

Freedom of Information Team
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Date: 25/04/2022

Ref: 21-22 619

Freedom of Information request

Thank you for your request for information under the Freedom of Information Act 2000, which was received by the Trust on 07/03/2022. Please see responses to your requests below.

1. Please provide a copy of your organisations Risk Management Strategy

The Trust Risk Management Strategy has recently been updated and is in draft awaiting approval. In the interim, please see the previous version attached below.



Risk Management
Strategy.docx

2. Please provide a copy of your organisations Risk Management Policy if this is a separate document to the Strategy

Please see the Trust's Risk Management policy attached below.



Risk Management
Policy V1.docx

3. Please provide your organisations Risk Appetite Statement

The following Risk Appetite Statement makes clear the Trust Board's expectations in relation to the category of risks they expect management to identify and the level of such risk that is acceptable. If the organisation's collective appetite for risk is unknown, it may lead to erratic or inopportune risk taking, exposing the organisation to a risk it cannot tolerate.

The statement is based on the premise that the lower the risk appetite, the less the Board is willing to accept in terms of risk and consequently the higher levels of controls that must be put into place to manage the risk.

The higher the appetite for risk, the more the Board is willing to accept in terms of risk and consequently the Board will accept business as usual activity for established systems of internal control and will not necessarily seek to strengthen those controls. Risk appetite will therefore be set at one of the following levels:

LEVELS OF RISK APPETITE

Avoid Risk Score Tolerance 0	This risk will not be accepted.
Minimal Risk Score Tolerance 1 – 3	There is acceptance that risks will not be able to be eliminated, therefore these should be reduced to the lowest levels, with ultra-safe delivery options, recognising that these may have little or no potential for reward/return.
Cautious Risk Score Tolerance 4 – 6	There is acceptance of some low levels of risk, while maintaining overall performance of safe delivery options, recognising that these may have restricted potential for reward/return.
Open Risk Score Tolerance 8 – 12	Accept that all potential delivery options, recognising that these may provide an acceptable level of reward.
Seek Risk Score Tolerance 15 - 25	There is an eagerness to be innovative, choosing options with the potential to offer higher business rewards.

4. Please provide your organisations approach to risk tolerance

Please see below.

Sub Category of Risk		Risk Appetite	Risk Score Tolerance
Impact on Quality	Patient Safety (e.g. patient harm, infection control, pressure sores, learning lessons)	Cautious	Mod 4 – Mod 6
	Effectiveness (e.g. outcomes, delays, cancellations or operational targets and performance)	Open	High 8 – High 12
	Service User and Carer Experience and the ability to manage quality (e.g. complaints, audit, surveys, clinical governance and internal systems)	Open	High 8 – High 12
Impact on Regulation & Compliance	Statutory Regulation and Requirements (e.g. Information Commissioner, Care Quality Commission, Health and Safety Executive, Professional Regulatory Bodies such as General Medical Council, Nursing & Midwifery Council, external certifications such as JAG and ISO).	Cautious	Mod 4 – Mod 6
	National Guidance and Best Practice (e.g. National Institute for Health and Care Excellence, GIRFT)	Open	High 8 – High 12
Impact on Reputation	Day to day activity (e.g. standards of conduct, ethics and professionalism and delivery of services)	Cautious	Mod 4 – Mod 6
	Risk as a result of protecting and improving the safety of patients	Seek	Ext 15 – Ext 25
Impact on Workforce	Staff recruitment (e.g. compliance with regulations such as visa requirements, Equal Opportunities and Diversity, that ensure staff are recruited fairly and competent to deliver services)	Cautious	Mod 4 – Mod 6

	Employment practice	Cautious	Mod 4 – Mod 6
	Staff retention (e.g. attractiveness of Trust as an employer of choice)	Open	High 8 – High 12
Impact on Infrastructure	Estates Infrastructure	Cautious	Mod 4 – Mod 6
	Security (e.g. access and permissions to systems and networks)	Cautious	Mod 4 – Mod 6
	Control of Assets (e.g. purchase, movement and disposal of ICT equipment)	Cautious	Mod 4 – Mod 6
	Business continuity (e.g. cyber-attack, maintenance of networks, alternative solutions)	Cautious	Mod 4 – Mod 6
	Data (e.g. integrity, availability, confidentiality and security, unintended release)	Cautious	Mod 4 – Mod 6
Impact on Finance & Efficiency	Value for money and sustainability (including cost saving)	Cautious	Mod 4 – Mod 6
	Standing Financial Instructions (SFI's) and financial control	Cautious	Mod 4 – Mod 6
	Fraud and negligent conduct	Minimal	Low 1 – Low 3
	Contracting	Seek	Ext 15 – Ext 25
Impact on Partnerships / Collaboration	Partnerships	Open	High 8 – High 12
Impact on Innovation	Innovation (e.g. new ways of working, new products, new and realigned services, new models of staffing and realignment of services, international recruitment, new ICT systems and improvements)	Seek	Ext 15 – Ext 25
	Financial Innovation (e.g. new ways of working, new products, new and realigned services)	Open	High 8 – High 12

5. Please provide the minutes and any associated papers from the last meeting where your Board of Directors reviewed the Trust's risk appetite statement and setting the risk tolerance levels within the organisation

This meeting where the risk appetite was reviewed was considered at a Trust Board Development Day on 30th June 2021 which was unfortunately not minuted.

6. Please provide a copy of your organisations latest Corporate Risk Register Report

Please see attached the Trust's Corporate Risk Register.



Trust Risk Register_March 22.x

7. Please provide a copy of your organisations latest Board Assurance Framework

The Trust's Board Assurance Framework is currently being reviewed; however we have attached the most up to date version.



Board Assurance
Framework 2022.pdf

- 8. Please provide a copy of your latest Risk Management Internal Audit report**
Please find attached the Trust's Risk Management internal audit report.



Portsmouth
Hospitals University

- 9. Please confirm how your organisation records risk – do you use a system, if so which system e.g. in house, Ulysses, Datix, Radar etc, or do you use excel spreadsheets?**
Portsmouth Hospitals University NHS Trust uses Datix to record all risks.

- 10. Please provide the risk management role structure within your organisation including the Banding of these roles**

- Director of Governance & Risk – Very senior manager
- Deputy Director of Governance & Risk – Band 8D
- Head of Risk -Band 8A (current vacancy)
- Risk & Systems Manager – Band 7
- Risk, Systems & Compliance Support Officer (x3) – Band 4

Please accept this letter as completion of your request. Please note that copies of this request will be held on file for three years before being confidentially destroyed.

If you are dissatisfied with the outcome of your request, please contact our Head of Information Governance on Information.Governance@porthosp.nhs.uk or write to the above address and we will conduct an internal review. Upon review, if you are still dissatisfied, you may appeal our decision by contacting the Information Commissioner's Office; for more information, please visit the [ICO's website](#).

Please be aware, if we do not receive an appeal within 30 days of you receiving this letter, we will assume that you are satisfied with our response. If you have any further queries, please do not hesitate to contact us.

Yours sincerely

Freedom of Information Team