

RISK REGISTER TEMPLATE:

CLINICAL BOARD:

DIRECTORATE:

Risk 20-25

CEF

All Departments

Date March 2025

Risk Ref.	Strategic Objective	Date risk added	Risk	Exec Lead	Initial Risk Rating			Controls	Assurances	Current Risk rating			Gaps in Control	Gaps in assurance	Actions	Who	When	Target Risk rating			Date of next review
					Consequ	Likelihood	Total			Consequ	Likelihood	Total						Consequ	Likelihood	Total	
Major Capital																					
None at Present					0	0	0			0	0	0							0	0	0
Capital Property																					
P&A55		17/01/2025	Issue: WRP Cover of UHB Tenants WRP have cast doubt on whether they will indemnify the UHB against building risks traditionally offered by commercial insurance. Risk/Potential Impact Financial Impact and Legal Impact Plus potential loss of tenants	GW	5	4	20	Ongoing discussions between NWSSP and WRP	Progress will be reported to relevant committees.	5	4	20			Issue escalated. Awaiting steer.			5	1	5	Ongoing
Capital PFI																					
PF110		15/11/2023	Risk/Issue: UHL - End of 3PD Impact: Significant resource needed to oversee and plan for end of agreement.	GW	4	5	20	3PD ends 16/08/2027. Series of activities required.	Separate risk register prepared to monitor all associated risks.	4	5	20			Ongoing contract management.	UHB, Pobl,	Performance meetings.	4	1	4	PFI09 Removed
Catering CFPU																					
17		19/12/2023	Risk: Not able to maximise stock levels to create a contingency stock level of frozen patient meals at the CFPU. Impact: Unable to increase provisions of patient frozen meals to provide contingency levels. New food safety measures and controls required as identified by the food safety assurance manager requires a 4 hours blast freeze process compared to the previous 2 hours along with the new enzyme treatment shock treatment cleaning process takes 3 hours per day instead of previous 1 hour per day. Financial impact: The need to purchase additional meals from an external company at an approximate cost of £25k monthly.	GW	5	4	20	Team Managers checking rotas off. Ensuring adequate staff levels maintained all areas covered. Overtime to be offered and the use of Bank staff to be utilised. Production maximised and cleaning regime completed as per instruction. Purchase meals from Apetito for additional stock items	Team managers/Supervisors monitoring weekly priority given to the 4 hour blast freeze process and the cleaning and enzyme treatments over the production requirements. - Assurance is provided ability to produce and the additional purchase of external meals.	5	4	20	Additional labour funding required to provide designated hygiene cleaning team allowing the current production staff to maximise production. Recognition of the additional cost of purchasing eternally.	SBAR to be submitted to request additional funding.	All rotas to be checked/reviewed and amended accordingly. Continue to monitor production against patient demand, continue to be flexible with delivery schedules - continue to order limited products from external supplier to provide opportunity of increasing production.	SD/LP/SS	ASAP	5	4	20	Apr-24

18		01/02/2024	<p>Risk: CFPU are sitting on the outer HV ring, which isnt currently backed up by the HV generator, also without a local LV generator. Impact: Food production of patient cook freeze meals would stop. Large storage freezers and refrigeration holding high stock levels would fail to store frozen products at the correct temperature, stock levels of patient meals will need to be disposed, this will compromising the ability to feed patients in line with Nutrition and hydration guidelines.</p>	GW	5	4	20	The issue has been highlighted during the Power outage testing. CEF are aware.	There is limited reassurance due to the fact we have no location with large freezer space for the volume of meals.	5	4	20	A location for an external freezer/refrigeration space is required. A generator to supply the CFPU is preferred.	Limited funding or Capital monies to invest in an old building where the CFPU is located	There has been limited occasions of power failure for the Lakeside Complex where the Central Food Production unit is located. Manage stock levels to minimise stock loss, CEF to continue to review the risk.	SD	ASAP	5	4	20	Apr-24
19		ADDED 23/04/2024	<p>Risk: CFPU is based on the first floor with one goods lift available - if the lift fails the transport of food provisions will be through an alternative route that is not conducive to a food safe environment. Aged equipment with parts no longer stocked - Risk of staff injury due to heavy handballing and lifting of products up stairways. Impact: Food production of patient cook freeze meals would stop, due to the ability to move high quantity heavy amounts (somedays 200-300kg of fresh meat) of chilled/frozen food in a food safe timescale. Increased level of staff injuries and possible claims.</p>	GW	5	4	20	The issue has been highlighted during the lift failure 19/04/24. CEF are aware.	There is limited reassurance due to the fact we have no alternative lift available other than increase the priority level for lift 46 any future repairs.	5	4	20	A location for an additional lift as contingency or a suitable food safe route for food provisions	Limited funding or Capital monies to invest in an old building where the CFPU is located	There has been limited occasions of failure for the lift in the Central Food Production unit. Future priority needs to be on lift 46 for all lifts within the UHB except the lifts required to transport patients in cases of emergencies. (Theatres etc)	SD	ASAP	5	4	20	Jun-24

