

<b>Meeting title:</b>	UHL Trust Board					
<b>Date of the meeting:</b>	14 August 2025					
<b>Title:</b>	East Midlands RRDN Quarterly Board Report					
<b>Report presented by:</b>	G Xu/D Barnes, Deputy Medical Director & E Moss, Network Director, East Midlands RRDN					
<b>Report written by:</b>	E Moss, Network Director, East Midlands RRDN and C Sheppard, Corporate Services Manager, East Midlands RRDN					
<b>Action – this paper is for:</b>	Decision/Approval	X	Assurance	x	Update	
<b>Where this report has been discussed previously</b>	East Midlands RRDN Host Governance Group on 31 July 2025.					

**To your knowledge, does the report provide assurance or mitigate any significant risks? If yes, please detail which**

The purpose of the report is to provide assurance against the RRDN Host Contract. The report does not relate to any significant risks.

**Impact assessment**

N/A

**Acronyms used:**

ARDT - Agile Research Delivery Team  
 DHSC - Department of Health and Social Care  
 ICBs - Integrated Care Boards  
 NIHR - National Institute for Health and Care Research  
 R&D - Research & Development  
 RDN - Research Delivery Network  
 RRDN - Regional Research Delivery Network

**Purpose of the Report**

The purpose of this report is to provide an update on current RRDN priorities and assurance regarding the latest RRDN financial position and risks & issues.

University Hospitals of Leicester (UHL) NHS Trust is the Host Organisation for the National Institute for Health and Care Research (NIHR) East Midlands Regional Research Delivery Network (RRDN). UHL is contracted by the Department of Health and Social Care (DHSC) to take overall responsibility for the monitoring of governance and performance of the Network.

**Recommendation**

We would welcome the Trust Board's input to review our report and provide any comments or feedback you might have. Furthermore, the RRDN Governance Framework (Appendix 2) was approved at the RRDN Host Governance Group on 31 July 2025 and is recommending this for formal approval by the Trust Board.

## **Summary**

This report provides an update on recent progress and current priorities for the RRDN. This includes implementing the new structure for our Agile Research Delivery Team, an update on NIHR impact & performance and details of some challenges that are currently having an impact on research in charity and community organisations. For assurance purposes, the report also includes information pertaining to the RRDN 2025/26 financial position and an update on key risks & issues.

Appended to this report are our latest Finance update report, RRDN Governance Framework and current risks & issues register.

## **Main report detail**

### **1. RRDN progress and priorities**

#### **i) RRDN progress update**

Following the implementation of national change for the RRDN Management Team and Regional Specialty and Settings Leads (RSSLS) over the last year, we are now in the position of implementing a new organisation structure for the Agile Research Delivery Team (ARDT). This team includes a range of clinical and other staff who enable and directly support the delivery of NIHR studies across a wide range of health and care specialties and settings.

This final stage informing our new organisational structure marks an important milestone in our transformation. It will enable us to more effectively work as one organisation, offering consistent services across the whole of England which supports research to reach the people, communities and health and care organisations that will most benefit.

Alongside the other 11 regional networks, our ARDT implementation plan was submitted to the RDN Coordinating Centre on 2 June 2025 and was subsequently approved. UHL HR colleagues along with the RRDN Leadership Team are developing a formal Management of Change (MOC) process to implement the new nationally-defined Agile Team structure. The consultation period is planned to take place between 4 August 2025 and 15 September 2025. The consultation will provide an opportunity for staff to review the proposal and share any feedback or suggestions for changes. Staff will also be supported through one-to-one consultation meetings. It is expected that the new team structure will be implemented in January 2026.

It is acknowledged that these changes are causing concerns and uncertainty for the current Agile Team staff. This has been formally recorded as an issue (I04) on the RRDN issues register (see section 4).

#### **ii) NIHR Impact and future reporting**

A key focus for the RDN, and the NIHR more broadly, is to deliver and demonstrate the impact of the work we do. We have a responsibility to ensure we are making the best use of our funding so that it contributes to improving health and care for the whole population, through research. It is also important that we articulate this impact to DHSC and Treasury in order to continue to make the case for future investment into the NIHR in a pressured economic environment.

## Public Trust Board paper N

As part of the 2025 Spending Review settlement, DHSC will receive £9.8 billion for R&D over the period 2025/26 to 2029/30; this funding will support R&D through the NIHR, Genomics England and the Office for Life Sciences. It will ensure research can provide the evidence needed to support the delivery of the NHS 10 Year Plan and wider government missions. This investment in research can be seen as a positive outcome given the wider financial pressures at this time and it reaffirms the importance of capturing impact.

The NIHR has recently published the 2024/25 Annual Report which details a huge range of achievements. The research we lead and contribute to in the region, and across England is hugely impactful, from pioneering new approaches to preventing ill health, to enabling earlier diagnosis, faster treatment, ultimately, reducing waiting times and enhancing the effectiveness of care. NIHR research has also shown to support economic growth, including thousands of jobs across the life sciences sector and attracting crucial investment into the UK; for every £1 invested by the government, NIHR research delivers a return of over £13 in wider economic benefit. The full report can be found [here](#).

## Three strategic shifts



We anticipate future reporting for the RDN will align to the 'three shifts' set out in the NHS 10 Year Plan. To prepare for this, we will be working with delivery organisations and wider stakeholders to develop robust reporting and consider different ways to visualise data and case studies. In readiness for this, we have summarised some of our current work against these shifts.

## A shift from 'hospital to community':

Further evaluation of Network strategic funding for mobile research units and those who work on them, across Nottinghamshire and Derbyshire. This helps in making research more accessible in locations convenient to research participants, such as shopping centres and car parks, rather than a requirement for hospital visits.

## A shift from 'analogue to digital' and 'hospital to community':

Be Part of Research - NIHR's flagship recruitment service - is a free, quick and simple way for people to register and take part in research with nearly every major health condition represented. The service has over 600,000 people registered to date, and has recently formally launched to the public; in the East Midlands we will be actively promoting this, with a view to increasing overall numbers and diversity of those signing up to this service.

## A shift from 'treatment to prevention':

Through strategic funding, we have invested within General Practices to support early intervention and prevention, aligning with the NHS Long Term Plan goals. This includes investment in Community Health Navigators, who help to raise awareness around prevention and early detection across a range of communities.

## Performance

At present, due to the fairly recent formation of the RDN, and change of government in this time period, national RDN performance metrics are not confirmed. However, we are working to ensure the RDN is supporting the UK Clinical Research Delivery Performance (UKCRD) Indicators, published monthly by DHSC, along with the recently heralded 150 day set up timelines for clinical trials announced by the Prime Minister.

Over coming months, the RDN Board will also be confirming performance elements within the new funding model for delivery organisations, and examining ways to demonstrate effective value for money. Considering all of this, measures will be developed in due course, which will aid our reporting here to the Trust Board, and provide assurances around East Midlands RRDN performance within this context.

