ID	Opened	Service Line	Specialty/Dept	Handler	Manager (Executive lead)	Consequence (initial)	Likelihood (initial)	Rating (initial)	Risk level (initial)	Risk Description	Cause	Effect	Existing Controls	Consequence (current)	Likelihood (current)	Rating (current)	Risk level (current)	Progress notes	Consequence (Target)	Likelihood (Target)	Rating (Target)	Risk level (Target)	Date of next Review
392	02/05/2006	Estates	Estates Capital	Clingo, Iain	Jackson, Mr Roy	Catastrophic	Almost Certain	25	Extreme / Very High	The Trusts clinical strategy identifies a number of schemes to progress service developments for a number of specialties. Currently the protection of the existing building is imperative to ensure the Trust can deliver the organisation's clinical strategy. Failure of the structure would not only impact service delivery as the Trust currently has no unutilised clinical space, but could result in injury/death, litigation and reputational loss.	Pre-cast concrete construction of the building is 36 years old lifespan originally designed to last 25 years. The significant structure is showing signs of deterioration. 2016 - structural cracking found within 2 walls of the area surveyed	Potential risk to service delivery and safety of patients staff and public. 2016 survey report identifies further movement.	Additional monitoring has been implemented in key areas identified as weak points.	Catastrophic	Possible	15	High	[30/04/18 14:22:53] SOC agreed by NHSi April 2018 – progressing with outline business case.	Major	Rare	4	Low	09/05/2018
1938	13/04/2015	Estates	Estates Capital	Clingo, Iain	Jackson, Mr Roy	Catastrophic	Possible	15	High	Failure of multiple critical components of fire safety system due to historical building defects, there is a risk of existing containment failing to provide the desired under HTM 30 minutes protection from fire spread. Containment may achieve 15 - 20 minutes but there is no supporting evidence. For clarity, a ward evacuation takes (under test conditions) 5 min. If the ventilation dampers do not function adequately (triggered by fire alarm activation) fire may spread rapidly through the duct work. Fire detection across the whole site is not of the current L1 standard. The effect of this is that a fire may go undetected thus risk to infrastructure and life is increased.	Original design and installation in the building. Compartment walls are not adequately fire proofed to current building regs and Fire code. Historical lack of planned maintenance & testing for fire dampers.	Reduced evacuation periods and subsequent potential for harm to vulnerable patients who require assisted evacuation. Potential for enforcement notice with possible subsequent legal action (HSE/Fire service. Need to move through more compartments during evacuation. Evacuation involves moving more patients to give a 2 compartment separation between the fire and persons. If the dampers do not work there is potential for smoke and fire to move rapidly and randomly throughout the building Random spread of fire would produce a lack of certainty around a planned evacuation of the area.	Mandatory staff training annually for clinical and patient facing staff, includes evacuation and fire extinguisher training. Fire simulation exercise carried out 2015. Fire Policy adapted to allow for identified risks - under regular review. Fire Strategy. Evacuation policy. Appointment of Fire Engineer. SLA with Nifes Fire Safety consultants. Departmental risk assessments. All current and future capital projects regarding construction of areas meet current standards. Replacement of fire doors is being phased through the organisation, use of 2 bed movers to assist with evacuation of beds down the rear ramp. Vigilance by all staff to ensure designated fire exits kept clear. Fire alarm and emergency lighting installations. Installation of additional fire detectors, on going over the next 2 years to upgrade to L1 system. Awaiting an appointment of project manager. Compliance with CDM regulations around contractors on site. Prevention of accumulation of contractors debris, equipment or obstruction particularly in front of ventilation ducts and escape routes. General vigilance of staff to the maintenance of a safe environment. Ensuring all other fire alert systems are functioning. Staff training - involves awareness and vigilance. Appointment of a Fire Engineer. Contractor appointed to carry out detailed surveys. Part of all refurbishments specifications take into account all local duct work and additional fire detection systems. Mapping has been carried out for all new areas. Planned maintenance processes being continually reviewed. Contract with Nifes - external Fire specialist contractors. Program of work started Feb 2016. £60k has been allocated in 2016 capital budget. 20% completion of testing and remedial work.	Catastrophic	Possible	15	High	[Carlton, Emma Mrs 30/04/18 14:24:07] Project slightly behind schedule but no concerns at this stage.	Catastrophic	Rare	5	Low	09/05/2018