Ward Based Catering/ Retail

None at Present				0	0	0				0	0	0						0	0	0	
-----------------	--	--	--	---	---	---	--	--	--	---	---	---	--	--	--	--	--	---	---	---	--

Operations

None at Present				0	0	0				0	0	0						0	0	0	
-----------------	--	--	--	---	---	---	--	--	--	---	---	---	--	--	--	--	--	---	---	---	--

Security

None at Present				0	0	0				0	0	0						0	0	0	
-----------------	--	--	--	---	---	---	--	--	--	---	---	---	--	--	--	--	--	---	---	---	--

Portering and Switchboard

None at Present				0	0	0				0	0	0						0	0	0	
-----------------	--	--	--	---	---	---	--	--	--	---	---	---	--	--	--	--	--	---	---	---	--

Facilities Housekeeping

None at Present				0	0	0				0	0	0						0	0	0	
-----------------	--	--	--	---	---	---	--	--	--	---	---	---	--	--	--	--	--	---	---	---	--

Estates

Estates_18	UHW	UHW wide - LGF areas	Issue: Fire doors identified as requiring replacing due to condition of doors not meeting fire requirements Risk: fire doors non compliant Impact: door will not perform in accordance with standards in the event of fire thus not containing the spread of fire and putting patients staff and visitors at risk	GW	5	4	20	Door inspected weekly as part of a PPM by estates staff	Inspection results recorded	5	4	20	Doors identified as not been compliant LGF Central link doors 237 x 2, LGF PLANT ROOM 3 No 143 x 2, LGF Medical Records No 317 new doors required, LGF	Delays in carrying out the replacement of non compliant doors	Quotation required for replacement doors in line with fire legislation requirements -Fire doors have been reclassified around the C&V estate, New PPM to reflect this	Estates	ASAP	5	1	5	
Estates 30	UHW	MGPS Obsolete PRV & GAUGES	Risk/Issue: Medical Gas safety PRV, equipment and Gauges unable to test and carry out inspection or change. Obsolete equipment and currently out of compliance with overdue uninspection.	GW	5	4	20	No specific control for this equipment, only visual inspection.	Checks on the equipment.	5	4	20	Possibility of manifold back up and alternate supplies for certain gases.	Unable to isolate equipment supplying critical parts of the hospital.	plan in place to incorporate the difficulties in changing obsolete and live working safety valves and obsolete PRV /GAUGES whilst maintaining the med gas supplies	IF/PG All MGPS	31-Dec-22	5	1	5	21/12/2022
Estates 49	Lif AE	07/12/2022	Risk/Issue: With no Authorising Engineer assigned to Lifts, we are unable to appoint Lift AP's and carry out Audits on Lift condition & management systems etc	GW	4	5	20	Reliant on training that has been provided at Eastwood Park. Lift engineer to manage the lift system.	No incidents recorded and system managed to correct standard using OTIS contractor & BES inspection.	4	5	20	System managed as trained but not appointed formally	Do not follow the HTM standard and autorisation process, hence not compliant	To research and obtain quotes for service of a Lift AE.	Paul George	31-Mar-23	4	1	4	21/12/2022