### iii) Challenges across the health and care environment

The current financial climate across the health and care system is creating challenges for research delivery in some organisations. At present, this has been particularly difficult across our Charity and Community organisations, resulting in some hard decisions, impacting the research workforce. This is creating some concern and could impact our ability to grow and deliver research in these important settings. One of the key ambitions of the RDN is to support the participant's journey through the health and social care system, at the right time and in the most appropriate setting.

Over the past few months we have been working with two delivery partners to explore various different ways to try to ensure research can continue to be delivered and supported as they face financial and wider pressures. In addition, recent budget cuts and planned changes to Integrated Care Board (ICBs) are likely to further reduce capacity and capability for supporting research across the system. We have built up strong relationships with our five ICBs, and intend to look for ways to continue to support the role they may have in the future with respect to research.

It is recognised we are operating in an environment of change and envisage that we may well continue to encounter further challenges across the system that may have an impact on research. However, we will continue to engage proactively with our partners and explore different ways of working to support research delivery where required.

## 2. Financial Position

Our latest Host finance report is attached at Appendix 1. This report provides an update on our latest financial position for 2025/26, with a balanced year end position currently forecast, in line with DHSC requirements.

## 3. RRDN Governance Framework

The East Midlands RRDN Governance Framework (Appendix 2) describes the RRDN's scheme of delegation, Board controls and assurances, financial management, assurance framework, risk management system and escalation process for the management of the RRDN. This document was approved by the East Midlands RRDN Host Governance Group on 31 July 2025 and is recommended for approval by the Trust Board.

#### 4. Risks & Issues

Risks and issues are formally reviewed through the RRDN Host Governance Group chaired by Andrew Furlong. A risks & issues register is maintained with risks/issues discussed and mitigating actions agreed; this is shared periodically with the NIHR RDN Coordinating Centre (RDN CC).

Risks and issues are recorded on the RRDN register (Appendix 3) as follows:

- **Risk: R06** - There is a risk of delays in recruiting to new RRDN Central team posts externally due to current Host HR restrictions. This is no longer a concern and this risk has been closed on the register.
- **Risk: R07** - There is a risk of delays / inability to recruit to RDN funded research delivery posts across all partners due to recruitment freezes/restrictions, thus impacting research delivery. As outlined above, there are challenges across the health and care environment, although currently this is not having any material impact and appropriate mitigations are in place. We will continue to monitor this through our Senior Team Links. This risk is scored as unlikely with moderate impact, giving a relatively low risk rating overall.
- **Risk: R08 (NEW)** - There is a risk that patient identifiable information, or commercially sensitive information, may be uploaded to the NIHR system by a UHL employed East Midlands RRDN member of staff. This relates to a national app the staff member has been developing, where users from across the UK can upload data. DHSC is the data controller for this data, however, given the involvement of a UHL employed member of staff, UHL support may be required should this risk materialise. There is a plan to rebuild the app and move this to a shared account, which will remove this risk. However, this will take a minimum of six months due to the complexity involved. To mitigate this risk, some changes have been made to the app recently which will reduce the amount of data being uploaded. Furthermore, the staff member involved is trained in data protection & information governance and is aware of the appropriate actions to take in the event of any sensitive data being uploaded. This risk is scored as unlikely with minor impact, giving a low risk rating overall.
- **Issue: I04** - The national project to review the configuration of the Agile workforce is causing uncertainty/instability for the RRDN Agile Research Delivery team. This is having a negative effect on staff morale, is impacting staff retention and inability to reappoint in the short term, affecting capacity. This could also lead to reduced performance with respect to research delivery. The management of change process for the team will commence in early August and this should provide some clarity on the future arrangements. Regular updates are being communicated to support the team along with opportunities to raise questions and concerns. This issue continues to be rated as medium priority with moderate severity.
- **Issue: I05** - The RRDN team is expected to move over to the 'No Purchase Order No Pay' system. Whilst meetings have progressed with the Purchase to Pay Team unfortunately the current proposal does not present a workable solution due to the apparent constraints of trust systems and processes, and the way the Network is required to operate. Following a period of exploratory work supported by the Procurement and Accounts Payable teams, it has been agreed for the RRDN to proceed with a business as usual position. Assurance has been provided that this fulfils the Trust's corporate requirements. This issue has been closed on the register.

If you have any questions about this report or require any further information, please contact:

- Elizabeth Moss, Network Director, [elizabeth.moss@nihr.ac.uk](mailto:elizabeth.moss@nihr.ac.uk) or
- Carl Sheppard, Corporate Services Manager, [carl.sheppard@nihr.ac.uk](mailto:carl.sheppard@nihr.ac.uk)

### **Supporting documentation**

- Appendix 1 – Finance update report
- Appendix 2 – RRDN Governance Framework – for approval
- Appendix 3 – Risks & issues register

## RRDN EM Finance Update – 25/26 Forecast Outturn

**REPORT TO: UHL Host Governance Group**

**DATE: 23 July 2025**

**FROM: Mahendra Wadhwa, (Head of Financial Management -R&I & Host Finance Lead)**

### 1. Purpose

This report provides an update on the 25/26 in year position and an explanation of any significant variances to the annual plan with relevant information in relation to the financial management of RRDN.

### 2. Forecast Outturn Position

The table below summarises the actual to date position and forecast outturn for the quarter one position, April to June 2025. The summary provides a breakdown of the expenditure plans against the funding allocation categories. These align with reporting requirements to the NIHR Co-ordinating Centre. RRDN is forecasting a balanced position as at quarter 1.

	Funding Allocation (Plan)	Forecast Outturn as at June 2025	VARIANCE Under/(Overspend)	Comments
	£ 000's	£ 000's	£ 000's	
Fixed RRDN Team	3,293.9	2,838.2	456	Variance due to vacancies across management team that are being filled post Management Of Change. Currently reviewing where this variance will be allocated to supported delivery at a site level in line with virement limits *.
Total Agile costs	2,549.1	2,549.1	0	RRDNs have been instructed by DHSC to rebalance any underspends in this category to cover Exceptional payments for all RRDNs. There forecast includes £638,176 underspend. The allocation will be adjusted to match expenditure
<b>RRDN Staff Sub-Total</b>	<b>5,843.0</b>	<b>5,387.3</b>	<b>456</b>	
Host Services	494.1	534.4	(40.2)	Overall costs are still being finalised. Paget House currently costs are an estimate whilst awaiting SLA finalisation.
LPMS (Local Project Management System)	188.0	188.0	0	Fixed cost matched to allocation as detailed as part of the LPMS contract
<b>Host Services Costs Sub-Total</b>	<b>682.1</b>	<b>722.4</b>	<b>(40.2)</b>	
Fixed Prospective Allocations	20,517.9	20,010.2	508	The current forecast underspend will be used to support Delivery Organisations in due course, plans currently being finalised.
Clinical Support Services	392.9	655.3	(262.4)	Quarterly reporting will transfer the balancing figure to fixed prospective allocations as only allowed to spend within the original allocation provided.
Pharmacy Capacity Funding	276.3	276.3	(0.0)	DHSC Pass through funding that is reported from an impact perspective
Support for delivery to NHS sites	0.0	348.4	(348.4)	Estimate of required amount to support research delivery at NHS sites. Final figure to be confirmed.
<b>Research Delivery Support to Sites Sub-Total</b>	<b>21,187.1</b>	<b>21,290.2</b>	<b>(103.1)</b>	
Strategic Development	1,200.2	1,512.6	(312.3)	Current estimate of overall strategic commitment across 3 areas of strategic development.
RRDN Transition Exceptional costs	5.4	5.4	0	
ETC Service Funding	17.2	17.2	0	
<b>Other Sub-Total</b>				
<b>Total</b>	<b>28,935.1</b>	<b>28,935.1</b>	<b>0</b>	

