

24 March 2016

Board

Corporate Risk and Assurance Report 2015-16

1. Purpose of this report

The purpose of this report is to record changes to the Corporate Risk & Assurance Report made between February and March 2016 (following the Board workshop), and to outline progress made on risk actions.

2 Changes to Corporate Risks

New Risks –

One new risk have been added to the register since February 2016.

Risk No 14 – proposed risk description is “There is a risk that delays in the recruitment and selection process leads to failure to meet performance targets and significant reputational damage.”

Revised Risks – The following risks have been updated and/or re-numbered with changes shown in red – 1, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14 and 15.

Removed Risks – The removal of a number of risks was agreed at the Board Risk workshop on 25th February, these risks have now been archived.

Corporate Objective No 1: To Deliver Value for Money Services to our Customers

Risk Description (Include DATE ADDED)	Current Risk Score				Controls	Assurances	Report on Board Action Plan		
	L	I	S	Rate			Action	By Whom End Date	Comment
<p>1. Levels of savings in the overall environment for HSC are so great that BSO service provision to customers are negatively affected and/or we fail to breakeven.</p> <p>The Leadership Centre may be particularly affected by a reduced level of client income e.g. HSCB</p> <p><u>Risk Owner(s)</u> DoF CX / Dirs</p> <p><u>Type of risk:</u> Economic & Financial</p>	4	4	16	High ➔	<p>Budgetary Process Breakeven Budget with specified savings programme</p> <p>Latest Best Estimates</p> <p>Service Offering</p> <p>Meetings held with DHSSPS sponsor branch</p>	<p>Budgetary Monitoring (I) SMT Accountability to CX (I) External Audit - Report to those charged with Governance (E) Budgetary Control process (I) Directorate Service Team Meetings (I) Financial Accountability Reviews with Directors (I) Financial Management Standard (I) & (E) Risk Reporting & Review (I) CX Review of Dirs Objectives (I) Dept Accountability Review (E) MIPB Assessment</p>	<p>The actions to achieve both these elements of savings have been factored into the BSO Budget for 2015/16 and a balanced budget has been achieved. The BSO 2015/16 budget was approved by Board on 28 May 2015.</p> <p>Develop 2016/17 Service Offering</p> <p>The Leadership Centre is currently engaging with HSCB to identify the impact of any change in requirements/funding.</p>	<p>DoF/ADFM</p> <p>March 2016</p> <p>March 2016</p> <p>March 2016</p>	<p>A number of SLAs have been signed off for 2015-16 (15 of 16). The one outstanding SLA has now been confirmed.</p> <p>BSO received a 2016/17 DHSSPSNI allocation letter on 16 March 2016, providing formal confirmation that a 15% cut to the BSO recurrent RRL had been applied, effective from April 2016</p> <p>Service offering drafted and reviewed by SMT. Final document to be issued to customers by end March 2016</p>

Risk Score Legend: L for Likelihood / I for Impact / S for Score – Risk Trend: = ➔ No Change / ⬆ Risk Increasing / ⬇ = Risk Decreasing
 Assurance Legend: I for Internal Assurance / E for External Assurance

--	--	--	--	--	--	--	--	--	--

Corporate Objective No 1: To Deliver Value for Money Services to our Customers

Risk Description (Include DATE ADDED)	Current Risk Score				Controls	Assurances	Report on Board Action Plan		
	L	I	S	Rate			Action	By Whom End Date	Comment
2. Inability to prove quality, productivity and VFM, and show that we are competitive and addressing customer expectations. <u>Risk Owner(s)</u> DoCCP Dirs <u>Type of risk:</u> Financial, Customer/Citizen & Partnership Contractual	2	4	8	High ➔	Existing Processes to measure Quality Standards; SLA'S; KPI's; Framework /Scorecard; Monthly report to Customers; Internal Audit programme; Audit Control Process; Annual Quality report.	Accredited Bodies - ISO/Lexcel (E) Monthly Reports to Customers (I) Scorecard monitoring SLA Monitoring (I) Financial Management Standard (I) & (E) Customer Survey (E) SMT Meetings (I) GAC Audit Control Review (I) Dept Accountability Review (E) MIPB Assessment	Further participation of BSO Services in Benchmarking programme for 2015-16.	DoCCP March 2016 January 2016	An update Report will be presented to BSO Board in Spring 2016 Surveys have now been completed and presentation to Board was completed January 2016

Risk Score Legend: L for Likelihood / I for Impact / S for Score – Risk Trend: = ➔ No Change / ⬆ Risk Increasing / ⬇ = Risk Decreasing
 Assurance Legend: I for Internal Assurance / E for External Assurance

