

# Buckinghamshire & Milton Keynes Fire Authority



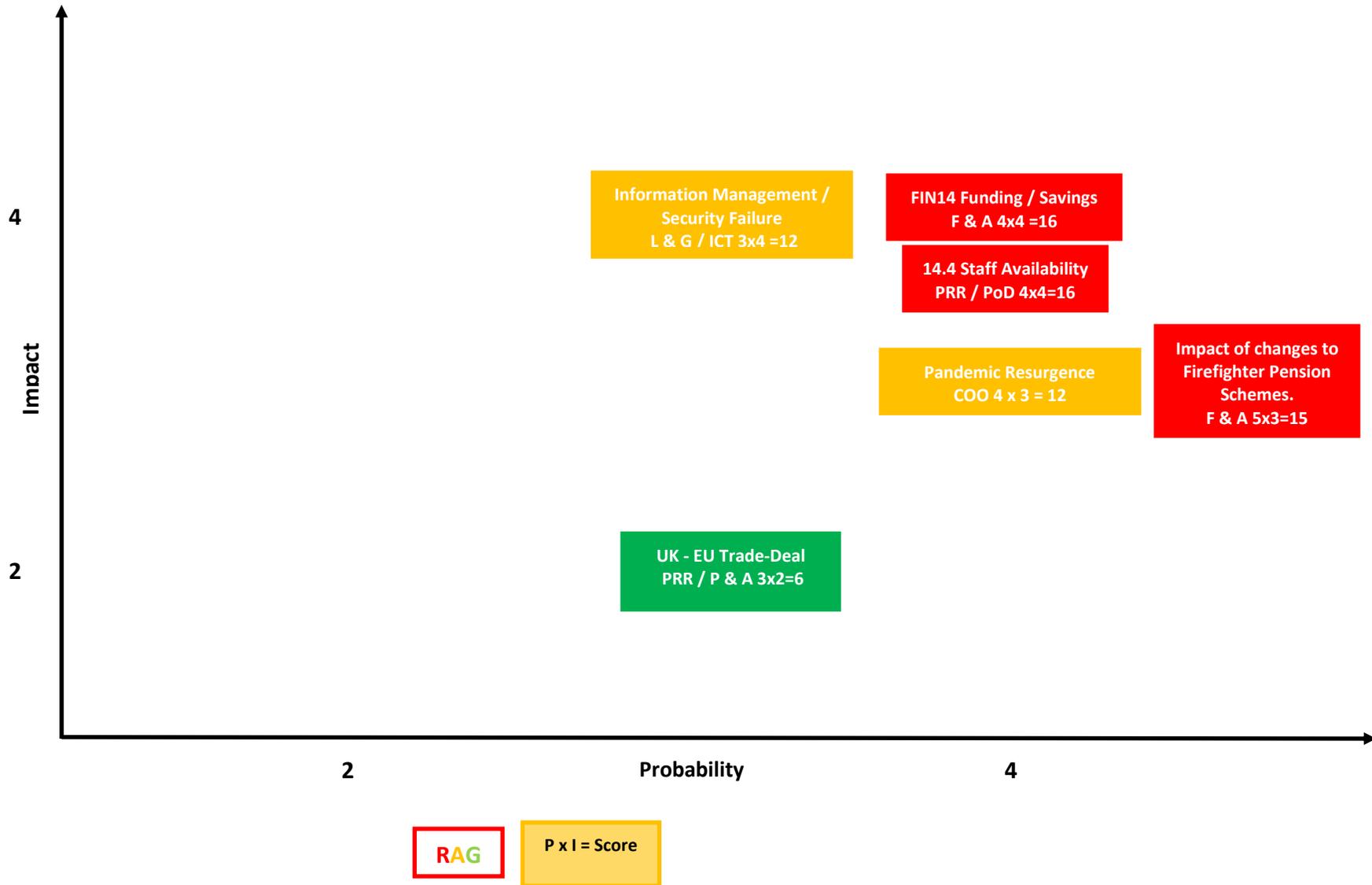
<b>MEETING</b>	Overview and Audit Committee
<b>DATE OF MEETING</b>	17 March 2021
<b>OFFICER</b>	Graham Britten, Director of Legal & Governance
<b>LEAD MEMBER</b>	Councillor Keith McLean
<b>SUBJECT OF THE REPORT</b>	<b>Corporate Risk Management</b>
<b>EXECUTIVE SUMMARY</b>	<p>This report provides an update 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.</p> <p>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 including, at the present time, Coronavirus (COVID-19) and UK - EU post transition period risks.</p> <p>Our involvement with the Local Resilience Forum directly links us into national Government agencies and departments such as Public Health England and the Ministry of Housing, Communities and Local Government. This allows us to share intelligence and information with those who are making decisions at the very highest levels.</p> <p>The TVLRF SCG enables its partners to jointly develop combined responses to civil emergencies, and strategic consequence management. Matters under regular review include Covid-19 outbreak, winter pressures and EU transition. This multi-agency partnership approach helps target our activity directly to the needs of the public.</p> <p>The Corporate Risk Register was last reviewed by the Overview and Audit Committee on 11 November 2020. Since then it has been regularly reviewed by SMB and also by the Performance Management Board (PMB) which scrutinises Directorate and Department risk registers to determine whether risks recorded in these</p>

