

This log is used to record and track NIPEC Corporate Risks for 2021-2022

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 2 - May 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
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Business Objective: Governance & Performance R1	NIPEC fails to achieve the financial breakeven target of 0.25% or £20k (whichever is the greater) of its revenue allocation. This would result in the organisation being in breach of its Revenue Resource Limit (RRL) and may result in a Limited Assurance from External Audit (NIAO) at financial year end.	CE and HCS	1 st April 2021	24th May 2021	Business Objective: Governance & Performance NIPEC would not meet the financial target of containing net expenditure within the DoH target i.e. 0.25% or £20k. This would impact on NIPEC's ability to demonstrate robust governance processes and may result in a Limited Assurance on year end Accounts.	3 (Moderate)	2 (Unlikely)	6 (M)	<u>May 2021:</u> Completion and submission of annual accounts to NIAO. <u>April 2021:</u> Finalisation of Month 12 accounts for 2020-21 and preparation of annual accounts and report. Confirmation of Resource Budget Opening	<u>May 2021:</u> Completion of budget build for 2021-22. External Audit of annual accounts by PWC on behalf of NIAO. <u>June/July 2021:</u> Sign off of 2020-21 annual accounts by NIAO and laying of accounts in the NI Assembly. <u>June 2021 – March 2022:</u> Monthly budget	Open Risk is currently being managed on an ongoing basis.

								Allocation from DoH.	<p>meeting with BSO Finance to prepare and submit monthly FMR to DoH Finance.</p> <p>Monthly budget reporting to Business Team meetings by HCS.</p> <p>Discussion at one to one meetings between CE and HCS.</p> <p>Quarterly reporting to and monitoring by NIPEC Council and Audit & Risk Committee meetings.</p>	
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Business Objective: Governance & Performance R2	NIPEC is unable to fully achieve its business objectives as stated in the NIPEC Business Plan 2021-22.	Senior Management Team	1st April 2021	24th May 2021	Business Objective: Governance & Performance This could result in the organisation being unable to demonstrate that it has robust performance and governance frameworks in place and how it made best use of its resources causing reputational damage to the organisation. It may also limit opportunities to participate in other areas of work.	3 (Moderate)	2 (Unlikely)	6 (M)	<u>May 2021:</u> CEX discussed draft BP with Sponsor Branch and work objectives were identified to CNO for the year ahead. CNO and team to consider same and respond to NIPEC to identify which areas they would wish the organisation to prioritise during 2021-22. <u>March 2021:</u> Draft Business Plan 2021-22 presented to and approved by NIPEC Council and submitted to Sponsor Branch.	<u>April 2021 – March 2022:</u> Monitoring of progress on objectives at monthly BTM and quarterly Council and A&R meetings. Progress update on Workplan to quarterly Council meetings. Progress updates on individual PDPs at senior team 1:1 meetings with CE. Regular meetings with SB including Ground Clearing & Accountability meetings.	Open Risk is currently being managed on an ongoing basis.

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R3	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 2021	24th May 2021	<p>Business Objective: Governance & Performance</p> <p>Impact on quorum at meetings may result in decisions not being made due to insufficient numbers.</p> <p>Therefore could raise issues in regard to organisational governance, performance and reputation.</p>	4 (Major)	4 (Likely)	12 (H)	<p><u>May 2021:</u> Issue discussed at A&R Committee; Sponsor Branch rep.in attendance agreed to follow up again with PAU as a matter of urgency.</p> <p><u>April 2021:</u> Upcoming NIPEC Council vacancies listed in April 2021 edition of Public Appointments Newsletter.</p> <p><u>February 2021:</u> PAU confirmed</p>	<p>DoH Public Appointments Committee to confirm timeline for public appointments competitions for 2021.</p> <p>NIPEC Chair will continue to liaise with DoH Sponsor Branch re progress of PAU competition.</p> <p>This may be delayed due to the Covid-19 emergency response.</p>	<p>Open</p> <p>Risk is currently being managed on an ongoing basis.</p>