2257	05/05/2016	CBU 2	Trust Wide	McGuire, Mrs Karen	Resoli, Mr David	Moderate	Almost Certain	15	High	Risk of provision of specialised care given to patients. Poor patient experience and outcomes. Un-necessary delays and reduced efficiency with associated risks to quality of care delivery and optimal outcomes.	The inconsistency of dedicated and protected Ring-fenced beds on Gayton Ward (Trauma) and Elm Wards (Gynae). Leads to additional steps in the patients pathway and delays in receiving specialist care in the appropriate specialist area in a timely manner; Patients required to experience an additional step in the #Neck of Femur or # spinal pathway through un-necessary admission to the Surgical Assessment Unit (SAU).	(Trauma):The inconsistency of dedicated and protected Ring-fenced beds on Gayton has significant impact on patient experience, care quality, length of stay and leads to delays for patients on the #Neck of Femur or # spinal pathway. (Gynae): Elective patients who are experiencing a pregnancy loss, or having to terminate due to foetal abnormalities, are not having a designated ring fenced bed. At an emotional time the patients are having to wait on a chair or in our scan room as their bed has been used overnight due to capacity issues. A very emotional time for the patient and very distressing for them to have to wait on a chair whilst we find a bed for them. Poor patient experience. Patient could pass their baby whilst sitting in a chair with no support. Safety/legal issues if incorrect patient placement (HTA) with staff on Elm specifically trained/competent to nurse this specialty patient group.	Organisational awareness of the impact highlighted and escalated if trauma beds are not protected in each bed meeting via the OPEL framework and clinical teams. Agreement at Executive level that the ring-fencing should be a priority in terms of trauma care quality. As a ward we attempt to ring fence the beds the evening before, but due to operational pressures overnight the decision is made to use the bed.	Moderate	Almost Certain	15	High	[Malyon, Lisa 24/01/18 11:59:47] No change.	Moderate	Possible	9	Moderate	31/05/2018

2306	20/12/2016	CBU 1	Main Theatres	Barker, Ms Elizabeth	Jones, Ms Sarah	Moderate	Likely	12	Moderate	Cancellation of elective cases resulting in reduced income, poor patient experience and trust reputation. Increase in complaints and waiting times. Missed targets.	Not enough staff to provide safe cover to all the Main Theatres and Day Surgery theatres. Skill mix not adequate to cover all the specialties as per AFPP standards. Unable to recruit experienced staff.	The theatre resource will not be fully utilised. On staff - accountability for their practice compromised. Stress increased due to unfamiliar work, surgeons and environment. Teamwork not cohesive as required. Exhaustion due to the increased amount of overtime required to meet the needs of the service. Increased sickness levels in the department. Medical staff stress increased due to working with unfamiliar staff that are not usually part of the team - this can in turn affect the care to the patient. Department- increased sickness absence levels, increased overtime cost, increase in incidents, lack of income due to decreased activity. Trust - Reputational and financial impact	Cover gaps in skill mix by offering overtime to staff with the skills needed. Last minute changes of individual staff members off-duty rota. Liaise with DSU to identify if any members of their staff have transferable skills to enable them to help main theatres. List cancellations.	Moderate	Almost Certain	15	High	[Malyon, Lisa 26/03/18 09:41:14] The risk should remain the same. We have recruited new staff which are being trained but both in main theatre. DSU have several experienced staff that are leaving so we are not closing the skill mix gap.	Moderate	Unlikely	6	Low	31/05/2018
2321	09/02/2017	CBU 7	Accident & Emergency	Longmuir, Mrs Debra	Evans, Andy	Moderate	Possible	9	Moderate	Staffing by one member of staff in paediatrics exposes a risk of Risk of paediatric patient suffering harm in case of delayed specialist care where service does not meet RCPCH standard of 24 hour specialist paediatric nurse cover in ED.	Staffing vacancies. Geography of department.	Potential for patient safety risk resulting in catastrophic harm if staffing compliment has inadequate skills mix. During periods of staff leaving the area unmanned in lower risk situations is a compromise to continued observation and assessment of paediatrics not meeting RCPCH standard. Mitigation and considerations: Adult nurse training, Play specialist, Support by zone 1, An agreeement with Rudham ward to support overnight if increased in their numbers Lone working is no more at risk than certain other areas in department with similar risk factor that is mitigated. Camera is in place for security and risk assessment - any concerns of a potential situation would be managed by communicating with senior nurse in the Emergency Department. If paediatric in resuscitation this must be escalated to senior nurse and site team and a plan in place to cover paediatrics or Datix if not achieved.	