

Appendix 3 - Corporate Risk Register – as at 6 July 2021

Corporate Risks

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			
CRR 014.4 Staff Availability 1/ Staff inability to get to work due to external factors e.g. Pandemic Flu, disruption to fuel supplies etc. 2/Impact of transformation at pace on attraction of new staff, retention and overall workforce stability. This is a composite risk more detailed evaluations of individual risk components are contained in the HR Directorate Risk Register.	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>23 June 2020 SMB No change to risk score or evaluation.</p> <p>25 August 2020 SMB 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>22 September 2020 SMB 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>
			(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.	(5)	(4)	(20)	(H)			
			(4)	(3)	(12)	(M)			
			(5)	(3)	(15)	(H)			
		Loss of critical knowledge / skills / capacity /competency levels.	(4)	(3)	(12)	(M)			
			(5)	(3)	(15)	(H)			
			(3)	(3)	(9)	(M)			
			(4)	(3)	(12)	(M)			
4	4	16	H						

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							<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 held in September 2020. • On-call virtual awareness evenings held and recruitment continues ensuring compliance with government guidance. 	<p><u>19 January 2021 SMB</u> HR attend Pandemic planning meetings. Government guidance is reviewed regularly and communicated to employees. HR are working closely with Managers, Occupational Health, Welfare Officer and Employee Assistance providers to ensure welfare is in place to support employees. As cases of COVID19 continue to rise HR and RMT review absence on a daily basis to ensure it is correct for the absence reporting and resourcing requirements. Recruitment continues in a socially distanced way and virtually where possible. It is reviewed regularly to ensure compliance. The Pensions ruling is expected shortly, Finance and HR liaise on a regular basis on Pensions matters.</p> <p><u>16 February 2021 SMB</u> In light of the recommendation from the 4 February PMB, SMB approved the extraction of the pensions related aspects of this risk and their inclusion as a separate risk in the corporate risk register (see page 11 below).</p> <p><u>13 April 2021 SMB</u> Agreed to keep at red RAG status in light of longer term contingent strategic risks and uncertainties potentially arising from the Government’s fire reform agenda and national resilience strategy (mandated by the Integrated Review), the outcomes of which are as yet to emerge.</p> <p><u>22 June 2021 SMB</u> No change to risk evaluation or score required at this time.</p>
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			P	I	Σ				
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. As part of the budget setting process, we will seek to identify savings opportunities to address the deficit in the overall revenue budget for potential implementation in 2022-23.	R	<p><u>23 June 2020 SMB</u> No change to risk score or evaluation</p> <p><u>25 August 2020 SMB.</u> 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> 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> 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> 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> <p><u>19 January 2021 SMB</u> On 17 December 2020, the Government published the provisional local government finance settlement for 2021-22. The proposed referendum principles for fire and rescue services is that any increases in Council Tax are limited to less than 2% (same as for 2020-21). In a letter dated 24 December 2020, the Minister confirmed that the pensions grant will continue to be paid next year, at</p>
			(3)	(4)	(12)	M			
			(3)	(4)	(12)	M			
			4	4	16	H			

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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><u>20 October 2020 SMB</u></p> <p>Risk description updated to include wider information management as well as security risks.</p> <p><u>19 January 2021 SMB</u></p> <p><i>Impact of the end of the BREXIT transition period:</i></p> <p>The Trade and Cooperation Agreement between the EU and the UK allows for the continuing free flow of data from the EU to the UK after 1st January 2021 via a "bridging mechanism". The Agreement anticipates an EU adequacy decisions for the UK in the next six months.</p> <p><i>Major cyber-attack:</i></p> <p>The Home Office have asked us to review the impact of the SolarWinds cyber-attack on /authority systems. ICT have written to advise that Capita/Updata use it to monitor their systems that support our network but have temporarily suspended these platforms.</p> <p><u>19 February 2021 SMB</u></p> <p>Protections in place with our suppliers regarding SolarWinds. Following the attack on Microsoft by WannaCry ICT are working through application of patches.</p> <p><u>13 April 2021 SMB</u></p> <p>SMB reviewed the risk evaluation in light of the recent 'Qakbot' incident but agreed that no change to the current RAG status / score was required given early detection of the potential vulnerability and steps taken to contain and remove the risk.</p>