--	--	--	--	--	--	--	--	--	--

Corporate Objective No 1: To Deliver Value for Money Services to our Customers

Risk Description (Include DATE ADDED)	Current Risk Score				Controls	Assurances	Report on Board Action Plan		
	L	I	S	Rate			Action	By Whom End Dates	Comment
3. Lack of Resources to unlock the business case benefits for Finance, HR, Procurement and FPS Business Systems Replacement. <u>Risk Owner</u> Head of SS Dept SRO <u>Type of risk:</u> Financial	3	4	12	High ➔	Following completion of Procurement in October 2012 the updated OBC for FPL and HRPTS systems was approved by DHSSPS and DFP. Revised governance arrangements in place. CXs members of Programme Board and HR & Finance Directors members of Implementation Board. Money released for both systems. Resources identified for FPS systems within HSC ICT budget and OBC approved by DFP. FPS governance	Dept Accountability Review quarterly (E). Programme Board Reporting monthly (I) Implementation Board monitoring monthly. Technical groups established and meet weekly. Updated OBC for HRPTS & FPL to be submitted and approved before contract signature.	Programme Director to work with SRO & Capital Branch to ensure that reserved monies are released as required. Workshops with functional groups will develop work packages including resource requirements. These will be presented to BRP and BSTP Project Boards as developed. Dir of Ops to confirm continued funding with project SRO.	Head of Shared Services March 2016	BRP Project initiatives continue to progress in line with achieving the BSTP OBC benefits. Plans have been managed and progressed through the BRP Governance structure (BRP & BSTP Project Boards) including reporting and monitoring to unlock the benefits outlined. Throughout this phase there is an increasing risk of losing fixed-term and temporary staff prior to projected programme close-down in March 2016. BSO is considering a BAU structure to continue benefits realisation deployments and system enhancements after the BRP project team closes in Spring 2016.

Risk Score Legend: L for Likelihood / I for Impact / S for Score – Risk Trend: = ➔ No Change / ⬆ Risk Increasing / ⬇ = Risk Decreasing
 Assurance Legend: I for Internal Assurance / E for External Assurance

					<p>transferred to HSC ICT programme. FPL go-live – all organisations September 2013.</p> <p>Gateway 4 (HRPTS) and Gateway 0 (BSTP) recommended a stream of work on benefits should be established.</p>				
--	--	--	--	--	--	--	--	--	--

Corporate Objective No 1: To Deliver Value for Money Services to our Customers

Risk Description (Include DATE ADDED)	Current Risk Score				Controls	Assurances	Report on Board Action Plan		
	L	I	S	Rate			Action	By Whom End Date	Comment
<p>4. HSC restructuring leads to negative impact on overall SLA funding</p> <p><u>Risk Owner(s)</u> SMT</p> <p><u>Type of risk:</u> Financial, Customer/Citizen & Partnership Contractual</p> <p><u>Risk added:</u> 9.12.2015</p>	3	4	12	High ➔			<p>Engage as early as possible to identify to which organisation(s) current HSCB services will transfer.</p> <p>SLA/ funding realignment to be identified and progressed following clarity on redistribution of services.</p>	<p>DoCCP March 2016</p> <p>DoCCP DoF 2016/17- TBC</p>	<p>The CEx is a member of the newly established HSC Restructuring Programme Board. Meetings have taken place in February and March with further meeting scheduled for April.</p>

Risk Score Legend: L for Likelihood / I for Impact / S for Score – Risk Trend: = ➔ No Change / ⬆ Risk Increasing / ⬇ = Risk Decreasing
Assurance Legend: I for Internal Assurance / E for External Assurance

--	--	--	--	--	--	--	--	--	--

Corporate Objective No 2: To Grow our Services and Customer Base

Risk Description (Include DATE ADDED)	Current Risk Score				Controls	Assurances	Report on Board Action Plan		
	L	I	S	Rate			Action	By Whom End Date	Comment
	<p>5. Shared Services may not achieve business case outcomes.</p> <p><u>Risk Owner</u> Dept SRO Head of Shared Services Dir of Finance (for charging/funding model)</p> <p><u>Type of risk:</u> Financial, Physical & Partnership / Contractual</p>	4	4	16					

Risk Score Legend: L for Likelihood / I for Impact / S for Score – Risk Trend: = ➔ No Change / ↑ Risk Increasing / ↓ = Risk Decreasing
 Assurance Legend: I for Internal Assurance / E for External Assurance

Corporate Objective No 2: To Grow our Services and Customer Base

Risk Description (Include DATE ADDED)	Current Risk Score				Controls	Assurances	Report on Board Action Plan		
	L	I	S	Rate			Action	By Whom End Date	Comment
	<p>6. Inability to implement new Shared Service for Payroll, Payments, Income, Selection & Recruitment in line with Departmental timetable and customer expectations.</p> <p>Risk of disruption to services and damage to reputation during period of transition due to system problems and inexperienced staff.</p> <p><u>Risk Owner</u> Head of Shared Services Dept SRO</p> <p><u>Type of risk:</u> Partnership / Contractual & Customer/Citizen</p>	5	4	20					

Risk Score Legend: L for Likelihood / I for Impact / S for Score – Risk Trend: = ➔ No Change / ⬆ Risk Increasing / ⬇ = Risk Decreasing
Assurance Legend: I for Internal Assurance / E for External Assurance

					monitoring				
--	--	--	--	--	------------	--	--	--	--

Corporate Objective No 3: To Pursue and Deliver Excellence through Continuous Improvement