Staffing coverage prioritised to day and evening. Night cover by Adult RN with additional paediatric competencies. RNs to be assessed against RCN National curriculum and competency framework emergency nursing level 1 (developed by emergency care association), to ensure safe standards of care during periods when specialist paediatric RN not available to cover numbers. RCPCH standard is to ensure access to Paediatric nurse 24 hours period. Nurse available on Rudham Ward if additional support required in paediatric emergency situation (checked on 01/05/18). Paediatric SHO available for advice and support in emergency situation 24hours. For immediate cover RN on shift overnight on 01/05/2018 to be assessed by Nurse in charge. Escalate to senior nurse and site team recent recruitment	Catastrophic	Possible	15	High	[Rose, Mark Mr 01/05/18 19:07:58] Establishment and risk rearticulated as establishment funded for 24hour coverage from 21/11/2017. [Rose, Mark Mr 01/05/18 19:04:52] Raised as immediate risk by CQC inspection team for re-assessment. [Long, Ami Miss 01/05/18 15:56:37] Discussed at Emergency SQABB 23.04.18. No change. 1 paediatric nurse has left and 1 is leaving shortly.	Moderate	Unlikely	6	Low	08/06/2018
2371	13/07/2017	CBU 4	Neonatology	Deacon, Mrs Lesley	Deacon, Mrs Lesley	Catastrophic	Possible	15	High	The ventilation system within the NICU has been inspected and found to not comply with HTM03-01 regulations and deemed at end of life and non-repairable. A peer review of neonates in Oct 2017, NHSI and CQC visits would require assurance that the report is being acted on.	1. The entire ventilation system has been deemed to be at the end of its serviceable life 2. Report states that the ventilation system is not fit for purpose 3. The ventilation system is not on a separate system, it is also linked to Offices, School of Nursing, Mortuary office area 4. 5 yrs ago the refurbishment of the NICU did not include the replacement or cleaning of the ventilation system	1. Vulnerable babies acquiring infections 2. Longer length of stay for these babies 3. Risk of cross infection for staff and patients 4. Potential accumulation of hazardous various gases (eg.Oxygen)	1. Good environmental cleaning 2. PPE to be used appropriately 3. Support ventilation with open windows etc	Catastrophic	Possible	15	High	[Deacon, Lesley Mrs 03/05/18 12:11:44] April - Action plan reviewed and updated	Catastrophic	Rare	5	Low	31/05/2018
2428	07/02/2018	Finance	Finance	Jackson, Mr Roy		Moderate	Almost Certain	15	High	There is a risk of failure to achieve the Trust Control Total for 2 consecutive years: 2017-18 and 2018-19.	The timing of the forecast outrun performance verses the actual performance during 2016-17. The December 2016 timing of the Trust Annual plan submission for accurately anticipating the next 2 years likely financial performance	1. Reputational harm 2. Loss of opportunity to reduce loan finance costs 3. Potential for loss of financial autonomy through being placed into special measures along with the associated short term worsening of financial position through direct cost of external support.	1. Regulatory dialogue to agree revised financial trajectory for 2017-18 and 2018-19 2. Improved financial planning processes to ensure Control Total levels for 2019-20 and beyond.	Moderate	Almost Certain	15	High	[Mokate, Deborah Mrs 07/02/18 17:35:52] Assessed the level of the CIPP needed to meet the CT is circa 16M which is a level beyond any level currently achievable by the current data. To achieve CT would require systemic financial change which is not expected until 2019-20. The Trust would anticipate an achievable CIP level being assigned in 2019-20 following conclusion of the current 2 year planning round at which point the risk rating will substantially reduce.	Moderate	Almost Certain	15	High	23/03/2018

2430	07/02/2018	Finance	Finance	Jackson, Mr Roy		Catastrophic	Possible	15	High	There is a risk to the availability of capital loan financing for 2018-19	1. The December 2016 year annual plan submission was: a)Inaccurate in regard to capital loan expectations being £0 for 2018-19 b)More realistic figures were presented in March 2017 planning resubmission in responding to central request to minimise capital loans, in 2017-18 schemes have slipped into 2018-19. There is now a consequential potential shortfall of circa 7M capital loan financing for 2018-19	1. The inability to address capital needs of the Trust to sustain day to day usual activities and regulatory requirements to improve certain plant and estate including high risk backlog maintenance.	Regulatory dialogue to authorise necessary capital loan finance through established financial procedures. While currently in technical breach having the perceived gap the Trust scale of gap coupled with not financing weigh towards the likelihood of a satisfactory resolution.	Catastrophic	Possible	15	High		Catastrophic	Unlikely	10	Moderate	30/03/2018