Estates 76	UHW	CHW Phase 2 Plant room	Risk/Issue: Main CIAT Chiller, replacement X6 EBM Papst fan assemblies units on chiller circuit No2.	GW	5	4	20	None Specified	3 out of 8 fans working on circuit No1: 3 out of 4 on circuit No2, removed 3 of faulty fans from circuit No1 and replaced the 3 working from circuit No2. Circuit No1 is larger system running on single point of failure. Due to chilled circuit being on roof plant room, any temporary chiller options would be very challenging, but not impossible.	5	4	20	Parts availability 6-8 weeks	None specified	None specified	Chris Watts	04/07/2023	5	1	5	31/07/2023
Estates 93	UHW	LV Substation 2A	Risk/Issue: Auto Changeover system - On loss of power to LV sub A1 panel, ACB failed to take secondary supply system (SPS generator backup) ACB failed to take load on 3 separate attempts of testing - on all occasions ACB fired through Gaps in control - Unable to test generators on-load (monthly test) as per HTM 06-01 requirement Failure to provide on distribution strategies standby generators resilience of N+1 automatically Switch Panelboard in Sub 2A - Air Circuit breaker (ACB) make/model common to both panels A1 & A2	GW	5	4	20	None Specified	LVAP action plan include - Electrical team providing ongoing weekly checks BMS Alarms to shift pager is being investigated/feasibility to provide early warning of changeover failure Emergency SOP in place with all Electrical team/shift teams - manual switching of ACB - restoring secondary supply to high risk areas (risk in delay of time to attend minimum time of 5/10 minutes, maximum time of 40 minutes) potentially without power for this duration Mitigation on attendance timeline: lift support system is covered by uninterruptible power supplies (UPS systems) up to 60 minutes (can vary on loading will affect duration) Panelboard coverage - include life support areas, main theatres, pre-operation, post-operation, ITU, Home Office Essential Areas, Essential Public Health Wales Labs Investigations on the ACB completed by a specialist electrical contractor, with report of direct replacement part being obsolete & un-serviceable	5	4	20	None specified	None specified	Chris Watts	29/07/2023	4	2	8		
Estates 111	UHW	Main Chiller Pipework	Risk/Issue: External supply and return main chiller plant pipework is severely corroded for 2 metres in length, where lagging is missing. Estimate 3mm thickness has corroded on pipe thickness. (behind DSS10 HV S/S)	GW	5	4	20	Monitor condition until planned replacement	No assurances due to level of thickness deterioration to date.	5	4	20	Unknown detail of pipework and duration exposed to the elements.	Suggest inspect further sections to check overall condition of pipework	Both sections of the corroded 2 metre length of supply and return pipework needs to be replaced.	Estates, tbc	2023/24	5	1	5	
Estates 112	DSS4 HV & LV Sub Doors	09/09/2023	Risk/Issue: Both DSS4 Maternity HV substation double doors and LV switchroom single door are made from slatted wooden doors and rotten, damaged and not secure for the location of the HV/LV substations.	GW	5	4	20	Monitor condition until planned replacement	Due to the risk off not solid fixing and loose fitting plus possible barring open the doors and into the HV/LV rooms No assurances. No issues to date but high possibility	5	4	20		Obtain quotes and replace asap.	Replace both sets of doors to metal/steel type with securefixing and locks, with CLIQ key system.	P George	2023/24	5	1	5	