Risk Description (Include DATE ADDED)	Current Risk Score				Controls	Assurances	Report on Board Action Plan		
	L	I	S	Rate			Action	By Whom End Date	Comment
<p>7. Inability to implement replacement systems for Finance, HR and Procurement in line with agreed plan.</p> <p><u>Risk Owner</u> Head of SS</p> <p><u>Type of risk:</u> Partnership / Contractual</p>	3	4	12	High ➔	<p>Fully resourced HRPTS and FPL teams in place.</p> <p>Weekly Status Reporting system in place for HLC AXON an AXON contractors.</p> <p>Integrated regional Implementation Board established with members drawn from all key stakeholder groups.</p> <p>Programme Risk Register and Report regular reviewed by Programme Board.</p> <p>Programme have received conditional approval of addendum OBC from DFP Supply and DHSSPS.</p>	<p>Quarterly Dept Accountability Review (E)</p> <p>Monthly Programme Board review</p> <p>Implementation Board monitoring resource plans monthly</p> <p>FPL, HRPTS and Integrated technical groups in place</p> <p>Self-Assessment Gateway Review (I) Gateway Review (E)</p> <p>CX Review of Dirs Objectives (I)</p> <p>Reporting to BSO Board</p>	<p>BRP systems enhancement initiatives are ongoing and are being managed through the project governance structures.</p> <p>Scoping impact and resource of mid-contract application upgrade</p> <p>E-Rec implementation plan currently being rolled out.</p>	<p>Head of Shared Services</p> <p>March 2016</p> <p>BST/ ITS March 2016</p> <p>April 2016</p>	<p>FPL and HRPTS (excl E-Rec) now fully live across HSC. The outstanding contractual elements are being delivered by BRP team. Project closedown is anticipated March 2016.</p> <p>A major mid-contract application upgrade of FPL is due in October 2016 and BRP, BST and ITS are to develop a project plan.</p> <p>E-Rec has been fully rolled out. Adoption of the system continues to progress: SHSCT, BHSCT and NHSCT are complete.</p> <p>WHSCT adoption of roll-out commenced May 2015.</p> <p>SEHSCT rollout commenced February 2016.</p>

Risk Score Legend: L for Likelihood / I for Impact / S for Score – Risk Trend: = ➔ No Change / ⬆ Risk Increasing / ⬇ = Risk Decreasing
 Assurance Legend: I for Internal Assurance / E for External Assurance

--	--	--	--	--	--	--	--	--	--

Corporate Objective No 3: To Pursue and Deliver Excellence through Continuous Improvement

Risk Description (Include DATE ADDED)	Current Risk Score				Controls	Assurances	Report on Board Action Plan		
	L	I	S	Rate			Action	By Whom End Date	Comment
<p>8. Benefits of the new FPPS system fail to be realised due to:</p> <p>(i) Contractors declining to use the web based portal, leading to an inability to reduce staff numbers in accordance with plan</p> <p>(ii) Required system fixes for defects and/or change controls not being applied, leading to an inability to reduce staff numbers in accordance with plan;</p> <p><u>Risk Owner</u> Dir of Ops</p>	3	4	12	High ➔	- Operational & Service Review Group to manage prioritisation and execution of fixes and change controls	- FPS Project Board (Benefits Realisation) will monitor the progress and consider means of increasing uptake if necessary	<p>(i) (a) FPS has planned training events and will use roadshows and other meetings with contractor and their representatives to promote the benefits to contractor of using the portal;</p> <p>(b)FPS to gain commitment from HSCB to continue to encourage contractors to use the portal;</p> <p>(ii) (a)FPS to develop an interim contingency plan to resource system impacts in the event of contractors not</p>	<p>Dir of Ops</p> <p>December 2016</p>	<p>96% of GP practices are using the portal. The roll out of the portal to early adopter dental practices is due to commence in April 2016 upon completion of UAT for portal tiered access controls.</p> <p>HSCB Integrated Care are working with FPS to encourage GP practices that are not using the portal to begin submitting claims via the portal.</p> <p>Monitoring of portal uptake is in place and will alert need to retain FPS resource.</p>

Risk Score Legend: L for Likelihood / I for Impact / S for Score – Risk Trend: = ➔ No Change / ⬆ Risk Increasing / ⬇ = Risk Decreasing
 Assurance Legend: I for Internal Assurance / E for External Assurance

<p>Type of risk: Technological; Performance Management</p> <p>Risk Added: 17.06.2015</p>																								
--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Corporate Objective No 3: To Pursue and Deliver Excellence through Continuous Improvement