1025	24/11/2014	Corporate Nursing	Trust Wide	Newton, Valerie	Hardwick, Mrs Emma	Major	Likely	16	High	Risk of ability to sustain safe, quality services for inpatients due to significant challenges to recruit and retain nurses (registered) especially in medicine and senior leadership posts.	Inability to recruit and retain sufficient staff to maintain fill rates to enhanced funded establishments particulalry in adult in patient wards and ED	Poor quality of care/patinet experience for patients Incresae staff turnover due to high pressured working conditions	International recruitment to support uplift in skill mix. Secondment's to leadership post to support whilst recruitment takes place. Staff moves managed daily from areas with staffing to support medicine. Sustainable nurse program. International recruitment campaign. Local recruitment campaign. Grow your own - nurse apprenticeship scheme.	Major	Likely	16	High	[Rose, Mark Mr 17/04/18 10:32:45] Reviewed 17th April 2018 in line with actual realisation of risks from previous financial year. Recurrence of major/catastrophic harm n=28. M.Rose.	Major	Unlikely	8	Moderate	31/10/2017
2199	10/12/2015	Trust Wide	Trust Wide	Hull, Mrs Corwen	Wade, Mr Jonathan	Major	Likely	16	High	There is a risk that the trust will fail to achieve Trust wide 4 hour standard target.	Delay in transfers of care Limited number of discharges Inappropriate ED attendances	Poor patient experience Potential reputational damage Financial penalties	Robust escalation process. Bed management policy. Governance structure and processes in place to review and manage changes as they occur e.g. bed meetings, daily silver call. RAP in place. Clear triage pathway. Daily dtoc. Patient flow program.	Major	Likely	16	High	[Tear, Jamie Mr 28/02/18 13:14:24] Updated of behalf of Claire Kent 26.02.18 the trust began using the ambulance hand over delay protocol to support timely turn around of patients in the emergency department and thus support adherence to the 4 hour target.	Major	Possible	12	Moderate	28/03/2018
2337	18/04/2017	CBU 4	Gynaecology	Deacon, Mrs Lesley	Deacon, Mrs Lesley	Major	Almost Certain	20	Extreme / Very High	Risk potential of loss of commissioned Antenatal screening service due to non-compliance with NHS Commissioned Antenatal screening program and non-compliant with RCR standards for Ultrasound screening. Mis-diagnosis, repeat scans, missing health records (scans) and poor outcomes/experience for patients attending Antenatal ultrasound screening and Gynae services. Trusts reputation risk.	Scan machines in Surgical Assessment Unit (SAU), North Cambs Clinic, Paediatric department and Brancaster clinic are not connect ed to the Trust PACS system. Scans performed on certain scan machines by O&G doctors are not recorded on any electronic forum and not formally reported and therefore when repeat scans are conducted there is not baseline to assess new scan against. Cranial Ultrasound done in Paediatrics - images are saved onto the machine but not downloaded onto PACS. Currently the still images are printed and a copy put into the handheld notes. Babies/Children that are transferred to another hospital, have to have the images copied or re-printed as they cannot be seen at the new hospital.	1. Non compliant with commissioning standard and RCR standards 2. Duplicate Scans 3. No formal reporting of scans and therefore no governance around the results/ outcome. 4. Repeat scans conducted in USS department have no benchmark to assess new scan against. 5. If a woman was to complain/legal action, the department would have no record of the scan being conducted (possibly hand written notes or pictures in notes if doctor has printed them, these pictures have no Pt ID on them and so cannot be related to the pt). 6. If a woman has been told an outcome of a scan verbally, that is later shown to be incorrect there is no way of reviewing the previous scan.	Rely on doctors making a written note in pts notes that a scan has been performed and the outcome.	Major	Likely	16	High	[Deacon, Lesley Mrs 03/05/18 12:07:36] April 2018 - Action plan reviewed and updated	Major	Unlikely	8	Moderate	31/05/2018