Estates 120	CWST	14/10/2023	Risk/Issue: Safe Access to the CWST (B58) is difficult with no ladder or any safe means of access to carry out statutory tank inspections and testing. Serious risk of fall from height and injury to person.	GW	5	4	20	The CWST has been inspected and a further visit required to see what temporary solution can be put in place.	Monthly , quarterly and annual thorough cleaning of the CWST is required and some safe access as a temporary measure until permanent can be installed.	5	4	20	Both contractors and DEL labour require access.	Check with contractor last time inspected and how safe access was achieved?	Design and install a permanent, secure and safe access urgently.	P George	31/12/2023	4	1	4	31/03/2024
Estates 122	UHW	A Block Roofing sheets	Risk/Issue: Roofing sheets, rusted through S.W corner of A block, to A Block Link - Several holes and sheeting could be affected by inclement weather	GW	5	4	20	Contractor attended site to look at temporary repair, before further damage can be caused by inclement weather (Flooding below and roof sheet deterioration)	Roof sheets in S. West corner of A south will require renewing long term	5	4	20						4	1	4	
Estates 123	Sigma BMS control cards	18/10/2023	Risk/Issue: Satchwell Sigma BMS control cards are no longer supported, Areas of concern include, Heating/ventilation/cooling/LTHW/DHW controls in sensitive areas include UHW Operating theatres (plantroom 19), CHFV theatres, SSSU day theatres, ITU, NICU, Boiler House, Multiple Cardiff University labs including BIOVS facility (regulated by Home office, reportable when out of compliance) Known outstations failures have increased due to the start-up of heating session instigation across various location	GW	5	4	20		Have now been limited to unknown second-hand option's (potentially unavailability's) OBSOLETE Pass limited USED/second hand BMS cards have now been totally used-up, no further stock or availability in-place, increasing passed assurance, due to factors above- needs to be re RAG rated	5	4	20	Gaps in control – Minimal Upgrades have taken part, recent issues with IM&T ports closing down, firewall rules not allowing communication, single points of failure BMS computer, no IT direct support.					5	1	5	
Estates 124	UHW	Main Oxygen VIE Supply	Risk/Issue: Main piped oxygen from estates VIE tank runs underground, no ducting and a large tree growing directly above the ground/pipework route. Major risk if tree roots cause unseen damage to pipework which would disrupt oxygen supply to hospital.	GW	5	4	20	We have emergency manifold system for any emergency scenario, but not for longevity to maintain oxygen demand for hospital. This concern has also been raised by the MGPS Authorising Engineer as a potential point of failure.	Piped system can only be checked from exposed pipe above ground level.	5	4	20	Unsure of general condition of buried oxygen pipework	Planned improvement works to site oxygen from second VIE but long term project and the estates VIE will form part of the improvement plan, therefore needs secure and protected pipework.	Investment and plan to replace and redirect the main oxygen pipework run into the hospital.	P George	31/12/2024	5	1	5	31/01/2024
Estates_145	B & C Motor Room Roof Membranes	17/04/2024	Risk/Issue: B Block Motor room membrane is no longer attached to roof and leaks over Lift machinery (motor/Electric panels and into lift car) Whole membrane requires replacing. C Block motor room roof membrane is intact at the moment, but floats up and down in the wind, so is not attached to the roof in the centre		5	4	20		Leak into B Block monitored and catchment pigs set up – Building teams obtaining quotes / funding as high cost. C block is not leaking at present, but without remedy membrane will be damaged over time.	5	4	20	None specified	None specified		Jody Shepperd		4	1	4	
Estates_148	Hamadryad	25/09/2024	Risk/Issue: 2nd Floor internal damp damage from chimney stacks. Damp issues and mould from poor condition of chimney stacks and vegetation to gutters.		4	5	20	Not possible	Scaffold is needed to access all roof repairs. Quotes have been submitted	4	5	20	None specified	None specified		Mark Wright		4	1	4	
Estates_149	CRI	02/12/2024	Risk/Issue: The boilers in Main plantroom CRI are suffered from high levels of corroding, the leak was suspected to be from rain water. Upon investigation the general opinion from X2 contractors was that this is due to compromised gaskets in the double skin of the flue itself. The boilers are set at 72, but running at 82, with a question mark around the speeds being too high resulting in damaging the joints with the temp being too high hardening them over time causing them to be compromised. The leak on the flue is also a concern for the offering of a source of combustion in the plantroom. (Due to fears around the integrity of the flue). The Report has been submitted to Dis/Capital around the cause and		4	5	20	Leak diversion set up	The only assurance that can be offered is protecting the boilers as best as we can. Without significant investment the issue will remain. The recommendations are to have them changed and the flue replaced.	4	5	20	None specified	None specified		Tom Gerrett		4	1	4	
Estates_150	UHL	02/12/2024	Risk/Issue: The pipework supplying the cold-water feed for theatres, Spinal, Cavoc. The pipework on 54mm appears to be pin holed possibly in multiple areas, we are unable to strip the lagging investigate further due to the number of leaks with potentially some 20+ meters needing stripping in the ramp adjacent to the canteen and workshops. The lagging would then constitute licensed removal with substantial cost and probability the old pipework is heavily rotten anyway.		4	5	20	A cost is raised and we are awaiting authorisation from senior management on the bypassing work at the far end of the duct. The diversion of the leaks is only a temporary measure and obviously in the long term this is a significant risk to operation of Ilandough theatres, cavoc and spinal.	The only assurance is a temporary bypass to keep the areas above mentioned operating, and a long-term plan to replace some 200M of 54mm pipework.	4	5	20	The bypass is only seen as option to buy us time in how we wish to proceed and should not be seen as a suitable alternative in the long-term.	Potential loss of the areas mentioned due to failure on the cold-water feed.		Tom Gerrett		4	1	4	

