

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 5 - August 2020

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
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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 August 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	Note actions under R8 FNFM 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	Open Risk is currently being managed on an ongoing basis.

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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 August 2020	<p>Business Objective: Governance & Performance</p> <p>Due to the Covid-19 emergency NIPECs stakeholders cannot engage in the majority of professional business plan objectives.</p> <p>The organisation is refocusing core business on the regional COVID response and the redeployment of some professional staff time to this work.</p> <p>These along with Home working could result in the organisation being unable to fully achieve its business objectives & may require a review of the plan and/or the development of new business objectives.</p>	4 (Major)	3 (Possible)	12 (H)	<p>Liaison with NIPEC Chair at outset and Sponsor Branch are kept informed of contingency arrangements.</p> <p><u>March 2020:</u> Covid-19 Emergency SOPs drafted and shared with staff.</p> <p><u>March 2020:</u> Twice weekly SITREP meetings for the Business Team to monitor work ongoing.</p> <p><u>May 2020:</u> Review of SOPs.</p> <p><u>May 2020:</u> Review of the requirement for weekly SITREP</p>	<p><u>Sept 2020:</u> Rebuilding Documents inc update to Workplans to be presented to NIPEC Council.</p> <p>Monitoring of situation at monthly BTM meetings and quarterly Council and A&R committees.</p> <p>Regular updates to sponsor branch.</p> <p>Progress updates at senior team one to one meetings with CE</p>	Open Risk is currently being managed on an ongoing basis.

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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 August 2020	Business Objective: Governance & Performance Causing disruption to services. Unauthorised access to NIPEC 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 yearend accounts. Information from HSC Cyber Programme Manager who advised that NIPEC/ALBs represented on programme by Head of BSO ITS. Technical Infrastructure HSC security hardware (e.g. firewalls) / HSC security software (threat detection,	<u>September 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,	Open Risk is currently being managed on an ongoing basis.

								<p>antivirus, email & web filtering) Server / Client Patching / 3rd party / Secure Remote Access / Data & System Backups.</p> <p>Policy / Processes Regional and Local ICT, Info Security & Info Governance Policies; Change Controls and User Account Management ; Business Continuity Plans inc. ITS Disaster Recovery Plan</p> <p>User Behaviours Influenced through Induction Policy / Mandatory Training / HR Disciplinary Policy / Contract of Employment / 3rd party Contracts / Data Access Agreements.</p>	<p>ISO27001. Ensure uptake of HSC wide user behaviours awareness training.</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>
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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 August 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>August 2020:</u> BCP updated and circulated to BTM for comment and approval. <u>June/ July 2020:</u> <u>Covid-19:</u> Drafting of Rtn to Work Risk Assessment & Action Plan along with, SOPS.	<u>August 2020:</u> Ongoing work on Covid-19 Rtn to Work Risk Action Plan. <u>Autumn 2020:</u> Test the organisation's Business Continuity Plan in co-operation with the regional adopted Cyber incident response action plan to ensure appropriate lines of communication and decision making are in place. Ongoing review of NIPEC Covid-19 SOPS & BCP to ensure that arrangements continue to support staff home working.	Open Risk is currently being managed on an ongoing basis.

									<p><u>May 2020:</u> Completion of Cyber Security questionnaire as part of the PWC fieldwork for yearend accounts.</p> <p><u>May 2020:</u> HoCS annual SLA meeting with BSO ITS.</p> <p><u>April/May 2020:</u> Inclusion of provisional BSO ITS Letter of Assurance presented to NIPEC A&R committee May 2020.</p> <p><u>March 20:</u> request to BSO for ITS assurance statement to replace CAS.</p> <p><u>March 20:</u> Update of NIPEC BCP in response to the Covid-19 outbreak including Implementation of NIPEC Standard Operating Procedures Covid-19.</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 August 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 to be extended for	<u>Sept 2020:</u> Update to NIPEC Council on extension of 2 members and recruitment of new members. DoH Public Appointments Committee to confirm timeline for public appointments competitions for 2021. NIPEC Chair will continue to liaise with DoH Sponsor Branch to agree an interim solution pending the outcome of PAU competition. This may be delayed due to the Covid-19 emergency	Open Managed on an ongoing basis.

									a further year subject to Ministerial approval & Commissione r of Public Appointments	response.	
									<u>April 2020:</u> CX wrote to DoH sponsor branch requesting a progress update.		

