



## BT Risks Guide: Contents

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# BT Risks in JIRA – At a glance

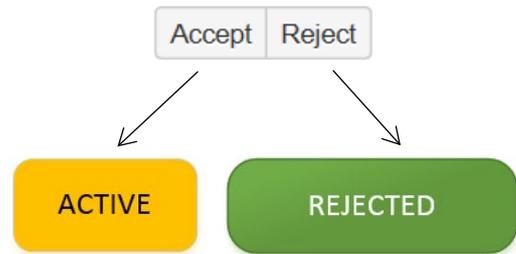
JIRA is the tool used by the Business Transformation (BT) Programme for recording and managing risks. Risks are identified at the workstream, release and programme (PLT/PGC) level.

Below is the high-level business process supporting JIRA and the overarching risk framework based on IR's enterprise framework.

1. A workstream has identified a risk and created the record in JIRA.
2. The risk has been assigned to the person (risk owner) that is responsible for managing the risk.



3. The risk owner receives notice of the risk via email.
4. The risk is reviewed and can be Accepted or Rejected.
5. The user has the ability to also 'Reassign' the risk either to someone within their team, or to another workstream if relevant.
6. A user may 'Reject' if they believe it is not a valid risk.

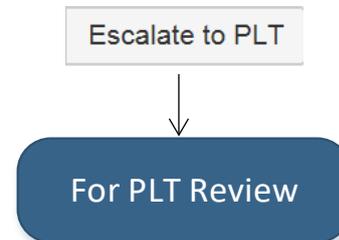


7. Once the risk owner accepts the risk, the status moves to an 'Active' status . At this point, mitigations should be documented for the risk.
8. The risk remains 'Active' until it is no longer valid.



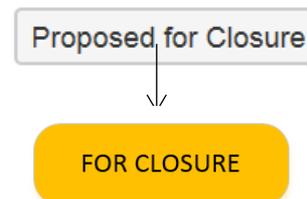
**For Active risks requiring PLT approval (these are tabled at the monthly Programme Risk Meeting (PRM)):**

9. Once Active, a user may select the risk to be reviewed/escalated for acceptance by PLT members by selecting 'Escalate to PLT'
10. The status will update to 'For PLT Review'.
11. Once reviewed by PLT members at PRM, the risk will switch back to 'Active' status.



Note: New programme escalated risks require PLT approval.

12. Once the risk is no longer valid, then it should be proposed for closure.
13. The risk owner is notified that the risk is proposed for closure via email.



14. The risk owner should review that the risk is no longer valid. If so, then the risk is 'closed'.

Note: All programme risks require PLT approval for closure.



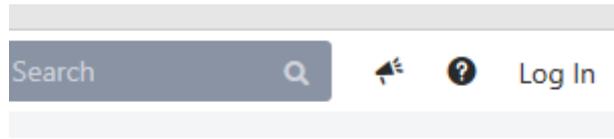
# Creating a new BT Risk

To access JIRA:

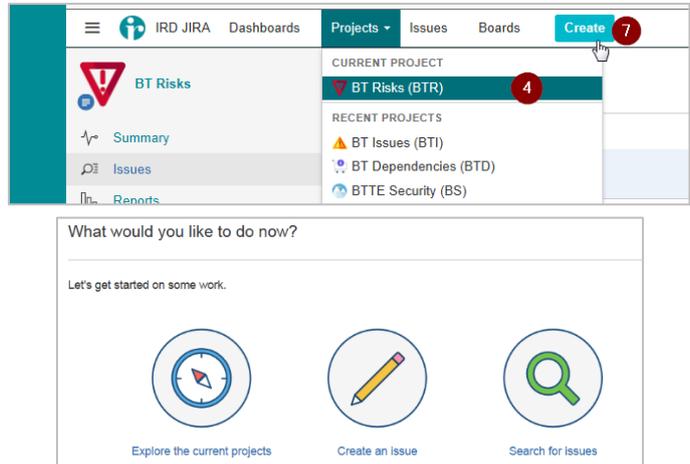
<https://jira.nsp.ird.govt.nz>

Your log-in should happen automatically

However, if the “**Log In**” button is showing at the top right of your screen, click on this button and if prompted enter your IRD Username and Password.



