

PORTSMOUTH HOSPITALS NHS TRUST RISK ASSESSMENT AND ACTION PLAN – July 2012

KEY (Colour coding used to identify risks)	Transferred from Ass. Framework		Existing Risks	New Risks	Risk reduced / recommended for local monitoring		
TYPE (may be more than one type)	C = Clinical	F = Financial	H&S = Health & Safety	L = Legal	Q&P = Quality / Performance	R = Reputation	SD = Service Delivery
SOURCE	Incident	Assessment	Escalation from other register	CAS Alert	Other – please specify		
Risk scores are calculated by	Consequence (C) x Likelihood (L) using the 5 x 5 matrix						
TARGET DATE – RAG RATED FOR PROGRESS	ON TARGET		MINOR OBSTACLE TO ACHIEVING TARGET		INABILITY TO ACHIEVE PREDICTED TARGET		

ID / CQC Ref	TYPE / SOURCE	DATE OPENED	RISK DESCRIPTION	IMPACT	ACTIVE CONTROLS ALREADY IN PLACE	INITIAL RISK RATING (C x L)	CURRENT RISK RATING (C x L)	PREDICTED RESIDUAL RISK RATING (C x L)	ACTION PLAN TO ACHIEVE PREDICTED (RESIDUAL) RISK RATING	ASSURANCE MECHANISM / MONITORING	Target date for specific actions Each action RAG rated for progress	Final target date for mitigation of risk RAG rated for progress	RESPONSIBLE LEAD / COMMITTEE
											On target		
											Minor obstacle to achieving target		
											Inability to achieve predicted target		
	L & R	4 July 2012	Adverse Governance Assurance Board report requiring the implementation of a major action plan to implement and embed	<ul style="list-style-type: none"> Prevents Trust meeting its TFA dates 	<ul style="list-style-type: none"> Board reports FTPC Self assessment 	12	12	6	<ul style="list-style-type: none"> External assessment Action plan and its implementation 	<ul style="list-style-type: none"> Reports to FTFC on progress against implementation of action plan 	On target		Board
	F & Q&P		Adverse Historical Due Diligence report requiring the implementation of a major action plan to implement and embed	<ul style="list-style-type: none"> Prevents Trust meeting its TFA dates 	<ul style="list-style-type: none"> Board reports EMT Performance Management Framework Audit Committee FTPC Finance Committee 	16	12	12	<ul style="list-style-type: none"> External assessment Implementation of action plan 	<ul style="list-style-type: none"> Reports to relevant committees on progress against implementation of action plan 	13 September	December 2012	Audit/Finance

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	Q&P and R		Adverse third Party Quality Governance report requiring the implementation of a major action plan to implement and embed	<ul style="list-style-type: none"> Prevents Trust meeting its TFA dates 	<ul style="list-style-type: none"> FT Project Plan Board reports FTPC Quality Governance Committee 	12	8	6	<ul style="list-style-type: none"> External assessment Implementation of action plan 	<ul style="list-style-type: none"> Weekly/monthly monitoring of progress against quality measures Reports to relevant committees on progress against implementation of action plan 	Sept 2012	December 2012	Quality Governance
	F and Q&P and R		Adverse movement in delivery of 2012/13 Financial Plan, in particular failure to deliver CIPs	<ul style="list-style-type: none"> Prevents Trust meeting TFA date and delays application date to Department of Health 	<ul style="list-style-type: none"> FT Project Plan Board reports FTPC Finance Committee Transformation committee 	16	12	12	<ul style="list-style-type: none"> Transformation Committee Performance reviews with SHA Tightened workforce and spending controls 	<ul style="list-style-type: none"> PMO/Finance Department monitoring progress Reports to relevant committees and Board on progress 	August 2012	March 2013	EMT/Transformation
	Q&P and R		Deterioration in Performance as measured by Department of Health / Monitor, Emergency Department position and Referral to Treatment Time for example	<ul style="list-style-type: none"> Prevents Trust meeting TFA date and delays application date to Department of Health 	<ul style="list-style-type: none"> Performance management framework Board reports FTPC EMT/SMT 	16	12	12	<ul style="list-style-type: none"> Transformation Committee Performance reviews with SHA Monthly/weekly monitoring by Business intelligence 	<ul style="list-style-type: none"> PMO/BI monitoring of performance and impact of Performance management /Framework 	August 2012	March 2013	EMT/SMT/Board
	Q&P/R		Adverse external report Care Quality Commission/NHSLA	<ul style="list-style-type: none"> Prevents Trust meeting its TFA dates 	<ul style="list-style-type: none"> Performance Management Framework Captains rounds Board reports FTPC 	12	8	6	<ul style="list-style-type: none"> Action Planning Walkabouts Captians rounds Focus on quality 	<ul style="list-style-type: none"> Quality and Governance Committee 	July 2012	March 2013	Quality and Governance/Board
	R/F/L		Missing key milestones in the revised Tripartite Formal Agreement	<ul style="list-style-type: none"> Performance will be reclassified as "failing", red rated 	<ul style="list-style-type: none"> Project Plan/Project Management Board reports FTPC 	8	4	4	<ul style="list-style-type: none"> Project Plan Regular discussion with SHA 	<ul style="list-style-type: none"> None required 	Ongoing	March 2013	FTPC/Board

