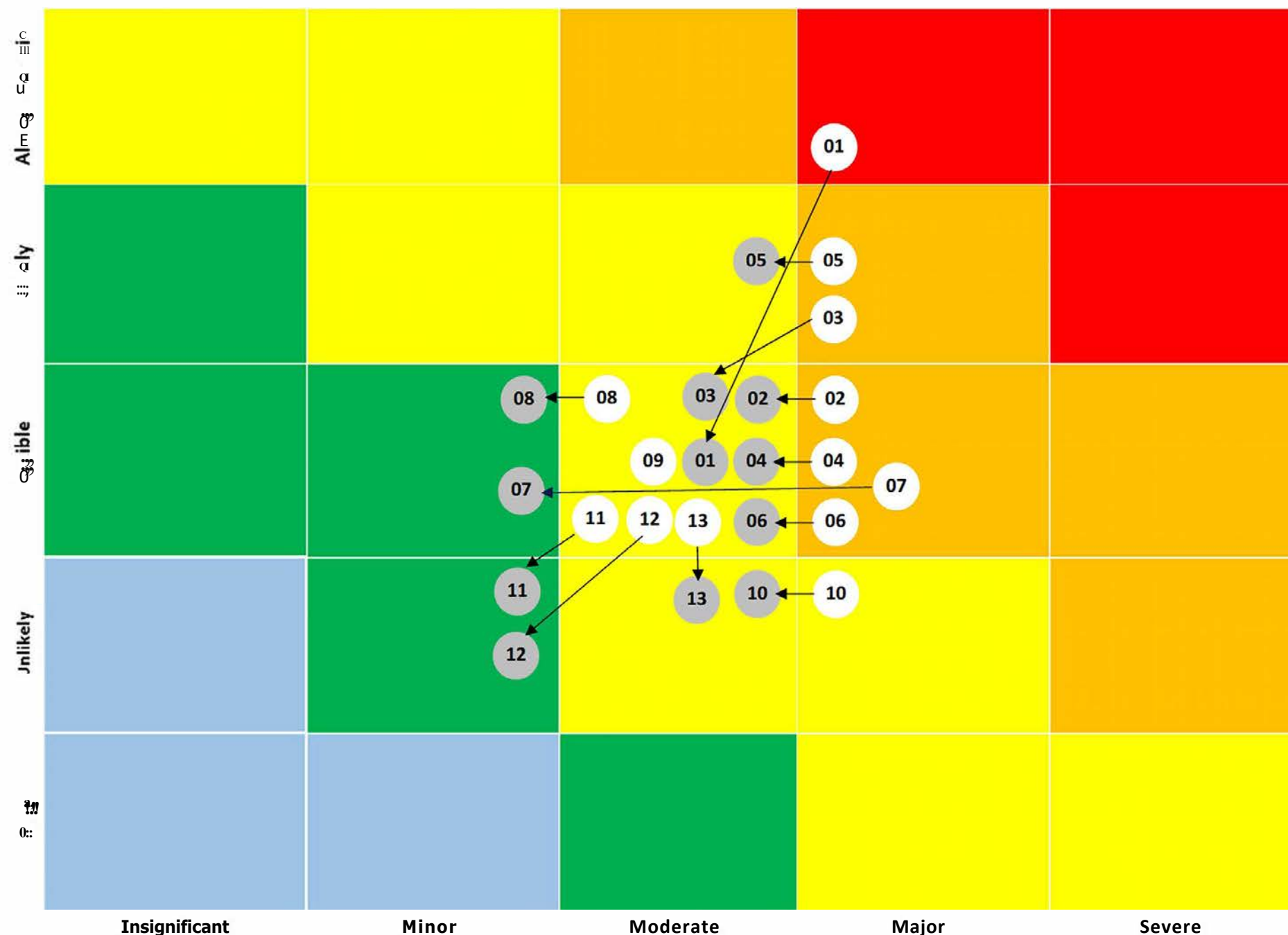




RCNZ IMT Risk Register - 25 October 2022



Risk ID	Risk Description	IMT Lead
IMT-01	China Border Re-Opening Plan	Planning
IMT-02	Transition of ADEPT to BAU Operations	Platform Workstream
IMT-03	Future ADEPT Roadmap	Platform Workstream
IMT-04	Delivery of Enduring and Sustainable Solutions	Planning
IMT-05	Readiness and Capacity of BAU operations	People Workstream
IMT-06	Wellbeing of Immigration and ICC staff	People Workstream
IMT-07	Quality, Pace and Benefits Realisation of IMT Decisions	Incident Controller
IMT-08	DPMC Rapid Assessment Review	Incident Controller
IMT-09	Increased Visa Processing impact on ICC	People Workstream / PIM
IMT-10	INZ Cost to Serve	Finance
IMT-11	Ongoing Resourcing to Support the IMT	Logistics/ People Workstream
IMT-12	Visibility and use of the INZ data	Reporting
IMT-13	Maintaining the Quality of Dashboard Reporting	Reporting

Key: ■ Very Low ■ Low ■ Medium ■ High ■ Very High ○ Residual Risk ● Target Risk

Refer to Appendix I for MBIE Risk Rating and Consequence Risk Rating Criteria

RCNZ IMT Risk Register

/MT Objective: To further enable Immigration NZ to more rapidly process the visa applications in the queue and establish the mechanisms to get Accredited Employer Work Visas (AEWV) and visitor visa applications 'in flow' to build confidence with our customers and stakeholders in the immigration system both in the short term but also ongoing through system changes in approach

Risk ID	IMT Risk Lead	Inherent Risk	Risk Causes <i>What might cause the risk to occur?</i>	Risk Description	Risk Consequences <i>What are the possible outcomes if the risk occurred?</i>	Current Controls in Place <i>What controls are currently in place to manage the risk?</i>	Residual Risk	Further Risk Treatments <i>What additional action is planned to further manage this risk?</i>	Target Risk
IMT-01	Planning	Very High (Almost Certain/ Major)	<ul style="list-style-type: none"> • Date for border re-opening yet to be announced yet • Lack of agreed action plan • Inadequate resourcing in place • Impact to existing Visitor Visa and Student Visa processes have not been understood 	China Border Re-Opening Plan Risk that INZ does not have the necessary resourcing and interventions in place to manage the re-opening of the China border resulting in increased pressure on INZ to process the high volumes of Visitor Visas and Student Visa	<ul style="list-style-type: none"> • Delays in Visitor Visa processing times across all non-visa waiver countries • Lost business and resulting dissatisfaction with INZ from the New Zealand visitor and hospitality sectors • Negative media coverage for INZ • Increased political scrutiny • Increased complaints 	<ul style="list-style-type: none"> • China Border Re-Opening Plan created by IMT in consultation with INZ branches • Planning to be based on three scenarios; Scenario A - Reopen is before Christmas 2022, Scenario B - Reopen is from March 2023 and Scenario C - Reopen is from June 2023 	Very High (Almost Certain / Major)	<ul style="list-style-type: none"> • Focus on automation as a solution • Develop overarching contingency plan to ensure that agreed processing standards can be met across all visa products • Develop summer Visa Processing Plan 	Medium (Possible/ Moderate)