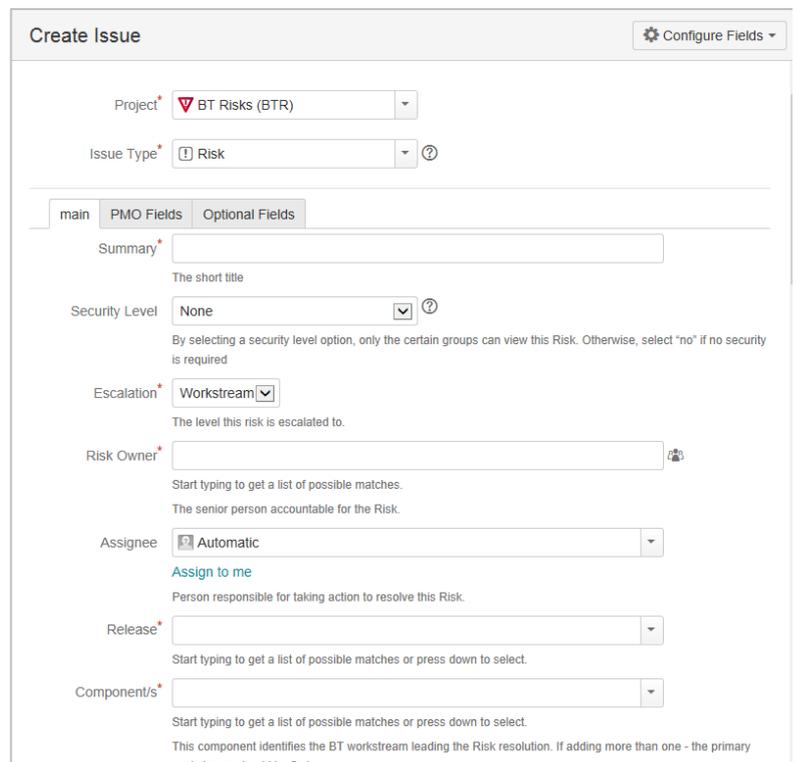
1. Select the **Projects** dropdown and choose (or type) **BT Risks (BTR)**
2. You will be taken to the **BT Risks (BTR)** Homepage.
3. Click **Create** to open a new BT Risk. You will be prompted with a pop-up box to begin drafting your Issue.



Note: When logging in for the first time, you may see the screen on the right. Click on “Explore the current projects” icon and follow steps **3-5** above.

4. To create your new BT Risk, the following fields are populated.

|  |
|--|
| <b>Project</b> – BT Risks (BTR)  |
| <b>Issue Type</b> – Risk   |
| <b>Summary</b> – Brief description of the Risk (provide enough detail so that a reader can generally understand the risk).   |
| <b>Security Level</b> – option to secure your risk for visibility to a selected group. Note: Please discuss this option with the BT PMO first.                         |
| <b>Escalation</b> – The level at which the risk is to be managed: workstream, release, PLT, PGC (programme)  |
| <b>Risk Owner</b> – The senior person accountable for the Risk, ie, a PLT member or workstream lead.   |
| <b>Assignee</b> – The person who will manage and is responsible for the risk. Leaving the field as default (auto-assign) JIRA will assign based on the component lead. |
| <b>Release</b> – enter the release your risk relates to i.e. for major releases, use “X.SRT.0 START Release X”; for other releases use “Release X”                     |
| <b>Component/s</b> – this is the workstream who will own the risk, e.g. PMO  |



*\*An asterisk marks mandatory fields.*

# Creating a new BT Risk

|   |
|---|
| <p><b>Labels</b> - add a tag(s) if known to make search easier, e.g. Programme_Risk_Meeting</p>   |
| <p><b>Risk Event</b> - enter in an event that, if it occurred, that would be disruptive to the Programme i.e. there is a risk that...</p>                         |
| <p><b>Risk Trigger</b> - the events or conditions that will cause the risk event.</p>   |
| <p><b>Risk Consequence</b> - add statement(s) of the impact if the risk event happens.</p>  |
| <p><b>Description</b> - provide further details to support your risk (eg, background, why this is a risk)</p>   |
| <p><b>Inherent Likelihood</b> - use the IR ERMF to assess the likelihood of the risk event occurring <u>BEFORE</u> any mitigations are considered</p>             |
| <p><b>Inherent Consequence</b> - use the IR ERMF to assess the consequence of the risk event occurring <u>BEFORE</u> any mitigations are considered</p>           |
| <p><b>Current Likelihood</b> - use the IR ERMF to assess the likelihood of the risk event occurring <u>with completed mitigations</u> in place</p>                |
| <p><b>Current Consequence</b> - use the IR ERMF to assess the consequence of the risk event occurring <u>with completed mitigations</u> in place</p>              |
| <p><b>Residual Likelihood</b> - use the IR ERMF to assess the likelihood of the risk event occurring with <u>completed and planned mitigations</u> in place</p>   |
| <p><b>Residual Consequence</b> - use the IR ERMF to assess the consequence of the risk event occurring with <u>completed and planned mitigations</u> in place</p> |
| <p><b>Category</b> - select an appropriate Category based on the IR ERMP/F</p>  |
| <p><b>Risk Realised</b> - has the risk occurred already? If so, an Issue needs to be raised.</p>  |
| <p><b>Risk Proximity</b> - when will the risk eventuate</p>   |
| <p><b>Next Risk Review Scheduled</b> - enter the date the risk should be next reviewed by</p>   |
| <p><b>Epic Link</b> - use this option to link this risk to an epic.</p>   |

