## TRUST RISK REGISTER

July 07

Appendix 2

Key:		Red =15 & above	Amber = 7-14	Green = 6 & under				
				Date	(probabilityxs			
Directorate	Department	Lead Director	Description of risk	entered	everity)	Risk rating	Controls in place/Assurance	Review date
							With NHSLA. Trust action plan	
							completed including change of	
Nursing and							SOP in labortaory and	
Clinical			Claim of £500k or above due to injury caused				escalation of abnormal result to	
Development	Litigation	Deborah Wheeler	by failure to control Claimants INR level.	May-07	(4x5)	20	relevant Consultant.	Sep-07
							Regular testing of emergency	
F	<b>5</b> -1-1	District	F	l 07	/ (4:-5)	00	power supplies in accordance	l 00
Facilities	Estates	Phil lent	Emergency generator failure	Jun-07	(4X5)	20	with HTM.	Jun-08
							Negative air flow rooms under	
							day-to-day management of users. Operation and	
							maintenance placed on estates	
Facilities	Estates	Phil lent	Failure of negative flow pressure rooms	Jun-07	(AyA)	16	PPMs.	Jun-08
acilities	Lotates	i illi icit	l allule of flegative flow pressure rooms	3411-07	(4,4)	10	1 1 1013.	3411-00
							Planned maintenance systems	
							in place and maintenance	
							contracts in place to monitor	
							and manage fire alarm	
							systems. Monitored through the	
Facilities	Estates	Phil lent	Failure of fire alarm/ protection systems.	Jun-07	(5x3)	15	Fire Safety Committee.	Jun-08
							Detailed plans to extract	
							savings. Internal monitoring	
			Savings programme of £8.4 million is not				including use of the DH	
Finance		Richard Martin	achieved	May-07	(5x3)	15	productivity matrix	Monthly
							Health and safety risk	
							associated with no space and	
							file casenotes, so they are	
		01 147 4 1 1			(0.5)		stored on boxes, in bags, on	N 07
IM&T	Medical records	Glenn Winteringhar	Health records library	Jun-07	(3x5)	15	desks.	Nov-07
							Denomite Annil 07 LIMD and and	
							Paper to April 07 HMB set out the multiple causes and action	
							plan. Medical Committee	
							updated June 07. Aims to :-	
							1.Appoint new Health Records	
							Manager in July 07,2. Mandate	
							use of case note tracking by	
							Aug 07,3. Relocate medical	
							records library to fit for purpose	
IM&T	Medical records	Glenn Winteringhar	Lack of availability if medical records	Jun-07	(3x5)	15	space by Nov 07.	Nov-07
		Ĭ	·		,		Trust Policy.Reporting times	
Nursing and							monitored through Clinical Risk	
Clinical							and Health and Safety	
Development	Risk Management	Deborah Wheeler	Delay in reporting of incidents	May-07	(4x3)	12	Committee	Dec-07

		1	1	1	ľ			1
							Formal follow up of action	
							plans. Monitored through	
Nursing and							Clinical Governance Steering	
Clinical							Cmte,Hospital Management	
Development	Patient Relations	Deborah Wheeler	Rise in number of complaints	May-07	(4x3)	12	Board, Trust Board	Dec-07
							Infection control rates	
Nursing and							monitored through Infection	
Clinical							Control Committee, Clinical	
Development		Deborah Wheeler	Failure to reduce HCAI rates	May-07	(4x3)	12	Governance committee	Sep-07
							Trust in negotiations with PCTs	
							to agree activity levels in line	
							with 18 wk implementation.PTL	
							monitoring in place including	
							data validation and escalation	
							policy.Project plans available	
							and risk assessed. Pathway	
			Failure to meet interim trajectory for 18				mapping work in all divisions	
Operations		Kate Slemeck	weeks.	May-07	(4x3)	12		Monthly
Орогинопо		rate ciemeek	Worke.	iviay or	(17.0)	12	dilaciway.	Wieriany
							Good quality management and	
							SOPs.Support from Senior	
							team.Close control and liaison	
							with theatres and other users.	
			The decontamination facility is at risk due to				Monitored through	
Facilities	TSSU	Phil lent	poor condition and environment	May-07	(4v2)	10	Decontamination Cmte.	Jun-08
racilities	1330	Fillitetit	poor condition and environment	iviay-07	(483)	12	Decontamination Cinte.	Juli-08
							Clinical turnaround times for	
							letters-escalation is through	
							Team Leaders and Service	
							managers if failing to meet the	
			Latters distanted in alimia and baises (***********************************				target of 7 days. Team Leaders	
Omanations		Kata Clamasi	Letters dictated in clinic not being transcribed	May 07	(42)	40	to monitor performance through	Mandele
Operations		Kate Slemeck	and sent to relevant GPs/Hospitals.  Risk of inaccurate data collection due to	May-07	(4X3)	12	spot audits.	Monthly
Omanations	Motorpity	Kata Clamadi		Nov. 00	(2)(4)	4.0	Manitaring of data appure	lor 00
Operations	Maternity	Kate Slemeck	outdated IT systems within maternity	Nov-06	(3X4)	12	Monitoring of data accuracy	Jan-08
	Matamattu I ala - : : :		Not implementing perinatal mental health				lalia eta e /l lavie esa e DOT esa estal	
	Maternity-Labour		recommendations from CEMACH/CISH		(0.4)		Islington/Haringey PCT mental	
Operations	ward	Kate Slemeck	reports.	Jun-06	(3x4)	12	health care pathways.	Jan-08