Estates_151	UHW	16/01/2025	Risk/Issue: Hand rails are in place to prevent falls from height on East and West side of roof only. Hand rails end prior to Apex of roof on North end of roof, with 2" wall. There are no lifelines on this roof with possibility of 3+ floors of fall	4	5	20	Restrict access	The only assurance is to restrict access to gutter walkway - but any not obeying this	4	5	20	To discuss new hand rail or lifeline installation			J Shepperd	4	1	4
Estates_152	CAV/UHB	11/02/2025	Risk/Issue: Due to overtime authorisation not given, there will be occasions when there will be not qualified and competent Electrical Engineer on site out of hours to respond to emergencies. These emergencies consist of fire alarm activation, loss of electrical power, lift entrapments, significant health and safety concern relating to the patient experience or staff and visitor safety.	4	5	20	Escalation to Senior High Voltage Engineer, Senior Management Team & SMOC, however attendance out of hours could be up to an hour away from initial call being received. If electrical fault is local then no emergency power supply would be available with UPS batteries depleting within approximately 30 minutes. If issue is in relation to a lift entrapment, OTIS would be called, however this would also be an hour away without any estates presence to support. Fire alarms could continue activating throughout the night if not actioned by	None, due to levels of constraints around time and travelling to site.	4	5	20	No dedicated electrical engineer on site to respond within a timely manner.	No assurance provided.	To be raised to SMT within CEF.	Gareth Simpson	4	1	4
Estates_153	CAV/UHB	11/02/2025	Risk/Issue: Due to overtime authorisation not given, there will be occasions when there will be not qualified and competent Mechanical Engineer on site out of hours to respond to emergencies. These emergencies consist of fire alarm activation, loss of medical gases including oxygen), loss of mechanical services such as critical ventilation such as theatres, heating hot water and steam which is used for sterilisation, lift entrapments, significant health and safety concern relating to the patient experience or staff and visitor safety.	4	5	20	Escalation to Senior Management Team & SMOC, however attendance would not be guaranteed as this would require additional overtime payments which have not been approved. Out of hours, any agreed response could be up to an hour away from initial call being received. Loss of medical gases, could affect life preserving equipment in theatre and ITU settings. If issue is in relation to a lift entrapment, OTIS would be called, however this would also be an hour away without any estates presence to support. Fire alarms could continue activating throughout	None, due to levels of constraints around overtime payments, time and travelling to site.	4	5	20	No dedicated mechanical engineer on site to respond within a timely manner.	No assurance provided.	To be raised to SMT within CEF.	Gareth Simpson	4	1	4
Estates_154	CAV/UHB	11/02/2025	Risk/Issue: Due to overtime authorisation not given, there will be occasions when there will be no qualified and competent Team Leader on site out of hours to respond to emergencies. These emergencies consist of loss of electrical supply, fire alarm activation, loss of medical gases including oxygen), loss of mechanical services such as critical ventilation such as theatres, heating hot water and steam which is used for sterilisation, lift entrapments, significant health and safety concern relating to the patient experience or staff and visitor safety.	4	5	20	Clinical Staff would need to escalate to Senior Management Team & SMOC, however attendance would not be guaranteed as this would require additional overtime payments which have not been approved. Out of hours, any agreed response could be up to an hour away from initial call being received. Loss of medical gases, could affect life preserving equipment in theatre and ITU settings. If issue is in relation to a lift entrapment, OTIS would be called, however this would also be an hour away without any estates presence to support.	None, due to levels of constraints around overtime payments, time and travelling to site.	4	5	20	No dedicated mechanical engineer on site to respond within a timely manner.	No assurance provided.	To be raised to SMT within CEF.	Gareth Simpson	4	1	4