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		<p>deletion and corruption. As more and more information is held electronically risks have become systems, as well as process and people based and are therefore vulnerable to cyber-attacks. Cyber-crime is unrelenting and issues arise at a greater frequency than existing intrusion attempts can be resolved. As such, this is a constant on the CRR.</p>					<p>- Premises Security Group re-established to meet on a 3 monthly basis aligned to the PMB meeting schedule has been suspended during the internal governance review. The associated risks are being monitored.</p> <p>5. Training: The biennial “Responsible for Information” training will be supplemented by the National Cyber Security Centre’s new e-learning package ‘Top Tips for Staff’ which has been built into the Heat training platform as a mandatory biennial package. Cyber-security training, delivered by Thames Valley Police’s cyber security advisor, rolled out to members of the Leadership Group during September 2020. Further training planned for 21/22.</p>		<p>22 June 2021 SMB A number of high-profile websites across the globe, including UK government, experienced disruption on 8 June 2021 due to a software bug at ‘Fastly’ the cloud-computing company. Although BFRS does not use Fastly’s services directly the BFRS website nonetheless experienced a very brief outage as a consequence of this highlighting the vulnerability of complex interdependent systems (Fastly operate servers at strategic points around the world to facilitate movement and storage of content close to their end users). However, the main threat remains that of malicious attacks as demonstrated by the recent ransomware attack on the Colonial Pipeline operator which carries 45% of the US east coast’s diesel, petrol and jet fuel supplies. The attack disrupted supplies for several days causing fuel shortages.</p>
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			P	I	Σ	HML			
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.	Disruption to procurement processes leading to potential shortages of equipment or consumables. Disruption to transportation delaying personnel and or vehicle movements.	(4) (3) (4) 3	(2) (2) (2) 2	(8) (6) (8) 6	(M) (L) (M) L	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. 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 TVLRF risk evaluation and mitigation planning for the wider Thames Valley area.	G	<p><u>19 January 2021 SMB</u></p> <p>The UK - EU transition period ended on 31 December 2020. It was replaced by a Trade and Cooperation Agreement comprising:</p> <ul style="list-style-type: none"> • A free trade agreement covering the economic and social partnership, including transport, energy and mobility; • A framework for cooperation between law enforcement and judicial authorities across civil and criminal matters; • An overarching governance arrangement which will enable either side to impose tariffs if they consider that the provisions relating to the 'level playing field' / state aid have been breached. <p>The scope of the deal and experience to date indicates that the likelihood of there being significant physical disruption to the Service's operations arising from the new arrangements is low. Officers continue to monitor developments via the TVLRF EU Transition Cell. In light of this it is recommended that the probability risk score be reduced to 3 resulting in a Green RAG status.</p> <p><u>16 February 2021 SMB</u></p> <p>No change to risk score – retain for now pending further review following consideration at 17 March O & A meeting.</p> <p><u>13 April 2021 SMB</u></p> <p>Agreed that this risk should be retained on the corporate risk register to ascertain whether there are potential effects that are currently being masked by Covid-19 pandemic – these may potentially become more apparent as Covid recovery gathers pace. No change to risk score at this time.</p>

