

This log is used to record and track NIPEC Corporate Risks for 2020-2021

Risks are things that may or may not happen in the future that could have an effect on the organisation's success. This log includes all risks identified, including those that have passed and are no longer a threat, those that have been prevented or mitigated, and those that have become closed. As this is a permanent record of NIPEC's risks, no risk information is deleted from this log:

Version 4 - July 2020

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Business Objective: Governance & Performance R1	NIPEC fails to achieve the required financial year-end target. This would result in the organisation being in breach of its Revenue Resource Limit (RRL).	CE and HCS	1 st April 2020	14th July 2020	Business Objective: Governance & Performance NIPEC would not meet the financial target of containing net expenditure within the DoH target set for an HSC organisation i.e. 0.25% or £20k. This would impact on NIPEC's ability to show good public governance and would be recorded in the external Auditor's annual report which goes to NI Audit office.	3 (Moderate)	2 (Unlikely)	6 (M)	<u>March 2020:</u> An opening RRL letter dated 27 March 2020 indicated an initial RRL allocation which requires NIPEC to absorb a 1% pay award within 2021. In addition there was no allocation for the increase in Centre House rental costs, full year effect £51k. <u>May 2020:</u> Budget build for 2020-21 highlights pressures inc. 3.04% uplift in	NIPEC will monitor expenditure on a monthly basis and highlight any budget pressures in the monthly FMR to DoH FMU. <u>Sept 2020 mid-year:</u> NIPEC will bid for additional rental costs from DoH if required as directed by DoH FMU. Monthly Budget review meetings with BSO Finance. Monitored monthly at	Open Risk is currently being managed on an ongoing basis.

BSO SLA costs for 2020-21.

June 2020:
Month 2 FMR submitted to DoH showed a deficit of £21k due to awaiting TRF allocation. Spend of £83k TRF against Core budget pending the allocation, NIPEC'S core spend against opening allocation showed a surplus of £62k.

Business Team meetings and one to one meetings between CE and HCS.

Quarterly monitoring at the Council and Audit & Risk Committee meetings.

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Business Objective: Governance & Performance R2	Unable to fully achieve its business objectives as stated in the draft 'NIPEC Business Plan 2020-21'	Senior Management Team	1st April 2020	14th July 2020	Business Objective: Governance & Performance Due to emergency responses to Covid 19 NIPECs stakeholders cannot engage in the majority of professional business plan objectives. In addition the organisation is refocusing core business on the COVID response including regional work and the redeployment of some professional staff time to COVID related work e.g. supporting the PHA. In addition home working processes have been put in place to adhere to the Government's working at home direction-this could result in the organisation being unable to fully achieve its business objectives as stated in the DRAFT 'NIPEC	4 (Major)	3 (Possible)	12 (H)	Liaison with NIPEC Chair at outset and Sponsor Branch are kept informed of contingency arrangements. <u>March 2020:</u> Covid-19 Emergency SOPs drafted and shared with staff. <u>March 2020:</u> Twice weekly SITREP meetings for the Business Team to monitor work ongoing. <u>May 2020:</u> Review of SOPs. <u>May 2020:</u> Review of the requirement for weekly SITREP	Continuation of the monthly business team meetings and keeping sponsor branch the Council and Audit and Risk committee updated Monitored monthly at Business Team meetings and one to one meetings between CE and the senior management team staff. Quarterly reporting to Council and Audit & Risk Committee meetings.	Open Risk is currently being managed on an ongoing basis.

					Business Plan 2020-21.' (Draft submitted for approval to DoH-response awaited). May necessitate review of plan and/or new business objectives being developed for 20-21			meetings. <u>June 2020:</u> A Covid-19 work plan along with a core work plan was presented to NIPEC Council meeting on 24 th and shared with DoH sponsor branch.	
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Business Objective: Governance & Performance R3	Risk of a cyber security breach that results in the unavailability of systems that facilitate HSC services.	BSO Director CCP / Head of BSO ITS & NIPEC SMT	1 st April 2020	14th July 2020	Business Objective: Governance & Performance Causing: disruption to services and / or held information being compromised, leading to unauthorised access affecting the confidentiality and integrity of information, resulting in a breach of regulatory compliance, statutory obligations, and the potential for fines in addition to resulting reputational damage.	4 (Major)	3 (Possible)	12 (H)	<u>May 2020:</u> Completion of Cyber Security questionnaire as part of the PWC fieldwork for year-end accounts. Technical Infrastructure HSC security hardware (e.g. firewalls) / HSC security software (threat detection, antivirus, email & web filtering) Server / Client Patching / 3rd party / Secure Remote Access / Data & System Backups. Policy / Processes	<u>July 2020:</u> HoCS to arrange meeting with Manager for HSC Programme for Cyber Security to discuss mitigation of risks. <u>May 2020:</u> HoCS annual SLA meeting with BSO ITS. Take forward the achievement of Information Security Management best practice & standards aligned to the international best practice standards, ISO27001.	Open Risk is currently being managed on an ongoing basis.

