

Clinical Risk Control Register												
Risk Category	Activity	Top Risk(s)	Initial Likelihood	Initial Severity	Initial Risk Rating	Prevention Controls - reducing likelihood	Mitigation Controls - reducing severity	Final Likelihood	Final Severity	Final Risk Rating	Responsibility?	Last / next review
1	Reduced clinical workforce / hours	Reduced responsiveness to existing caseloads Management of expectations Lower staff morale Reduced staff retention Reputational damage Reduced referrals	5	3	15	Clear messaging to internal and external stakeholders Review of operational guidelines following a period of existing guidelines and reduced staffing model. Regular staff meetings / open door policy	Manage staffing levels across a 7 day service Collaborative working with external colleagues to promote efficiency and reduce risk of patient outliers Prioritise the support that we are responsible for delivering and reduce the amount that we pick up due to a lack of provision within the community. Review clinical admin and AI support to identify ways of reducing some of the existing admin burden on the clinical teams.	5	2	10	CD	Jan 26/Apr 26
2	Reduced clinical workforce with loss of 0.6 WTE consultant cover	Reduced clinical capacity - specifically risk of loss of Specialist registrar position due to insufficient availability of consultant supervision which would lead to significant decrease in clinical capacity, morale and reputational damage.	5	3	15	Current consultants GTR and NC can provide telephone support/ emergency on site visits if required for ad hoc days with no consultant presence on a short term/ interim basis (on call payment for SRH consultants now agreed. Could approach colleagues in Princess Alice Hospice, St Helier and Epsom Hospital to enquire about capacity to provide emergency either telephone support or on site cover at time of need. Recruitment to 0.6 palliative care consultant successful for Aug 2026 start with locum slots throughout the interim. Exploration of clinical fellow appt in hand alongside other options	Specialty Doctor one day a week contract now extended for a further six months (Aug 2026).  Clinical fellow (4 days per wk) appointed from October 2025 - August 2026 STR Rebekah Williams (full time) appointed from October 2025 (12 month contract) Access to consultant advice via supporter care could be considered if needed.	3	3	9	CD/ GT-R	Jan 26/Apr 26
3	IT PAS System Failure / Cloud Access Down	Inability to access contemporaneous clinical records or run business continuity reports	5	3	15	IT System Management Controls	<ul style="list-style-type: none"> <li>Contactable team OOH (not formal contract)</li> <li>Back up resource -outsourced at times of AL</li> <li>2 x HSCN routers and lines to support fail over</li> <li>Hard copy daily print outs to provide basic continuity</li> </ul> . EMIS mobile has been rolled out for the IPU, medical team and community team incase of system failure. . Medical team can access our EMIS tenant from Princess Alice Hospice IT system. . In an emergency our neighbouring Hospices would allow us access to our EMIS system from either their sites or through remote access. . 2 x CATO firewalls configured for high availability for EMIS mobile. . Disaster recovery plans in place across all departments	4	2	8	IT/CD	Jan 26/Apr 26
4	Junior doctor industrial action	Reduced medical workforce	4	3	12	Beyond our control	Careful rostering to ensure adequate consultant (2 consultants) and specialty doctors (3) cover Nurse prescriber availability from the community team	4	1	4	CD/MD	Jan 26/Apr 26
5	Government 10-Year Plan ("Hospital to Community" / "Analogue to Digital")	Digital exclusion Health inequalities Cyber security vulnerabilities Poor IT infrastructure Lack of funding Lack of skilled workforce	4	3	12	Balanced use of analogue methodologies so as not to exclude those with lower digital literacy or those without stable internet access or those who prefer face to face contact Robust IT infrastructure and connectivity supported by operational and information security policies and procedures IT workforce Engagement in data sharing with GP practices and community hubs Engagement with neighbourhood team and provider alliances	Education and Training Project management Time management Personal care Funding streams Data and AI utilization Collaboration with NHS partners and initiatives that support shift from Hospital to Community care (eg CHC Fast Track project (Jan-Mar 2026)	3	2	6	IT/CD	Jan 26/Apr 26