IMT-02	Platform Workstream	Very High (Likely / Severe)	<ul style="list-style-type: none"> • Inability to retain key technical personnel • Ineffective transition plan • Lack of engagement from the business • Loss of institutional knowledge from the project team • Unclear to the business what is being transitioned • Workstream leads are working disjointedly 	Transition of ADEPT to BAU Operations Risk that there is inadequate technical capacity and project governance to ensure the effective transition of ADEPT to BAU	<ul style="list-style-type: none"> • Significant loss of technical capability/ 'institutional' knowledge • Financial impact incurred if project resources are needed to be retained • Inability for the business to absorb and sustain the change • Identified benefits are not realised. 	<ul style="list-style-type: none"> • IMT allocated responsibility for ADEPT Future Roadmap • ADEPT Transition Plan in place • Existing ADEPT team retained • Funding allocated for remediation of the platform, addressing backlog of defects, and retaining existing resources • Engaging with the ADEPT team to understand data outputs • Working with the Microsoft Developer to record as much as possible to understand how the how the system was set up • Confirmed support from Microsoft and DXC for ADEPT on an ongoing basis 	High (Possible / Major)	<ul style="list-style-type: none"> • Continue to develop transition plan • Proposal to supplement the Enablement team to help with resourcing for DOI integration 	Medium (Possible/ Moderate)
IMT-03	Platform Workstream	Very High (Likely / Severe)	<ul style="list-style-type: none"> • Lack of Future ADEPT Roadmap 	Future ADEPT Roadmap Risk that in the absence of a future multiphase/ multi-year roadmap for ADEPT (including stabilisation initiatives, policy initiatives, business improvements and other visa types) we are unable to ensure a holistic view	<ul style="list-style-type: none"> • Unable to adequately prioritise and identify dependencies for sequencing • Poor financial decision making and inefficient allocation of resources 	<ul style="list-style-type: none"> • IMT allocated responsibility for ADEPT Future Roadmap • Small team working on the future road map right now across DOI, INZ and LSE 	High (Likely/ Major)	<ul style="list-style-type: none"> • Develop multi-phase future roadmap for ADEPT for the next 6-12 months 	Medium (Possible/ Moderate)
IMT-04	Planning	High (Likely/ Major)	<ul style="list-style-type: none"> • Lack of holistic view across initiatives • Failure to take key BAU owners on the journey with us/ limited opportunity for impacted stakeholders to engage in a meaningful way • Lack of change management/ service design built into IMT solutions • Other objectives (such as customer experience, managing immigration risk, and policy outcomes) are not considered as we focus on operational efficiency 	Delivery of Enduring and Sustainable Solutions Risk that IMT is not able to deliver solutions to BAU operations that are enduring and sustainable.	<ul style="list-style-type: none"> • Improvement initiatives are not embedded into the business properly or able to be turned back on quickly in the future • IMT results in a "grab-bag" of immediate initiatives that either don't optimally address the issues or leave some issues unaddressed. • The value of the IMT not fully realised • Poor outcomes for stakeholders • Suboptimal customer experience 	<ul style="list-style-type: none"> • Overarching IMT response plan approved by Incident Controller • Issue Centred Approach for identifying and prioritising issues as well as developing and assessing solution options across workstreams • Workstream Leads complete Initiative Decision Memo • End-to-end visa process maps for developed for Student and Visitor visas, and AEWV as part of ADEPT • Use of existing issues registers and reports (e.g. Visa Processing Taskforce, DPMC Rapid Assessment), intel from policy, OIAs, WPQs, etc.) 	High (Possible/ Major)	<ul style="list-style-type: none"> • Establish prioritised list of visa products and performance measures • Incident Controller to review Transition Plan to BAU including identifying the exit criteria, acceptance criteria and the sustainability criteria. • Business representative to be identified and write up acceptance criteria • Business to appoint resource in COO to start receiving the work from IMT • Incident Controller to review Strategic Change Canvas 	Medium (Possible/ Moderate)