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											On target			
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											Inability to achieve predicted target			
	F/R		Not gaining Commissioner support to the plans of the Trust going forward	<ul style="list-style-type: none"> Prevents Trust meeting its TFA dates 	<ul style="list-style-type: none"> FT Project Plan FTPC Weekly meeting with commissioners regarding contracts Regular meetings with PCT/CCG to agree alignment 	12	4	4	<ul style="list-style-type: none"> Regular meetings with Commissioners Sharing of IBP/LTFM 	<ul style="list-style-type: none"> Reports to FTPC and Board Updates to the SHA 			FTP C/Board	
	F/R		Not gaining Commissioner support to the plans of the Trust going forward	<ul style="list-style-type: none"> Prevents Trust meeting its TFA dates 	<ul style="list-style-type: none"> FT Project Plan FTPC Weekly meeting with commissioners regarding contracts Regular meetings with PCT/CCG to agree alignment 	12	8	4	<ul style="list-style-type: none"> Regular meetings with Commissioners Sharing of IBP/LTFM 	<ul style="list-style-type: none"> Reports to FTPC and Board Updates to the SHA 	ongoing	December 2012	FTP C/Board	
	F		Inability to get 2013/14 contract in place	<ul style="list-style-type: none"> Prevents Trust meeting TFA date and delays application date to Department of Health 	<ul style="list-style-type: none"> Regular meetings with PCT/CCG 	12	12	3	<ul style="list-style-type: none"> Discussions with PCT on IBP/LTFM Performance management from SHA NHS Performance Management Framework Contracting/Commissioning Teams 	<ul style="list-style-type: none"> 		January 2013	SMT	
	R		Not gaining the support of the Strategic Health Authority to go forward to the Department of Health	<ul style="list-style-type: none"> Prevents Trust becoming a Foundation Trust 	<ul style="list-style-type: none"> FT Project Plan Board reports FTPC Relationship building with SHA 	8	8	3	<ul style="list-style-type: none"> Regular meetings with SHA Project Plan TFA 	<ul style="list-style-type: none"> None required 	ongoing	March 2012	Glen Hewlett / FTPC/EIMT/Board	

Guidance for the Assessment of Risk Rating

LIKELIHOOD (frequency)	CONSEQUENCE (impact/severity)				
	Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Serious (5)
Rare (1)	1	2	3	4	5
Unlikely (2)	2	4	6	8	10
Possible (3)	3	6	9	12	15
Likely (4)	4	8	12	16	20
Highly likely (5)	5	10	15	20	25

Green	Low Risk (1 – 3)
Yellow	Moderate Risk (4 – 6)
Amber	High Risk (8 – 12)
Red	Extreme Risk (15 – 25)

Levels of Severity of Patient Safety Indicators	
None	A situation where no harm occurred: either a Prevented Patient Safety Incident or a No Harm Patient Safety Incident.
Low	Any unexpected or unintended incident which required extra observation or minor treatment and caused minimal harm to one or more persons.
Moderate	Any unexpected or unintended incident which resulted in further treatment, possible surgical intervention, cancelling of treatment, or transfer to another area and which caused short term harm, to one or more persons.
Severe	Any unexpected or unintended incident which caused permanent or long term harm to one or more persons.
Death	Any unexpected or unintended incident which caused the death of one or more persons.