6	Breaches of confidentiality involving person identifiable data (PID), including data loss	<ul style="list-style-type: none"> <li>Reputational damage</li> <li>Litigation</li> <li>Fines from ICO</li> <li>Service user distress and safety risk</li> </ul>	3	3	9	<ul style="list-style-type: none"> <li>Protecting Confidential Information Policy</li> <li>All personnel and volunteers trained on Information Governance on induction and annual mandatory training.</li> <li>Data User Agreements in place</li> <li>DPO, ISO, Caldicott Guardian &amp; SIRO in place</li> <li>Suite of Information Security and Governance policy in place</li> <li>Test Phishing emails via IT Dept 3rd party contract.</li> <li>Secure PID communication email channel in place through NHS Net.</li> <li>Regular organisational sweeps in all departments</li> <li>Caldicott Guardian attends regular training and presents at associated fora.</li> <li>Maintenance of shared network drive to ensure file security.</li> <li>IT policy in place to restrict USB storage devices from being used.</li> <li>no local workstations store data, all data is accessed on centralised SAN.</li> </ul>	<ul style="list-style-type: none"> <li>All personnel and volunteers trained on Information Governance on induction and annual mandatory training.</li> <li>Proactive checking in areas such as photocopier/clear desks.</li> <li>Established link with Capsticks solicitor who provides ad hoc advice on data access issues</li> <li>Annual - Information Governance Check list audit / Clinical Record documentation audit.</li> <li>Email retention policy set at 5 years implementation in April 2026</li> </ul>	2	2	4	IT/CD	Jan 26/Apr 26

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7	Clinical Complaints	Local press coverage Potential for public concern Elements of public expectation not being met Loss of confidence in the service Reputational damage	4	2	8	<ul style="list-style-type: none"> <li>Organisational policy supporting values, behaviours and practices</li> <li>Education and training re communication</li> <li>Adherence to OP05 Feedback and Complaints policy</li> <li>Reported at Clinical Quality and Governance Committee</li> <li>All complaints discussed at hospice team meetings for awareness and learning across the organisation</li> </ul>	<ul style="list-style-type: none"> <li>Reporting culture of any concerns- no blame but responsibility</li> <li>Use of investigative tools for significant incidents.</li> <li>Feedback to complainants regarding change/improvement in practice.</li> <li>All complaints both verbal and written treated with the same level of scrutiny</li> <li>Scoping to establish all clinical staff access to communication skills training</li> <li>Training on care delivery</li> <li>Information shared re: Duty of Candour and scope of the policy</li> <li>Complainants (both verbal and written) are offered the opportunity to meet and discuss concerns with Clinical Director, and maybe offered opportunity to join HUG to help with SRH future learning</li> <li>Complaints documented and register maintained</li> <li>Annual review by EXEC</li> </ul>	3	2	6	CD	Jan 26/Apr 26
8	Terminally Ill Adults Bill	Increased workload in managing conversations and meeting attendance (CPD) on assisted dying topic Potential reputational damage	3	2	6	<ul style="list-style-type: none"> <li>Website statement in place</li> <li>Participation in local and national conversations</li> <li>Staff education and open dialogue</li> </ul>	<ul style="list-style-type: none"> <li>Line management support to staff (emotive conversation and workload)</li> </ul>	3	2	6	CD/MD/BOARD	Jan 26/Apr 26
9	Infection spread within hospice	<ul style="list-style-type: none"> <li>Inability to provide full clinical service impacting on both patients, their families and staff.</li> <li>May impact on external stakeholders.</li> <li>May impact reputational damage and potential funding streams</li> </ul>	3	2	6	<ul style="list-style-type: none"> <li>Attention to and compliance with governmental guidance</li> <li>Implementation and maintenance of CLIN52 COVID policy</li> <li>Implementation and maintenance of CLIN08 Infection Control policy</li> <li>IPC Lead in post - overseeing the link nurses on the IPU and Community Team and close working with SWL infection control leads.</li> </ul>	<ul style="list-style-type: none"> <li>Implementation and maintenance of CLIN52 COVID policy</li> <li>Implementation and maintenance of CLIN08 Infection Control policy</li> <li>PPE regular supply available</li> <li>Contingency planning clarified for any identified cases within the Hospice - as per governmental guidance</li> <li>Single room nursing. Increased telephone contact</li> <li>FFP3 mask fit testing ongoing</li> <li>Refresher PPE training and advice and support from PHE Facility for staff to work from home</li> </ul>	2	2	4	CD	Jan 26/Apr 26
