

**This log is used to record and track NIPEC Corporate Risks for 2019-2020.**

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:

Ver. 4<sup>th</sup> November 2019

1. BASIC RISK INFORMATION					2. RISK ASSESSMENT INFORMATION				3. RISK RESPONSE INFORMATION		
Risk Number	Risk Description / Risk Event Statement	Responsible	Date Reported day-month-year	Last Update day-month-year	Impact Description	Impact Score	Probability Score	Level of Risk	Completed Actions	Planned Future Actions	Risk Status Open / Closed
Provide a unique identifier for risk	A risk event statement states (i) what might happen in the future and (ii) its possible impact on the organisation.	Name or title of team member responsible for risk	Enter the date the risk was first reported	Enter the date the risk (not the entire log) was updated	List the specific impact the risk could have on the financial, Performance, Reputational or Opportunity.	Enter here the score according to impact definitions	Enter here the score according to likelihood definitions	Enter here the cum. score i.e. (L) Low; (M) Medium (H) High or (E) Extreme	List, by date, all actions taken to respond to the risk. This does not include assessing the risk	List, by date, what will be done in the future to respond to the risk	State if the risk is open (still might happen and still has to be managed); closed (has passed or has been successfully mitigated).
<b>Business Objective: Governance &amp; Performance</b>  R1	NIPEC fails to achieve the required financial savings and efficiencies. This would result in the organisation being in breach of its Revenue Resource Limit (RRL).	CE and HCS	1 <sup>st</sup> April 2019	5 <sup>th</sup> December 2019	<b>Business Objective: Governance &amp; Performance</b>  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)	An opening RRL letter dated 28 March 2019 indicated a 2% reduction from the opening 2018-19 allocation and seeking a response by the 30 April 2019.  In response NIPEC produced a 2019-20 financial savings plan which advised DoH of the additional in house cost pressures	Monitored monthly at Business Team meetings and one to one meetings between CE and HCS.  Quarterly monitoring at the Council and Audit & Risk Committee meetings.	<b>Open</b>  Risk is currently being managed on an ongoing basis.

which it will face in 2019-20 and the full year effect of this on its already limited resources

Document sent to DoH on 18 May 2019.

In June 2019 NIPEC agreed to move forward with the initial RRL advised by DoH due to this year being a one off with potential slippage during the year within its salary posts.

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<b>Business Objective: Governance &amp; Performance</b>  <b>R2</b>	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 <sup>st</sup> April 2019	5 <sup>th</sup> December 2019	<b>Business Objective: Governance &amp; Performance</b>  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)	<b>Technical Infrastructure</b> 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.  <b>Policy / Processes</b> Regional and Local ICT/Information Security Policies / Data Protection Policy /	Take forward the achievement of Information Security Management best practice & standards aligned to the international best practice standards, <b>ISO27001</b> .  Keep updated via the <b>Regional Cyber Security Forum</b> on developments and maintain a shared cyber security effective approach.  Ensure uptake of HSC wide <b>user</b>	<b>Open</b>  Risk is currently being managed on an ongoing basis.

								<p>Change Control Processes / User Account Management processes / Disaster Recovery Plans / Emergency Planning &amp; Service / Business Continuity Plans / Corporate Risk Management Framework, Processes &amp; Monitoring / Regional</p> <p><b>User Behaviours</b> Influenced through Induction Policy / Mandatory Training Policies / HR Disciplinary Policy / Contract of Employment / 3rd party Contracts / Data Access Agreements</p>	<p><b>behaviours</b> awareness training and adopt this as mandatory training (report on % achieved).</p> <p><b>Enable Senior Management of organisation</b> to have robust understanding of the cyber and information security issues (report on training uptake).</p>
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<b>Business Objective: Governance &amp; Performance</b>  <b>R3</b>	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 <sup>st</sup> April 2019	5 <sup>th</sup> December 2019	<b>Business Objective: Governance &amp; Performance</b> 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.	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 lines of communication and decision making are in place.	<b>Open</b>  Risk is currently being managed on an ongoing basis.

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<b>Business Objective: Governance &amp; Performance</b>  <b>R4</b>	Due to the NIPEC Council membership vacancies increasing this could have an impact on the Governance of the organisation.	Chair of Council	1 <sup>st</sup> April 2019	5 <sup>th</sup> December 2019	<b>Business Objective: Governance &amp; Performance</b>  Impact on quorum at meetings and therefore could raise issues in regard to organisational governance, performance and reputation.  As at 19 <sup>th</sup> July 2019, there are seven vacancies: (4 Professional and 3 Lay members.	3 (Moderate)	2 (Unlikely)	6 (M)	DoH Public Appointments Unit to take forward advertising and arrangements for the filling the vacant positions.  Target date is dependent on Public Appointments Unit.  A summary sheet showing NIPEC's Council membership terms of office over the next two years was shared with Sponsor	The filling of Council vacancies is the responsibility of the Public Appointments Unit and NIPEC's vacancies are on their HSC schedule for action.  PAU Newsletter referenced the 6 Lay Members & 5 Professional Members under Upcoming Vacancies in November 2019 publication.	<b>Open</b>  Managed on an ongoing basis.

