

ID	Open Date	Speciality	Risk Owner	Risk Type	Title (Policies)	Description (Policies)	Existing controls	Initial Rating	Current Consequence	Current Likelihood	Current Rating	Treatment Plan	Due date	Done date	Residual Rating	Next Review	
1401	23/01/2013	CORP	Medical Director's Office	Patient Safety	Risk of outbreak of viral gastroenteritis	Risk of outbreak of viral gastroenteritis (outbreak of diarrhoea and vomiting). Impact on patient safety and trust reputation. Has operational impact due to bed closures.	D&V policy Hydrogen peroxide system for terminal cleaning Use of Actichlor Plus for environmental cleaning Use of Tristel Jet for commode and bed pan cleaning Use of SEC Norovirus Toolkit Outbreak control Group Surveillance of diarrhoea and vomiting Red aprons system Stat and mandatory training Policy Communications messages to staff, visitors and patients Norovirus leaflets Hand hygiene facilities Restricted visiting Use of signs at entrance to wards and bays, and red aprons to facilitate communication that an outbreak is taking place.	16	3	5	15	Develop RAG rated system for terminal cleaning Audit terminal cleaning Implement ATP testing Dedicated internal norovirus planning meeting. Use of red aprons during outbreaks of D&V Meeting with stakeholders regarding norovirus preparedness Audit of post-outbreak cleaning Pilot Patient Hand Hygiene Champions in Elderly Care Stakeholders meeting to discuss health system norovirus planning Monitor use of ED risk assessment for patients admitted with diarrhoea and/or vomiting Monitor ward refurbishment programme Stakeholder norovirus study day Prepare options appraisal for emptying bays to facilitate terminal cleaning following outbreak	31/03/2013 30/06/2013 01/04/2013 02/09/2013 31/03/2014 31/03/2013 20/03/2015 01/03/2015 22/09/2014 31/03/2014 30/03/2013 25/09/2013 31/01/2013	06/12/2013 26/07/2013 02/09/2013 11/02/2014 06/12/2013	22/09/2014 21/05/2014 26/07/2013 25/09/2013 26/07/2013	9	31/03/2016
1491	29/08/2013	CORP	Operations	Involvement of Service Users	Failure to maintain Emergency Department performance	Failure to maintain Emergency Department performance because of lack of capacity in health system to manage winter pressures has a significant impact on the Trust's ability to deliver high quality care.	1) EDD Patient Pathway 2) Discharge management 3) Plans for escalation areas agreed and management tools in place 4) Reviewing all breaches on weekly to implement lessons learnt	20	4	4	16	As described on the board assurance framework Implementation of divisional escalation plan following key triggers. Escalation bed plan agreed implementation plans in place for each area. Ambulance handover escalation plan agreed and in place with new process for managing handovers agreed to maintain flow. Escalation to division with clear triggers in place. Weekly ED review meeting to review previous weeks performance and implement lessons learnt Plans in place to manage with reduced capacity during January through March 2016 whilst building works are underway.	31/03/2014 14/12/2015 30/09/2015 14/12/2015 31/01/2016 31/12/2015	30/09/2015	6	31/01/2016	
1501	19/09/2013	CORP	Operations	Involvement of Service Users	Patient admitted to the right bed first time	If the Trust does not maintain and improve ability to allocate the right bed first time there is an increased risk of receiving poor quality of our care (effectiveness, experience and safety)	1) Operational meeting three times a day chaired by AD Site Services with clinical involvement from Matrons, Nurse Specialists and therapists 2) Daily Board rounds by clinical site team. Focusing on #NOF, Stroke and Medical outliers 3) Live 'To come In' lists available to view in all specialty wards to encourage active pull of patients from AMU to the correct specialty bed 4) Matrons review ward areas on a daily basis 5) Matron on site 7 days a week	9	3	5	15	As described on BAF Implementation of divisional escalation plan following key baseline target Build an integrated discharge unit to increase community capacity	27/06/2014 31/08/2015 18/01/2016	31/03/2014 23/11/2015	6	31/03/2016	
1603	18/06/2014	CORP	Finance - Fin. Management	Financial Management	Unable to deliver realistic medium term financial plan	As described on the BAF	1) Items referred to in 5.A.1 and 5.A.2 above 2) V3.0 long term financial model and integrated business plan completed (submitted to TDA in February 2014) V4.0 now approaching completion 3) TDA Plan submitted January 2014 4) Timetable for refreshed IBP and LTFM going forward is part of national planning guidance (next iteration due 20 June)	15	5	3	15	As described on the BAF	31/03/2016		8	31/01/2016	