						<ul style="list-style-type: none"> Weekly meetings between Planning, Incident Controller and COO to discuss Transition Plan 			
IMT-05	People Workstream	Very High Almost Certain / Major	<ul style="list-style-type: none"> Inability to get clarity of the additional resource required to support increased visa processing demand Failure to understand the flow on impacts/trade-offs of decisions before applying more resources Failure to look beyond the immediate term Inability to recruit and/ or retain staff in a tightening labour market Resources are not available in the required MBIE locations 	Readiness and Capacity of BAU operations Risk that we do not adequately consider the readiness and capacity of BAU operations to absorb if more resources are applied.	<ul style="list-style-type: none"> Unable to get new staff trained up in time to make a difference Potentially over recruiting which could result in too many resources in the long term Solutions are not well integrated Failure to understand the people impacts of the decisions we are making 	<ul style="list-style-type: none"> People Workstream Lead meeting with INZ BAU and ICC team to understand pressure points and resource requirements People Workstream Lead meeting with internal and external recruitment providers to understand market availability and best options to source candidates quickly Working with Workstream Leads to understand the flow on people impacts from initiatives 	High (Likely/ Major)	<ul style="list-style-type: none"> Understanding capacity in system to allocate work appropriately Forecasting and planning to anticipate future demand Ensure Chief Operating Officer (COO) is appropriately resourced ready for handover 	Medium (Likely/ Moderate)
IMT-06	People Workstream	Very High Almost Certain / Major	<ul style="list-style-type: none"> Immigration Contact Centre (ICC) responding to more complex inbound customer contact (average handling and wait times increasing) Visa processing volumes are higher than forecast Introducing new solutions may result in new ways of working Lack of certainty/ changing policy requirements Lack of capability- new/ changing visa types while running dual processing systems (AMS and ADEPT) Ongoing impacts of pandemic especially on existing resource 	Wellbeing of Immigration and ICC staff Risk that we do not take all practicable steps to ensure the wellbeing of staff most impacted by any approved initiatives, specifically Immigration Officers and Immigration Contact Centre (ICC) staff	<ul style="list-style-type: none"> Increased stress, anxiety, and fatigue Reduced productivity, increased presenteeism / absenteeism Increased turnover rate Increased wellbeing, health, and safety incidents 	<ul style="list-style-type: none"> Wellbeing Plan developed for team impacted by increased demand Employee Assistance Program and higher psychological support services made available to those impacted Wellbeing messages weaved into key INZ communications via existing channels (e.g INZ Hui) Implement flexible working arrangements where appropriate Event reporting tool (Camms) Mental health sessions have been communicated to the business and scheduled based on demand. Funding secured. 	High (Possible/ Major)	<ul style="list-style-type: none"> Run Qualtrics survey for staff working on immigration work Document initiatives based on feedback received at Engagement Workshop 	Medium (Possible/ Moderate)
