**HRA Corporate Risk Register Overview – Quarter 4 (15/16) – Current Risk status**

**Impact**

**5**

|  |
| --- |
| **Key:****Information Technology risk** **Finance risk** **Social Care risk** **Communications risk** **Reputational risk** **Operational risk** **Risk increased since last quarter** **Risk decreased since last quarter** **HRA Controlled Risk****Risk Partially Controlled****Externally Controlled Risk****HRA Approval risk** **Confidentiality Advisory Group risk**  |

|  |  |  |
| --- | --- | --- |
|  | **HRA Approval****206.** Identification of metrics **(Old risk raised)**  |  |
| **HRA Approval****219.** UK Wide compatibility **344.** Confusion and duplication of activities around local study setup and delivery **324.** Impact on NHS Trust / NIHR CRN metrics**319.** Technical assurance not in place**452.** Confused communication re amendments **(NEW)****456.** Confusing UK wide site level arrangements **(NEW)****Finance 471.** Risk of shift in forecast position **(NEW)****IRAS 468.** Technical / operational requirements not aligned **(NEW)** **CAG** **389.** Unable to effectively deliver CAG’s advisory function on HSCIC dissemination**436.** Unable to deliver CAG functions - staff **(NEW)** **437.** Unable to deliver CAG functions – membership **(NEW)****Comms 282.** Website and intranet out of date**Social Care 288.** Unknown scope and expectations  | **HRA Approval****204.** Substantial change for stakeholders**375.** Acceptance varies due to ongoing information governance work**303.** Insufficient resources to handle new site amendments relating to legacy studies **350.** Acceptance varies due to differing perceptions of impact**362.** Unknown volume of amendments (**Old risk raised)****453.** Impact due to new performance measures **(NEW)** **Reputational risk****376.** HRA and DAs unable to continue to agree on single approach to the handling of operations items **377.** Stakeholders not receiving / understanding info  |  |
|  |  |  |

**4**

|  |
| --- |
| **Removed risks:****Finance 416.** Reduced performance in delivery of financial duties due to growing number of returns**CAG****349.** Additional workload driven by advice provided by HSCIC ahead of position being agreed  |
| **Closed risks:****HRA Approval****372.** Confusion due to gradual roll out for cohort 4 **374.** Organisations not in position to process studies as awaiting finalisation of process   |

**Likelihood**

**5**

**4**

**3**

**3**

**3**

**Likelihood**

**5**

**4**

**Trend analysis**

Commentary:

* A total of 7 new risks were added in Quarter 4 with a further 2 ‘old’ risks raised to the Board which were not considered in the previous quarter.
* In Quarter 4 there continued to be movement in HRA Approval risks with the addition of new risks / closing or reduction of risks, as the programme moved through the final phases of roll out prior to 1st April 2016. Two risks to flag, HRA362 and HRA352 (Approval), relate to issues around amendments with a separate update to be provided as part of the Board meeting.
* HRA349 (CAG) has been removed as its score has reduced to 9 following successful mitigation.
* 2 new risks have been raised HRA436 and HRA437 (CAG) which relate to the risk to the delivery of CAG functions due to staff vacancies and over reliance on long term members. Recruitment however is schedule to help mitigate these risks.
* HRA416 (Finance) has been removed as, although the increase in returns is an issue, it should not prevent the delivery of statutory duties.
* HRA468 (IRAS) has been escalated as it is an important system used externally and therefore a reputational concern if there are any issues between expectations and what is delivered.