\*Note: RRDN are allowed to vire up to 1% of the overall allocation between funding categories without authorisation from the NIHR Coordinating Centre (up to £290k)

### **3. Other Updates**

#### **3.1 No Purchase Order No Pay Policy**

RDN team with the support of Procurement and Supplies, a business as usual position has been reached. RDN fulfils corporate requirements with the No PO No Pay policy.

- POs in place for routine every day running of the service.
- Payments to GP surgeries and any other high volume payments are on BACs payments systems and no need for POs to be in place.
- A Pilot was underway to support full implementation. Although this has progressed to a degree, given a significant proportion of this activity relates payments other NHS organisations -which currently remains on the exemptions list, there is no further benefit to progressing this pilot. Although it is recognised that the exemptions list may at some point be revised, but at this point in time, we have reached a business as usual position, RDN has taken steps to ensure compliance.

#### **4. Recommendations**

The Host Governance Group is asked to note the forecast outturn position and the progress made to comply with the No Po No Pay policy.



## NIHR East Midlands RRDN University Hospitals of Leicester NHS Trust

### Version Control

<b>Title</b>	East Midlands RRDN Governance Framework
<b>Current Version and Version No.</b>	1.0
<b>Prepared By</b>	Carl Sheppard, Corporate Services Manager
<b>Date</b>	25 July 2025
<b>For review by</b>	East Midlands RRDN Host Governance Group

### Previous Version History

<b>Previous Version</b>	N/A	
<b>Reviewed by:</b>	N/A	
<b>Next review due</b>	July 2026	

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# 1. Introduction

- 1.1 The purpose of the NIHR Research Delivery Network (NIHR RDN) is to support the successful delivery of high quality research, as an active partner in the research system and increase capacity and capability of the research delivery infrastructure for the future.
- 1.2 The formal name of the RRDN in the region is NIHR East Midlands RRDN (the RRDN). University Hospitals of Leicester NHS Trust (the Trust) hosts the Network on behalf of the Department of Health and Social Care (DHSC) and delivery organisations in the East Midlands region (Derbyshire, Leicestershire, Lincolnshire, Northamptonshire, Nottinghamshire and Rutland).
- 1.3 The Trust is committed to providing safe high quality care and has developed a range of policies, systems and processes which together comprise robust and integrated Financial Management, Assurance and Escalation, and Risk Management Frameworks. The principles of which have informed this document to ensure high-level, informed accountability of the Trust Board for the good governance of the RRDN.
- 1.4 The RRDN was launched on 1 October 2024. This document describes the processes and controls established by the RRDN to ensure good governance. This document provides governance assurances for delivery of the DHSC/Host organisation contract and NIHR RDN Performance & Operating Framework (POF) and associated POF Support Pages (PSPs).

## 2. Purpose

- 2.1 This framework describes the East Midlands RRDN's Scheme of Delegation, Board controls and assurances, financial management, assurance framework, risk management system as agreed by the RDN Board and escalation process for the management of the East Midlands RRDN.
- 2.2 This framework will be reviewed by the East Midlands RRDN Host Governance Group on an annual basis to ensure compliance with the DHSC/Host organisation contract and to adhere to any specific procedures of the Host.

## 3. General Principles

- 3.1 The East Midlands RRDN Host Organisations' Chief Executive Officer, Richard Mitchell is the Accountable Officer for the DHSC/East Midlands RRDN contract, and therefore accountable for the delivery against and compliance with the contract.

- 3.2 The Trust Board is accountable for the good governance of the RRDN. The Board should apply, in a proportionate and appropriate way, the principles of good governance and thereby promote:
- a) robust, transparent and accountable governance;
  - b) effective and supportive hosting arrangements;
  - c) effective and proportionate contracts with Delivery organisations and any other organisations in receipt of East Midlands RRDN funding or resources;
  - d) responsible financial management including budgetary control and the production of financial reports;
  - e) a structure that ensures effective local performance management;
  - f) partner participation and engagement, research delivery and value for money.
- 3.3 The Trust Board shall decide the arrangements for monitoring and assurance in respect of East Midlands RRDN contract compliance and research delivery, subject to these minimum requirements:
- a) The Board approves the East Midlands RRDN Governance Arrangements;
  - b) The Board approves the East Midlands RRDN Scheme of Delegation and maintains a Scheme of Delegation document in relation to the East Midlands Hosting function, that sets out the key matters that are delegated, and the individual or committee/board to whom authority is delegated; and
  - c) The Board receives the East Midlands RRDN Annual Report.
- 3.4 The Host, along with the East Midlands RRDN Leadership team, are responsible for developing governing structures, systems, terms of reference and local working practices for the East Midlands RRDN. The specific governance arrangements are detailed in this framework and in respect of:
- The Accountable Officer
  - The Nominated Executive Director
  - Scheme of Delegation and Host Board controls and assurances
  - Financial Management
  - Assurance framework and risk management system
  - Escalation process
  - East Midlands RRDN Leadership and Management Groups.
- 3.5 NHS patients and the public are key stakeholders in NIHR RDN research and are to be included in East Midlands RRDN governance arrangements. Patient or public representatives will be included in the agreed membership of the East Midlands RRDN Stakeholder Group.
- 3.6 East Midlands RRDN governance arrangements are required to be formally signed off by the Host Trust Board.