	<p>require escalation to SMB for potential inclusion in the Corporate Risk Register.</p> <p>Since the Overview and Audit Committee last reviewed the Corporate Risk Register at its 11 November 2020 meeting, SMB noted and agreed the following updates, changes and additions:</p> <ul style="list-style-type: none"> <li>• the ending of the UK – EU transitional arrangements and their replacement by a trade and cooperation agreement. The nature of this has materially reduced the likelihood of any significant physical disruption to our operations and services (see update at page 8 of Appendix C). It was therefore agreed that the risk revert to Green RAG status;</li> <li>• the emergence of Covid-19 variants, which appear to be more infectious than the original strain, resulting in the implementation of a new national lockdown. Rising infection rates, hospitalisations and mortalities were being experienced in local communities as well as nationally and increased levels of staff absence for Covid related reasons. Staff absence has recently declined from a peak of c. 10% of the workforce, therefore no change to the risk score was agreed but has been kept under close scrutiny in light of subsequent developments. Also, effective partnership working with NHS and CCG colleagues, identified opportunities to offer vaccinations to our staff, primarily those whose role could potentially involve contact with the public, by utilising unused capacity within vaccine batches. This enabled 263 staff, to be offered the COVID vaccine earlier than would otherwise have been expected equating to 54% of our establishment / workforce (see update at page 10 of the Corporate Risk Register at Appendix C).</li> <li>• following review of directorate / department risk registers in relation to the current set of corporate risks at its 4 February meeting, PMB recommended that the pensions related aspects of the staff availability risk be identified and monitored as a separate risk in its own right given the complexity and imminence of the potential impacts arising from this. This recommendation was approved by SMB at its 16 February meeting and a new risk included in the Corporate Risk register at page 11 of Appendix C.</li> </ul> <p>The current distribution of corporate risks relative to probability and potential impact is shown at Annex A.</p> <p>Changes to the corporate risk ratings over the last</p>
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	<p>year are shown at Appendix B.</p> <p>Detailed assessments of identified corporate risks are shown in the Corporate Risk Register at Appendix C.</p> <p>The date for the next Overview and Audit Committee review will be confirmed at the 16 June Fire Authority AGM.</p>
<b>ACTION</b>	Decision
<b>RECOMMENDATIONS</b>	<p>It is recommended that:</p> <ol style="list-style-type: none"> <li>1. the status report on identified corporate risks at Annex C be reviewed and approved; and,</li> <li>2. comments be provided to officers for consideration and attention in future updates/reports.</li> </ol>
<b>RISK MANAGEMENT</b>	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.
<b>FINANCIAL IMPLICATIONS</b>	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.
<b>LEGAL IMPLICATIONS</b>	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 C.
<b>CONSISTENCY WITH THE PRINCIPLES OF THE DUTY TO COLLABORATE</b>	The potential to share corporate risk intelligence with neighbouring FRS and other relevant agencies will be considered. BMKFA 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.
<b>HEALTH AND SAFETY</b>	Development of the framework does not impact directly on the legal compliance to health and safety, however if risks are not appropriately identified then this may present Health and Safety risks.
<b>EQUALITY AND DIVERSITY</b>	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 People and