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	Diamatia	Kata Clarrant	Delay in treatment/action following an	May 27	(2):4)		New electronic reporting system to be implemented Sept 07 with potential to alert clinicians of abnormal result. Electronic distribution of reports with hard copy sent to requesting clinicians.Continuous audit of unreported and reported films in operation.NPSA guidance on informing patients being implemented.Urgent chest referral pathway for all potential	A 07
Operations	Diagnostics	Kate Slemeck	abnormal x-ray/scan	May-07	(3x4)	12	lung cancers in operation.	Apr-07
Facilities	Estates	Phil lent	Failure to internal electricity supply	Jun-07	(3x4)	12	Electrical systems and component parts on planned maintenance and backlog replacement programme.	Jun-08
Facilities	Estates	Phil lent	Failure to deliver hard FM service through PFI.	Jun-07	(3x4)		Monitoring mechanism set up to check and verify hard service provider reports. Monthly performance review meeting held to discuss reports.  Reported to Liaison Committee and Trust Board.	Jun-08
Operations	Maternity-Labour	Kate Slemeck	Inadequate staffing levels/skill mix for women requiring high dependency care.(CEMACH, NCEPOD reports)	Jan-06			Birthrate plus audit, contingency plan based on results. Internal audit. Business case for additional midwives approved on 4/7/07 for 14 midwives this year and 5 in April 08.	Jan-08
Operations	Diagnostics	Kate Slemeck	Delay in treatment/action following an abnormal blood result	May-07			Paediatric department have introduced monitoring system. Lab SOP have been changed to highlight the need for contacting the requesting Dr and Consultant if abnormal result.	Apr-07
Operations		Kate Slemeck	PCT demand management iniatives cause a demand and capacity mismatch	May-07	(5x2)		Trust working with PCTs on demand management plans. A protocol for flexing capacity in line with changes to demand in uder development.	Monthly

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Facilities	Catering	Phil lent	Failure to provide food preparation & provision.	Jun-07	(2x5)	Robust policies and procedures in place for the production and delivery of staff and patient catering. Service monitored through the food and  10 Environmental Hygiene group.  Jun-
					,	
Facilities	Estates	Phil lent	Medical gases/ piped systems failure.	Jun-07	(2x5)	Piped gas systems maintained 10 in accordance with the HTM.  Jun-
						Service review completed April
Facilities	Madical physics	Phil lent	Egilura ta daliyar gamprahanaiya garyiga	Jun-07	(2vE)	07 and considered robust and adequate for the coming year. Jun-
racilities	Medical physics	Fillitetit	Failure to deliver comprehensive service	Juli-07	(283)	10 adequate for the coming year. Jun-
Nursing and Clinical	S: 1.14				(0, 0)	Trust Policy. Training. Monitored through Clinical Risk
Development	Risk Management	Deborah Wheeler	Risk of high number of patient falls	May-07	(3x3)	9 Cmte Dec-
Nursing and Clinical Development		Deborah Wheeler	High number of sharps injuries to staff	May-07	(3x3)	Trust Policy.Training.Monitored through Clinical Risk and Infection Control Cmte. Sep-
						Good quality management and SOPs. Support from Senior team. Close control and liaison with theatres and other users.
Facilities	SSD	Phil lent	Sterilisers/CSSD Failure	Jun-07	(3x3)	9 Decontamination Committee. Jun-
Oneretions	Madical Decards	Kata Clamadi	The risk of patients with duplicate medical	May 07	(2,42)	Reinforcement of PAS
Operations Human		Kate Slemeck	records	May-07		9 procedures via team leaders Dec- ET monitoring NMC position for Trust.Plans in place for recruitment of local and bank
Resources		Margaret Boltwood	Risk of a shortage of junior doctors in post	May-07	(3x3)	9 doctors Sep-
Human Resources		Margaret Boltwood	Failure to implement ESR effectively	May-07	(3x3)	PID will be in place and steering group. Resources n place to support delivery. Sep-
		-		•	,	
Facilities	Procurement	Phil lent	Risk of failure of suppliers software (EROS)	Jun-07	(3x3)	EROS system externally hosted 9 through Trust Intranet. Jun-

