**HRA Corporate Risk Register Overview – September 2016**

**Impact**

**5**

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| **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**  |

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|  | **HRA Approval****206.** Identification of metrics   |  |
| **HRA Approval****452.** Confused communication re amendments**485.** Researchers confused by operational and policy differences across UK **(NEW)****486.** NHS organisations may perceive timelines will be longer and show fall in performance **(NEW)****Finance 471.** Risk of shift in forecast position**CAG** **389.** Unable to effectively deliver CAG’s advisory function on HSCIC dissemination**436.** Unable to deliver CAG functions - staff**Social Care 288.** Unknown scope and expectations **Reputational risk****376.** HRA and DAs unable to continue to agree on single approach to the handling of operations items  | **Comms 282.** Website and intranet out of date**Reputational risk****377.** Stakeholders not receiving / understanding info **HRA Approval****204.** Substantial change for stakeholders**375.** Acceptance varies due to ongoing information governance work  |  |
|  | **HRA Approval****500.** Applicants not following HRA Approval Process **(NEW)**  |  |

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| **Removed risks:****IRAS 468.** Technical / operational requirements not aligned**CAG 437.** Unable to deliver CAG functions – membership **HRA Approval****453.** Impact due to new performance measures **324.** Impact on NHS Trust / NIHR CRN metrics  |
| **Closed risks:****HRA Approval****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 amendment**456.** Confusing UK wide site level arrangements **319.** Technical assurance not in place**219.** UK Wide compatibility **344.** Confusion and duplication of activities around local study setup and delivery  |

**Likelihood**

**5**

**4**

**3**

**3**

**3**

**Likelihood**

**5**

**4**

**Trend analysis**

Commentary:

* A total of 3 new risks were added to the September Corporate Risk Register with 11 risks either closed or removed from the register since the previous quarter.
* There continues to be movement in HRA Approval risks with the 3 new risks and 9 of the 11 closed or removed risks relating to approval, as the programme completed implementation on 31 March 2016 and is now the route for all project-based research to commence in the NHS in England. The new risks largely relate to the potential for confusion over the new processes or the risk of the processes not being followed correctly.
* Two approval risks to flag, HRA362 and HRA303 which relate to issues around amendments have now closed following RES staff categorising amendments and a short term task force to help clear the backlog. However the actions to mitigate the risks have highlighted inefficiency on the wider system for handling amendments with discussions taking place with the Devolved Administrations to identify further solutions.
* Other closed risks relate to working across the UK (HRA219, HRA456, HRA468) with workshops and leads now in place to support UK wide compatibility however there is still further work required to reduce the potential for confusion in differences between countries (new risk HRA485).
* Whilst the score for risk HRA282 relating to the website becoming out of date has increased the Product Delivery Manager is now in post with the project underway to take forward work for the future web direction.
* 2 risks remain relating to CAG (HRA389 and HRA436) however interviews have been held to recruit new staff to CAT to help resolve the risks.