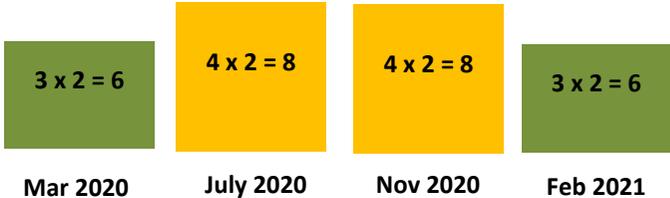
	Organisational Development Risk Register.
<b>USE OF RESOURCES</b>	<p>The development of the risk management framework complements the governance framework and business processes as a critical cog in the system of internal control and makes better use of our people resources by giving them clearly defined areas of responsibility.</p> <p>Senior managers and principal officers are key stakeholders in the development of the framework and have an active role in its development at every stage. The lead Member will also be involved in the development of the framework with particular responsibility for determining the reporting arrangements for the Authority.</p> <p>As with all policy frameworks, all employees will be informed of the changes in the process and will receive any training necessary to support their role in the process.</p>
<b>PROVENANCE SECTION &amp; BACKGROUND PAPERS</b>	<p>The current Corporate Risk Management Policy was approved at the 18 March 2015 Executive Committee: <a href="https://bucksfire.gov.uk/documents/2020/03/180315_exec_committee_papers.pdf/">https://bucksfire.gov.uk/documents/2020/03/180315_exec_committee_papers.pdf/</a></p> <p>CFA Members were last updated on the status of the Authority's Corporate Risks at the 11 November 2020 Overview &amp; Audit Committee.</p>
<b>APPENDICES</b>	<ol style="list-style-type: none"> <li>1. Appendix A: Distribution of Corporate Risks at 16 February 2021 SMB meeting.</li> <li>2. Appendix B: 12 Month View of Changes to Corporate Risks</li> <li>3. Appendix C: Corporate Risk Register Report</li> </ol>
<b>TIME REQUIRED</b>	10 Minutes
<b>REPORT ORIGINATOR AND CONTACT</b>	Stuart Gowanlock, Corporate Planning Manager <a href="mailto:sgowanlock@bucksfire.gov.uk">sgowanlock@bucksfire.gov.uk</a>

# Appendix A: Corporate Risk Map – As at 16 February 2021 SMB

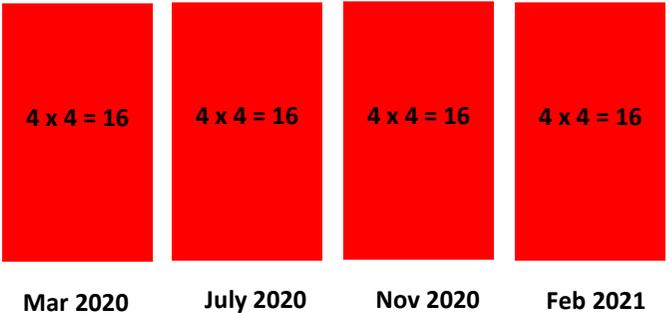


Appendix B – Risk Register Changes (12 Month View)

