that represent a risk in not maintaining Good grading in the forthcoming inspection scheduled for Autumn. DCFD Health now chairs a weekly meeting as part of HMI preparation activity and SLO will work closely with relevant departments to support improvement in these areas. Risk escalated to likelihood of 3 from 2 to reflect this. Risk escalated by ACO McVay following discussions with WM Hill re latest departmental update and increase in overall risk rating.</p>	Mitigation



Risk Level	Action & Timescale
TRIVIAL	No action is required and documentary records need to be kept.
TOLERABLE	No additional controls are required. Consideration may be given to a more cost-effective solution or improvements that impose no additional cost burden. Monitoring is required to ensure that the controls are maintained.
MODERATE	Efforts should be made to reduce the risk but the costs of prevention should be carefully measured and limited. Risk reduction measures should be implemented within a defined time period. Where the moderate risk is associated with extremely harmful consequences, further assessment may be necessary to establish more precisely the likelihood or harm as basis for determining the need for improved control measures.
SUBSTANTIAL	Work should not be started until the risk has been reduced. Considerable resources may have to be allocated to reduce the risk. Where the risk involves work in progress urgent action should be taken.
INTOLERABLE	Work should not be started or continued until the risk has been reduced. If it is not possible to reduce risk even with unlimited resources, work has to remain prohibited.

LIKELIHOOD CRITERIA

Rating	Descriptor	Description	Probability
5	Very Likely	It is very likely and will almost certainly occur	>80%
4	Likely	It is probable that it will occur	60-80%
3	Possible	It is possible that it may occur	40-60%
2	Unlikely	Unlikely to occur however there is a remote chance of an occurrence	20-40%
1	Very Unlikely	Very unlikely to occur, following consideration occurrence is not expected	<20%

IMPACT CRITERIA

Rating	Descriptor	Description
5	Very High	Risk will have a significant impact to department/Service objectives, reputation or budget.
4	High	Risk will have a major impact to department/Service objectives, reputation or budget.
3	Medium	Risk will have a moderate impact to department/Service objectives, reputation or budget.
2	Low	Risk will have a minor impact on department/Service objectives, reputation or budget.
1	Very Low	Risk will have negligible impact on department/Service objectives, reputation or budget.