1604	18/06/2014	CORP	Finance - Fin. Management	Financial Management	Liquidity: Inability to pay creditors/staff resulting from insufficient cash due to poor liquid position	Risk of not being able to pay suppliers from insufficient cash due to poor liquidity problem	1) Bi weekly review of forward cash flow by finance team and CFO 2) Cash and working capital policy and strategy 3) Annual cash plan linked to business plan and capital plan	15	5	3	15	As described on the BAF	31/03/2016		12	31/01/2016	
1663	09/12/2014	CORP	Finance - Fin. Management	Financial Management	Risk of not achieving Cost Improvement Plan	Risk of not achieving financial plan as a result of non-delivery of Cost Improvement Plans	1) Delivery of savings managed through PMO (ongoing)	9	5	3	15	As described on the BAF	31/03/2016		6	#####	
1672	01/02/2015	CORP	HR - Workforce	Staffing - general	Sickness Absence Levels with impact on day to day management and expenditure	Continuing risk to the delivery of effective services and Trust Strategic Objectives caused by the resources required to actively manage the Trusts rising Sickness Absence rate and ensure safe services. This is also having a significant effect on the ability to control the Trusts temporary staffing costs.	Firstcare real time sickness absence monitoring reports and daily updates to managers inbox. Daily sit reps at ward level used to ensure shift by shift safe levels of service. eRostering software to manage rota's prospectively. Agency PMO.	15	3	5	15	Actions described in the Agency PMO Focused interventions to support the Trust's Stress Management Policy (Anxiety/Stress/Depression has been highest reason for absence for past 8 months)	31/03/2015 31/08/2015		9	31/01/2016	
1678	23/03/2015	CORP	Operations	Service Access	RTT Access Standards	Due to on-going operational pressures and increasing demand for elective services, the Trust cannot offer all services within the 18 weeks standards set out in the NHS Constitution. Longer waiting times result in poor patient experience and increase the number of formal and informal complaints	1. Access Policy revised 2014 2. Weekly PTL / performance meetings to monitor progress. 3. Service Level plans to increase capacity where required. 4. Operational plan for winter 2015/16 to support inpatient elective care	15	3	5	15	Manage the number of IPs booked on lists to avoid cancellations Improve Theatre Utilisation Ring-fencing of Tandridge and Woodland Wards	27/02/2015 20/06/2015 15/05/2015	09/02/2015 05/08/2015 18/09/2015	6	11/02/2016	

1689	01/04/2015	CORP	Finance - Fin. Management	Financial Management	Risk of Contract income below plan	Risk the Trust does not achieve its financial plan as a result of lower than planned contract income.	<p>i) Quarterly reconciliation with CCGs will inform variations to the monthly contract values (over performance at Q1 is likely to reduce the risk).</p> <p>ii) Manage emergency activity within capacity through structural changes to ward configuration, improving length of stay (notably in cardiology to release beds) and other actions to improve efficiency.</p> <p>iii) Ring fence elective beds after new capacity has opened and monitor delivery.</p>	15	5	3	15	As described on the BAF	31/03/2016		12	31/01/2016
1697	11/06/2015	CORP	Finance - Fin. Management	Financial Management	Financial risks linked to National Quality Board Paper, 7 day working and Carter productivity report	Risk of failure to meet the financial plan as a result of a) increased costs to deliver staffing ratios, 7 day costs and expectations detailed in national guidance and plans, and b) failure to deliver adequate adjusted treatment index (Carter).	The Trust has set aside reserve budget for the cost of proposals to increase nurse/midwifery staffing, but this is funded partly by income from CCGs, which is not secure. 7 day working is already in place partially (part of the forecast). Additional nursing staff to deliver agreed ratios have been agreed, with implementation spread over 2 years and recruitment starting when agency is at acceptable levels.	15	3	5	15	Review and develop plans; to brief the Board on progress against risks of establishment targets not being met and any potential action to review the Board's decision on implementation.	30/09/2015		9	31/01/2016