

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 10 - January 2021

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 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	13 th January 2021	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 2020-21. <u>May 2020:</u> Budget build for 2020-21 highlights pressures inc. 3.04% uplift in BSO SLA costs for 2020-21. <u>June 2020:</u> Month 2 FMR submitted to	NIPEC will monitor expenditure on a monthly basis and highlight any budget pressures/surpluses in the monthly FMR to DoH FMU. Monthly Budget review meetings with BSO Finance. Monitored monthly at Business Team meetings and one to one meetings between CE and HCS.	Open Risk is currently being managed on an ongoing basis.

								<p>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.</p> <p><u>July 2020:</u> NIPEC 02 letter confirming TRF allocation for FNFM to 30 Sept 2020.</p> <p><u>August 2020:</u> Bid submitted by Sponsor Branch for extended FNFM funding to 31 March 2021.</p> <p><u>October 2020:</u> Month 6 FMR showed an in-year surplus. HoCs to complete mid-year review of budget with BSO Finance to project yearend position.</p> <p><u>November 2021:</u> CE / HoCs proposed retraction of funds with Sponsor Branch and formally requested to DoH Finance on 13th November 2020. Revised allocation letter received 13th January 2021.</p>	<p>Quarterly monitoring at the Council and Audit & Risk Committee meetings.</p>
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Business Objective: Governance & Performance R2	Unable to fully achieve its business objectives as stated in the revised 'NIPEC Business Plan 2020-21'	Senior Management Team	1st April 2020	13 th January 2021	<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>	3 (Moderate)	3 (Possible)	9 (M)	<p><u>March 2020:</u> Covid-19 Emergency SOPs drafted and shared with staff. Twice weekly SITREP meetings for Business Team to monitor work.</p> <p><u>May 2020:</u> Review of the requirement for weekly SITREP meetings.</p> <p><u>June 2020:</u> A Covid-19 work plan along with a core work plan was presented to NIPEC Council meeting on 24th and shared with DoH sponsor branch.</p>	<p>Ongoing liaison with NIPEC Chair.</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>Initiation of monthly SB meetings with HoCS until a return to 'business as usual.'</p> <p>Progress updates at senior team one to one meetings with CE</p>	Open Risk is currently being managed on an ongoing basis.

								<p><u>July 2020:</u> NIPEC submitted updated draft Business Plan to Sponsor Branch and copied to Council reflecting work with Covid-19 and its impact on business objectives. Formal approval received from Sponsor Branch 21.09.20.</p> <p><u>Sept 2020:</u> Rebuilding Documents inc update to Workplans presented and approved by NIPEC Council.</p> <p><u>November 2020:</u> Progress update on Workplan to Council meeting.</p> <p><u>January 2021:</u> CE/SPOs review of projects that may need stood down due to surge in pandemic.</p>	
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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	13 th January 2021	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. HoCS annual SLA meeting with BSO ITS <u>Sept 2020:</u> Launch of new regional cyber security e-learning programme. BTM decision that all NIPEC staff to complete by 31 st March 2021. <u>November</u>	<u>March 2021:</u> All NIPEC staff to have completed the regional cyber security e-learning programme. <u>October 2020:</u> Request to HSC Programme Manager Cyber Security request copy of Cyber Security Framework. Work delayed due to ongoing pandemic and reprioritisation of resources. Take forward the achievement of Information Security Management	Open Risk is currently being managed on an ongoing basis.

								<p><u>2020:</u> ALB Review of BSO ITS SLA on 16th November 2020 where Cyber Security assurance letters from ITS were requested going forward.</p> <p>Information from HSC Cyber Programme Manager who advised that NIPEC/ALBs represented on programme by Head of ITS.</p> <p>Technical Infrastructure HSC security hardware;</p> <p>Secure Remote Access / Data & System Backups.</p> <p>Policy / Processes Regional and Local ICT, Info Security & Info Governance Policies; User Account Management ; Business Continuity Plans inc. ITS Disaster</p>	<p>best practice & standards aligned to the international best practice standards, ISO27001.</p> <p>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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												Recovery Plan		
												User Behaviours		
												Influenced through		
												Induction & HR policies;		
												Mandatory Training;		
												Contract of Employment /		
												Data Access Agreements.		

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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	13 th January 2021	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. <u>November 2020:</u> Business Continuity Plan approved by Council. <u>Sept 2020:</u> BCP approved at BTM 8.09.20. <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	<u>January to March 2021:</u> Test of BCP. Ongoing work on Covid-19 Rtn to Work Risk Action Plan and related SoPS to ensure that arrangements continue to support staff home working. BCP to be updated to include any EU Exit risks for NIPEC.	Open Risk is currently being managed on an ongoing basis.

									<p>to Work Risk Assessment & Action Plan along with, SOPS.</p> <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	The delay in advertising for new members to NIPEC Council could have an impact on the Governance of the organisation if appointments are not made in a timely manner.	Chair of Council	1 st April 2020	13 th January 2021	Business Objective: Governance & Performance Impact on quorum at meetings and therefore could raise issues in regard to organisational governance, performance and reputation.	3 (Moderate)	3 (Possible)	9 (M)	<u>Sept 2020:</u> Update to NIPEC Council on PAU confirmation of approval from Commissioner of Public Appts for an exception to the CPANI code for extension of 2 members. Confirmation of extension received 25.09.20. <u>June 2020:</u> Update to Council on extension of current terms and plans to advertise current vacancies.	DoH Public Appointments Committee to confirm timeline for public appointments competitions for 2021. NIPEC Chair will continue to liaise with DoH Sponsor Branch re progress of PAU competition. This may be delayed due to the Covid-19 emergency response.	Open Risk is currently being managed on an ongoing basis.

