

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. 6 September 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).
Business Objective Governance & Performance - 5D 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-April 2019	1 – September 2019	Business Objective Governance & Performance - 5D 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 (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 to the above NIPEC produced a 2019-20 financial savings plan which advised the DoH of the additional in house cost	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.	Open Risk is currently being managed on an ongoing basis.

pressures
which it will
face in 2019-
20 and the full
year effect of
this

Document
sent to DoH
on 18 May
2019.

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

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Business Objective - Governance R2	Risk of a cyber security breach that results in the unavailability of systems that facilitate HSC services.		1 April 2019	1 – September 2019	Business Objective -Governance 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, the potential for fines in addition to resulting reputational damage	4 (Major)	3 (Possible)	12 (H)	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 - Regional and Local	Take forward the achievement of Information Security Management best practice & standards aligned to the international best practice standards, ISO27001 – Keep updated via the Regional Cyber Security Forum on developments and maintain a shared cyber security effective approach. Ensure uptake of HSC wide user behaviours	Open Risk is currently being managed on an ongoing basis.

								<p>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 Policies / HR Disciplinary Policy / Contract of Employment / 3rd party Contracts / Data Access Agreements.</p>	<p>awareness training and adopt this as mandatory training - (report on % achieved).</p> <p>Enable Senior Management of the organisation to have robust understanding of the cyber and information security issues – (report on training uptake)</p>
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Business Objective - Governance R3	Risk of failure to have a sufficiently tested organisational response to a cyber incident/attack, and recovery plan to support ongoing delivery of services.		1 April 2019	1 – September 2019	Business Objective -Governance	4 (Major)	2 (Unlikely)	8 (H)	The organisation has a developed and tested Business Continuity Plan and Emergency Planning arrangements.	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	Open Risk is currently being managed on an ongoing basis.

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Business Objective - Governance R4	Due to the NIPEC Council membership vacancies increasing this could have an impact on the Governance of the organisation.	Chair of Council	1-April 2019	1 – September 2019	Business Objective -Governance Impact on quorum at meetings and therefore could raise issues on regard to organisational governance, Performance and Reputation Currently out of nine Professional and six Lay members there are seven vacancies: (4 Professional and 3 Lay members).	3 (Moderate)	2 (Unlikely)	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.	Open 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

PAU have confirmed the extension of 6 Council members terms of office for a further year into 2020.

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Business Objective - Governance R5	BREXIT – EU Exit ‘No Deal Outcome’	Senior Management Team	1 April 2019	1 – September 2019	Business Objective -Governance If the UK Government leaves as a member of the EU without an agreed withdrawal agreement. Then 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.	3 (Moderate)	4 (Likely)	12 (M)	Depends on UK operation ‘ Yellow Hammer ’ arrangements mitigating the risk outcomes. NIPEC a member of the DoH EU Brexit forum Meetings held every two weeks over the past year. After a period of suspension due to new October date the last meeting was 31 July 2019. The current likely outcome is a ‘No Deal’ position.	<i>Further extension to 31 October 2019</i> Staff have been kept informed of all Brexit correspondence issued by the UK government via the DoH. August – HSC organisations receive from the DoH a weekly ‘EU Exit Preparedness – Snapshot’ report which covers all the DoH workstreams. DoH EU Exit meetings with HSC organisations now on a two week basis rather than monthly.	Open Managed on an ongoing basis.

										Risk has , therefore, been increased in outcome.		
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Business Objective Governance & Performance – 5G R6	Staff Absence rate to be below the year-end target of 3.7%	HCS	1-April 2019	1 –Sept., 2019	Business Objective Governance & Performance – 5G 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: • 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. The latest Cum. Av. figure up to June 2019 is 0.26%	Open Managed on an ongoing basis.

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Business Objective Governance & Performance – 5N 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-April 2019	1 –Sept., 2019	Business Objective Governance & Performance – 5N 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"> Business Team A&R Council 	Monitored on an ongoing monthly basis by the Business Team and reported to each Audit & Risk committee and Council meetings Cum Av. figures to July 2019: <ul style="list-style-type: none"> 90.4% for 30 days 76.7% for 10 days 	Open Managed on an ongoing basis.