**HRA Corporate Risk Register Overview – Quarter 2 2017/18**

**Impact**

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| **Key:**  **SIP risk**  **Finance risk**  **Social Care risk**  **Systems 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** |

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| **SIP 548:** UK wide compatibility affected by SIP  **HRA Approval**  **508.** Researchers perceive different HRA functions to be disjointed  **553.** Stakeholders misunderstand / misinterpret predicted end to end timelines for studies    **Systems risk**  **521:** Lack of clarity re IRAS and HARP developments to align with EU Clinical Trial Portal in time  **522:** Operational process changes and IT Changes following SIP do not align as quick as required | **Transparency / reputation**  **004:** HRA unable to deliver level of expectation within its role to promote transparency  **Finance**  **559.** Long term financial risk  **562.** Unable to deliver strategically important change projects due to insufficient resources | **Social Care 288:** Unknown scope and expectations |
|  | **HRA Approval**  **563.** Sponsors do not follow process and guidance around working with sites **NEW**  **568.** Sponsors do not follow process for ’35 day no objection’ for amendments **NEW** |  |

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| **Removed risks:** |
| **Closed risks:**  **HRA Approval**  **500.** Applicants not following HRA Approval Process |

**Likelihood**

**5**

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**3**

**Likelihood**

**5**

**4**

**Trend analysis**

* A total of nine risks have been escalated to the corporate risk register for quarter 2.
* Two new risks have been added with one risk being removed as it has closed. The closed risk related to applicants not understanding the HRA Approval process however it is now felt through good communication and engagement this risk is no longer an issue. However the two new risks similarly relate to misunderstanding of processes however this time from the aspect of the sponsor with further work to be done to improve understanding.
* Two financial risks have increased since the previous quarter:
  + 559 – Long term financial risk – there remains uncertainty regarding public sector pay increases and the SIP business case did not receive approval
  + 562 - Unable to deliver strategically important change projects due to insufficient resources – SIP business case not approved however a further business case in relation to research systems has been drafted.
* Risk 288 – Unknowns around scope and expectations for social care - has increased due to the OU report not providing relevant information as expected however a further piece of work has been identified to work with universities directly to ascertain what research universities are conducting and at what scale. A further discussion will take place at the upcoming Audit and Risk Committee.
* Two risks in relation to systems have decreased since the last quarter largely due to the PA consulting exercise and the business case drafted for review. Additional resource has also been identified to support the work further.
* Risk 004 relating to transparency has been suggested as a future deep dive by Audit and Risk Committee to consider our role further and understand what the gap may be.