IMT-07	Incident Controller	High (Likely/ Major)	<ul style="list-style-type: none"> Lack of transparency around decision-making e.g. poor documentation, processes, and systems Failure to understand the impact on the business from decisions made (new risks created or changes to existing risks) Lack of consistent consultation with the business Inadequate commissioning of work Inability to manage and prioritise ad hoc tasking Lack of documentation of decisions-made 	Quality, Pace and Benefits Realisation of IMT Decisions Risk that IMT decision-making is sub-optimal and unable to retain the pace required to make decisions	<ul style="list-style-type: none"> Poor or inconsistent decisions Heightened public interest in the work of IMT and decisions Sustainability of the improvement solutions are questioned Prolonged critical media coverage Unable to maintain the trust and confidence of the public, key stakeholders, and Ministers Unable to meet the demands of SLT and Ministers 	<ul style="list-style-type: none"> Issue Centred Approach for IMT Workstream Leads attend Solutions Development Meeting to assess solutions for impact and other potential effects. Workstream Leads attend Initiative Prioritisation Meeting to evaluate the compounding effect of risks from initiatives (BAU plus other initiatives underway) Workstream Leads complete Initiative Decision Memo Daily SLT meetings Tracking of completed tasks by Operations through Initiative Task Tracker 	High (Possible/ Major)	<ul style="list-style-type: none"> Incident Controller to review heatmap and Gantt chart that shows cumulative changes Discuss cadence of IMT to ensure the balance of both the pace of IMT and the quality of decisions made 	Low (Possible/ Minor)
IMT-08	Incident Controller	High (Possible/ Major)	<ul style="list-style-type: none"> Unclear roles and responsibilities Scope of IMT unclear 	DPMC Rapid Assessment Review Risk that our IMT response does not address the recommendations outlined in the DPMC Rapid Assessment.	<ul style="list-style-type: none"> We lose focus of our response to the Rapid Assessment and other INZ operating reviews We fail to address issues already identified The value of the IMT not fully realised Reputational harm Unable to maintain the trust and confidence of the public, key stakeholders, and Ministers Potential for scope creep the longer IMT goes on 	<ul style="list-style-type: none"> IMT response objectives aligned to DPMC recommendations Weekly review of work associated with addressing the DPMC recommendations Monthly progress review with Erin from DPMC 	Medium (Possible/ Moderate)		Low (Possible/ Minor)

IMT-09	People Workstream / PIM	High Likely/ Major	<ul style="list-style-type: none"> Failure to understand the balance between resourcing and the flow on effect to visa processing Failure to understand what the right size workforce should be Inability to recruit and/ or retain staff in a tightening labour market Resources are not available in the required MBIE locations Fail to look beyond the immediate term 	Increased Visa Processing impact on ICC Risk that we do not adequately consider the flow on impact to the Immigration Contact Centre (ICC) if visa processing volumes are increased.	<ul style="list-style-type: none"> Low staff engagement (buy-in) with implementation of changes Increased turnover rate Degradation in service leading to customer and/or stakeholder dissatisfaction Backlog of work Unable to maintain the trust and confidence of the public, key stakeholders, and Ministers Reduced staff productivity, increased presenteeism / absenteeism Staff burnout caused by change fatigue 	<ul style="list-style-type: none"> Identifying relevant initiatives that will reduce call demand Monitoring mechanisms in place to confirm initiatives are delivering intended benefits Meetings with INZ BAU and ICC team to understand pressure points and resource requirements Prioritising resource requirements to ensure resources are allocated