## 4. Executive Leadership Team

- 4.1 The RRDN **Accountable Officer** is the Trust's Chief Executive Officer, Richard Mitchell.
- 4.2 The Nominated **Executive Director** for the RRDN is the Trust's Medical Director, Mr Andrew Furlong.
- 4.3 The Trust has appointed Elizabeth Moss as the East Midlands RRDN **Network Director (ND)**. The Network Director is the senior accountable officer for the East Midlands RRDN and is responsible for overall leadership, management and performance of the East Midlands RRDN, reporting to the Nominated Executive Director and the RDN Board.
- 4.4 The Host has appointed Daniel Kumar as the East Midlands RRDN **Operations Director (OD)** who is responsible for the operational delivery of the contract and overall strategic and operational management of the network, which includes responsibility for the conduct, performance, financial control and governance of the East Midlands RRDN. The OD reports to the East Midlands RRDN Network Director. The Trust understands that it is a contractual obligation to ensure that the OD is a Host Organisation employee.
- 4.5 The Host has appointed Kaatje Lomme as the East Midlands RRDN **Strategic Development Director (SDD)** who is responsible for the development, delivery and implementation of RRDN strategic plans to build research capacity and capability at organisational and regional level with particular emphasis on addressing the needs of the life sciences industry (across both commercial contract and commercial collaborative research). The SDD reports to the East Midlands RRDN Network Director. The Trust understands that it is a contractual obligation to ensure that the SDD is a Host Organisation employee.
- 4.6 The Host has appointed Professor Azhar Farooqi and Dr Kenny Sunmboye as the East Midlands RRDN **Health and Care Research Co-Directors (Medical)** and Alison Cowley (NMAHP) as the **Health and Care Research Director (NMAHP)**. The RRDN Health and Care Research Directors are responsible for working with health and care professional leaders to support the development of research delivery leadership and associated staff.
- 4.7 The governance responsibilities of the Executive Leadership Team are to:
  - a) ensure effective oversight of East Midlands RRDN delivery activities in line with the agreed governance requirements within the DHSC/Host organisation contract and Performance and Operating Framework;
  - b) ensure any activities are carried out as may be necessary for the proper governance of the East Midlands RRDN;
  - c) ensure that a proper and auditable process is developed and executed

- for the fair and effective distribution of East Midlands RRDN funding;
- d) be available for regular meetings as an Executive Leadership Team;
- e) support scrutiny and transparency, for example by providing any information as required for the internal auditors, and attending the audit committee of the Trust as requested;
- f) ensure the timely delivery of performance and other reports;
- g) support the Host by adhering to any local governance requirements, such as the local standing financial instructions and all relevant national NHS requirements;
- h) convene regular RRDN governance group meetings;
- i) make freely available to the Trust and all Delivery organisations, as requested, any information that is not commercial and/or in confidence and in line with national NHS policies
- j) manage the East Midlands RRDN so as not to compromise either the Host Organisation or Delivery organisations through reasons of conflicting issues such as competition law or data protection.

## 5. RRDN Management Group

### 5.1 The RRDN Management Group consists of:

- The **Network Director** who has local overall responsibility for the East Midlands RRDN reporting to the Nominated Executive Director and the RDN Board.
- The **Operations Director** who has overall responsibility for the operational services at RDN and RRDN level
- The **Strategic Development Director** who has overall responsibility for the development, delivery and implementation of RRDN strategic plans to build research capacity and capability at RDN and RRDN level
- The **Health and Care Research Director (NMAHP)** and the **Health and Care Research Director (Medical)** who are responsible for working with health and care professional leaders to support the development of research delivery leadership and associated staff
- **The Head of Strategy, Research Engagement and Inclusion** who has overall responsibility for coordinating and delivering regional responses to key RDN strategies, ensuring all engagement and inclusion opportunities are considered synergistically, supported and optimised for all stakeholders.
- The **Life Sciences Key Account Manager** who has responsibility to develop and manage relationships with Life Sciences companies, and the NIHR wider stakeholders within the clinical research environment including non-commercial funders and other parts of the research ecosystem to attract and grow clinical research delivery in the UK.
- The **Head of Partner Liaison and Planning** who has responsibility for liaising with NIHR Research Delivery Network (RDN) research Delivery Organisations (organisations delivering RDN portfolio research) and other partners in the regional research delivery system and has oversight of the Regional RDN (RRDN) Study Support Service.

- The **Head of Research Delivery and Support for Out of Hospital Settings** who has responsibility for the strategic oversight, deployment and delivery capabilities of the RRDN's Agile Research Delivery Team and co-lead the work of the Study Support Service Team with a focus on out of hospital settings.
- In addition, the group includes the Corporate Services Manager, Data and Analytics Senior Manager, Finance Manager, Research Operations Manager (Out of Hospital Settings), Research Engagement and Inclusion Senior Manager, Study Support Service Senior Manager, Workforce and People Senior Manager & Workforce Operations Manager.

5.2 The governance responsibilities of the RRDN Management Group are to:

- Deliver the management and operational activities of the RRDN, in line with any agreed governance requirements;
- Support the RRDN Executive Leadership Team to ensure that activities are carried out as may be necessary for the proper governance of the RRDN;
- Ensure delivery of RRDN Services and Functions in accordance with any agreed governance requirements.

5.3 The organogram for the East Midlands RRDN Management Team, which illustrates the RRDN leadership structure, is included in the link below:

- [Organogram for the RRDN Management Team](#)

### **RRDN Specialty and Setting Leads**

The NIHR RDN has adopted a framework of 29 Specialties and 4 Settings for the purposes of engagement with research communities and to enable strategic oversight of the NIHR RDN research portfolio.

**Table 1. RDN Specialties and Settings**

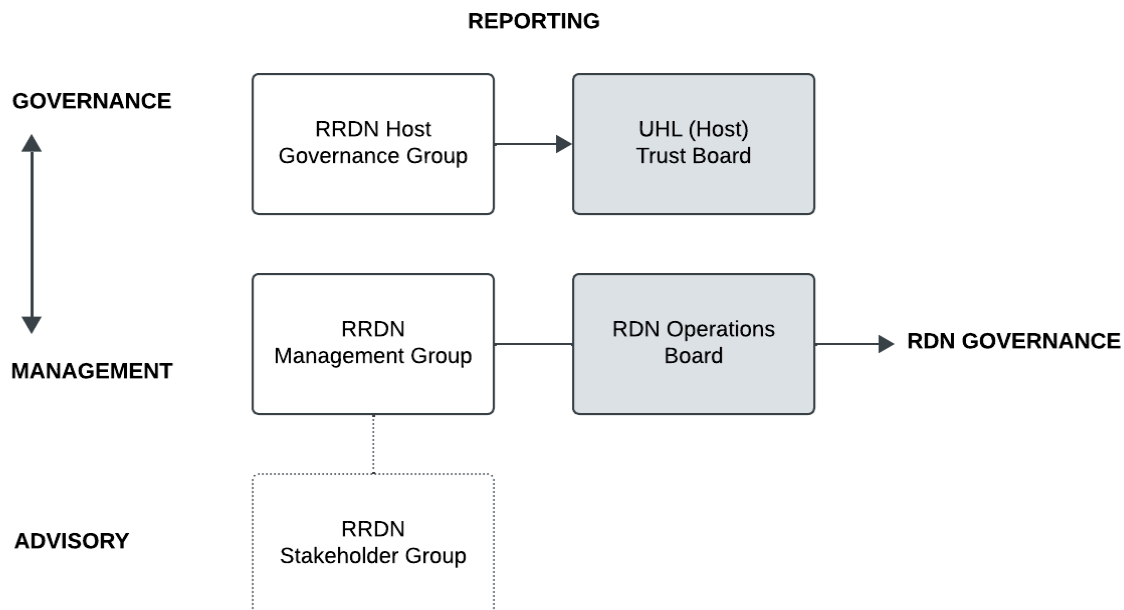
<b>Setting</b>	<b>Appointed</b>
Community	Dr Zoebia Islam
Hospitals	Professor Elaine Boyle
Primary Care	Dr Simon Royal
Residential	Professor Martin Orrell