									Ministerial approval for extension of terms for Chair and 2 non-executives to Sept 2021.		
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Business Objective Governance & Performance R4	Risk of potential disruption to NIPEC service delivery due to turnover of corporate staff.	CE and Senior Management Team	1st April 2021	24th May 2021	Business Objective Governance & Performance - 5D This could impact on NIPEC's ability to deliver on objectives while interim arrangements are put in place and recruitment processes are completed.	4 (Major)	3 (Likely)	12 (H)	<u>December 2020:</u> Scoping exercise commenced to review the corporate structure and ensure it remains fit for purpose. Staff engagement completed in February 2021 and JNCC informed.	<u>April/May 2021:</u> Report to be produced including recommendations on corporate structure. If changes in corporate structure recommended, NIPEC to enter change management process in consultation with staff, trade unions and HR.	Open Risk is currently being managed on an ongoing basis.

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Business Objective Governance & Performance R5 	Chief Executive secondment from DoH is in place up to 30 th June 2021 and needs to be reviewed.	NIPEC Chair / Sponsor Branch	1st April 2021	24th May 2021	Business Objective Governance & Performance - 5D A delay in extending the secondment could lead to NIPEC not having an Accounting Officer in place and may have governance and performance implications for the organisation.	4 (Major)	2 (Unlikely)	8 (H)	<u>May 2021:</u> Confirmation of extension received. <u>April/May 2021:</u> Sponsor Branch to put in place arrangements for extension. <u>April 2021:</u> Extension of secondment has been sought by NIPEC Chair.		Closed Successfully mitigated.

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Business Objective: Governance & Performance R6	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 2021	24th May 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 2021:</u> Notification of further data breach in HSE and DoH, ROI, which may impact HSC. All emails to HSE suspended and further mitigations being managed by SIROs. <u>March 2021:</u> NIPEC received notification of a cyber security breach at QUB which may have an impact on HSCNI systems. HCs attended a number of	<u>May/June 2021:</u> HCS to continue to engage with regional SIRO Group to monitor impact of the cyber attacks on HSCNI. <u>April 2021:</u> NIPEC to receive annual assurance letter from BSO ITS to reference in Governance Statement. To include assurance relating to Cyber Security arrangements. <u>Ongoing:</u> NIPEC/ALBs continue to be represented on	Open Risk is currently being managed on an ongoing basis.

								<p>regional SIRO / IG meetings in March & April to discuss potential mitigations including temporary cessation of emails between HSCNI and QUB until further assurance provided by QUB on the extent of the breach.</p>	<p>regional Cyber Programme by Head of ITS.</p>	
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Business Objective: Governance & Performance R7	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 2021	24th May 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)	<u>April 2021:</u> Review of NIPEC Business Continuity Plan and Emergency Planning arrangements. NIPEC to receive annual assurance letter from BSO ITS to reference in Governance Statement. To include assurance relating to Cyber Security arrangements.	<u>May 2021:</u> Business Team to review and approve draft BCP. <u>June 2021:</u> Draft Business Continuity Plan to be presented to Council for approval.	Open Risk is currently being managed on an ongoing basis.