The screenshot shows the 'Create Issue' form in JIRA. The 'Labels' field is empty. The 'Risk Event' field contains the text 'Please enter the Risk Event - there is a risk that...'. The 'Risk Trigger' field contains the text 'The trigger(s) that caused or will cause this risk'. The 'Risk Consequence' field contains the text 'The consequence(s) of this risk occurring'. The 'Description' field is empty and has a rich text editor toolbar. The 'Inherent Likelihood' dropdown is set to 'None'. There is a 'Configure Fields' button in the top right corner.

The screenshot shows the bottom section of the 'Create Issue' form in JIRA. The 'Inherent Consequence' field contains the text 'The impact of the Risk occurring when originally identified (before considering any mitigations) as described in the Enterprise and Project Risk Matrix. Note: For workstream risks, please use the "Project" consequence criteria. For programme and sub-programme risks, please use the "Enterprise" consequence criteria.' The 'Current Likelihood' dropdown is set to 'None'. The 'Current Consequence' field contains the text 'The impact of the Risk currently occurring (with mitigations currently in place) as described in the Enterprise and Project Risk Matrix. Note: For workstream risks, please use the "Project" consequence criteria. For programme and sub-programme risks, please use the "Enterprise" consequence criteria.' The 'Residual Likelihood' dropdown is set to 'None'. The 'Residual Consequence' field contains the text 'The probability of the Risk occurring (with all current and future mitigations considered) as described in the Enterprise and Project Risk Matrix.' The 'Risk Category' dropdown is set to 'Stakeholders'. The 'Risk Realised' radio buttons are set to 'No'. The 'Risk Proximity' field is empty. The 'Next Risk Review Scheduled' field is empty. The 'Epic Link' dropdown is empty. There are 'Create another', 'Create', and 'Cancel' buttons at the bottom right.

# Creating a new BT Risk

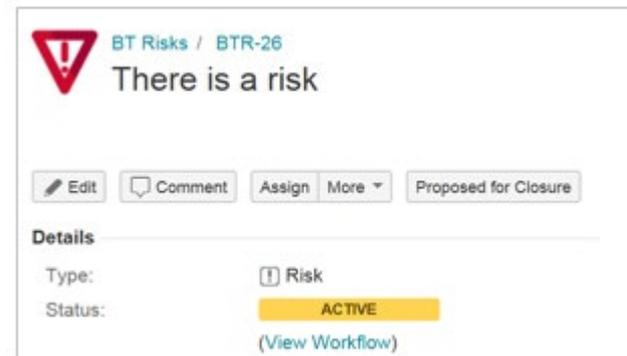
**Note** - use the Enterprise and Project Risk Rating Tool to assess your likelihood and consequences.

- Use "Project" IR ERMF for workstream risks
- Use "Enterprise" IR ERMF for Release and Programme risks

5. Once complete Click **Create** to formally raise the Risk.  
The risk is now in **Proposed** Status



6. Once the status is at **Proposed** a notification is sent to the Assignee for their review.
7. Once the risk has been agreed by the Risk Owner, the status is set to **Active** by clicking **Accept**.
8. Now the risk is **Active**, it is subject to regular review and may be updated, revised and mitigations added at anytime.