Confirmation from DoH PAU that Chair's and non-executive members' terms extended for a further 12 months.

May 2020:
DoH sponsor branch advised that the terms of 7 Council members inc. Chair to be extended for a further year subject to Ministerial approval & Commissioner of Public Appointments

April 2020:
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	6 th November 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>Sept 2020:</u> August 2020 absence 0% , cumulative 0.27% year to date. <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.	Closed Successfully mitigated. Ongoing monitoring via KPI reporting.

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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	6th November 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>November 2020:</u> Cumulative figure to 31 st October 2020 is 99.5% for 30 day payments and 96% for 10 day payments. <u>Sept 2020:</u> Cumulative figure to 31 st August 2020 is 99% for 30 day payments and 98% for 10 day payments. <u>August 2020:</u> Cumulative figure to 31 st July 2020 is 99% for 30 day payments and 97% for 10 day payments.	Monitored on an ongoing monthly basis by the Business Team and reported quarterly to Audit & Risk committee and Council.	Closed Successfully mitigated. Ongoing monitoring via KPI reporting.

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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	6th November 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>August 2020:</u> Bid for funds to continue the core project support to 31 st March 2021 submitted via Sponsor Branch. <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	<u>October 2020:</u> NIPEC to submit IPT addendum to DoH to support bid for funding to 31 March 2021. 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.	Closed Successfully mitigated. Funding confirmed to 31 March 2021.

funding beyond 30th June 2020.

April/May 2020:
Regular correspondence from CE to Sponsor Branch requesting allocation of funding to stabilise the project.

DOH provided extension to funding on a monthly basis since 31 March 20 up to 30 June 2020.

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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	13 th January 2021	<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)	5 (Almost Certain)	15 (H)	<p><u>October 2021:</u> Aurion to complete remedial works from initial audit of 2 sites w/c 5th October and report outcome to NIPEC.</p> <p><u>Sept 2020:</u> CE & HoCS report to NIPEC Council on current position.</p> <p>BSO ITS business case to DoH to permit spend on audits of the ALB sites.</p> <p>HoCS and SPO met with Aurion to discuss outcome of audits of 2 sites. Agreed</p>	<p><u>January 2021:</u> Aurion to forward written report to NIPEC on remedial works and advise of current compliance levels.</p> <p>Continue to liaise with BSO ITS re progress on the audit of the Word Press themed template. Indicative date for completion of audit February 2021.</p> <p><u>January – March 2021:</u> Transfer of NIPEC website to the most recent Word Press framework.</p> <p><u>Ongoing:</u></p>	Open Risk is currently being managed on an ongoing basis.

								<p>for initial remedial works to commence.</p> <p>On advice from Equality Unit, NIPEC placed banner on all 3 sites offering content availability in alternative formats.</p> <p>Accessibility statement uploaded to NIPEC websites by 22nd Sept 2020.</p> <p><u>August 2020:</u> CE and HOCS met with BSO CE to discuss way forward for main website. BSO CE to discuss issue with ITS Head and Head of Infrastructure and propose a way forward.</p> <p>HoCS & CSM met with BSO Equality Unit to identify implications and interim mitigations.</p> <p>Aurion conducted audit of two websites and provided NIPEC with initial report</p>	<p>Progress updates to Sponsor Branch & Council.</p>
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on outcomes.

July 2020:

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 contacted DoH and updated NIPEC CE.

NIPEC Council, Chair, BTM & DoH Sponsor Branch informed.

Discussions with BSO ITS and Aurion on way forward.

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Business Objective Governance & Performance R10	NIPEC fails to review its current process and implement a documented approvals process for policies and procedures. This could result in some policies & procedures not being formally ratified by the relevant NIPEC Committee.	CE and Senior Management Team	13 th September 2020	13 th January 2021	Business Objective Governance & Performance - 5D This could impact on NIPEC's ability to maintain a robust governance and accountability framework.	4 (Major)	3 (Likely)	12 (H)	<u>November 2020:</u> Paper to NIPEC Council meeting to include numbers of policies affected and timeline for rectification of approvals. <u>October 2020:</u> Update paper presented to A&R committee outlining the current position and proposals for going forward. <u>Sept 2020:</u> Initial audit of current policies & procedures grid carried	<u>December to June 2021:</u> NIPEC to process the 41 policies identified in the audit of policy approvals. All to be approved by BTM and Council. Initial focus on IG policies to meet Internal Audit recommendations. <u>December 2020:</u> Completion of review and approval of IG audit recommendations.	Open Risk is currently being managed on an ongoing basis.

										<p>out by HoCS. Based on findings, Policies & Procedures webpage taken down temporarily.</p> <p>CE and HoCS met with NIPEC Chair and Chair of A&R committee to advise of audit findings and agree way forward.</p>		
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