<b>Specialty</b>	<b>Appointed</b>
Ageing	Dr Jatinder Minhas
Anaesthesia, Perioperative Medicine & Pain Management	Dr Hakeem Yusuff

Cancer	Dr Rajini Sudhir
Cardiovascular	Professor Gerry McCann
Children	Professor Shalini Ojha
Critical Care	Dr Dan Harvey
Dementia and Neurodegeneration	Dr Akram Hosseini
Dermatology	Dr Lisa Kirby
Diabetes, Metabolic and Endocrine	Dr Narendra Reddy
Ear, Nose and Throat	Professor Raguwinder (Bindy) Sahota
Gastroenterology and Hepatology	Dr Ajay Verma
General Practice	Dr Umar Abdulmajid
Haematology	Dr Mamta Garg
Imaging	Dr Carolyn Costigan
Infection	Professor Manish Pareek
Mental Health	Dr Sudheer Lankappa
Musculoskeletal & Orthopaedics	Dr Maumur Durrani
Neurology	Dr. Radu Tanasescu
Ophthalmology	Professor Anthony King
Oral and Dental	Dr Bhupinder Dawett
Palliative Care	Dr Chris Williams
Public Health	Professor Elizabeth Orton
Renal	Professor Nick Selby
Reproductive Health & Childbirth	Dr Kerry Evans
Respiratory	Professor Chris Brightling
Social Care	Professor Mo Ray
Stroke	Professor Tim England
Surgery	Mr Ravi Vohra
Trauma and Emergency Care	Professor Frank Coffey



## 6. RRDN Governance Structure



### Terms of Reference for RRDN governance groups

[Host Governance Group](#)

[RRDN Management Group](#)

[RRDN Stakeholder Group](#)

## 7. Host Board Controls and Assurances

7.1 The Trust Board will agree to review and/or sign off the following RRDN activities:

- Receipt of the East Midlands RRDN Annual Business Plan/s and Finance Plan for approval;
- Receipt of an East Midlands RRDN Annual Report for approval;
- Submission of the Annual Business Plan/s, Finance Plan and Annual Report to the RDNCC for approval.
- Provision of the approved Annual Business Plan/s, Finance Plan and Annual Report to all the members of the RRDN Stakeholder Group;
- Report to Trust Board on delivery against Plans, including key performance indicators, and risks and issues.

7.2 The RDN will work to a single RDN Annual Plan in respect of national priority activities. The East Midlands RRDN Leadership Team is expected to contribute fully to the

development of the national plan. Where appropriate East Midlands RRDN will supplement this with a regional plan to support local implementation.

- 7.3 The Trust, as Host Organisation, has an obligation to ensure the proper management of the RRDN in terms of compliance with the governance framework and processes of the Host, including human resources, standing financial, audit and standards of business conduct instructions. The Trust shall ensure that internal policies and standing financial instructions, as they affect the RRDN, do not unreasonably diminish the efficient management of the RRDN. A Host Service Level Agreement has been produced to set out the requirements for corporate services provided to the RRDN (HR, Estates & Facilities, Finance, IM&T). This Agreement should be reviewed at a minimum once per fiscal year.
- 7.4 The Trust, as Host Organisation, shall ensure that the RRDN is run in accordance with relevant laws and regulatory requirements, relevant national NHS policies and requirements, and the NHS Constitution.
- 7.5 To facilitate effective arrangements the RRDN is expected to agree a standard schedule of reports from the Host e.g. quarterly expenditure reports to ensure compliance with the RDN contract / PSP requirements.

## 8. Financial Management

- 8.1 The Trust, as Host Organisation, receives the allocated funding for East Midlands RRDN via the DHSC/Host Organisation Agreement.
- 8.2 The Trust, as Host Organisation, has an obligation to use the funding solely for development and delivery of East Midlands RRDN activities as set out in the DHSC/Host Organisation Agreement, along with any other purposes, as described in executed contract variations. A range of measures have been developed to provide assurance that East Midlands RRDN funding provided to Delivery organisations is used solely for these purposes. Such assurance measures are in line with the Minimum Financial Controls, contained within the RDNCC PSPs which are annually updated by the RDNCC.
- 8.3 Through the Executive Leadership team, the Trust, as Host Organisation, has established the Finance Working Group to support financial management of the East Midlands RRDN ([draft Terms of Reference](#)). The key business is summarised below:
- Provide operational support in the financial management of the RRDN
  - Develop and maintain principles and processes to support effective transparent financial management and ensure effective communication
  - Provide assurance in relation to financial processes and standards
  - Key influencing group in annual budget setting, with final decision making through the RRDN Management Group
  - Develop an awareness and advise on the management of the RRDN's financial risks, escalating these to appropriate groups as required

- Develop systems and processes to enable an accurate financial forecasting function
- 8.4 The Trust, as Host Organisation, is responsible for the financial reporting of East Midlands RRDN activities. This responsibility is discharged to the East Midlands RRDN Leadership team, who will draw up an Annual Financial Plan for the RRDN, as part of the RRDN Annual Business Plan. This plan will be developed through the Finance Working Group in collaboration with Delivery organisations and, as needed, wider stakeholders. During its development it will be consulted through and shaped by the East Midlands RRDN Host Governance Group and the RRDN Stakeholder Group. The plan will also require review and approval through the Trust Board.
  - 8.5 Through the Executive Leadership team, the Trust, as Host Organisation, reports to the RDNCC on financial expenditure including forecast outturn for the financial year, via the NIHR RDN Finance Tool, on a quarterly basis.
  - 8.6 Through the Executive Leadership Team, the Trust, as Host Organisation, is required to submit an end-of-year financial return to the RDNCC in respect of East Midlands RRDN funding received. The financial return reports on all East Midlands RRDN funding and expenditure, for all organisations in receipt of that funding and agrees the year-end figures for respective Delivery organisations. In addition, there is a requirement to complete an annual financial declaration which must be signed by the East Midlands RRDN Network Director and counter-signed by the Host Organisation Finance Director.
  - 8.7 The East Midlands RRDN Executive Leadership team has reviewed the RRDN Minimum Financial Controls (PSP007) and through the Finance Working Group has developed a plan to put in place relevant Financial Operating Procedures, to provide guidance to budget holders on the best practice for budget setting and monitoring. This is in line with the Trust's own financial procedures and expectations. This helps to ensure that the East Midlands RRDN financial matters are managed to the highest professional standards and in accordance with accounting standards.
  - 8.8 In order to meet the NIHR RDN Minimum Financial Controls, the Executive Leadership team are responsible for the preparation of relevant Standard Operating Procedures for the monitoring of Delivery organisations to ensure that East Midlands RRDN funding provided to Delivery organisations is used solely to deliver NIHR RDN portfolio research activities as per the RRDN Delivery organisation contracts. Oversight of this is being maintained through the Finance Working Group.
  - 8.9 The Executive Leadership team is also responsible for the provision of guidance in relation to income generated from delivery of NIHR RDN portfolio commercial contract research studies by Delivery organisations. The current mechanism for this is signposting to the National guidance for Income distribution from NIHR RDN Industry Portfolio Studies.