10	Extended bed occupancy	<ul style="list-style-type: none"> <li>Delay to discharge due to limited availability of CHC funded beds in the community and patient/family reluctance to transfer.</li> <li>Limits our processing of requests for admission.</li> <li>Potential effect on reputation, income generation and staff morale.</li> <li>Does fluctuate but more of an issue in the autumn/winter.</li> </ul>	3	2	6	<ul style="list-style-type: none"> <li>Maintain relationships with Care Homes/ Sutton and Merton PLACE that have CHC funding.</li> <li>Provision of information to patient and family</li> </ul>	<ul style="list-style-type: none"> <li>Staff proficiency in completing fast track.</li> <li>Screen referrals for potential impact.</li> <li>Dual planning with Hospital requesting admission.</li> <li>Consideration of CHC funded IPU beds in future. (3 month pilot Jan - Mar 2026 : 2 dedicated CHC beds)</li> <li>Expertise in discussion with patients and family members re discharge planning.</li> </ul>	2	2	4	CD/IPU MDT	Jan 26/Apr 26
11	Clinical Incidents	<ul style="list-style-type: none"> <li>Serious or moderate harm to patient Safety</li> <li>Risk of complaints from patients/families</li> <li>Reputational damage / litigation</li> </ul>	2	3	6	<ul style="list-style-type: none"> <li>Low threshold to reporting</li> <li>Culture embraces reporting of all incidents related to clinical care</li> <li>Hierarchy of investigation</li> <li>Outputs- Learning informs improved procedures and processes</li> <li>Report to Clinical Quality &amp; Governance Committee supports transparency</li> <li>Embrace of the Patient Safety Incident Response Framework (PSIRF) and Plan in OP01 in support of patient safety and learning from incidents</li> </ul>	<ul style="list-style-type: none"> <li>Continued staff training and awareness of new techniques and products.</li> <li>Opportunity to participate in reflection and sharing learning and outcomes.</li> <li>Feedback to complainants regarding change in practice.</li> <li>Encourage an environment of comprehensive reporting to support learning and quality improvement across all departments.</li> <li>Annual clinical audit /QI / research / data monitoring program</li> </ul>	2	2	4	CD & Director of Q&GI	Jan 26/Apr 26
12	Insufficient Nursing Resource on the Inpatient Unit.	<ul style="list-style-type: none"> <li>Unable to admit</li> <li>Impact on patients, families and reputation</li> <li>Impact on community team offer of admission</li> </ul>	2	3	6	<ul style="list-style-type: none"> <li>Bank and Agency Nurses available</li> <li>Staff adapting/flexing shifts to cover IPU</li> <li>Monitoring of staffing capacity monthly/weekly/daily</li> <li>Alignment with Agenda for Change pay scales implemented</li> <li>Crisis cover payments in place</li> <li>Active recruitment ongoing</li> <li>12 hour shift pattern</li> </ul>	<ul style="list-style-type: none"> <li>IPU admissions can be reduced to meet staffing capacity</li> <li>Majority of patients are cared for in the community</li> <li>Nursing Associates are being upskilled</li> <li>Acuity score used to help guide admissions v staffing levels</li> <li>All Leave policies amended with fair leave entitlements</li> </ul>	1	3	3	CD/IPU Clinical Lead	Jan 26/Apr 26
13	Lone working	<ul style="list-style-type: none"> <li>Staff/volunteers work singularly in the community within referred patients homes.</li> <li>Risk of accident/incident in a patients home and individual risk to staff member.</li> <li>Risk in travel to and from home visits</li> </ul>	3	2	6	<ul style="list-style-type: none"> <li>OP17 Lone worker Policy</li> <li>Community staff are supplied with a mobile phone for contact with the hospice or other healthcare professionals. ACC informed of access and egress.</li> <li>Lone worker alert devices in place.</li> <li>Increase in joint visiting across HCPs</li> </ul>	<ul style="list-style-type: none"> <li>Lone Worker Policy informing steps to follow if a colleague does not return to base at expected time.</li> <li>Clarification and supported training on use of safety devices.</li> <li>EXEC OOH on call in place for contact and advice on further action.</li> <li>If there is perceived or hx of risk staff work in pairs and alert is added to the EPR.</li> <li>Lone Worker Risk assessment and EMIS template updated</li> </ul>	2	1	2	CD/MDT	Jan 26/Apr 26

The axis for Likelihood should be from 1. Very Low – 2. Low – 3. Medium – 4. High – 5. Very High  
 The axis for Severity should be from 1. Light – 2. Serious – 3. Major – 4. Catastrophic – 5. Multi Catastrophic  
 Over 13 = red  
 8-13 = amber  
 7 or under = green