		I	T		1		Heating and component parts	1
							on planned maintenance and	
							backlog replacement	
Facilities	Estates	Phil lent	Failure to heating systems	Jun-07	(4x2)	8	programme.	Jun-08
			January Sayana		/		Needs to be deleted and a	
			Rist of failure of hospital information system				separate score for each	
IM&T		Glenn Winteringhar	(total CARE, PAS, A&E Maternity theatres)	Jun-07	(4x2)	8	system. There are no systems	Jun-08
		•						
			Patients from a clinical speciality that we do				Bed management policy.	ļ
			not offer on site having to be transferred				Policies on transferring to other	
Operations		Kate Slemeck	urgently	May-07	(4x2)	8	centres.	Apr-08
							Trust policy.Training in place.	
Nursing and							Monitored through Hospital	
Clinical			Risk of incorrect identification of patient				Transfusion Committee and	
Development	Risk Management	Deborah Wheeler	receiving blood transfusion.	May-07	(2x4)	8	audit	Mar-08
Ni. maim a and							Dell'en en de en en en en	
Nursing and			District and assessment of the second state of				Policy and process in	
Clinical		D	Risk of not managing SUI's in an acceptable		(0.4)	0	place.Monitored through Trust	0 07
Development		Deborah Wheeler	time frame	May-07	(2x4)	8	Board and assurance Cmte	Sep-07
							Steam systems and component	
							parts on planned maintenance	
F	<b></b>	Dh'il least	Failure to store events	l 07	(04)	0	and backlog replacement	l 00
Facilities	Estates	Phil lent	Failure to steam supply	Jun-07	(ZX4)	8	programme.	Jun-08
							place. Internal audit and	
							reporting through the Food and	
							Environmental Hygiene Group	
Facilities	Housekeeping	Phil lent	Failure to deliver a clean hospital.	Jun-07	(2x4)	8	and the Infection Control	Jun-08
					/			
							Likelihood of all suppliers failing	
							considered low. Networking and	
							product analysis undertaken on	
							an as required basis. Monitored	
			Failure of suppliers of goods including				through the Procurement Plus	
Facilities	Procurement	Phil lent	maintenance services	Jun-07	(2)(4)	0	Group.	Jun-08
racilities	Procurement	FIIII IEIIL	maintenance services	Juli-07	(284)	0	Soft' service only provided.	Juli-06
							Equipment operated and	
							maintained by IM&T. Staff	
							rosters and cover	
							arrangements reviewed	
Facilities	Switchboard	Phil lent	failure to provide switchboard service.	Jun-07	(2×4)	0	annually and considered	Jun-08
racillues	Switchboard	FIIII ICIIL	randre to provide switchboard service.	Juli-07	(ZA4)	0	annually and considered	Juli-06
							New software system installed	
							and running. Inventory and	
			Medical equipment inventory needs to be				database in place from June-	
Facilities	Medical physics	Phil lent	kept up-to-date	Jun-07	(2x4)	8	07.	Jun-08

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							Navy IT avatam bains	
		Glenn					New IT system being implemented to improve case	
IM&T	Medical Records	Winteringham	Lack of availability of medical records	May-07	(3×2)		note tracking September 2007.	Dec-07
IIVIQI	Medical Necolus	vviinteringriam	Lack of availability of medical records	iviay-01	(3,2)		Active bed discharge team	Dec-01
							supported by discharge policy.	
			Impact on bed capacity due to delayed				Medical rota bolstered around	
Operations		Kate Slemeck	transfers of care	May-07	(3x2)	6	bank holidays/long weekends	Apr-08
							health patients considered only	
			Risk of ligature points throughout the Trust as				and therefore ligature points in	
Facilities		Phil lent	identified in the CISH report	May-07	(3x2)		secure rooms in ED checked.	Jun-08
				, -	(- /			
							Market leading product running	
IM&T		Glenn Winteringhar	Failure EGATE interface services	Jun-07	(3x2)	6	on modern hardware.	Jun-08
			_ , , , , , ,		(2.2)		E-mail users now split over two	
IM&T		Glenn Winteringhar	Failure of email (Group wise)	Jun-07	(3x2)	6	Servers. New network installed in FTT	Jun-08
							build, and all other network	
IM&T		Glenn Winteringhar	Failure of local area network(LAN)	Jun-07	(3x2)	6	switches replaced + 2 new	Jun-08
							Not clear what this means,	
							presuming IT on-call, which is	
IM&T		Glenn Winteringhar	Failure of site on-call system	Jun-07	(3x2)	6	run on an informal basis.	Jun-08
Nursing and							Trust Policy. Training. Audit by	
Clinical							pharmacy. Monitored through	
Development		Deborah Wheeler	Management of controlled drugs	May-07	(2x3)		Clinical Risk Cmte	Sep-07
					·		to check and verify hard service	
							provider reports. Monthly	
							performance review meeting	
							held to discuss reports.	
							Reported to Liaison Committee	
Facilities	Estates	Phil lent	Failure to manage PFI contract	Jun-07	(2)(2)	G	and Trust Board.	Jun-08

