

Annex C - Corporate Risk Register – as at 20 October 2020 SMB

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 Emerging risks of 1/ Court of Appeal ruling on the McCloud / Sargeant cases. Potential for all affected staff retiring from the Service on or before March 2022</p> <p>2/ Staff inability to get to work due to external factors e.g. Pandemic Flu, disruption to fuel supplies etc.</p> <p>3/Impact of transformation at pace on attraction of new staff, retention and overall workforce stability.</p>	Chief Operating Officer	Potential detrimental effects on service delivery to the community and our reputation.	(2)	(5)	(10)	(M)	<ul style="list-style-type: none"> • Full business continuity plans in place & uploaded to Resilience Direct. • Peer review of the business continuity arrangements • Bank System • Flexi-Duty System Pilot • Staff Transfer Procedure • Employee assistance and welfare support • Training Needs Assessment process • Monitoring of staff 'stability ratio' relative to best practice and sector norms • Review of Resourcing and Retention strategies • Wider range of contracts offering more flexible ways of working • A variety of approaches are being adopted to replenish the workforce. These include more operational apprentices, transferees, and re-engagement options • Workforce planning data is regularly reviewed with Prevention, Response & Resilience, HR and Finance. • Growth bids to be considered to support future resourcing demands. • HR are reviewing the future promotion and career development options • Resourcing levels are constantly monitored to ensure coverage. 	R	<p>14 January 2020 SMB On 18 December 2019, the employment tribunal ruled that more than 6,000 firefighters are entitled to return to their pre-2015 pension schemes. The claimants, members of the 1992 and 2006 firefighters' pension schemes, are now entitled to be treated as if they have remained members of their original pension scheme, with benefits including a retirement age of between 50 and 55.</p> <p>30 January 2020 PMB Officers are monitoring developments associated with the recent 'Corona-Virus' (2019-nCoV) outbreak in China which has already spread to other parts of the world including the UK. Production of new guidance which consolidates, updates and supersedes a range of previous guidance relating to planning and preparedness for this area of risk has been accelerated and is being submitted to the 11 February SMB for approval and publication on the Intranet.</p> <p>11 February 2020 SMB Updated Pandemic Outbreak Planning Guidance approved for release to all staff via the intranet. Officers continue to monitor developments and to work with Local Resilience Forum partners to prepare for all identifiable contingencies associated with this area of risk.</p> <p>12 May 2020 SMB Resourcing levels are constantly monitored to ensure coverage. Resourcing has not been impacted by the pandemic outbreak, if anything they are better than previously. 20 Apprentices (cohort 5) joined the service on 6 April, and cohorts 3 and 4 joined on the 22 March.</p>	
			(5)	(5)	(25)	(H)				
			(3)	(5)	(15)	(H)				
			(4)	(5)	(20)	(H)				
			(3)	(5)	(15)	(H)				
			(5)	(4)	(20)	(H)				
		Failure to discharge statutory duties.		(4)	(3)	(12)				(M)
		Loss of critical knowledge / skills / capacity /competency levels.		(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>This is a composite risk more detailed evaluations of individual risk components are contained in the P & OD Directorate Risk Register.</p>						<ul style="list-style-type: none"> • The Recruitment Oversight Board meets regularly to review resourcing and ensure a joined-up approach. • Pensions remedy consultation received, response to be drafted. Workforce planning to be reviewed for implications and plans put in place • GC/AC development centre held. • CC/WC/SC development centre being held in September 2020. • On-call virtual awareness evenings held and recruitment continues ensuring compliance with government guidance. 	<p>Development centres and recruitment are continuing to ensure roles are resourced. Plans are in place to ensure that the On-call recruitment continues in the near future.</p> <p><u>23 June 2020 SMB</u> No change to risk score or evaluation.</p> <p><u>25 August 2020 SMB</u> 8 On-call employees joined on 3 August. Flexi-Firefighter shortlisting is underway, interviews due to take place in September. HR presence at Pandemic Recovery meetings and government guidance is reviewed regularly. HR are working closely with Occupational Health, Welfare Officer and Employee Assistance providers to ensure welfare is in place to support employees.</p> <p><u>22 September 2020 SMB</u> Detailed workforce planning has been undertaken to understand the impact of the Sargeant pensions ruling and any necessary action that needs to be taken to mitigate the risk on workforce number. The annual succession planning and business continuity report was presented to the Executive Committee on 16 September.</p> <p>A Development centre has taken place to replenish development pools at Crew, Watch and Station level.</p> <p>The Recruitment Oversight Board is due to meet shortly, to ensure that joined up approach.</p> <p>A meeting took place week commencing 14 September to evaluate the Cohort Five recruitment and selection process and identify any learning to inform future processes.</p> <p>As the number of covid-19 cases increase nationally, this will be continually monitored to ensure the necessary guidance and support is in place and communicated to staff.</p>