								<p>Regional and Local ICT/Information Security Policies / Data Protection Policy / Change Control Processes / User Account Management processes / Disaster Recovery Plans / Emergency Planning & Service / Business Continuity Plans / Corporate Risk Management Framework, Processes & Monitoring / Regional</p> <p>User Behaviours Influenced through Induction Policy / Mandatory Training / HR Disciplinary Policy / Contract of Employment / 3rd party Contracts / Data Access Agreements.</p>	<p>Keep updated via the Regional Cyber Security Forum on developments and maintain a shared cyber security effective approach.</p> <p>Ensure uptake of HSC wide user behaviours awareness training and adopt this as mandatory training (report on % achieved).</p> <p>Enable Senior Management of organisation to have robust understanding of the cyber and information security issues (report on training including e-learning uptake).</p> <p>.</p>
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Business Objective: Governance & Performance R4	Risk of failure to have a sufficiently tested organisational response to a cyber incident/attack, and recovery plan to support ongoing delivery of services.	BSO Director CCP / Head of BSO ITS & NIPEC SMT	1 st April 2020	14th July 2020	Business Objective: Governance & Performance Inability to deliver an appropriate level of service to our service users in the event of any disruption resulting in potential performance and reputational damage.	4 (Major)	2 (Unlikely)	8 (H)	The organisation has a developed and tested Business Continuity Plan and Emergency Planning arrangements. The BCP was tested in October 2019. <u>June/ July 2020:</u> Drafting of Rtn to Work Risk Assessment & SOPS / Action Plan for Cov-19. <u>May 2020:</u> Completion of Cyber Security questionnaire as part of the PWC fieldwork for year-end	<u>July 2020:</u> Commencement of Risk Assessment Action Plan for Rtn to Office Working. HoCS to arrange meeting with Manager for HSC Programme for Cyber Security to discuss mitigation of risks. Test the organisation's Business Continuity Plan and Emergency Planning arrangements in co-operation with the regional adopted Cyber incident response action plan to ensure appropriate	Open Risk is currently being managed on an ongoing basis.

									<p>accounts.</p> <p><u>May 2020:</u> HoCS annual SLA meeting with BSO ITS.</p> <p>March 20: request to BSO for ITS assurance statement to replace CAS.</p> <p>March 20: Update of NIPEC BCP in response to the Covid-19 outbreak including Implementation of NIPEC Standard Operating Procedures Covid-19 to ensure appropriate IT arrangements to facilitate Home Working.</p>	<p>lines of communication and decision making are in place.</p> <p>April/May 2020: Inclusion of provisional BSO ITS Letter of Assurance in the post CAS assessment to be presented to NIPEC A&R committee May 2020.</p> <p>Ongoing review of NIPEC Covid-19 SOPS & BCP to ensure that arrangements continue to support staff home working.</p>	
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Business Objective: Governance & Performance R5	Due to the NIPEC Council membership vacancies this could have an impact on the Governance of the organisation.	Chair of Council	1 st April 2020	14th July 2020	Business Objective: Governance & Performance Impact on quorum at meetings and therefore could raise issues in regard to organisational governance, performance and reputation.	3 (Moderate)	2 (Unlikely)	6 (M)	<u>June 2020:</u> Update to Council on extension of current terms and plans to advertise current vacancies. Confirmation from DoH PAU that Chair's and non-executive members' terms extended for a further 12 months. <u>May 2020:</u> DoH sponsor branch advised that the terms of 7 Council members inc. Chair will be extended for	The filling of Council vacancies is the responsibility of the Public Appointments Unit and NIPEC's vacancies are on their HSC schedule for action. DoH Public Appointments Committee determining public appointments competitions for 2021 including NIPEC. Timeline to be confirmed. NIPEC Chair will continue to liaise with DoH Sponsor Branch to agree an interim solution	Open Managed on an ongoing basis.