Risk Description (Include DATE ADDED)	Current Risk Score				Controls	Assurances	Report on Board Action Plan		
	L	I	S	Rate			Action	By Whom End Date	Comment
<p>9. Failure of key ITS Applications & Infrastructure impacting delivery of Critical Services to Customers.</p> <p><u>Risk Owner</u> Dir of CCP</p> <p><u>Type of risk:</u> Technological & Customer / Citizen</p>	3	4	12	High ➔	<p>Security Procedures; Testing of Business Continuity Plan; Change Control Process; Testing and planning associated with significant change.</p> <p>Engagement of professional report (Gartner).</p>	<p>Internal Audit (E) External Audit (E) SMT Review of ICT Programme (I) Systems Risk Assessment (I)</p>	<p>Additional assurances</p> <p>Most of the Gartner actions have been achieved with the remainder on-going.</p>	<p>Dir of Finance/ Dir CCP</p> <p>June 2015</p>	<p>A full Disaster Recovery (DR) test was completed in May 2015 based on a scenario of having to evacuate Centre House and carry on operations from the DR site at Boucher Crescent.</p> <p>The mobile DR Unit was positioned within the yard in Boucher as part of the test exercise. It has been confirmed that the unit can be connected to the HSC network and the GP OOH solution has been restored from the third copy and tested within the DR unit.</p> <p>Final Gartner actions have been marked as complete. Any</p>

Risk Score Legend: L for Likelihood / I for Impact / S for Score – Risk Trend: = ➔ No Change / ⬆ Risk Increasing / ⬇ = Risk Decreasing
 Assurance Legend: I for Internal Assurance / E for External Assurance

							Go live of new data centre facilities	August 2016	<p>further restructuring of ITS will take place in the context of the wider shared services project.</p> <p>A range of options around 24/7 cover have been developed and have been initially costed.</p> <p>Meetings have been held with ITS and Finance to finalise the options before submission to HSCB Commissioner.</p>
--	--	--	--	--	--	--	---------------------------------------	-------------	--

Corporate Objective No 3: To Pursue and Deliver Excellence through Continuous Improvement

Risk Description (Include DATE ADDED)	Current Risk Score				Controls	Assurances	Report on Board Action Plan		
	L	I	S	Rate			Action	By Whom End Date	Comment
<p>10. Fail to implement robust information governance process.</p> <p><u>Risk Owner</u> Dir of HRCS Dirs</p> <p><u>Type of risk:</u> Legislative / Regulatory & Performance Management</p>	3	3	9	Medium ➔	<p>Policy & Procedures Information Governance / Records Mgt CA Standard Audit Control Risk Register/ Action Plans</p> <p>A range of IG policies renewed and agreed at August, September & October 2013 Board meetings.</p> <p>New IGMG sub-group established to review the new standard and compare with the current standard.</p> <p>Assessment by Internal Audit February 2014 and development of action plan.</p> <p>Audits of record management policies underway as part of IG</p>	<p>CAS Assessment - Records Management /ICT/Governance (I) & (E) Information Governance Group Report (I) Service Risk Reporting & Review (I) GAC Audit Control Review (I) other CA Standards Assessment (I) & (E) Mid-Year Assurance Statement / GS (I) GAC Report (I) CX Review of Dirs Objectives (I)</p> <p>New draft Information Management Controls Assurance Standard has been issued by DHSSPS who have asked HSC organisations for comments.</p> <p>Audit planned for Spring 2016 (I)</p> <p>Regular progress reports to SMT/Board</p>	<p>Ensure regular update on Data Protection and refresher training is available.</p> <p>Action plan being implemented and evidence gathered on ongoing basis. Regular progress reports to SMT.</p>	<p>DoHRCS Apr -Mar 2016</p> <p>DoHRCS Apr -Mar 2016</p>	<p>BSO self-assessed as Substantive Compliance for 2014-15 in line with DHSSPS expectations. BSO to carry out periodic checks of files in transit.</p> <p>Internal Audit assessment of the Information</p>

Risk Score Legend: L for Likelihood / I for Impact / S for Score – Risk Trend: = ➔ No Change / ⬆ Risk Increasing / ⬇ = Risk Decreasing
Assurance Legend: I for Internal Assurance / E for External Assurance

<p>(a) Transfer of information as a conduit organisation (especially medical files relevant to FPS & Legal)</p>					<p>Improvement Plan (on-going to March 2016).</p> <p>(a) Guidance to be sought from ICO on how to manage sensitive medical information in transit</p>	<p>regarding action plans (I)</p> <p>IG update to new Business Committee (Aug 2015).</p>	<p>Develop action plan for 2016/17</p> <p>(a) BSO to communicate with Info Owners to advise that all medical files to be checked before forwarding to BSO.</p>	<p>April 2016</p>	<p>Management Controls Assurance standard is complete and substantive compliance has been achieved</p> <p>Action plan has been drafted and will be submitted to the Business Committee for approval April 2016.</p>
---	--	--	--	--	---	--	--	-------------------	---

Corporate Objective No 3: To Pursue and Deliver Excellence through Continuous Improvement