							Missing person protocol in	
0		Kata Clamasi.	Management of missing patients	May 07	(02)		operation. Reinforced with	A = = 00
Operations		Kate Slemeck	Management of missing patients	May-07	(2x3)	6	incident reports.	Apr-08
Nursing and			Risk of patients being harmed by staff not				Trust Policy. Training.Monitored	
Clinical			adhering to NPSA guidelines on NG tube				through Clinical Audit and	_
Development	Risk Management	Deborah Wheeler	checking	May-07	(2x3)	6	Clinical Risk Cmte	Dec-07
							Lifts and escalators on planned	
Facilities	Estates	Phil lent	Failure of lifts/ escalators	Jun-07	(2x3)	6	and contract maintenance.	Jun-08
							systems on service contracts.	
							New Security Services	
Facilities	Security	Phil lent	failure to CCTV and access control system	Jun-07	(2x3)	6	Manager starts in July and will take over day-to-day	Jun-08
1 domines	County	T THE TOTAL	Tanare to GOTV and addeds dominor dystem	0011 07	(270)		take ever day to day	0011 00
							Backup processor in place	
							should primary processor fail +	
IM&T		Glenn Winteringhan	PABX failure	Jun-07	(5x1)	5	8 hour battery back up in the event of power failure.	Jun-08
		Green remeding	7.57.7.4.4.4.0		(67.1)		·	<b>34.1.00</b>
							New storage area network (SAN) installed with significant	
							resilience built in + multiple	
			Failure of user security, directory file and print				failover servers in place for	
IM&T		Glenn Winteringhar	services (NDS, ADS)	Jun-07	(5x1)	5	both NDS and ADS. New pieep system	Jun-08
							implemented 2005+ option to	
							use radio pagers and mobile	
IM&T		Glenn Winteringhan	Bleep system failure	Jun-07	(4×1)	1	phones as back up sin key areas.	Jun-08
IIVIQ I		Olerin Winteringhan	bleep system failule	Juli-07	(471)		Planet FM system on	Jun-00
					,		maintenance agreement and on	
Facilities	Facilities	Phil lent	Risk of failure to planet FM system	Jun-07	(2x2)	4	the Trust IT systems. Regular CARPS system on	Jun-08
							maintenance agreement and on	
							the Trust IT systems. Regular	
			(CARR)		,		backups maintain integrity of	
Facilities	Portering	Phil lent	Failure to portering system (CARP)	Jun-07	(2x2)	4	data.	Jun-08
			Risk of failure of Whittington information				Backed up on a daily basis	
IM&T		Glenn Winteringhar	_	Jun-07	(2x2)	4	and should be readily restored.	Jun-08

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Facilities	Residential	Phil lent	Failure to provide staff accommodation.	Jun-07	(2x2)	4	family accommodation and agreement with LSH for 128 external cluster flats.	Jun-08
							Policies and procedures adopted and managed through	
							contract with parking	
Facilities	Car Parking	Phil lent	Failure to manage on the site parking	May-07	(3x1)	3	management company.	Jun-08
							into the computer room in	
			Risk of failure of air conditioning in IM&T				2007, with 100% spare capacity	
IM&T		Glenn Winteringhar	training room	Jun-07	(3x1)	3	with a second unit installed	Jun-08
							22xN3 WAN connections	
							installed for resilience + dedicated connection to	
IM&T		Glenn Winteringhar	Wide area network failure	Jun-07	(2x1)		McKesson.	Jun-08
iiii G i		Cicilii Winteringhai	Wide area network failure	our or	(ZXI)		fail,spares available. The whole	0011 00
							service would only fail if the	
ІМ&Т		Glenn Winteringhar	Failure of radio pages/mobile phones	Jun-07	(2x1)	2	national provider.	Jun-08
					,		Hosted on a modern server	
INACT		Claus Winterings	Failure of interest	l 07	(04)		and backed up, the intranet	l 00
IM&T		Glenn Winteringhar	Fallure of Intranet	Jun-07	(2X1)		could be readily restored.	Jun-08
							Hosted on a modern server off	
							site and backed up, the internet	
							website could be readily	
IM&T		Glenn Winteringhar	Failure of internet website	Jun-07	(1x2)	2	restored.	Jun-08
	1				1			