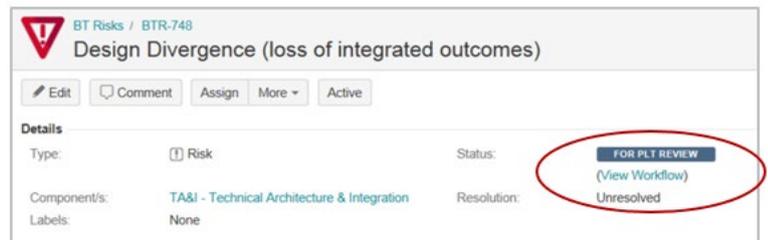
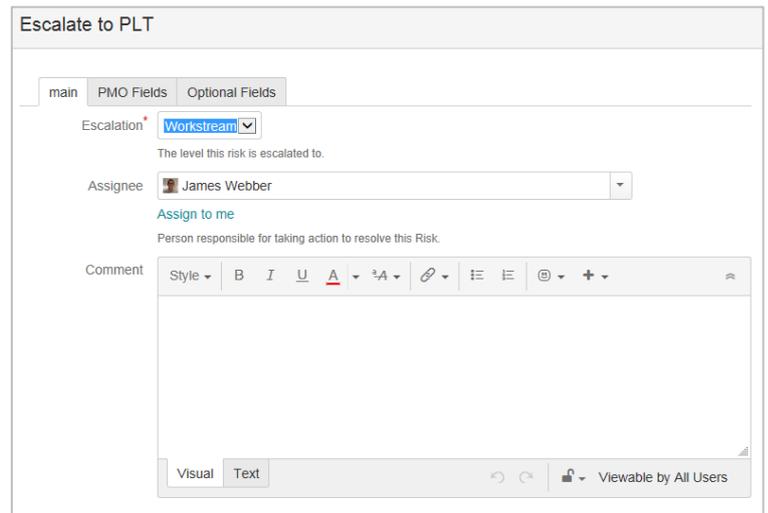
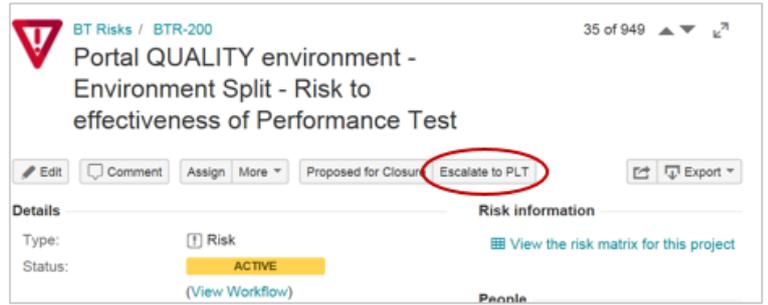


# Escalating to PLT

## For proposed Programme risks

1. Once **Active**, the Risk can be escalated to PLT if required (all proposed programme risks [including PGC risks] require PLT approval).
2. Click **Escalate to PLT** if you want the risk to be reviewed by the PMO and then discussed/accepted by PLT members at the monthly Programme Risk Meeting (PRM).
3. You will be prompted to fill in further detail. Please provide commentary explaining why this risk is being escalated to PLT. Note: your PLT lead will be expected to present the rationale at the PRM.
4. The PMO will review this risk, and if happy, will update the status to **Ready for PLT Review - New**.
5. If changes are required to the risk, the PMO will request an update from the Assignee and / or risk Owner.
6. If the risk is accepted by PLT then the PMO updates the risk status in JIRA, and will provide a comment.
7. The risk will then move back to the Status of **Active**.

**Note:** Risk assessment changes to current programme risks also require PLT approval, and follow the same process as above.