## **Financial Scheme of Delegation**

- 8.10 The Trust, as Host Organisation, has appointed Mahendra Wadhwana as East Midlands RRDN Host Finance Lead who is responsible for providing financial support and specialist technical accounting knowledge to the RRDN Leadership team.
- 8.11 Elizabeth Moss, East Midlands RRDN Network Director, is responsible for overall budget oversight and strategic decision making, ensuring compliance with all NIHR RDNCC finance reporting PSPs.
- 8.12 The East Midlands RRDN Network Director, has appointed Daniel Kumar as East Midlands RRDN Operations Director, who is responsible and accountable for operational management for the infrastructure and central budgets.
- 8.13 The East Midlands RRDN Network Director has appointed Carl Sheppard as the Corporate Services Manager, who is responsible for leading and directing the operational business planning and strategic financial management functions for the RRDN.
- 8.14 The East Midlands RRDN has appointed a qualified and experienced Finance Manager who is responsible for financial oversight for the procedures for disseminating and accounting for East Midlands RRDN funding, financial operations, transactional input support and coordination, supported by a finance team. The finance team will work closely with Host finance staff within Delivery organisations. Members of the finance team are line managed by the Finance Manager who in turn is line managed by the East Midlands RRDN Operations Director, with the Finance Manager having professional accountability to the East Midlands RRDN Host Finance Lead.
- 8.15 In accordance with the Trust's Scheme of Delegation the Host CEO has delegated the management of the East Midlands RRDN budget to the Network Director.
- 8.16 The East Midlands RRDN Operations Director, in conjunction with the Finance Manager and supported by the Network Director and Host Finance Lead, will produce and maintain a Scheme of Delegation, which provides a breakdown of the East Midlands RRDN financial delegated authorisation allowances in place for non-pay revenue, delegated authorisation allowances in place for staff recruitment and matters relating to personnel and pay. A table displaying the RDN financial cost codes and delegated authorisation allowances is being developed and will be attached as Appendix 1 in due course.
- 8.17 The Trust, as Host Organisation, will maintain a fully executed agreement with each RRDN Delivery Organisation using the Type 1 or Type 2 form of agreement as set out on the RRDN Contractual Framework (described in Table 2 below).

**Table 2. RRDN Delivery Organisation Agreements**

<b>Delivery Organisation Agreement Type</b>	<b>Description</b>	<b>Authorised signatory</b>
Type 1 RRDN Delivery Organisation Contract	Organisations that receive RDN funding totalling £50,000 or more per annum	Host CEO
Type 2 RRDN Funding Allocation Letter	Organisations that receive an allocation of RDN funding of less than £50,000 per annum	Network Director

- 8.18 East Midlands RRDN maintains a log to record details of all the products and services provided by third party suppliers. This includes items such as software for training/events/design and subscriptions to a range of online tools. The roles authorised to sign different types of contract will be set out in the table displaying the RDN financial cost codes and delegated authorisation allowances. Advice regarding contract clauses may be sought from the Trust's Corporate and Legal department, however, the final decision to sign a contract will be made by the decision maker (i.e. the relevant budget holder or one of the Network Directors).

## 9. Assurance Framework

- 9.1 The East Midlands RRDN is committed to supporting safe high-quality research and has developed a range of policies, systems and processes to clarify how issues or concerns which may detrimentally impact upon the East Midlands RRDN are escalated through the Host and/or the NIHR RDN.
- 9.2 This section describes the structure and systems through which the East Midlands RRDN Leadership and Management Groups, and the Host Board receive assurance.
- 9.3 The assurance framework describes how the East Midlands RRDN can identify, monitor, escalate and manage issues in a timely fashion and at an appropriate level.

### **Issue Management and Control**

- 9.4 An issue is defined as a relevant event that has happened, was not planned, and requires management action.
- 9.5 The RRDN has an open and learning culture and encourages monitoring of any issues or concerns to be communicated that impact on RRDN delivery. The table below provides examples of both internal and external sources of identified issues.

**Table 3. Sources of identified issues**

<b><u>Internal Sources</u></b>	<b><u>External Sources</u></b>
Staff and management	Patients, carers and the public
Staff surveys	External audit

Risk register	RDN Coordinating Centre
Host Governance Group	Partner feedback and complaints
Stakeholder Group / Delivery organisations	Partner and public surveys
RRDN Management Group	

9.6 It is important that the East Midlands RRDN has the capability to respond to issues or concerns in a timely fashion. In practice the response required varies considerably according to the nature of the issue or concern. In some cases, immediate action may be required. In other cases, and particularly with more complex or longstanding issues, the commissioning of a full report may be an appropriate response. However, the response must always be:

- timely;
- safe
- proportionate;
- comprehensive;
- inclusive;
- effective.

9.7 The East Midlands RRDN will follow a five step procedure for issue management and control, outlined in Table 3 below. This procedure will be followed by the East Midlands RRDN Management Group.

**Table 4. Issue Management 5 Step Procedure**

Procedure	Description	Delegation
1. Capture	Determine severity / priority	
2. Examine	Assess impact on East Midlands RRDN strategic and operational objectives	Request for advice (Host Governance Group / RRDN Management Group / RRDN Stakeholder Group, whichever is most relevant)
3. Propose	Identify options Evaluate options Create recommended options	
4. Decide	Escalate (if beyond delegated authority) Approve, reject or defer recommended option	Request for advice (Host Governance Group / Stakeholder Group)
5. Implement	Take corrective action or continue to monitor	

9.8 The RRDN has implemented an issues register to record and manage key issues currently impacting the RRDN business. Each issue is assigned an owner and scores based on the severity and priority of the issue to the RRDN, in line with the risk and issue management approach agreed by the RDN Board. The issues are reviewed regularly in parallel with the risk register, via the RRDN Management Group and

Host Governance Group.

- 9.9 The RRDN has produced an [Issue Resolution Procedure](#) so that stakeholders have a route to raise any matters of concern which may arise in relation to East Midlands RRDN business.

### **Internal and External Sources of Assurance**

- 9.10 Internal and external sources of assessment/assurance cover the range of the East Midlands RRDN's activities, and relate to DHSC/Host Organisation contract compliance as well as East Midlands RRDN performance and delivery, as shown in Table 4.

**Table 5. Sources of Assurance**

Internal Sources of Assurance	External Sources of Assurance
RRDN Performance review meetings	Patients, carers and the public
Performance reports; Summary, Partner, Group/Specialty, ICB	PRES survey data
Host Trust Internal audit (review of internal systems and processes)	RDNCC External Audit Program - ad hoc
Host Governance Group	Partner feedback and engagement- informal feedback and specific questionnaire responses
Stakeholder Group	Stakeholder Group annual questionnaire - delivery organisation surveys
Staff surveys and exit interviews	
Host Board report and feedback	
RDN Performance Dashboard	

### **Host Organisation Annual Review**

- 9.11 The Host Organisation may be requested, on an annual basis, to review its role in discharging the DHSC contract for hosting the East Midlands RRDN and provide a report on this within the RRDN Annual Report. This report must be shared with the East Midlands RRDN Stakeholder Group.
- 9.12 The Nominated Executive Director will submit by exception a report to be received by the East Midlands RRDN Host Board of Directors that clearly identifies any areas of non-compliance with the provisions of the DHSC contract for the East Midlands RRDN.

