**HRA Corporate Risk Register Overview – Quarter 3 (15/16) – Current Risk status**

**Impact**

**5**

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| **Key:**  **Quality Assurance risk**  **Operational risk**  **Communications risk**  **Reputational risk**  **Social Care risk**  **Information Technology risk**  **Judicial Review risk**  **Estates strategy risk**  **Finance 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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| **CAG**  **349.** Additional workload driven by advice provided by HSCIC ahead of position being agreed  **389.** Unable to effectively deliver CAG’s advisory function on HSCIC dissemination **NEW**  **HRA Approval**  **324.** Impact on NHS Trust / NIHR CRN metrics  **319.** Technical assurance not in place  **350.** Acceptance varies due to differing perceptions of impact (Old risk raised)  **372.** Confusion due to gradual roll out for cohort 4 **NEW**  **374.** Organisations not in position to process studies as awaiting finalisation of process **NEW**  **Social Care 288.** Unknown scope and expectations | **HRA Approval**  **344.** Confusion and duplication of activities around local study setup and delivery  **Finance 416.** Reduced performance in delivery of financial duties due to growing number of returns  **Reputational risk**  **376.** HRA and DAs unable to continue to agree on single approach to the handling of operations items **NEW**  **377.** Stakeholders not receiving / understanding info **NEW**  **Comms 282.** Website and intranet out of date  **HRA Approval**  **204.** Substantial change for stakeholders  **219.** UK Wide compatibility (Increased)  **303.** Insufficient resources to handle new site amendments relating to legacy studies  **375.** Acceptance varies due to ongoing information governance work **NEW** |  |
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| **Removed risks:**  **HRA Approval**  **353.** Acceptance and understanding by RECs and sites of radiation process is inconsistent  **352.** UK-wide compatible process implementation challenging fortechnical assurance components  **IT 099.** Significant issues affecting HRA business operations |
| **Closed risks:**  **HRA Approval** **325.** Controlled roll out of HRA A not understood  **JR 341.** Outcome requires additional work - impact on BAU  **CAG 348.** Unable to effectively deliver new advisory function pending National Data Guardian review on consent/objections |

**3**

**Likelihood**

**3**

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**Likelihood**

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**4**

**Trend analysis**

A total of 17 risks were escalated to the Corporate risk register in Q3 (15/16) in comparison with 16 in Q2 (15/16).

A total of 3 risks were removed from the Corporate risk register as EMT agreed they no longer required flagging to Board with a further 3 risks closed. A total of 6 new risks were added to the register. One further risk, 350, had been on the EMT register in the previous quarter and was escalated this quarter. The majority of new risks added and removed relate to HRA Approval however there are two risks (376 & 377) flagged by EMT which related to reputational risks in working with stakeholders and ensuring UK wide compatibility. Two risks have risen since last quarter – risk 282 relating to the website and 344 relating to HRA Approval and duplication of activities around local study set up and delivery. EMT however is confident the mitigations are sufficient for the risk relating to the website with ongoing meetings and closer interfacing in place for risk 344.

CAG Risk 348 has been closed however it has been replaced with a similar risk 389 with greater specificity. Also of note, risk 341 relating to the judicial review has been closed.

Of the 17 risks on the Corporate risk register at the end of Q3 (15/16) the majority of risk are relatively new to the register (0-3 months).

Of the risks on the register over 12 months, 282 relates to the website becoming out of date or inaccurate. Please note however recent improvements have successfully been made to the front page of the website.

The remaining 2 risks over a year old relate to HRA Approval which is a considerable programme of work for the HRA and poses a significant reputational risk to the organisation. These risks relate to fundamental aspects of the programme such as the perceived extent of change (HRA204) and operational differences between countries which present navigational challenges (HRA219). These risks will likely remain on the Corporate risk register whilst HRA Approval continues to roll out. EMT however is satisfied with the level of residual risk following mitigation.