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Fin 14 – Funding and Savings Requirement	Director Finance & Assets	The funding settlement now assumes that a council tax increase is required each year in line with the prevailing capping limit, currently 2% for the Fire Authority, and that local growth meets expectations. If either, or both, did not come to fruition then there is a risk the Authority will not meet its commitment to the PSP 2020 - 25 and that a fundamental re-think of service provision would be required.	(4)	(4)	(16)	H	Proactive management of the MTFP is in force and is very closely aligned to workforce planning. For the present, USAR (S31) grant funding is assumed to continue, though notification now seems to be year on year and often after budget setting. If removed, the Authority will need to cope with a circa £800k cut in funding. The Authority has responded to consultations and lobbied MPs to increase the referendum threshold for fire authorities to £5.	R	<p><u>14 January 2020 SMB</u></p> <p>On 17 December 2019, HMICFRS published the report on the outcomes of its inspection of the Service. Amongst other things, it corroborated the Service’s position that it requires additional funding.</p> <p>On 20 December 2019, the Government published the provisional local government finance settlement for 2020-21. The proposed referendum principles for fire and rescue services is that any increases in Council Tax are limited to less than 2% (the threshold for the previous two years was 3%). Official confirmation that the pension grant funding will continue into 2020-21 has not yet been received, although this is expected before the final settlement.</p> <p><u>11 February 2020 SMB</u></p> <p>On 6 February 2020, the Government published the Final local government finance settlement: England, 2020 to 2021 via a written statement to Parliament (the debate on this is due to take place on 12 February 2020). The statement confirmed the referendum principles for fire and rescue services would be 2%.</p> <p>On 6 February 2020, the Home Office also formally confirmed that the same amounts of pension grant funding will be paid for 2020-21 as were paid in 2019-20.</p> <p><u>12 May 2020 SMB</u></p> <p>The immediate costs relating to COVID-19 have been covered by the additional grant funding provided by Government. However, there is a significant risk to future funding levels, as Council Tax and business rates revenues are likely to fall and Government funding may also be decrease. It is also unlikely that a Comprehensive Spending Review will be completed in</p>
			(3)	(4)	(12)	M			
			(3)	(4)	(12)	M			
			4	4	16	H			

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									<p>time for 2021-22, adding further uncertainty to the current financial outlook.</p> <p><u>23 June 2020 SMB</u></p> <p>No change to risk score or evaluation</p> <p><u>25 August 2020 SMB.</u></p> <p>On 21 July 2020 The Chancellor launched the 2020 Comprehensive Spending Review (CSR). The review will set UK Government departments’ resource budgets for the years 2021/22 to 2023/24. It is expected the Provisional Settlement, which will detail the budgets for the Service for those years, will be announced in late December 2020.</p> <p><u>22 September 2020 SMB</u></p> <p>No change to position reported at last meeting. No changes to risk score / RAG status recommended at this time.</p> <p><u>20 October 2020 SMB</u></p> <p>The Draft Financial Strategy was approved by SMB for recommendation to the Executive Committee and Fire Authority. The Strategy presents multiple financial scenarios with potential actions that the Service could take in relation to each.</p> <p><u>21 October 2020 Update</u></p> <p>The Government announced that the Chancellor has decided to conduct a one-year Spending Review. The Review will conclude in “late November” and we therefore expect the Local Government Finance Settlement will be announced in late December.</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>Senior Information Risk Owner (SIRO)</p> <p>Director Legal & Governance</p>	<ul style="list-style-type: none"> Inability to access/use our 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>11 February 2020 SMB</p> <p>A report of data breaches reported to the Information Commissioners Office in 2019 found that nine out of ten of the 2,376 breaches were owing to “mistakes by users”. Phishing was named as the main cause of breaches.</p> <p>12 May 2020 SMB:</p> <p>Threats to our network and systems are particularly disruptive during the coronavirus crisis when rules and guidance are dynamic and subject to frequent updates. (Refer to note 14 January);</p> <p>The use of video conferencing has not been commonplace across the Authority and most employees are unfamiliar with conferencing tools to be aware of additional security risks; employees failing to familiarise themselves with Authority policies and procedures and instructions put the Authority at risk. It is important to remember that privacy laws have not been suspended and new or amended procedures involving personally identifiable information must be impact assessed before changes are made.</p> <p>23 June 2020 SMB</p> <p>As the use of video conferencing becomes more commonplace across the Authority its use has grown exponentially so that meetings are replacing telephone and email communications. This has enabled all relevant parties to interact concurrently rather than consecutively and issues are resolved with fewer iterations. No change to risk score or evaluation.</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.</p> <p>5. Training: The biannual “Responsible for Information” training will be supplemented by the National Cyber Security Centre’s new e-learning package 'Top Tips for Staff' which will be built into the Heat training platform as a mandatory biannual package. Cyber-security training, delivered by Thames Valley Police’s cyber security advisor, being rolled out to Leadership Group during September 2020.</p>	<p><u>25 August 2020 SMB</u> UK partners at the National Security Agency (NSA) and Cybersecurity Infrastructure Security Agency (CISA) have recently warned that cyber actors are targeting critical assets by exploiting internet-enabled operation technology. Tactics, techniques, and procedures include spear phishing, deployment of commodity ransomware and connecting to internet-accessible systems. BFRS will monitor suggested mitigation treatments to identify anything that can be done to strengthen resilience.