This statement of non-compliance will set out the remedial action that will be taken to ensure compliance.

### **East Midlands RRDN Auditing Arrangements**

- 9.13 The Host is obliged to ensure that East Midlands RRDN activity is included in the local internal audit programme of work. East Midlands RRDN should be audited in line with the Host contract and PSPs.

### **Contract Compliance Assurance Framework**

- 9.14 The RDNCC will monitor compliance of RRDN Host Organisations in respect of the Host Organisation contract via a Compliance Framework, to be developed.

## **10. Business Continuity**

- 10.1 The Trust has a responsibility to ensure that robust local business continuity arrangements are in place for the RRDN, to ensure continuity of service in the event of an emergency.
- 10.2 The RRDN has developed a Business Continuity and Disaster Recovery plan (Appendix 2) as required in the Performance and Operating Framework. This is to enable the RRDN to respond to a disruptive incident, including a public health outbreak e.g. pandemic or other related event, maintain the delivery of critical activities/services and return to “business as usual”.
- 10.3 The RRDN has developed an Urgent Public Health Research plan (Appendix 3) to enable the Trust and the RRDN to support the rapid delivery of urgent public health research, which may be in a pandemic or related situation. The Urgent Public Health Research plan will be immediately activated in the event that the DHSC requests expedited urgent public health research.

## **11. Risk Management Process**

- 11.1 The Trust operates within a clear risk management framework which sets out how risk is identified, assimilated into the risk register, reported, monitored and escalated through the Trust’s governance structures. The framework is set out in the Risk Management Policy and is supported by relevant policies, including the Risk Assessment Policy and Policy for reporting and management of incidents including the investigation of Serious Untoward incidents.
- 11.2 The RRDN has implemented a risk management framework, which includes a risk register. The risk register is reviewed and updated regularly by the RRDN Management Group, at least every 8 weeks. Each risk is assigned an owner who is responsible for



implementing a risk response to mitigate the risk. The risk owner is responsible for ensuring the risk register is updated and informing the RRDN Management Group of any changes to the risk score, or if any changes to the risk response are required to ensure effective risk mitigation. For some risks it may be necessary to seek input from a range of colleagues (including assigning actions) to assess and manage the risk.

11.3 The risk register is updated regularly and reviewed every 3 months by the RRDN Host Governance Group.

11.4 Both strategic and operational risks are captured within the RRDN risk register. A [template risk register](#) has previously been shared with RRDN Network Directors; RRDNs may wish to use this unless their Host has an alternative form of risk and issues register. Each risk is assigned a score based on the likelihood of occurrence and the impact to the RRDN. Risk scores take into consideration any mitigating actions and are reviewed regularly. The risk matrix is shown below:

**Table 6 Risk Management Matrix**

	IMPACT				
PROBABILITY	Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Catastrophic (5)
Highly Likely (5)	5	10	15	20	25
Likely (4)	4	8	12	16	20
Possible (3)	3	6	9	12	15
Unlikely (2)	2	4	6	8	10
Highly Unlikely (1)	1	2	3	4	5

<b>1-5 GREEN = LOW*</b>	<b>*Only risks with an Inherent Risk of 6 or above are recorded on this Risk Register</b> <b>Risks with a scoring of 12 and above should be monitored and escalated</b>
<b>6-11 YELLOW = MEDIUM</b>	
<b>12-19 AMBER = HIGH</b>	
<b>20-25 RED = EXTREME</b>	

Extreme Risk (Red)
<p>These are classed as primary or critical risks requiring immediate attention. They may have a high or very high likelihood of occurrence, and their potential consequences are such that they must be treated as a high priority. This may mean that strategies should be developed to reduce or eliminate the risks, but also that mitigation in the form of an action plan be put in place and the risk monitored on a regular frequency. Consideration should be given to planning being specific to the risk rather than generic.</p>

	<b>High Risk (Amber)</b>
These risks are classed as significant. They may have a high or relatively low likelihood of occurrence, but their potential consequences are sufficiently serious to warrant appropriate consideration after those risks classed as 'very high'. Consideration should be given to the development of strategies to reduce or eliminate the risks, but also mitigation in the form of an action plan should be put in place and the risk monitored on a regular frequency.	
	<b>Moderate Risk (Yellow)</b>
These risks are less significant, but may cause upset and inconvenience in the short term. These risks should be monitored to ensure that they are being appropriately managed and considered given to their being managed under generic planning arrangements.	
	<b>Low Risk (Green)</b>
These risks are both unlikely to occur and not significant in their impact. They should be managed using normal or generic planning arrangements and require minimal monitoring and control unless subsequent risk assessments show a substantial change, prompting a move to another risk category.	

### **Risk Identification and Escalation**

11.6 If a member of the RRDN team identifies a potential risk which they are concerned about, the following process should be applied:

1. Raise risk with the line manager, the line manager will decide if the risk should be escalated to the RRDN Management Group.
2. The RRDN Management Group will review the risk and decide if a formal risk assessment is required. If this is the case, the Host Governance Group may offer guidance to complete the Trust risk form (if required).
3. The Host Governance Group will review the risk and mitigations, and subsequently decide if the risk needs to be recorded on the RRDN risk register.
4. The Risks and Issues register will be reviewed by the Trust Board on a quarterly basis, as part of the quarterly Report

If a new risk is identified which requires urgent attention, it can be raised directly to one of the Network Directors for consideration/review.

## **12. Escalation Process**

12.1 This process describes the escalation route of issues, concerns or risks which could threaten the delivery of the Trust's obligations with regard to the delivery of the Department of Health and Social Care contract and the Performance and Operating Framework.

12.2 There are identified points of contact within RRDN Leadership, the Host Organisation, and the national RDN Coordinating Centre for concerns and issues to be escalated. Agreed escalation routes and levels are:

- a) RRDN Network Director;
- b) RRDN Host Organisation Nominated Executive Director;
- c) RRDN Host Organisation Chief Executive Officer;
- d) Network Operations Director, RDN Coordinating Centre;
- e) Chief Executive Director, RDN Coordinating Centre.

If an issue relates to the Host Organisation, it can proceed immediately to the RDN Coordinating Centre (step d). above).

## 13. Monitoring of Action Plans

13.1 Action plans developed by the RRDN that were to be monitored by the RRDN Host Governance Group are in accordance with this model.

13.2 The RRDN Host Governance Group will continue to monitor any new action plans that develop from the Annual Plan or are required as routine or extraordinary plans throughout the year.