to areas where we will derive the most benefit Meetings with internal and external recruitment providers to understand market availability and best options to source candidates quickly Active recruitment in Christchurch for the Contact Centre Working with Wellbeing Health & Safety to ensure well being plans are in place for our people under pressure 	Medium (Possible/ Moderate)	<ul style="list-style-type: none"> Ongoing remuneration review for ICC staff to ensure market alignment due in November Reduce on hand visitor visas to 15,000-20,000 and address aging applications Exploring the potential to extend the hours of work for ICC staff Recruitment of surge resources for ICC Better use of the Interactive Voice Response (IVR) 	Medium (Possible/ Moderate)
IMT-10	Finance	High (Possible/ Major)	<ul style="list-style-type: none"> Cost of solutions are greater than time savings from the process changes We are not clear on the long-term impact of the proposed solutions 	INZ Cost to Serve Risk that proposed solutions increase Immigration NZ's cost to serve for each of the visa categories in scope.	<ul style="list-style-type: none"> Increased deficit to Immigration's memorandum accounts Potential OIAs / PQs on fiscal & operational impact of IMT solutions 	<ul style="list-style-type: none"> INZ Finance Business Partner to be consulted on initiatives put forward by Workstream Leads to consider whether a solution is cost efficient in the short/ long term and consider the impact on the cost to serve. 	Medium (Unlikely/ Major)	<ul style="list-style-type: none"> Monitor costs in October to determine any spikes in costs 	Medium (Unlikely/ Moderate)
IMT-11	Incident Controller	Medium (Likely/ Moderate)	<ul style="list-style-type: none"> Lack of forward planning for extended timeframes IMT not adequately resourced with the right people IMT likely to go until 2 December 	Ongoing Resourcing to support IMT Risk that we do not consider the ongoing resourcing needs of IMT.	<ul style="list-style-type: none"> Insufficient knowledge transfer and handover Degradation in service leading to customer and/or stakeholder dissatisfaction Failure to deliver on objectives and outcomes on the DPMC recommendations 	<ul style="list-style-type: none"> Engaging with Workplace regarding possible future office accommodation needs Onboarding resources have been set up to support new staff joining IMT 	Medium (Possible/ Moderate)		Low (Unlikely/ Minor)
IMT-12	Reporting	Medium (Likely/ Moderate)	<ul style="list-style-type: none"> Unclear whether we know about all the data Business is unaware that they are not to conduct manual reporting 	Visibility and use of the INZ data Risk is that other parts of the business are using reports that are being manually pulled together and we don't know about them.	<ul style="list-style-type: none"> Decisions made on false assumptions Inaccurate information being released to or perpetuated by the media 	<ul style="list-style-type: none"> Working with P&R team to find all the reports and understand what they are being used for SaaS report to determine who has manually pulled reports 	Medium (Possible/ Moderate)		Low (Unlikely/ Minor)
IMT-13	Reporting	Medium (Possible/ Moderate)	<ul style="list-style-type: none"> Inadequate handover of established dashboard reporting for all visa products to the INZ Performance and Reporting team Staff use other reports that have not been QA'd 	Maintaining the Quality of Dashboard Reporting Risk that the INZ Performance and Reporting team is unable to maintain the quality of reporting established by IMT	<ul style="list-style-type: none"> Decisions made on false assumptions Unable to maintain the trust and confidence of the public, key stakeholders, and Ministers Inaccurate information being released to or