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Risk of resurgence of Covid-19 and / or seasonal influenza in Autumn / Winter 2020 and into 2021.	Chief Operating Officer	<p>Increased levels of sickness absence amongst staff.</p> <p>Potential degradation of capacity or capability to deliver key services to the public and / or sustain supporting functions.</p>	(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 rolled out to all sites, and pushed to all Authority phones Lateral flow testing available to all staff via workplace collect scheme. 	A	<p><u>17 November 2020 SMB</u> All BFRS Premises are now COVID-19 Secure. RMT has been established as SPOC for local PHE outbreak management. HMICFRS COVID inspection complete – initial feedback to CFO expected 13 November.</p> <p><u>19 January 2021 SMB</u> There has been a significant increase in Covid cases being reported within the Service with absence rates peaking at 10% of workforce earlier in the month but trending down since then. Still awaiting confirmation of FRS inclusion in vaccination programme, if confirmed then would expect FRS vaccinations to start in phase 2.</p> <p>Through our involvement with Bucks CCG in supporting the setting up of a number of primary care network sites for the GP led local vaccination centres, the Service has been asked to provide a priority list of staff, both operational and support, who could be contacted at relatively short notice and be vaccinated, in the event that there are unused vaccines at the Stoke Mandeville Stadium site. Continuing to support the TVLRF and partners where possible. No change to risk score at this point but continue to closely monitor Covid related absence rates.</p> <p><u>16 February 2021 SMB</u> We continue to deploy safeguarding measures for our staff to protect them from the effects of COVID-19 due to the virus being unknowingly spread. Lateral Flow Testing has now been made available to all staff and will help to identify anyone in the workplace who may not be displaying any symptoms (asymptomatic).</p>

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								<p>Furthermore, effective working with colleagues within the NHS and CCGs, has enabled 263 staff, to be offered the COVID vaccine earlier than would otherwise have been expected by drawing on unused capacity within vaccine batches. This equates to 54% of our establishment\workforce.</p> <p><u>13 April 2021 SMB</u> The Head of Covid 19 Preparedness & Response updated on plans to introduce arrangements for staff to undertake lateral flow tests at home, through the Workplace Collect programme, in association with the Dept of Health and Social Care (DHSC). Although current direction of travel in relation to Covid recovery aligned to Government road-map is positive it was agreed that the current risk score would remain but be kept under review in light of external developments.</p> <p><u>22 June 2021 SMB</u> Officers continue to monitor developments in relation to the Government’s recovery road-map and potential delays to the relaxation of ‘lockdown’ measures in light of the rise in Delta variant infections. No change to risk score or evaluation at this time.</p> <p><u>6 July Update</u> The Parliamentary decision on whether to move to step four on 19 July will be taken on 12 July. The pandemic management group continue to monitor the risks to staff and will ensure the appropriate controls remain in place as wider social restrictions are lifted.</p>
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Court of Appeal ruling on the McCloud / Sargeant cases: potential impact on staff retirement profile, resourcing to implement changes and financial impacts thereof.	Director Finance & Assets	<p>Potential detrimental effects on service delivery to the community and our reputation.</p> <p>Failure to discharge statutory duties.</p> <p>Loss of critical knowledge / skills / capacity / competency levels,</p> <p>Failure to comply with legal requirements.</p> <p>Unknown / unquantified budgetary impacts.</p>	5	3	15	H	<ul style="list-style-type: none"> Review of Resourcing and Retention strategies Workforce planning data is regularly reviewed with Prevention, Response & Resilience, HR and Finance. Resourcing levels are constantly monitored to ensure coverage. Potential impacts on costs to be factored into future Medium-Term Financial Planning process. Recruitment of dedicated specialist resource to evaluate requirements arising from the Court of Appeal ruling and implement necessary administrative changes. 	R	<p><u>16 February 2021 SMB</u> In light of the recommendation from the 4 February PMB, SMB approved the extraction of the pensions related aspects of this risk and their inclusion as a separate risk in the corporate risk register. On 12 February 2021 the judgment of the Employment Appeal Tribunal was handed down. This found that authorities had acted unlawfully in implementing the legislated changes to the Firefighters Pension Scheme. We are awaiting further advice on the implications of this judgment, especially in relation to payments due to those who have recently retired or are due to do so imminently.</p> <p><u>13 April 2021 SMB</u> A recent Home Office 'one-off' allocation of funding to mitigate some of the cost of additional administrative burdens arising from Court / Tribunal decisions in relation to the Firefighters Pension Scheme (£32,301 being the pro rata share of the £3m allocated nationally) was noted. The potential risks to the schemes administration nationally as a result of provider consolidation were discussed and noted alongside potential cost sharing across fire authorities nationally to offset potential financial risks arising from further litigation in relation to schemes at individual authority level.</p> <p><u>22 June 2021 SMB</u> The Home Office and LGA issued version 2 of their immediate detriment guidance in June 2021. This will assist with the handling of immediate detriment payments.</p>