

**This log is used to record and track NIPEC Corporate Risks for 2018-2019.**

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. 11:February 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 - 5D</b>  <b>R1</b>	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-April 2018	31 <sup>st</sup> January ., 2019	<b>Business Objective Governance &amp; Performance - 5D</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 the NI Audit office.	3	1	3 (M)	RRL letter received on 30 March 2018 indicating a 1% reduction from the opening 2017-18 allocation.  NIPEC has produced a 2018-19 financial savings plan which takes account of the 1% reduction and Revenue Budgets drawn up in April which reflect the above.	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.

										Due to vacant posts funds were surrendered in November 2018 and February 2019 as part of NIPEC's financial easement returns to the DoH.		
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<b>Business Objectives – Sections 1 to 4.</b>  <b>R2</b>	Due to the reduction in staffing within the Professional Team i.e. one members of staff on a further two year career break and a Band 7 Project Officer post no longer in post this could have an impact on NIPEC's ability to meet all its work/project objectives within the 2018-19 Business Plan	CE	1-April 2018	31 <sup>st</sup> January ., 2019	<b>Business Objectives – Sections 1 to 4.</b>  Unable to complete all planned work within target deadlines. Performance and Reputational risk.	3	1	3 (M)	A substantial element of the work of the member of staff on a 'career break' has been relocated across the other senior professional officers.  NIPEC has put in place an Associate officers list at SPO and PO levels from which work is allocated to assist with the NIPEC project work.  A report/matrix goes to each meeting of the Council showing progress	Situation monitored on an ongoing basis by the Business Team and Council.	<b>Open</b>  Managed on an ongoing basis.

										against the NIPEC Business Plan objectives		
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<b>Business Objective - Governance</b>  <b>R3</b>	Due to the NIPEC Council membership vacancies increasing this could have an impact on the Governance of the organisation.  Currently six vacancies: (4 Professional and 2 Lay members)	Chair of Council	1-April 2018	31 <sup>st</sup> January ., 2019	<b>Business Objective -Governance</b>  Impact on quorum at meetings and therefore could raise issues on regard to organisational governance, Performance and Reputation	3	2	6 (M)	DHSSPS, Public Appointments Unit to take forward the advertising and arrangements for the filling of 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	The filling of Council vacancies is the responsibility of the Public Appointments Unit and NIPEC's vacancies are on their HSC schedule for action.	<b>Open</b>  Managed on an ongoing basis.

shared with Sponsor 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

The NIPEC Chair, on 26 June 2018, put a proposal to the DoH to ameliorate the situation in 2018 and 2019 by reducing the number of terms of office which would come to an end.

DoH response of 12 September 2018 extended the term of office of 4 members.

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<b>Business Objective Governance &amp; performance – 5K</b>  <b>R4</b>	As a small ALB unable to fully implement the forthcoming EU General data protection Regulation (GDPR) by the date of <b>25 May 2018</b> due to requirement to 'Statutory appointment of a Data Protection Officer'.  However, NIPEC does not handle any personal patient or client data directly.	CE and HCS	1-April 2018	6 June 2018	<b>Business Objective Governance &amp; performance – 5K</b>  In breach of part of the Act and therefore subject to a possible fine and public embarrassment.	2	3	6 (M)	NIPEC has agreed to enhance its annual SLA with the BSO, HR to provide expert data protection input together with staff awareness training.  NIPEC's Project PID documentation has been amended to include an additional area to cover 'Privacy Impact assessments' when projects are being developed.  In December 2017 NIPEC issued a 'Privacy Notice for Staff' to all staff updating them on their rights in regard to the control of their	-	<b>Closed</b>

information.  
(A copy was placed on the website)

Staff awareness training held on 11 April 2018 following which presentation slides shared with all staff.

Business Team met with BSO GDPR Officer on the 23 April 2018 to discuss specific implications.

An enhanced SLA covering this risk was received from the BSO and signed off at the beginning of **July 2018**





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<b>Business Objective Governance &amp; Performance – 5N</b>  <b>R6</b>	To achieve the prompt payment target for invoices of: <ul style="list-style-type: none"> <li>• 95% for 30 days</li> <li>• 75 % for 10 days</li> </ul>	HCS with BSO Shared Services - Payments	1 April 2018	31 <sup>st</sup> January ., 2019	<b>Business Objective Governance &amp; Performance – 5N</b>  Failure to meet the targets would be embarrassing for NIPEC as a Public body who are required to meet the Public sector target.	2	2	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</li> <li>- Council</li> </ul> KPIs received up to December 2018 showed: a cumulative to-date of: <ul style="list-style-type: none"> <li>• <b>97% for 30 days</b></li> <li>• <b>86% for 10 days</b></li> </ul>	Monitored on an ongoing monthly basis by the Business Team and reported to each Audit & Risk committee and Council meetings.	<b>Open</b>  Managed on an ongoing basis.

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<b>R7</b>	As the CE Post is currently filled on the basis of a secondment from the DoH until 30 June 2018, there is a serious risk to the organisation if the post is not filled after this date.	Chair	30 May 2018	2 July 2018	<b>Business Objective -Governance</b>  Impact on the organisational leadership, governance and performance due to the Chief Executive post not being filled.	4	4	16 (H)	Chair has been in discussions with Sponsor Branch on the way forward.  At the end of June 2018 a verbal agreement was communicated to the Chair from the DoH that a 3 years extension has been granted.  Confirmation from the DoH to the NIPEC Chair received on the <b>3 July 2018.</b>	-	<b>Closed</b>