perpetuated by the media Unable to deliver on DPMC recommendation to develop and maintain dashboard reporting across priority visa types that informs contingency planning 	<ul style="list-style-type: none"> Reporting Lead engaging with Performance and Reporting team on handover 	Medium (Possible/ Moderate)	<ul style="list-style-type: none"> Work with Planning to test whether Reporting can maintain the quality of dashboard reporting as part of the transition plan Incident Controller and Head of Reporting to meet and establish handover plan in Reporting team Tasking and commissioning to be filled in during handover 	Medium (Unlikely/ Moderate)

Appendix 1: MBIE Risk Matrix and Consequence Risk Rating Criteria

		Consequence					Likelihood risk rating criteria		
		Insignificant	Minor	Moderate	Major	Severe	Description	Probability	Frequency
Likelihood	Almost Certain	Medium	Medium	High	Very High	Very High	The event is expected to occur and is almost inevitable	Greater than 95% chance of occurring	< 1 year
	Likely	Low	Medium	Medium	High	Very High	The event is expected to occur in most circumstances	60% to 95% chance of occurring	1-2 years
	Possible	Low	Low	Medium	High	High	The event might occur in some circumstances	30% to 60% chance of occurring	2-3 years
	Unlikely	Very Low	Low	Medium	Medium	High	The event is not expected but could occur in some circumstances	5% to 30% chance of occurring	3-20 years
	Rare	Very Low	Very Low	Low	Medium	Medium	The event may occur but only in exceptional circumstances	Less than 5% chance of occurring	> 20 years

		Consequence risk rating criteria				
		Financial	Service Delivery & Change	Reputation & Trust	People Safety & Security	Legal & Compliance
Consequence	Severe	<ul style="list-style-type: none"> >\$10m Financial impact on business or change related activities, funding, success, shortfalls, costs or savings Impact cannot be managed or contained without additional funding from Government 	<ul style="list-style-type: none"> >48 hour outage or long term delays to high volume and/or business critical services Failure to achieve more than one Ministry or Business Group outcome or priority, to the extent that multiple targets will not be achieved Impact cannot be managed or contained without significant additional resources 	<ul style="list-style-type: none"> Loss of confidence in the Chief Executive and Senior Leaders Irreparable widespread damage to internal and external stakeholder trust and relationships; Extensive targeted media interest Loss or reduction in Ministry's core services or functions 	<ul style="list-style-type: none"> Loss of life and/or physical or mental wellbeing injuries with serious permanent effects; Single or multiple fatality Attrition of several critical roles and/or >17% turnover across the Ministry in 12 month period 	<ul style="list-style-type: none"> Action, omission, or issue resulting in a critical breach, external investigation and prosecution of the Ministry The Ministry is held liable or found to be negligent
	Major	<ul style="list-style-type: none"> \$5m - \$10m Financial impact on business or change related activities, funding, success, shortfalls, costs or savings 	<ul style="list-style-type: none"> 24-48 hour outage or sustained delays to high volume and/or business critical services Failure to achieve one Ministry or Business Group outcome or priority Ministry impacted by significant slippage in business or change activity or service levels Impact cannot be managed or contained without re-planning 	<ul style="list-style-type: none"> Sustained ministerial scrutiny or investigation Temporary adverse impact (widespread) on internal and external stakeholder trust and relationships of significant interest to ministers Targeted media interest Significant increase in parliamentary questions, ministerial and/or Official Information Act enquiries 	<ul style="list-style-type: none"> Multiple physical or mental wellbeing injuries with serious non-permanent effects; Single or multiple serious injury (SI) Attrition of several critical roles and/or >17% turnover in more than one Business Group in 12 month period 	<ul style="list-style-type: none"> Action, omission, or issue resulting in a significant breach and external investigation of the Ministry