Risk Description (Include DATE ADDED)	Current Risk Score				Controls	Assurances	Report on Board Action Plan		
	L	I	S	Rate			Action	By Whom End Date	Comment
<p>11. Risk to Data Centres from unstable hospital power / environment may cause further outages.</p> <p><u>Risk Owner</u> Dir of CCP</p> <p>Type of risk: Technological, Environmental, Physical & Partnership /Contractual</p> <p><u>Risk Added:</u> 12.12.12</p>	4	5	20	Extreme ➔	<p>Security procedures Business Continuity Plan.</p> <p>SIB has appointed a Project Director for the Data Centres.</p> <p>Surge Protectors have been installed and are operational.</p> <p>Gartner sub-group to reconvene with revised remit to include strategic direction for transfer of data to 3rd data copy.</p>	<p>Gartner technical work streams.</p> <p>An SLA has been agreed with BHSCT Estates for support of the regional data centre.</p> <p>Disaster Recovery Plan</p>	Review of all other elements of SLA to be carried out.	<p>Head of Infrastructure and Architecture</p> <p>May 2013 To approval date</p>	<p>This Annual Review is underway.</p> <p>Work with Belfast Trust Estates to implement UPS back-up for the air con units has been cancelled due to inability to acquire space in BCH and RVH sufficient to house required equipment.</p> <p>Work is completed to transfer 350 Terabytes of data to secure 3rd data copy for retention in Centre House.</p> <p>Subscription to HP Mobile Data Centre solution has been implemented on a 2 year contract. A full recovery test from third site copy has been completed.</p>

Risk Score Legend: L for Likelihood / I for Impact / S for Score – Risk Trend: = ➔ No Change / ⬆ Risk Increasing / ⬇ = Risk Decreasing
Assurance Legend: I for Internal Assurance / E for External Assurance

						<p>Go live of new data centre facilities</p> <p>Outline Business Case for new Data Centre</p>	<p>August 2016</p>	<p>The contract has been awarded and signed. Go live date for the new data centre facilities is 30th August 2016. Migration of existing services to new infrastructure will begin at that point.</p> <p>The FBC has been submitted and approved. Project underway and target date for new data centres is end August 2016. Recruitment for project management resource is underway.</p>
--	--	--	--	--	--	---	--------------------	---

Corporate Objective No 3: To Pursue and Deliver Excellence through Continuous Improvement

					Report on Board Action Plan				
Risk Description (Include DATE ADDED)	Current Risk Score				Controls	Assurances	Action	By Whom End Date	Comment
	L	I	S	Rate					
<p>12. Delays in payroll responding to pension queries may result in fines from the Pensions Regulator. There is also a wider reputational risk associated with delays in the ability to provide estimates.</p> <p><u>Risk Owner</u> Head of Shared Services & Dir. Of Operations</p> <p><u>Type of risk:</u> Financial, Customer/Citizen, Statutory, Regulatory/Legislative</p> <p><u>Risk Added:</u> 12.10.2015</p>	2	4	8	High ↓	<p>Dedicated Payroll Liaison Officer and Dedicated Payroll team in place.</p> <p>Twice-weekly conference calls between HSCPS and SSC Payroll.</p> <p>HSC Pension Service to have read only access to HRPTS to deal with minor issues/queries</p> <p>HRPTS/Altair (payroll/pension) interface to be implemented following resolution of cumulative annual data</p>	<p>Ongoing monitoring of numbers of outstanding payroll enquiries by both Pensions and Payroll teams.</p> <p>Weekly Update to CEx</p>	Development of an interface between Pensions system and HRPTS	Head of Shared Services	The interface is now live however there is a delay with one staff member having authorization to run the files. A workaround is in place.

Risk Score Legend: L for Likelihood / I for Impact / S for Score – Risk Trend: = ➔ No Change / ⬆ Risk Increasing / ⬇ = Risk Decreasing
 Assurance Legend: I for Internal Assurance / E for External Assurance

Corporate Objective No 3: To Pursue and Deliver Excellence through Continuous Improvement

Risk Description (Include DATE ADDED)	Current Risk Score				Controls	Assurances	Report on Board Action Plan		
	L	I	S	Rate			Action	By Whom End Date	Comment
<p>13. Weakness in contingency plans for failure of payments system leads to further failures.</p> <p><u>Risk Owner</u> Head of SS Dir of Finance</p> <p><u>Type of risk:</u></p> <p><u>Risk Added:</u> 27.01.2016</p>	3	3	9	Medium	Monitoring of action plan by SMT	<p>Full root cause analysis of failure in both the processing of payments and the subsequent contingency plans has been completed.</p> <p>Action plan developed</p>	<p>Execute action plan to strengthen contingencies.</p> <p>Update to be provided to Business Committee</p> <p>Agree contingency plan with the relevant bank</p>	<p>March 16</p> <p>January 16</p> <p>March 2016</p>	<p>Update given to business committee January 2016</p> <p>Meeting scheduled. BSO potential Contingency measure relating to BSO BACS process identified and set up now confirmed by bank. Payment method to be tested before this can be introduced as a formal contingency measure.</p>

Risk Score Legend: L for Likelihood / I for Impact / S for Score – Risk Trend: = ➔ No Change / ⬆ Risk Increasing / ⬇ = Risk Decreasing
 Assurance Legend: I for Internal Assurance / E for External Assurance

Corporate Objective No 3: To Pursue and Deliver Excellence through Continuous Improvement