Branch and both the Audit & Risk committee and Council were provided with copies of this summary sheet.

NIPEC continues to raise the matter at Sponsor Branch meetings

11<sup>th</sup> April 2019 – PAU confirmed the extension of 8 Council members' terms of office for a further year.

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<b>Business Objective: Governance &amp; Performance</b>  R5	BREXIT – EU Exit <b>‘No Deal Outcome’</b>	Senior Management Team	1 <sup>st</sup> April 2019	5 <sup>th</sup> December 2019	<b>Business Objective: Governance &amp; Performance</b>  If the UK Government leaves as a member of the EU without an agreed withdrawal agreement there could be short term issues for staff transport arrangements to and from work. If the government contingency arrangements do not fully achieving their planned outcomes.	2 (Minor)	2 (Unlikely)	4 (L)	Depends on UK operation ‘ <b>Yellow Hammer</b> ’ arrangements mitigating the risk outcomes.  NIPEC a member of the DoH EU Brexit forum. Meetings held every two weeks over the past few months; NIPEC will wait to be advised of the plans going forward following the extension of Article Period 50 to 31 <sup>st</sup> January 2020.	<i>Extension of Article 50 Period to 31 January 2020</i>  If Withdrawal Agreement is ratified by UK and European Parliaments, before 31 <sup>st</sup> January 2020 UK will leave with a deal. If ratification has not happened by 31 <sup>st</sup> January 2020, the legal default is that the UK will leave the EU without a deal. Preparations will continue and staff will be kept informed of all Brexit correspondence issued by the UK government via the DoH.	<b>Open</b>  Managed on an ongoing basis.



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<b>Business Objective: Governance &amp; Performance</b>  <b>R6</b>	Staff Absence rate to be below the year-end target of <b>3.7%</b>	HCS	1 <sup>st</sup> April 2019	5 <sup>th</sup> December 2019	<b>Business Objective: Governance &amp; Performance</b>  Performance could be affected if the rate was high due to NIPEC being a small ALB.	2 (Minor)	2 (Unlikely)	4 (L)	NIPEC's KPIs contain this target and the KPIs are reports to each meeting of: <ul style="list-style-type: none"> <li>• Business Team</li> <li>• A&amp;R committee</li> <li>• Council</li> </ul>	Monitored on a monthly basis by the Business Team and reported to each Audit & Risk committee and Council meetings.  The latest cumulative average up to October 2019 is <b>1.36%</b> .	<b>Open</b>  Managed on an ongoing basis.

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<b>Business Objective: Governance &amp; Performance</b>  <b>R7</b>	To achieve the prompt payment target for invoices of: <ul style="list-style-type: none"> <li>95% for 30 days</li> <li>70 % for 10 days</li> </ul>	HCS with BSO Shared Services - Payments	1 <sup>st</sup> April 2019	5 <sup>th</sup> December 2019	<b>Business Objective: Governance &amp; Performance</b>  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)	NIPEC's KPIs contain this target and the KPIs are reports to each meeting of: <ul style="list-style-type: none"> <li>Business Team</li> <li>A&amp;R</li> <li>Council</li> </ul>	Monitored on an ongoing monthly basis by the Business Team and reported to each Audit & Risk committee and Council meetings.  Figures for November 2019: <ul style="list-style-type: none"> <li><b>92.68%</b> for 30 days</li> <li><b>90.24%</b> for 10 days</li> </ul>	<b>Open</b>  Managed on an ongoing basis.

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<b>Business Objective: Governance &amp; Performance</b>  <b>R8</b>	Ongoing Industrial Action may prevent the successful achievement of business objectives in NIPEC's annual Business Plan.	CE and Business Team	25 <sup>th</sup> November 2019	5 <sup>th</sup> December 2019	<b>Business Objective: Governance &amp; Performance</b>  Non participation of stakeholders in workshops and meetings due to participation and/or knock-on effect of Industrial Action may result in NIPEC not having the support to develop programmes of work under NIPEC's 2019-20 business objectives.	3 (Moderate)	3 (Possible)	9 (M)	<ul style="list-style-type: none"> <li>Oct 2019: ongoing correspondence with DoH Sponsor Branch and BSO HR re the potential of IA;</li> <li>Oct 2019: review of BCP and risk assessment carried out and forwarded to HSCB to provide assurance on business readiness;</li> <li>Nov 2019: establishment of weekly NIPEC IA meeting to monitor impact of IA on NIPEC business;</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing correspondence and advice from BSO HR;</li> <li>Ongoing correspondence with Sponsor Branch inc. SB and Ground Clearing meetings in December 2019;</li> <li>Ongoing informal correspondence with DoH SB when required;</li> <li>Ongoing completion of daily log and Assessment of Impact templates</li> </ul>	<b>Open</b>  Managed on an ongoing basis.

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