	Moderate	<ul style="list-style-type: none"> \$1m - \$5m Financial impact on business or change related activities, funding, success, shortfalls, costs or savings 	<ul style="list-style-type: none"> 4-24 hour outage or intermittent delays to high volume and/or business critical services Business Group impacted by significant slippage in business or change activity or service levels Impact can be managed or contained with resource reallocation and some re-planning 	<ul style="list-style-type: none"> Targeted ministerial scrutiny or investigation Temporary impact on internal and external stakeholder trust and relationships of interest to minister Scrutiny by external bodies/ central agencies Short-term media interest Noticeable increase in parliamentary questions, ministerial and/or Official Information Act enquiries 	<ul style="list-style-type: none"> Short term physical or mental injuries; Lost Time Injury (LTI) Attrition of one or more Key People / critical roles and/or >17% turnover within one Business Group in 12 month period Sustained patterns of wellbeing issues or concerns not being addressed 	<ul style="list-style-type: none"> Action, omission, or issue resulting in a serious breach, external investigation of the Ministry, compliance order and/or other sanction
	Minor	<ul style="list-style-type: none"> \$100k-\$1m Financial impact on business or change related activities, funding, success, shortfalls, costs or savings 	<ul style="list-style-type: none"> A number of brief infrequent service outages or short-term delays Branch impacted by slippage in business or change activity or service levels Impact can be managed or contained within current resources, with some re-planning 	<ul style="list-style-type: none"> Limited media interest and/or coverage Limited impact on internal and external stakeholder trust and relationships Routine parliamentary questions, ministerial and/or Official Information Act enquiries 	<ul style="list-style-type: none"> Short term physical injury; Medical Treatment Injury (MTI); Restricted Work Injury (RWI) Attrition of one or more Key People and/or >17% turnover within a Branch in 12 month period Short term wellbeing issues or concerns not being addressed 	<ul style="list-style-type: none"> Action, omission, or issue resulting in a non-material breach requiring increased internal and external intervention and monitoring
	Insignificant	<ul style="list-style-type: none"> <\$100k Financial impact on business or change related activities, funding, success, shortfalls, costs or savings 	<ul style="list-style-type: none"> One brief isolated service outage or delay Business Team impacted by slippage in business or change activity or service levels Impact can be managed within current resources and does not require re-planning 	<ul style="list-style-type: none"> No media interest or visible adverse local or regional impact Negligible loss of credibility with key internal and external stakeholders 	<ul style="list-style-type: none"> First aid treatment; First Aid (FAI); Early Pain and Discomfort (EPD) Attrition of one or more Key People and/or >17% turnover within a Business Team in 12 month period 	<ul style="list-style-type: none"> Action, omission, or issue (including near miss) that constitutes a non-material breach of a legal obligation