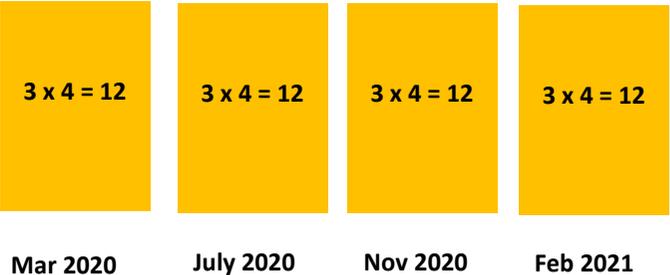
No UK – EU Trade Agreement



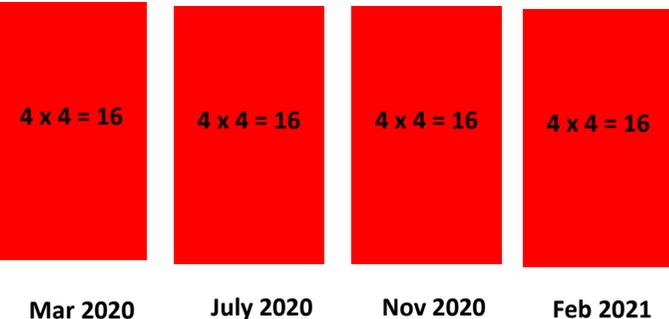
Staff Availability



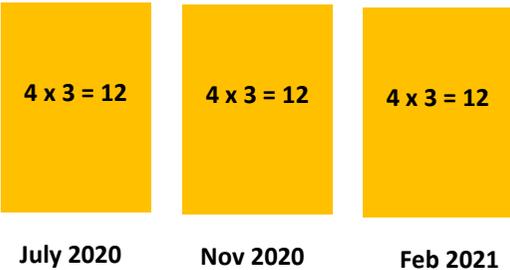
Information Management / Security Failure



Risk to Funding



Risk of Covid-19 Resurgence / Pandemic Flu



Impact of Changes to Firefighter Pension Schemes



**Appendix C - Corporate Risk Register – as at 16 February 2021 SMB**

**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			
<p><b>CRR 014.4 Staff Availability</b></p> <p><b>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</b></p> <p><b>2/ Staff inability to get to work due to external factors e.g. Pandemic Flu, disruption to fuel supplies etc.</b></p> <p><b>3/Impact of transformation at pace on attraction of new staff, retention and overall workforce stability.</b></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"> <li>Full business continuity plans in place &amp; uploaded to Resilience Direct.</li> <li>Peer review of the business continuity arrangements</li> <li>Bank System</li> <li>Flexi-Duty System Pilot</li> <li>Staff Transfer Procedure</li> <li>Employee assistance and welfare support</li> <li>Training Needs Assessment process</li> <li>Monitoring of staff 'stability ratio' relative to best practice and sector norms</li> <li>Review of Resourcing and Retention strategies</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 with Prevention, Response &amp; Resilience, HR and Finance.</li> <li>Growth bids to be considered to support future resourcing demands.</li> <li>HR are reviewing the future promotion and career development options</li> <li>Resourcing levels are constantly monitored to ensure coverage.</li> </ul>	<p><b>R</b></p>	<p><b>12 May 2020 SMB</b></p> <p>Resourcing levels are constantly monitored to ensure coverage. Resourcing has not been impacted by the pandemic outbreak, if anything they are better than previously.</p> <p>20 Apprentices (cohort 5) joined the service on 6 April, and cohorts 3 and 4 joined on the 22 March. 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><b>23 June 2020 SMB</b></p> <p>No change to risk score or evaluation.</p> <p><b>25 August 2020 SMB</b></p> <p>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><b>22 September 2020 SMB</b></p> <p>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>
		Failure to discharge statutory duties.	(4)	(5)	(20)	(H)			
		Loss of critical knowledge / skills / capacity /competency levels.	(5)	(5)	(25)	(H)			
			(3)	(5)	(15)	(H)			
			(4)	(5)	(20)	(H)			
			(5)	(4)	(20)	(H)			
			(4)	(3)	(12)	(M)			
			(5)	(3)	(15)	(H)			
			(4)	(3)	(12)	(M)			
			(3)	(3)	(9)	(M)			
	(4)	(3)	(12)	(M)					
	<b>4</b>	<b>4</b>	<b>16</b>	<b>H</b>					

**Appendix C - Corporate Risk Register – as at 16 February 2021 SMB**

<p><b>This is a composite risk more detailed evaluations of individual risk components are contained in the P &amp; OD Directorate Risk Register.</b></p>								<ul style="list-style-type: none"> <li>• The Recruitment Oversight Board meets regularly to review resourcing and ensure a joined-up approach.</li> <li>• Pensions remedy consultation received, response to be drafted. Workforce planning to be reviewed for implications and plans put in place</li> <li>• GC/AC development centre held.</li> <li>• CC/WC/SC development centre being held in September 2020.</li> <li>• On-call virtual awareness evenings held and recruitment continues ensuring compliance with government guidance.</li> </ul>	<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> <p><b><u>19 January 2021 SMB</u></b>          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.</p> <p>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.</p> <p>Recruitment continues in a socially distanced way and virtually where possible. It is reviewed regularly to ensure compliance.</p> <p>The Pensions ruling is expected shortly, Finance and HR liaise on a regular basis on Pensions matters.</p> <p><b><u>16 February 2021 SMB</u></b>          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>
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**Appendix C - Corporate Risk Register – as at 16 February 2021 SMB**

