

HRA CORPORATE RISK REGISTER: Risks 12 and above accepted by EMT

Version Control	Version	Aug-14	Board	Stephen Tebbutt	Date	18/08/2014
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HRA Risk Ref	Previous risk reference	Risk type	Date Raised	Last Reviewed	Risk Description	Timing	Likelihood	Impact	RAG Status & Trend	Status Change	Risk Owner	Risk Mitigation and Intended Impact	Action Owner	Due date for actions	Target residual risk RAG status	Impacted Projects / Areas	Escalated	Assurance sources
HRA074	CAT04	CAG Process		16/07/2014	Risk: Effort required to support precedent/contentious applications disrupts from delivery of normal service Cause: Poor quality submissions due to external priorities Effect: Support to applicant and reputation management disproportionate and diverts from internal strategic developments	Imminent	3	4	16	↑↑	JK	RM1: Agreement from EMT onlines to take booking process and capping implemented May 2014 RM2: Active communication with key stakeholders to confirm arrangements RM3: Active engagement with HRA comms to manage media interest and reputation management effectively RM4:	ND	May 14	6			
HRA181	CAT15		16.7.14	N/A	Risk: CAG unable to deliver new advisory role to HSCIC under Care Act 2014 to public expectations. Cause: external inaccurate HSCIC media reporting; advice scope undefined & inability to deliver to expectation; unknown number of HSCIC applications with impact on resource requirement planning; insufficient resource/expertise to process new HSCIC applications. Effect: Loss of credibility in HRA CAG role and destabilisation of current process.	Imminent	4	4	16	New	ND	RM1: DH & HRA Exec team involvement in meetings joint workshop scheduled 12 August 2014 RM2: HRA resource to be provided to support project mgmt. (September 2014) RM3:						
HRA182	CAT16		16.7.14	N/A	Risk: Unlawful processing inadvertently takes place due to unassessed historical annual reviews. Cause: Historical lack of capacity to undertake annual reviews assessment (approx. 350) recorded on public register; insufficient technical availability & capacity to currently absorb activity; potential to exceed maximum capacity of CAG meetings Effect: reputational impact for HRA, data controllers potentially operating unlawfully & subsequent reputational/operational handling impact; reduction of public trust in approval process	Imminent	4	4	16	New	ND	RM1: Annual review assessment project in progress to generate robust process (end August completion) RM2: Efficient temporary resource required for 1st stage RM3: Models of handling to be considered						
HRA203	App19	Approval	23/06/2014		Risk: Timing of implementation may be longer than anticipated by stakeholders Cause: Timetable for implementation is dependent on development of complex information systems Effect: Impact on HRA reputation	Medium	4	5	20	New	JMe	RM1: Using proven supplier RM2: Contracting arrangements agreed RM3: DH-CRN-HRA interdependencies board RM4: Interim arrangements not reliance on IS	JMe	On-going	12	HRA Approval		HRA approval Programme Board
HRA206	App22	Approval	23/06/2014		Risk: Identifying metrics to demonstrate rapid success against baseline to show the value of the HRA Approval programme Cause: Changes to definitions mean using baseline metrics (70 day or CRN metrics) are not compatible Effect: Stakeholders and government may not perceive HRA to have achieved aims of programme	Medium	4	5	20	New	JMe	RM1: Use funder and industry timelines which currently measure more of the process in the UK RM2: Use case study examples of improvement as early good news stories RM3: use evidence of front line savings through the early clinical review roll out	JMe	On-going	10	HRA Approval		HRA Approval Programme Board
HRA221	App37	Approval	23/06/2014		Risk: Underspend in 2014/15 may be significant Cause: Timing of funding decision did not permit any planning in advance of start of financial year and budget requested was on basis of advance planning Effect: Funding for 2015/16 may be reduced	Long Term	4	5	20	New	DC	RM1: Front loading of change management and product definition RM2: Front loading of development of resources eg learning materials to make use of budget available	JMe	March 2015	12	HRA Approval		Budget meetings HRA Approval Programme Board ALB Finance meetings DH Sponsor meetings
HRA222	App38	Approval	21/07/2014		Risk: HRA Approval may not be accepted Cause: Quality of products or quality assurance of processes is inadequate Effect: Benefits of HRA Approval in reducing duplication and simplifying approvals will not be achieved	Long Term	3	4	12	New	JMe	RM1: Involvement of QA team in design RM2: Stakeholder engagement in design	JMe	March 2015	8	HRA Approval		HRA Approval Programme Board