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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 August 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>August 2020:</u> July 2020 absence 0% , cumulative 0.32% year to date. <u>July 2020:</u> June 2020 absence 0% , cumulative 0.43% year to date. <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% .	Monitored on a monthly basis by the Business Team and reported to quarterly 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 August 2020	Business Objective: Governance & Performance Failure to meet the targets may cause reputational damage to NIPEC as Public bodies are required to meet the Public sector target.	3 (Moderate)	2 (Unlikely)	6 (M)	<u>August 2020:</u> Cumulative figure to 31st July 2020 is 99% for 30 day payments and 97% for 10 day payments. <u>July 2020:</u> Cumulative figure to 30th June 2020 is 100% for 30 day payments and 97.1% for 10 day payments. <u>May 2020:</u> Cumulative figure to 31 st May is 100% for 30 day payments and 95.5% for 10 day payments.	Monitored on an ongoing monthly basis by the Business Team and reported quarterly to Audit & Risk committee and Council.	Open Managed on an ongoing basis.

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Business Objective Governance & Performance R8	NIPEC fails to achieve the required financial funding to cover the remaining implementation of the FNFM project.	CE and HCS	27 April 2020	14th August 2020	Business Objective Governance & Performance - 5D NIPEC would not have the resources in its Core budget to support DoH to implement the new NMC education standards. If NIPEC continued the FNFM project without additional funding the organisation would likely breach the financial target of containing net expenditure within the DoH target of 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 the NI Audit office.	4 (Major)	3 (Likely)	12 (H)	<u>July 2020:</u> Allocation 02 2020-21 received confirming funding for the project to 30 th Sept 2020. <u>June 2020:</u> Update to NIPEC Council meeting on current position. <u>June 2020:</u> Correspondence from CE to DoH Sponsor Branch requesting confirmation of funding beyond 30 th June 2020. <u>April/May 2020:</u> Regular correspondence from CE to Sponsor Branch requesting allocation of funding to	Monitored by the CE & Senior Team and Chair apprised of the situation. This will be followed up with Sponsor Branch to ascertain the funding position from 30 September 2020, If necessary steps will be taken to stand down the project to ensure there is no overspend.	Open Risk is currently being managed on an ongoing basis.

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Business Objective Governance & Performance R9	<p>NIPEC fails to meet the legislative requirements of Public Sector Bodies (Websites and Mobile Applications) (No. 2) Accessibility Regulations 2018.</p> <p>This could result in the organisation being in breach of these regulations and subject to investigation by Government Digital Service (GDS).</p> <p>Could also result in the organisation being in breach of the Disability Discrimination Act 1995 and subject to investigation by ECNI.</p>	CE and Senior Management Team	29 th July 2020	14th August 2020	<p>Business Objective Governance & Performance - 5D</p> <p>NIPEC would not meet its legislative obligations within the Accessibility Regulations and Disability Discrimination Act.</p> <p>This could impact on NIPEC's ability to show good public governance.</p> <p>This could also lead to possible investigation and legal action by ECNI.</p> <p>The resource required to carry out an audit and undertake remedial action as a result of findings is currently not known.</p>	3 (Moderate)	4 (Likely)	12 (M)	<p><u>August 2020:</u> CE and HOCS met with BSO CE to discuss way forward for main website.</p> <p><u>July 2020:</u> Request from DoH seeking update by 5/8/20 on action taken to meet the legislation (original email sent on 20/2/20 to dormant email account and therefore NIPEC unaware. Corporate IT & Information Officer advised the Lead SPO for NIPEC's websites. SPO</p>	<p><u>August 2020:</u> BSO CE to discuss issue with ITS Head and Head of Infrastructure and propose a way forward.</p> <p>Aurion to conduct audit of two websites and provide NIPEC with initial report on outcome and any action required.</p> <p>HoCS & CSM to meet with BSO Equality Unit to identify implications and interim mitigations.</p> <p><u>Sept 2020:</u> CE & HoCS to report to NIPEC Council on progress to date.</p>	Open Risk is currently being managed on an ongoing basis.