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>Fin 14 – Funding and Savings Requirement</b>	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.	<b>R</b>	<p><b><u>11 February 2020 SMB</u></b> 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%. 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><b><u>12 May 2020 SMB</u></b> 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 time for 2021-22, adding further uncertainty to the current financial outlook.</p> <p><b><u>23 June 2020 SMB</u></b> No change to risk score or evaluation</p> <p><b><u>25 August 2020 SMB.</u></b> 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><b><u>22 September 2020 SMB</u></b> No change to position reported at last meeting. No changes to risk score / RAG status recommended at this time.</p>
			(3)	(4)	(12)	M			
			(3)	(4)	(12)	M			
			<b>4</b>	<b>4</b>	<b>16</b>	<b>H</b>			

**Appendix C - Corporate Risk Register – as at 16 February 2021 SMB**

									<p><b><u>20 October 2020 SMB</u></b>                  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><b><u>21 October 2020 Update</u></b>                  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><b><u>19 January 2021 SMB</u></b>                  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 the same allocations as last year, and will be baselined into the local government finance settlement from 2022-23.</p> <p><b><u>16 February 2021 SMB</u></b>                  Final figures received from the billing authorities on council tax and business rates result in an overall budget deficit of circa £1.1m for 2021-22. However, there is still a great deal of uncertainty over the level of support available from the Government, which will in-part depend on the outturn position of the collection funds for 2020-21. The level of business rates funding could be especially volatile and will require close attention over the coming years due to the substantial level of provisions for bad debts and appeals contained within the figures that have been provided.</p>
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**Appendix C - Corporate Risk Register – as at 16 February 2021 SMB**

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				
<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>Senior Information Risk Owner (SIRO)</p> <p>Director Legal &amp; Governance</p>	<ul style="list-style-type: none"> <li>Inability to access/use our 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>Department Security Officer (DSO) the Information Governance &amp; Compliance Manager has day-to-day responsibility for the identification of information risks and their treatments</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> <li>Reduction in the number of CCTV requests following improved education and guidance in relation to the use of the same;</li> </ul>	<b>A</b>	<p><b>25 August 2020 SMB</b></p> <p>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><b>22 September 2020 SMB</b></p> <p>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.</p> <p>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>

**Appendix C - Corporate Risk Register – as at 16 February 2021 SMB**

		<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><b>5. Training:</b> 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 early 21/22.</p>		<p><b><u>20 October 2020 SMB</u></b> Risk description updated to include wider information management as well as security risks.</p> <p><b><u>19 January 2021 SMB</u></b> <b><i>Impact of the end of the BREXIT transition period:</i></b> 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><b><i>Major cyber-attack:</i></b> 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><b><u>19 February 2021 SMB</u></b> Protections in place with our suppliers regarding SolarWinds.</p> <p>Following the attack on Microsoft by WannaCry ICT are working through application of patches.</p>
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Risk Description	Resp.	Consequences if Untreated	Risk Score (Former) / New			Risk Level	Current Treatment	R A G	Comments / Further Treatment Proposed
			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.	<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) <b>3</b>	(2) (2) (2) <b>2</b>	(8) (6) (8) <b>6</b>	(M) (L) (M) <b>L</b>	<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>	<b>G</b>	<p><b><u>22 September 2020 SMB</u></b></p> <p>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 the local area, particularly if traffic queues in Kent block the Dartford crossing, which would disrupt fuel supply in London and the South East. In addition, customer behaviour could lead to local shortages in parts of the country. The European Commission may not have made a GDPR adequacy decision with regard to the UK before exit. Alternative legal bases for data transfer are available but where organisations do not ensure these are in place there could be instances of disruption, across a wide range of UK sectors, to the flow of personal data from the organisations in the EU. These may not materialise immediately but could multiply quickly if they did, potentially disrupting critical services, public and private, until mitigations are put in place.</p> <p><b><u>8 October 2020 PMB</u></b></p> <p>The potential for direct effects on the Service have been considered by our Information Governance &amp; Compliance Manager who advises that even if there are significant delays in getting an adequacy decision, it is unlikely to affect our current /planned management of personal data as we do not operate within the</p>