					Report on Board Action Plan				
Risk Description (Include DATE ADDED)	Current Risk Score				Controls	Assurances	Action	By Whom End Date	Comment
	L	I	S	Rate					
<p>14. There is a risk that delays in the recruitment and selection process leads to failure to meet performance targets and significant reputational damage.</p> <p><u>Risk Owner</u> Head of SS</p> <p><u>Type of risk:</u> Partnership / Contractual; Customer/Citizen; Performance Management</p> <p><u>Risk Added:</u> 16.03.2016</p>	4	4	16	High ➔	Recovery team established	Weekly reports to SMT	<p>Complete review of processes, systems and organisational structures</p> <p>Detailed recovery plan to be presented to SMT</p> <p>Present review to HR directors forum</p>	<p>HoSS March 2016</p> <p>March 2016</p> <p>April 2016</p>	

Risk Score Legend: L for Likelihood / I for Impact / S for Score – Risk Trend: = ➔ No Change / ⬆ Risk Increasing / ⬇= Risk Decreasing
Assurance Legend: I for Internal Assurance / E for External Assurance

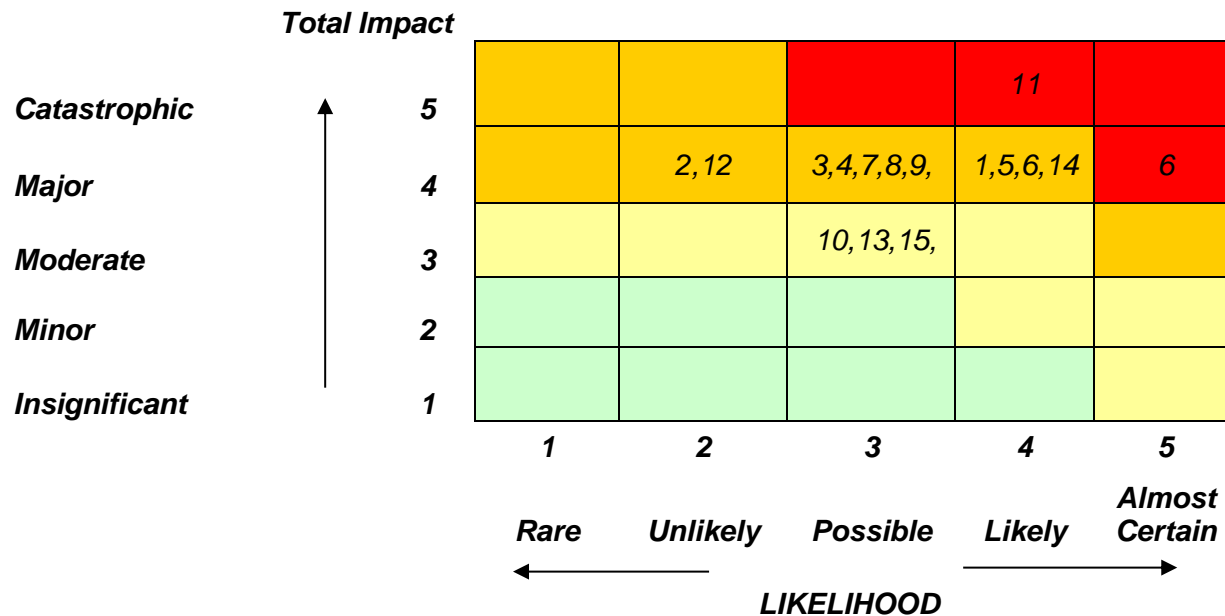
--	--	--	--	--	--	--	--	--	--

Corporate Objective No 4: To Enhance the Contribution and Development of our People

Risk Description (Include DATE ADDED)	Current Risk Score				Controls	Assurances	Report on Board Action Plan		
	L	I	S	Rate			Action	By Whom End Date	Comment
<p>15. BSO current skill mix does not meet future business needs.</p> <p><u>Risk Owner</u> Dir of HRCS Dirs</p> <p><u>Type of risk:</u> Managerial / Professional</p>	3	3	9	Medium ➔	<p>Revised Workforce Strategy approved by Board February 2014.</p> <p>Job Description/ Personal Specification Staff Survey</p> <p>Review PaLS Skills gaps.</p> <p>Staff development / strong commitment to training.</p>	<p>Outcome of HSC Staff Survey (E) Customer Surveys (E) SMT/Board Review of Surveys (I) Staff Appraisal - PDPs (I) CX Review of Dirs Objectives (I)</p> <p>A Sub-group has been established to consider a range of issues in PaLS including workforce issues.</p> <p>Business Case skills. Moving Forward Programme launched.</p> <p>Re-accreditation of IIP complete</p>	<p>Further work to identify recruitment issues.</p> <p>Workforce Planning ongoing in a number of Directorates. Scoping the direction of several Service Areas on behalf of DHSSPS.</p>	<p>DoHRCS March 2016</p> <p>March 2016</p>	<p>Discussions underway with Directors in respect of strategic work plans for the next 3 years.</p> <p>A number of specific skills areas to be addressed.</p> <p>Workforce Plan for ITS has been completed</p> <p>Action plans in place for Shared Services alongside Corporate action plan.</p> <p>Work underway on PaLS workforce plan and is due to be completed March 2016</p>

Risk Score Legend: L for Likelihood / I for Impact / S for Score – Risk Trend: = ➔ No Change / ⬆ Risk Increasing / ⬇ = Risk Decreasing
 Assurance Legend: I for Internal Assurance / E for External Assurance