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Business Objective Governance & Performance R8	Risk of the Online Portfolio and Careers Websites being housed on an unsupported BSO server. This could lead to a data breach (Online Portfolio) as Personal Identifiable Information of 4000 registrants is stored on this site. Removing access in the event of a risk would mean neither was available to registrants. The online portfolio stores registrant data which may be needed for revalidation, a regulatory requirement of the professional regulator	CE and Senior Management Team	1 st April 2021	24th May 2021	Business Objective Governance & Performance - 5D In the event of a data breach, this would have serious consequences for NIPEC in terms of financial costs of a fine by ICO and reputational and for individuals who might be impacted. Any disruption to availability of either of the sites would result in potential performance and reputational damage.	4 (Major)	2 (Unlikely)	8 (H)	<u>March 2021:</u> Contact made with ITS regarding the broken links which alerted to the issue. Assurance sought on the level of risk of the sites being hacked, securing the sites and agreement on a way forward to move both sites to a secure server. ITS server team implemented patching as a temporary measure and confirmed that the data and sites remain reasonably secure and at low risk.	<u>April 2021:</u> ITS identified a potential new server and agreed to liaise with Aurion (developer) requesting their assistance to transfer to this server. HCS requested a meeting with ITS senior management to clarify the position and agree a way forward on the management of the sites and NIPEC SLA. <u>April/May 2021:</u> Internal Audit to carry out a review of NIPEC IT arrangements including websites and	Open Risk is currently being managed on an ongoing basis.

										SLAs. <u>May 2021:</u> NIPEC and ITS to review requirement to store personal data and how security can be strengthened after the migration to the new servers	
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Business Objective Governance & Performance R9	NIPEC fails to meet the legislative requirements of Public Sector Bodies (Websites and Mobile Applications) (No. 2) Accessibility Regulations 2018 . This could result in the organisation being in breach of these regulations and subject to investigation by Government Digital Service (GDS). Could also result in the organisation being in breach of the Disability Discrimination Act 1995 and subject to investigation by ECNI.	CE and Senior Management Team	1 st April 2021	24th May 2021	Business Objective Governance & Performance - 5D NIPEC would not meet its legislative obligations within the Accessibility Regulations and Disability Discrimination Act. This could impact on NIPEC's ability to show good public governance. This could also lead to possible investigation and legal action by ECNI. The resource required to carry out an audit and undertake remedial action as a result of findings is currently not known.	3 (Moderate)	5 (Almost Certain)	15 (H)	<u>March 2021:</u> HCS sought update from ITS progress on the audit of the Word Press themed template. CE & HCS reported to NIPEC Council on current position.	<u>April/May2021</u> Internal Audit to carry out a review of NIPEC IT arrangements including websites and SLAs. On issue of the IA report, NIPEC to seek cost from Aurion for achieving full compliance with legislation. Continue to liaise with BSO ITS re progress on the audit of the Word Press themed template.	Open Risk is currently being managed on an ongoing basis.

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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	1st April 2021	24th May 2021	Business Objective Governance & Performance - 5D This could impact on NIPEC's ability to maintain a robust governance and accountability framework.	3 (Moderate)	2 (Unlikely)	6 (M)	<u>December to June 2021:</u> NIPEC to process the 41 policies identified in the audit of policy approvals. All are being approved by BTM and Council or Audit & Risk Committee.	<u>May/June 2021:</u> Timeline to be agreed for rollout of procedures review.	Open Risk is currently being managed on an ongoing basis.

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Business Objective Governance & Performance R11	Risk of lack of /or insufficient support from BSO HR SLA.	CE and Senior Management Team	1st April 2021	24th May 2021	Business Objective Governance & Performance - 5D This could impact on NIPEC's ability to take forward recruitment overall and more especially, implement the findings of the corporate team scoping exercise and fill vacancies in a timely manner. It could also more broadly affect NIPEC's adherence to governance and contractual requirements.	3 (Moderate)	3 (Possible)	9 (M)	<u>April 2021:</u> HCS met with Director of HR for annual SLA review meeting; concerns discussed including level and cost of service. HCS asked for a breakdown of services provided for the annual SLA charge. <u>March 2021:</u> HCS met with HR Business Partner March 2021 to discuss issues concerning the SLA and support going forward.	<u>May/June 2021:</u> Service Offering and SLA to be issued by HR to NIPEC for consideration. To include areas covered by current cost of SLA and those areas not covered. Should delays in requests for support occur these will be reported through to CE and escalated to Director of HR and/or BSO CE if required. Sponsor Branch will be kept informed.	Open Risk is currently being managed on an ongoing basis.