</p> <p><u>22 September 2020 SMB</u> Following the discovery of a new technique for introducing malicious documents that has a low detection rate and an increased chance of avoiding security systems, organisations that are still using macros in excel are being advised to develop a strategy to replace them. NCSC has updated their guidance to assist. We believe that our mitigation actions are still effective for the 2020 issues detected. Forcepoint, our email scanning system, checks all incoming (and outgoing emails) and does not allow emails containing macro enabled excel spreadsheets. Any of these received are quarantined and an email to the ICT Service Desk is automatically created.</p> <p><u>20 October 2020 SMB</u> Risk description updated to include wider information management as well as security risks.</p>
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Risk of physical disruption to Service operations due to no, or insufficiently comprehensive agreement covering future UK relations with the EU.	Heads of Prevention, Response & Resilience and Protection & Assurance.	<p>Disruption to procurement processes leading to potential shortages of equipment or consumables.</p> <p>Disruption to transportation delaying personnel and or vehicle movements.</p>	(4) (3) 4	(2) (2) 2	(8) (6) 8	(M) (L) M	<p>The likely impact of short-term disruption to supplies of equipment to the Service is considered to be low given that: most Authority procurement contracts are with UK based suppliers; and, the relatively long timescales for procurement within the sector. Advice and guidance from the NFCC and Fire Industries Association in relation to this risk is monitored and acted on as required.</p> <p>The risk of transport disruption is considered relatively low due to absence of ports and international airports within the area served by the Authority. Authority officers are actively involved in in TVLRF risk evaluation and mitigation planning for the wider Thames Valley area.</p>	A	<p><u>11 June 2020 PMB</u> In light of the current state of negotiations between the UK and EU regarding their future relationship, PMB recommended increasing the risk probability score to 4 which raises the RAG status to Amber.</p> <p><u>23 June 2020 SMB</u> SMB approved the increase in the risk probability score to 4. It was also noted that ongoing free trade negotiations with other countries such as the USA, Japan and Australia, that are being pursued in parallel with the UK – EU ones, could have implications for existing EU / UK focused supply chains, with the potential for changes to costs and standards associated with materials and end-products used in the fire sector. The CFO is monitoring these via the NFCC.</p> <p><u>25 August 2020 SMB</u> The seventh round of UK – EU future relationship negotiations took place between 18-21 August with a view to securing an agreement by end October. Officers continue to monitor developments. No change to risk score recommended at this time.</p> <p><u>22 September 2020 SMB</u> In the reasonable worst-case scenario (RWCS) no-deal scenario following the leave date, the UK will revert fully to 'third country' status with no privileged relationship with the EU and minimal goodwill among EU Member States. Regional traffic disruption caused by border delays could affect fuel distribution within</p>

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Risk of resurgence of Covid-19 and / or seasonal influenza in Autumn / Winter 2020.	Chief Operating Officer	Increased levels of sickness absence amongst staff. Potential degradation of capacity or capability to deliver key services to the public and / or sustain supporting functions.	4	3	12	M	<p>In addition to controls identified for existing staff availability risk (see page 1-2 above):</p> <ul style="list-style-type: none"> Maintenance of current social distancing and sanitisation regimes in all Authority workplaces. Remote working for functions that do not require physical presences in Authority workspaces. Risk assess and prioritise non-emergency services requiring physical contact with the public, suppliers, partner agencies etc. Provision of appropriate PPE for staff required to work in close proximity with the public. Appliance / service availability degradation planning. Free seasonal flu jabs available to all staff. Covid-19 app being rolled out to all sites, and pushed to all Authority phones 		<p>11 June 2020 PMB Overall risk assessment indicates high probability but medium impact based on current experience of operating under Covid-19 lockdown conditions. Staff and appliance availability have remained high. However, it has been necessary to scale back non-emergency service provision to the public and divert resources to support other agencies such as the ambulance service with response to the pandemic. PMB recommend that SMB approve this risk for inclusion in the Corporate Risk Register.</p> <p>23 June 2020 SMB Risk and accompanying evaluation approved for inclusion in the Corporate Risk Register.</p> <p>25 August 2020 SMB Officers continue to monitor developments internationally, nationally and locally via the TVLRF. In addition to the re-imposition of quarantine requirements for travellers returning from some overseas countries, local lockdowns have been imposed in a number of localities around the UK in recent weeks with the likelihood of more emerging. Locally, Milton Keynes has been identified as an 'area of concern' by PHE. Preparations to respond to any significant local outbreak continue apace with BFRS chairing the TVLRF Local Outbreak Management Group (LOMG). An LRF exercise has been planned for 3 September 2020.</p> <p>22 September 2020 SMB Concurrent risks associated with autumn and winter, such as adverse weather, flooding and seasonal flu as well as a potential 2nd</p>