BSO Corporate Risk Score Matrix



*Risk Classification / Numbers

LOW 0	MEDIUM 3 Risks	HIGH 10 Risks	EXTREME 2 Risks
----------	-------------------	------------------	--------------------

**in accordance with AS/NZS 4360:2004 guidance*

Risk Score Legend: L for Likelihood / I for Impact / S for Score – Risk Trend: = ➔ No Change / ⬆ Risk Increasing / ⬇ = Risk Decreasing
 Assurance Legend: I for Internal Assurance / E for External Assurance

Appendix A

Archive Report of risks removed from Corporate Register 2015-2016

Corporate Objective	Risk Description	Risk Score				Comment
		L	I	S	Rate	
3	<p>Removed June 2015 11. (a) In advance of FPS Replacement System, older more manually intensive systems fail to meet their objectives.</p> <p>(b) BSO fails to realise financial savings from termination of Fujitsu contract.</p> <p><u>Risk Owner</u> Dir of Ops</p> <p><u>Type of risk:</u> Technological</p>	2	4	8	High ➔	As agreed at BSO Board meeting on 25 June 2015, this risk has been replaced with one which focused on the risk of failure to achieve all Benefits Realisation (Risk No 11, previously 12)
3	<p>Removed June 2015 17. Failure to implement Pension Reform by 1.04.2015 could lead to DHSSPSNI being fined £9.16m per month by Treasury.</p>	3	4	12	High ➔	The new system went live on 6 April 2015 and was delivered on time and within budget. As agreed at BSO Board meeting on 25 June 2015, this risk has will continue be managed via the Pensions Service Risk Register.
3.	<p>Removed October 2015 14. Pressure from organisations to deploy mobile and hand held devices compromises overall HSC security and increases the risk of access to systems and records</p>	3	4	12	High ➔	Mobile and hand held devices will be reviewed as part of a wider infrastructure review by ITS.
2.	<p>Removed December 2015 9. BSO Growth may be negatively affected by transfer of NIFRS to Department of Justice.</p>	4	3	12	Medium ➔	This risk is no longer appropriate. Communications with NIFRS have been reopened.
1.	<p>Removed February 2016 4. BSO will face the risk of legal challenge and/or financial loss under new legislation, the Late Payment of</p>	3	3	9	Medium	Performance is reported to Board monthly in Prompt

Risk Score Legend: L for Likelihood / I for Impact / S for Score – Risk Trend: = ➔ No Change / ⬆ Risk Increasing / ⬇ Risk Decreasing

Assurance Legend: I for Internal Assurance / E for External Assurance

	Commercial Debt Regulation 2013, which requires 30 day payment of supplier invoices.						Payment report and through the business plan quarterly performance report. BSO-specific performance is reported through the monthly scorecard.
2.	Removed February 2016 8. There is a risk that the NIHSC Interpreting Service will fail to meet its objectives due to an inadequate system of governance, risk management and controls.	3	4	12	High ➔		All actions have now been completed - risk to be managed through the Interpreting Service Risk Register.
3.	Removed February 2016 10. There is a risk to BSO reputation and customer satisfaction due to the limited resource available to support Trusts in undertaking Social Care procurements.	3	3	9	Medium ➔		Actions have been completed; to be replaced with a new risk around the work to establish the new Social Care procurement service.
3.	Removed February 2016 16. If the HRPTS system update fails then i) payroll may become unstable ii) workforce information/data may be corrupted iii) planned developments may be delayed iv) there is a risk of significant reputational damage.”	2	4	8	High ➔		HRPTS upgrade now complete.

Archive Report of Completed Risk Actions 2015-16

Corporate Objective	Risk No / Description	Actions Completed
1	<p>1. Levels of savings in the overall environment for HSC are so great that BSO service provision to customers are negatively affected and/or we fail to breakeven.</p> <p>The Leadership Centre may be particularly affected by a reduced level of client income.</p> <p>2. Inability to prove quality, productivity and VFM and show that we are competitive and addressing customer expectations</p> <p>3. Lack of resources to unlock the business case benefits for Finance, HR, Procurement and FPS Business Systems Replacement</p>	<p>BSO requires confirmation of DHSSPS's commitment to cover any unanticipated funding pressures within the areas affected, primarily BSTP.</p> <p>BSO has developed a plan which will deliver the RRL savings required in 2015-16. This has been sent to and agreed with DHSSPS.</p> <p>BSO Service Offering 2015/16 has been issued along with SLAs to clients. The Service Offering details cash releasing and productivity savings for the 2015/16 financial year.</p> <p>Currently engaging with HSC clients re development of Service offering for 2015-16 which will deal with the issue of Management Fees.</p> <p>Annual completion of the Customer Surveys</p> <p>The issue of reduced funding for the Leadership Centre has been resolved for 2014-15, with a commitment from the Trusts that they will negotiate with BSO regarding any reductions in the Service Level Agreement for 2015-16.</p> <p>Issue of revenue costs for implementation of shared services systems remains unaddressed. Whilst appropriate steps have been taken to resource the BRP team, this continues to be a challenge with BRP Project Manager leaving in December 2014. A new interim Project Manager has been appointed and is in post.</p>
2	6. Inability to implement new Shared Service for Payroll, Payments, Income, Selection & Recruitment in line with Departmental timetable and customer expectations.	<p>A review of Recruitment & Selection staffing levels across HSC organisations is underway which will inform a decision on the rollout of Recruitment & Selection Shared Services.</p> <p>W.E.F. 29.01.2015, Shared Services Payroll will be providing payroll & travel across all the HSC.</p> <p>Proposed implementation dates for Bank</p>