**Appendix C - Corporate Risk Register – as at 16 February 2021 SMB**

								<p>EEA. Also, even if it were to do so, we would manage data transfers through contractual arrangements.</p> <p><b><u>17 November 2020 SMB</u></b></p> <p>UK – EU trade deal negotiations resumed 9 November in an effort to reach agreement over the remaining issues related to competition policies and EU access to UK fishing grounds.</p> <p><b><u>19 January 2021 SMB</u></b></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"> <li>• A free trade agreement covering the economic and social partnership, including transport, energy and mobility;</li> <li>• A framework for cooperation between law enforcement and judicial authorities across civil and criminal matters;</li> <li>• 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.</li> </ul> <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><b><u>16 February 2021 SMB</u></b></p> <p>No change to risk score – retain for now pending further review following consideration at 17 March O &amp; A meeting.</p>
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Risk Description	Resp.	Consequences if Untreated	Risk Score (Former) / New			Risk Level	Current Treatment	RAG	Comments / Further Treatment Proposed
			P	I	Σ	HML			
Risk of resurgence of Covid-19 and / or seasonal influenza in Autumn / Winter 2020 and into 2021.	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	In addition to controls identified for existing staff availability risk (see page 1-2 above):  <ul style="list-style-type: none"> <li>Maintenance of current social distancing and sanitisation regimes in all Authority workplaces.</li> <li>Remote working for functions that do not require physical presences in Authority workspaces.</li> <li>Risk assess and prioritise non-emergency services requiring physical contact with the public, suppliers, partner agencies etc.</li> <li>Provision of appropriate PPE for staff required to work in close proximity with the public.</li> <li>Appliance / service availability degradation planning.</li> <li>Free seasonal flu jabs available to all staff.</li> <li>Covid-19 app being rolled out to all sites, and pushed to all Authority phones</li> </ul>	A	<p><b>22 September 2020 SMB</b></p> <p>Concurrent risks associated with autumn and winter, such as adverse weather, flooding and seasonal flu as well as a potential 2<sup>nd</sup> wave of Covid 19 could exacerbate a number of impacts and stretch resources of partners and responders.</p> <p><b>20 October 2020 SMB</b></p> <p>Potential to mitigate the staff availability risk by securing priority access to national Covid-19 testing is being limited due to diverted laboratory capacity to higher risk areas. Capacity within the Thames Valley area is therefore significantly reduced. National testing capacity is steadily improving, however, working in partnership with colleagues within Bucks Health Trust as part of a local testing task and finish group, we have been able to secure up to 17 daily local tests for symptomatic BFRS staff; prioritised to the operational frontline and control room, but also available to Protection and support staff. Access to these tests is expected by the end of October 2020. Other mitigating measures include a refreshed approach to staff working effectively from home wherever possible, a collective drive to achieve and maintain COVID-19 Secure premises across all Authority sites, and a risk assessed approach to delivering our range of services in a COVID-19 secure way.</p> <p><b>17 November 2020 SMB</b></p> <p>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>



**Appendix C - Corporate Risk Register – as at 16 February 2021 SMB**

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				
<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>	Director Finance & Assets	Potential detrimental effects on service delivery to the community and our reputation.	5	3	15	<b>H</b>	<ul style="list-style-type: none"> <li>Review of Resourcing and Retention strategies</li> <li>Workforce planning data is regularly reviewed with Prevention, Response &amp; Resilience, HR and Finance.</li> <li>Resourcing levels are constantly monitored to ensure coverage.</li> <li>Potential impacts on costs to be 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>R</b>	<b><u>16 February 2021 SMB</u></b> 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.
		Failure to discharge statutory duties.							
		Loss of critical knowledge / skills / capacity / competency levels,							
		Failure to comply with legal requirements.							
Unknown / unquantified budgetary impacts.									