## 14. Review

14.1 The Governance Framework will be reviewed on an annual basis by the RRDN Host Governance Group and escalated to any Host Trust Board/s as deemed necessary locally.

## Appendices

1. Scheme of Delegation of Powers - *in development and will be included in due course.*
2. [RRDN Business Continuity and Disaster Recovery Plan](#)
3. [RRDN Urgent Public Health Plan](#)

PRE-RESPONSE (INHERENT)										POST-RESPONSE (RESIDUAL)							
Risk ID	Primary category	Date raised	Risk owner	Risk Description (event)	Risk Cause and Effect	Probability	Impact	Value (PxI)	Proximity	Response Actions	Action owner(s)	Action status	Probability	Impact	Value (PxI)	Risk status (open or closed date)	Trend (since last reviewed)
R06	Performance	06.05.25	Network Director	There is a risk of delays in recruiting to new RRDN Central team posts externally due to current Host HR restrictions	<b>Cause:</b> Restrictions on Host recruitment activity and wider financial pressures on NHS Trusts.  <b>Effect:</b> RRDN posts not advertised and recruited to promptly, non-compliance with Host contract, negative impact on performance and ability to deliver RRDN services effectively.	3	3	9	May 2025	Escalate to Host HR colleagues	ND	5	3	3	9	Closed 11.7.25	Static
										Prepare & share standardised 'case of need template' to submit for new vacancies	CSM	5					
										Use of RRDN Vacancy Restriction Letters	ND	4					
										Review/discuss when HR Report is presented at Host Governance Group	ND/CSM	1					
R07	Performance	06.05.25	Network Director	There is a risk of delays/ inability to recruit to RDN funded research delivery posts across Delivery Organisations due to recruitment freezes/restrictions	<b>Cause:</b> Restrictions on recruitment activity and wider financial pressures on NHS Trusts & other organisations across the system.  <b>Effect:</b> Risk of potential underspend of RRDN budget, negative impact on research delivery performance, specifically delay RRDN strategic investment and ability to achieve our strategic goals.	2	3	6	July 2025	Identify any potential issues when liaising with DOs	STLs	4	2	3	6	Open	Static
										Use of RRDN Vacancy Restriction Letters for supporting Delivery organisations where required	STLs	4					
R08	Information	09.07.25	Strategic Development Director	There is a risk that Patient Identifiable Information (PII), or commercially sensitive information, may be uploaded to the NIHR Drive of a UHL employed EM RRDN member of staff	<b>Cause:</b> The East Midlands team developed a digital solution to support the identification of research sites. This solution was intended to be a pilot but the scope has significantly extended to now provide UK and NIHR wide coverage, generating a significant number of users. Users are able to upload a profile of their site through the app. When such files are uploaded, they are stored on the NIHR Drive of the individual member of staff within the East Midlands Team who created the app.  <b>Effect:</b> Given the high volume of users there is a risk that a user uploads a document containing PII or commercially sensitive data in error, which would then be linked to the account of a member of the East Midlands team. DHSC is the data controller and data owner for all data that is used/processed/collected/shared etc for the purposes of RDN business as agreed in the contract. As such, this risk around data ownership would sit with DHSC. However, given the involvement of a UHL employed member of staff there is a risk that UHL support may be required should this risk materialise.	3	2	6	July 2025	A change has been implemented to stop studies submitted after July 1st from uploading attachments. Functionality to upload attachments will continue to be available for a small number of studies until July 17th. After this date all studies will complete standard data fields, rather than upload attachments. This will significantly reduce, although not remove, the risk of PII or commercially sensitive data being added by users in error.	SDD	5	2	2	4	Open	New
										A key issue is that the app is linked to the account of an individual. There is an intention to rebuild the app linked to a shared account. This work is estimated to take a minimum of 6 months	SDD	2					
										The staff member involved is trained in Data Protection & Information Governance and is aware of the appropriate actions to take if any sensitive data is uploaded	SDD	5					

SCORING:

	IMPACT				
PROBABILITY	Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Catastrophic (5)
Highly Likely (5)	5	10	15	20	25
Likely (4)	4	8	12	16	20
Possible (3)	3	6	9	12	15
Unlikely (2)	2	4	6	8	10
Highly Unlikely (1)	1	2	3	4	5

1-5 GREEN = LOW\*

6-11 YELLOW = MEDIUM

12-19 AMBER = HIGH

20-25 RED = EXTREME

\*Only risks with an Inherent Risk of 6 or above are recorded on this Risk Register  
\* Risks with a scoring of 12 and above should be monitored and escalated

Action RAG Status Key:

Complete	5
On Track	4
Some Delay – expected to be completed as planned	3
Significant Delay – unlikely to be completed as planned	2
Not yet commenced	1

East Midlands RRDN - Issues Register

Date last reviewed: 31.07.2025

Issue ID	Issue Type	Date Raised	Owner	Description	Severity	Priority	Actions	Action Owners	Action status	Issue status
I05	Services	13.01.25	Host Finance Lead	The RRDN team is expected to move over to the 'No Purchase Order No Pay' system. Whilst meetings have progressed with the Purchase to Pay Team unfortunately the current proposal does not present a workable solution due to the apparent constraints of trust systems and processes, and the way the network is required to operate.	Moderate	High	Proactive engagement from Purchase to Pay team (including Senior representation) to appropriately support and develop a workable plan including timelines, ensuring regular update meetings	HFL	2	Closed 11.7.25
							To report this to RRDN Host Governance Group on a quarterly basis	HFL	4	
							To update the Host Finance Lead on a monthly basis	OD	4	
							Ensure appropriate escalation of delays in progressing to a workable solution for No PO No Pay	HFL	3	
							Include insights from other Host trusts within other RRDNs that have developed a workable solution for No PO No Pay	OD	4	
I04	Services	18.12.24	Operations Director	The national project to review the configuration of the Agile workforce is causing uncertainty/instability for the RRDN Agile Research Delivery team. This is having a negative effect on staff morale, is impacting staff retention and inability to reappoint in the short term, affecting capacity. This could also lead to reduced performance with respect to research delivery.	Moderate	Medium	Communicate regular updates to staff in relation to progress and provide opportunities for staff to raise any questions/concerns	OD	4	Open
							Any concerns from staff to be escalated to leadership team, and discussed directly with staff	OD	4	
							Sessions with Agile team on 25/2/25 & 17/4/25 & 8/7/25 to provide updates on progress	OD/SDD	5	
							Agile research delivery implementation plan submitted by Host on 2/6/25.	AD S&P (Host)	5	
							Pre-consultation meeting with Staff Side on 24/7/25	HRD (OOHS)	4	
							Work on Management of Change process. Plan to start consultation on 4/8/25 with aim to progress this process asap.	HRD (OOHS)	4	

Key

Severity	Priority
Minor	Low
Moderate	Medium
Major	High
Catastrophic	Critical

Action RAG Status Key:

Complete	5
On Track	4
Some Delay – expected to be completed as planned	3
Significant Delay – unlikely to be completed as planned	2
Not yet commenced	1