		<p>Reconciliation: NHSCT – complete SEHSCT – complete SHSCT – complete WHSCT – completed March 2015 BHSCT – completed March 2015</p>
3	<p>9. Inability to implement replacement systems for Finance, HR and Procurement in line with agreed plan.</p> <p>10. (a) In advance of FPS Replacement System, older more manually intensive systems fail to meet their objectives.</p> <p>12. Fail to implement robust information governance process.</p> <p>15. Risk to Data Centres from unstable hospital power / environment may cause further outages.</p> <p>17. Failure to implement Pension Reform by 1.04.2015 could lead to DHSSPSNI being fined £9.16m per month by Treasury.</p>	<p>SEHSCT, NIAS & NIMDTA – 2 February 2015; BHSCT – 1 April 2015</p> <p>Draft readiness plans shared with NHSCT for go-live and deployment in May 2015.</p> <p>Dates for WHSCT & SHSCT to be confirmed by Trusts.</p> <p>Dentists have received estimated payments for complex claims valuing approx. 7% of the total payment. User Acceptance testing on the new GP Payment system is drawing to a close.</p> <p>Internal Audit assessment of progress late October/early November 2014; Draft exit report with DoHRCS for consideration and response.</p> <p>Frequency of IGMG meetings increased; Project Plan in process of implementation. Initial assessment of BSO compliance with standard for 2013-14 provided 'moderate' compliance as required by DHSSPS.</p> <p>Business Case for Public Sector Data Centres. OJEU notice published in Sept 2014 and responses received during November. The project moved to competitive dialogue phase in January 2015.</p> <ul style="list-style-type: none"> - OBC approved Sept 2014; - PID, Project Plan and SOUR agreed; - Production of detailed scheme specification ahead of schedule; - Project Board first meeting took place 2.12.2014. <p>First 2 milestones achieved with 3rd on target for end of March as per project plan. Test environment delivered with ongoing testing of key pension events. Project on track in all areas.</p> <p>Communication strategy is complete; Several</p>

	<p>12. Failure of key ITS Applications and Infrastructure impacting delivery of Critical Services to Customers.</p> <p>8. There is a risk that the NIHSC Interpreting Service will fail to meet its objectives due to an inadequate system of governance, risk management and controls.</p>	<p>workshops have taken place with more planned throughout 2015; E-learning programme is also complete and will be rolled out before March 2015.</p> <p>Gartner Project underway and reporting to BSO Board sub-committee.</p> <p>Additional storage for third copy of data has been deployed within Centre House. Take on of data is currently underway in stages.</p> <p>Electrical and networking activities now underway to facilitate a mobile DR unit to be positioned in the yard at Boucher Crescent. This will be tested in early April 2015 following implementation. A full DR test assuming an evacuation of Centre House will be conducted in May 2015-.</p> <p>Draft SLA with HSCB to be agreed and signed.</p> <p>Recruitment of staff underway. Interpreting Service Band 5 Operations Co-ordinator in post since March 2015.</p>
3	<p>10. There is a risk to BSO reputation and customer satisfaction due to the limited resource available to support Trusts in undertaking Social Care Procurement.</p>	<p>HSCB produce a Task & Finish Group report.</p> <p>Dir of Ops and AD PaLS to meet with HSCB CEx on 6 July 2015 to progress the issue.</p> <p>A report was subsequently brought to and discussed at the Regional Procurement Board on 24 July 2015.</p> <p>The matter remains unresolved and correspondence was drafted for BSO CEx to issue to HSCB CEx.</p> <p>Following a meeting between HSCB and BSO on 30 September, a revised options appraisal is being submitted to HSCB and subsequently the Regional Procurement Board (January 2016)</p> <p>A revised options appraisal forwarded to HSCB on 19th October 2015 to allow HSCB and BSO to agree the way forward in advance of next Regional Procurement Board, January 2016.</p> <p>A further Core Task and Finish Group Meeting was scheduled by Fionnuala McAndrew for 23rd November 2015 with DHSSPS, HSCB and BSO attendees.</p>

	<p>15. Delays in payroll responding to pension queries may result in fines from the Pensions Regulator. There is also a wider reputational risk associated with delays in the ability to provide estimates.</p>	<p>Provision of read-only access to HRPPTS for Pensions staff.</p> <p>Provision of read-only access to legacy payroll data for Pensions staff</p> <p>Training needs of payroll staff to be identified and targeted training to be carried out.</p>
4	<p>18. BSO current skill mix does not meet future business needs.</p>	<p>SAP skills training plan - final programme delivered w/c 27.10.2014.</p> <p>Re-accreditation of IIP underway</p>