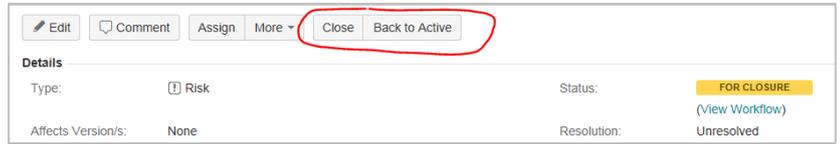


# Closing a BT Risk

1. Once the risk is no longer relevant or has passed then it can be **Proposed for Closure**.

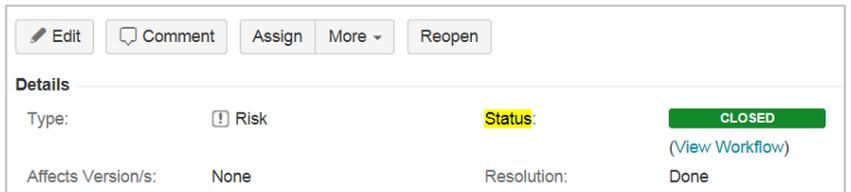


2. Click **Proposed for Closure** to set the status to **For Closure**. Ensure you provide rationale commentary.

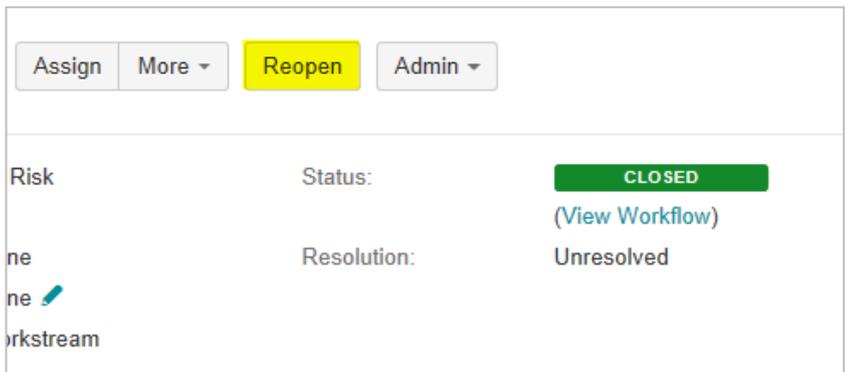


3. The risk is now ready for closure by the risk owner (only the owner has authority to close). Click **Close**.

4. The risk is now set to the status of **Closed**.



5. Please note that a risk may be re-opened at any point in time after it has been closed, simply click **Reopen**.



If your JIRA risk or issue for closure is at **programme level**, the PLT must approve this. It would be helpful to add a comment to the BT Risk team for reference and to ensure this is picked up for the Programme Risk Meeting (PRM).

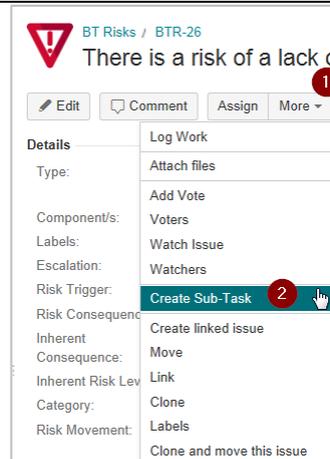
# Mitigations in JIRA – At a glance

**Mitigations** reduce either the likelihood of a risk occurring or its possible impact. Under JIRA Risk, controls and treatments are referred to as mitigations.

A JIRA risk mitigation can either be currently in place to reduce the inherent risk level (referred to as a "control") or be a planned future activity to reduce the current risk level (referred to as a "treatment").

**Note:** all **Open** or **In Progress** mitigations are the equivalent of "treatments". All **Closed** mitigations are the equivalent of "controls"

1. To add a **Mitigation** in JIRA to a specific risk, within the risk record Click **More**.
2. A dropdown box will appear, scroll down and click **Create Sub-Task**.



3. A mitigation in JIRA uses the sub-task functionality. Once you have set up a mitigation it may be used across one or many risks.

|   |
|---|
| <b>Issue Type</b> – Mitigation  |
| <b>Summary</b> – Brief description of the mitigation.   |
| <b>Release</b> - enter the release your risk relates to.  |
| <b>Component</b> –The workstream the mitigation is being owned by.                              |
| <b>Description</b> – Detailed description of the mitigation.                                    |
| <b>Due Date</b> – the date the mitigation is due to be completed.                               |
| <b>Assignee</b> – the team member responsible for the mitigation.                               |
| <b>Labels</b> – an effective way of categorising information in JIRA if there is a common theme |
| <b>Attachment</b> – attachment a document if relevant to the mitigation                         |

The image shows the JIRA 'Create Issue' form. The 'Issue Type' dropdown is set to 'Mitigation'. The form includes fields for 'Summary', 'Release', and 'Component/s', each with a search prompt. Below these is a rich text editor for the 'Description'. At the bottom, there are fields for 'Due Date', 'Assignee' (set to 'Automatic'), 'Labels', and an 'Attachment' section with a 'Drop files to attach, or browse.' button.

4. Click **Create** to finalise the mitigation record. A sub-task record will then be added to the appropriate risk.

# Mitigations in JIRA – At a glance

5. The mitigation is recorded as **BTR-27** and is noted as being related to risk **BTR-26**. NB: numbering in JIRA is sequential for all records.