2338	20/04/2017	CBU 1	Day Surgery	Calton, Julie		Moderate	Possible	9	Moderate	Risk of health of staff being too hot. Risk to compromised patient care due to heat exhaustion of staff.	The design of the room being changed from storage to a treatment room. The treatment room temperature is not able to be controlled. The size of the room, the increased level of equipment required to carry out certain procedures. No air conditioning, difficult conditions during warm/hot weather (>6months of the year). Also busy clinics lead to raised temperature.	There is a risk to staff health and safety of working in this environment. As a consequence of the effect of the level of equipment used and personal protection required, the temperature control is poor. At least one near miss (possible never event) incident attributed by the surgeon due to the heat in the room.	Fans are used whenever possible. Lightweight X-ray gowns are being purchased. Relocate list if other theatre space available. Reduce temperature of treatment room using the control system in Estates, this does not always produce a reduction in temp due to the Day Surgery air temp control system. Room not being used when possible due to current staffing levels.	Major	Likely	16	High	[Malyon, Lisa 23/03/18 11:27:32] Ian Hinitt has reviewed with DSU and is managing and reviewing options.	Moderate	Unlikely	6	Low	31/05/2018
2343	02/05/2017	IM&T	ICT	West, Mr Mike	Moore, Mrs Ciara	Major	Almost Certain	20	Extreme / Very High	Disruption to the delivery of services, loss of confidential information,detrimental effect on the Trust's reputation, financial impact.	A malicious cyber-security related attack on the Trust's IT systems and information from an external or internal source.	Disruption to the delivery of services, loss or corruption of information, detrimental effect on the Trust's reputation, negative financial impact.	IT security policies/processes. Network perimeter firewalls and systems. IT security products i.e. Sophos anti virus/spam email, Websense web filltering. Staff awareness/communications. Software patch control. Strong access control i.e. user accounts/passwords. Business continuity plans. System back ups. IG Tool Kit.	Major	Likely	16	High	[West, Mike Mr 10/04/18 11:17:10] Due to delays in the recruitment process interviews for the Cyber technician post to be held on 26th May.	Major	Unlikely	8	Moderate	31/05/2018

2387	10/09/2017	CBU 1	Critical Care Complex	English, Natalie	Resoli, Mr David	Major	Likely	16	High	There is a risk of delayed admission to Critical Care due to Patients who's discharge from Critical Care which is delayed more than 4 hours Critical Care is not a suitable environment for patients who no longer need a higher level of care due to rehabilitation needs. Patients will potentially EMSA Breech resulting in financial penalty.	Lack of available ward beds to discharge to. Bed allocation not timely enough to achieve 4 hour discharge.	Potential patient harm caused by delay in admission to Critical Care due to lack of bed availability. EMSA breech weekly Delays reported externally	Potential discharges from Critical Care are Identified and communicated at earliest opportunity. EMSA breeches highlighted in ops centre Critical care escalation plans would be utilised to manage a patient outside of the Critical Care unit	Major	Likely	16	High	[Mokate, Deborah Mrs 26/03/18 15:37:35] Risk re-articulated with KM, KJ. reviewed the risk rating	Insignificant	Rare	1	Low	31/05/2018
956	07/05/2013	Trust Wide		Wade, Mr Jonathan	Wade, Mr Jonathan	Major	Almost Certain	20	Extreme / Very High	Risk to patients suffering adverse effects owing to the failure to meet 18 week pathway. Resulting loss of income.	Theatre cancellations caused by both the unavailability of elective care beds for surgical patients and cancellation for pre assessment process issues and DNA's. Due to recent pressures upon the elective care pathways within the Trust as a result of an increased requirement to manage emergency patients. Lack of capacity in clinics.	Complications for patients due to advancements of pre-existing clinical conditions. Delayed patient diagnosis. Delayed time to treatment. Patient safety and Patient experience. Reputational risk to the Trust. Regulatory inspections if we do not recover the position.	Organisationally work is on-going to ensure that there are sufficient beds ring-fenced to enable patients listed for surgery to be managed in a clinically appropriate, patient centred way in line with the targets which are inherent within their 18 week pathway. This goal has been achieved for ~ 4 weeks, with all elective patients being brought in for their operations. Steps have been taken to mitigate the likelihood; the medical emergencies are now co-horted and not scattered across the surgical wards, Denver and Gayton wards are being utilised for surgical emergency patients. Elm ward is being utilised for surgical elective patients (ring fenced). Instigation of an outlier team to manage outliers effectively. 3.12.14 - decreased cancellation rate due to beds, improved forecasting and satisfactory initial feedback from IST. May 15 - Pre assessment process issues are a key part of the theatre transformation program and will be addressed through specific work streams. New booking process in DSU is having a positive impact on Day Surgery DNA rates.	Major	Almost Certain	20	Extreme / Very High	[Rose, Mark Mr 02/05/18 15:30:55] Linked to subspecialty Risks 2336 (Neurology) 2357 (Cardiology) 2361 (Endocrinology) [Rose, Mark Mr 02/05/18 15:29:11] Transferred Risk to new COO.	Major	Possible	12	Moderate	27/04/2018