									<p>a further year subject to Ministerial approval and the Commissioner of Public Appts. Where necessary.</p> <p><u>April 2020:</u> CX wrote to DoH sponsor branch requesting a progress update.</p>	<p>pending the outcome of PAU competition.</p> <p>This may be delayed due to the Government's emergency response of the Covid-19 outbreak and re-allocation of resources to manage this.</p>	
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Business Objective: Governance & Performance R6	Staff Absence rate to be below the year-end target of 3.5% (which is a 0.2% reduction from the 2019-20 target)	Senior Management Team	1 st April 2020	14th July 2020	Business Objective: Governance & Performance Performance could be affected if the rate was high due to NIPEC being a small ALB.	2 (Minor)	2 (Unlikely)	4 (L)	<u>June 2020:</u> Cumulative absence to May 2020 reported to Council as 0.64% . <u>May 2020:</u> April absence figure reported as 0% . NIPEC's KPIs contain this target and the KPIs are reports to each meeting of: <ul style="list-style-type: none"> • Business Team • A&R committee • Council 	Monitored on a monthly basis by the Business Team and reported to each Audit & Risk committee and Council meetings.	Open Managed on an ongoing basis.

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Business Objective: Governance & Performance R7	To achieve the prompt payment target for invoices of: <ul style="list-style-type: none"> 95% for 30 days 70 % for 10 days 	HCS with BSO Shared Services - Payments	1 st April 2020	14th July 2020	Business Objective: Governance & Performance Failure to meet the targets would be embarrassing for NIPEC as a Public body who are required to meet the Public sector target.	3 (Moderate)	2 (Unlikely)	6 (M)	<p><u>July 2020:</u> Cumulative figure to 30th June 2020 is 100% for 30 day payments and 97.1% for 10 day payments.</p> <p><u>May 2020:</u> Cumulative figure to 31st May is 100% for 30 day payments and 95.5% for 10 day payments.</p> <p>NIPEC's KPIs are reports to each meeting of:</p> <ul style="list-style-type: none"> Business Team Audit & Risk Committee Council 	Monitored on an ongoing monthly basis by the Business Team and reported to each Audit & Risk committee and Council meetings.	Open Managed on an ongoing basis.

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Business Objective Governance & Performance R8	<p>NIPEC fails to achieve the required financial funding to cover the remaining implementation of the FNFM project.</p> <ul style="list-style-type: none"> Due to the size of the funding required this would result in NMC regulatory requirement not being supported and if the project is not ceased within coming weeks the organisation being in breach of its Revenue Resource Limit (RRL) 	CE and HCS	27 April 2020	14th July 2020	<p>Business Objective Governance & Performance - 5D</p> <p>An opening RRL letter dated 27 March 2020 advised NIPEC of its opening RRL for 2020-21. With the following statement: <i>“This opening allocation does not provide funding for those projects funded from the Department’s Transformation Fund in 2018/19 and 2019/20 as these will be subject to separate evaluations, and decisions on which projects will continue and associated funding will follow separately.”</i></p> <p>NIPEC would not have the resources to support the DoH to support adoption of</p>	4 (Major)	3 (Likely)	12 (H)	<p><u>July 2020:</u> Correspondence received from Sponsor Branch confirming funding for the project available to 30th Sept 2020.</p> <p><u>June 2020:</u> Update to NIPEC Council meeting on current position.</p> <p><u>June 2020:</u> Correspondence from CE to DoH Sponsor Branch requesting confirmation of funding beyond 30th June 2020.</p> <p>NIPEC regularly writes to CNO</p>	<p>Monitored by the CE & Senior Team and Chair apprised of the situation.</p> <p>This will be followed up with DOH Finance to secure an allocation letter and Sponsor Branch ascertain the funding position from 30 September 2020,</p> <p>If necessary steps will be taken to stand down the project to ensure there is no overspend.</p>	Open Risk is currently being managed on an ongoing basis.

				<p>new NMC education standards and if continued without funding not meet the financial target of containing net expenditure within the DoH target set for an HSC organisation i.e. 0.25% or £20k.</p> <p>This would impact on NIPEC's ability to show good public governance and would be recorded in the external Auditor's annual report which goes to the NI Audit office.</p>			<p>advising the DoH of the actions that NIPEC would be required to take post 1 April 2020 if no funding is forthcoming-i.e. that the project will be ceased so that no financial liability it incurred.</p> <p>Letters of reply from DOH have provided extension to funding on a monthly basis since 31 March 20 up to 30 June 2020.</p>	
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