6. Once you are ready to start work on the mitigation Click **Start Progress**. This indicates that the mitigation is in progress and to be completed by the due date.

7. Click **Close** if work on the mitigation is complete and in place. The mitigation is now set to the status of **Closed**.

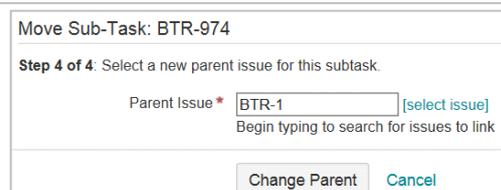
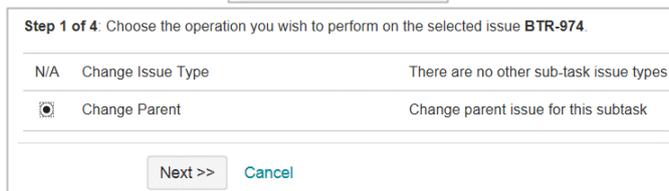
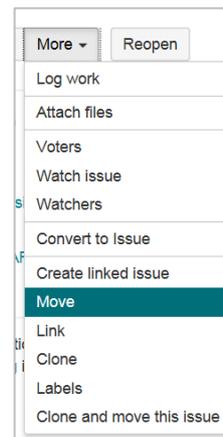
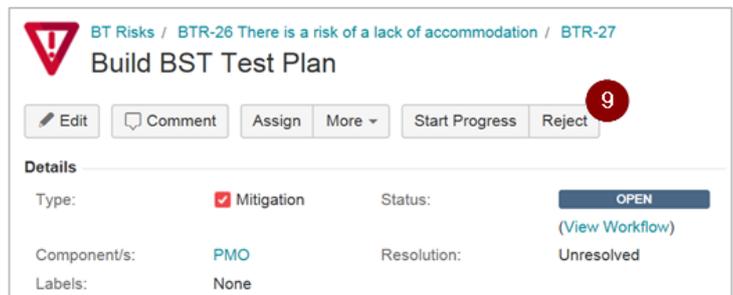
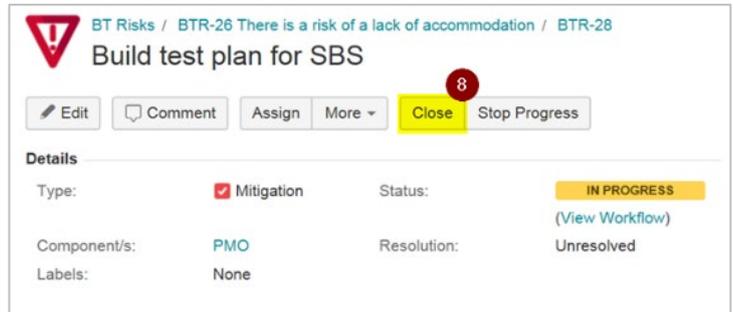
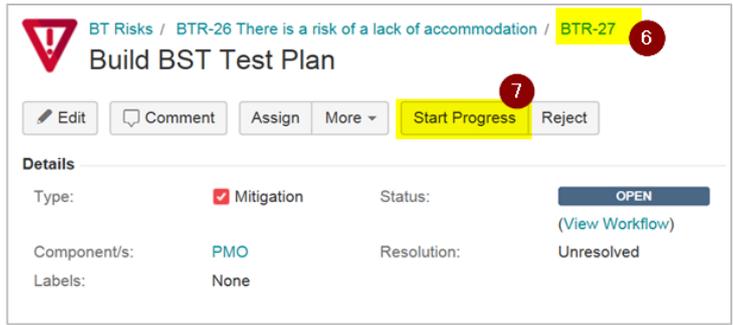
8. If during a regular risk review, the mitigation is considered to be failing or not effective, then the mitigation should be re-addressed or rejected. If rejected, then click on the **Reject** button to update the status.

9. Alternatively, if a mitigation needs to be reassigned to a different risk, you will need to change the parent risk. To do this, click on the More drop down and select "move".

Select "Change Parent" then next.

Type in the risk reference where the mitigation should be moved to.

Click "Change Parent" and it will then be reassigned.



# Frequently Asked Questions (FAQ)

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|--|--|
| <b>1. What is the difference between a risk and an issue?</b>                                | <p>A risk is an event that may happen in the future. An issue is an unplanned event that has already happened.</p>   |
| <b>2. What's the difference between a Workstream, Release and Programme (PLT, PGC) risk?</b> | <p>Workstream risks are those that only impact the specific workstream.</p> <p>Release or programme risks are those that affect the programme.</p> <p>Programme risks are monitored by the PLT with a subset of these being reported to the PGC. Changes to programme risks are required to be approved by PLT members at the monthly Programme Risk Meeting (PRM).</p>  |
| <b>3. How do I write a good risk description?</b>  | <p>Risks should be written with the following details:</p> <ul style="list-style-type: none"> <li>• Risk event: What event could impact the achievement of an objective</li> <li>• Triggers: What would cause this risk event to occur</li> <li>• Consequences: What are the consequences on achieving an objective if the risk event occurs.</li> </ul> <p><b>Example of Risk Event:</b></p> <ul style="list-style-type: none"> <li>• There is a risk that there is unauthorised (and non-malicious) disclosure of confidential information</li> </ul> <p><b>Triggers:</b></p> <ul style="list-style-type: none"> <li>• Lack of awareness of data sharing process and tools</li> <li>• The IR standard for data sharing and tools has not been well-communicated to all staff</li> <li>• The LearnIR security modules do not cover all of IR's standard data sharing process and tools</li> </ul> <p><b>Consequences:</b></p> <ul style="list-style-type: none"> <li>• Inadvertent disclosure of customer confidential information</li> <li>• Loss of public trust and confidence</li> <li>• Damage to IR's reputation</li> <li>• Lawsuit and/or compensation to affected customers</li> <li>• Privacy complaint/Ministerial inquiry</li> </ul> |
| <b>4. Who can be a risk owner?</b>   | <p>Anyone can be a risk owner. The risk owner should be the person that is responsible for overseeing that the risk is mitigated appropriately. Frequently this will be a team lead, workstream lead, PLT member, or programme manager.</p>  |
| <b>5. What is a mitigation?</b>  | <p>A mitigation is an action that is or will support the reduction of the likelihood and / or consequence of the risk event from occurring.</p> <p>Note: The programme considers all controls and treatments as mitigations.</p>   |
| <b>6. What are the differences between an inherent, current and residual risk?</b>           | <p>Inherent risk (or "initial" risk): This is the risk rating before any action has been taken to manage the risk.</p> <p>Current risk: This is the risk rating with current mitigations already in place.</p>   |

## Frequently Asked Questions (FAQ)

|   |  |
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|   | Residual risk (or “target” risk): This is a predicted risk rating that can be expected once the relevant mitigation(s) have been completed and implemented.  |
| <b>7. How do I correctly assess risks? Where do I find the right risk matrix, consequence and likelihood tables to use?</b> | <p>The following criteria should be applied to support your risk assessment (including risk matrices)</p> <ul style="list-style-type: none"> <li>• For Programme, Release and Sub-Programme level risks and issues, please use the “Enterprise” Risk Consequence Criteria</li> <li>• For Workstream level risks and issues, please use the “Project” Risk Consequence Criteria</li> </ul>  |
| <b>8. How often should risks be reviewed?</b>   | <p>Your risks should get reviewed at least monthly.</p> <p><b>Note:</b> For programme level risks, the PMO may also request from risk owners’ information and/ or updates (over and above the regular monthly meetings) to support various governance reporting requirements (e.g. PGC, Risk and Assurance Committee).</p>   |
| <b>9. When do I close a risk?</b>   | <p>Workstream, release and programme risks for closure require the approval from the risk owner. These should only be closed once the risk event can no longer materialise.</p> <p>Closure of programme risks are required to be approved by PLT members at the monthly Programme Risk Meeting (PRM). The PMO will ensure these are captured in the Programme Risk Meetings dashboard.</p> |
| <b>10. Where do I go to find out more about the Programme Risk Meeting (PRM)?</b>   | The Risks & Issues SharePoint site displays meeting detail including location. Please refer to the PRM Terms of Reference for more information.  |
| <b>11. Where can I go to find more general tips and guidance with regard to managing risks and issues in JIRA?</b>          | <p>Refer to the General Tips and Guidance - Risks and Issues guide which includes instruction on how to create filters, dashboards, bulk editing and more.</p> <p>The BT PMO Tools team may also be able to assist with more technical queries. Contact: BTPMOTools BTPMOTools@ird.govt.nz.</p>  |