Critical Risk Project

2	UHW	20/11/2023	Issue: High voltage load shedding equipment Risk/Potential Impact : *The system relies on external data from the building management system which is now old and newer systems available *The system age is now not compatible with latest BMS installed *Failure of the system could result in no power being distributed to site. *Failure could result in overload of generator and no power available *External parts could fail and not work correctly causing loss of power *There is only one system no N+1 *No simple override system *Only know it's working when required to do so *Only Authorised people high voltage (APs) able to remedy	5	5	25	Operation POET conducted on September the 13th 2023 allowed full testing and analysis of the load shedding system. UHW conducted a total power outage from the mains that normally feeds the site, and engineers and technicians ensured the system functioned as it should. A contract with the provider BMSI is in place to maintain the system.		5	5	25			*Upgrade existing system and associated equipment to latest standard *Consideration of installation of backup system N+1 to allow maintenance and resilience in event of failure *Look at simple override function (remote switching) *Possibly move away from BMS control and move to independent system		5	1	5
7	UHW	22/11/2023	Issue: 2 Pumped cold water mains to roof tanks Risk/Potential Impact: *Failure of pipework (resilience) *Unable to supply cold water to roof tanks *Age of original pipe and number of repairs *+1 pipe is now approximately 20 years old *Both pipes converge into one riser (single point failure) *Disruption to site when failure occurs *Treated water (chlorine dioxide) not supplied in event of total failure *Labour intensive to resolve	5	4	20	*N+1 installed one can supply the site *Contractors usually effect repair within 2 days *Pipes separated for most of run minimizing accidental damage, or subsidence. *+1 installed within 20 years *Alternative supply available in LGF (untreated)		5	4	20			*Plan to replace original pipe with modern materials and jointing techniques. *Look at secondary riser either full bore or emergency capacity. *Look at life cycle of +1 and plan replacement		4	1	4
15	UHW	01/12/2023	Issue: Blowdown vessel of main steam boilers Risk/Potential Impact: *Operational difficulty in controlling quality of boiler water *Failure to meet pressure vessel regulations (subject to defect notice) *Contravention for water discharge permit by Welsh water *Scalding risk *Isolation vales showing signs of wear *Age of vessel beyond working life	5	4	20	*Discharge water pipe repaired and replaced by estates recently to prevent boiling water being exhausted through vent (actual event) *Approved people in boiler house and trained *Daily checks carried out		5	4	20			*Suggest new vessel and associated valves replaced *Repair existing vessel and controls to comply *Improve PPMS and reporting procedures *Carry out remedial maintenance works		4	1	4

28		UHW 01/12/2024 date	<p>Issue: 11kv main distribution board for UHW site network</p> <p>Risk/Potential Impact:</p> <ul style="list-style-type: none"> •There are no additional spare circuits for any further expansion. Any additional substations are added to existing circuits adding to their criticality and reliance. •Fault with board causing loss of power to hospital •Breakers are SF6 (Sulphur hexafluoride) ozone depleting gas. •Unsure of replacement parts due to age and Gas type •Only Authorised people able to switch equipment •All the electrical intake equipment is in one location, feeding the whole of hospital, risk to loss from fire would mean total loss. 	5	4	20	<ul style="list-style-type: none"> •Any new developments added to existing ring will require low voltage stand by generation to take load. •Able to split board and feed from other half of board •Regular checks for leaks •Contract with specialist contractors for maintenance •Trained staff and competent staff on call 24/7 •Full alarm system and regular maintenance 	5	4	20		<ul style="list-style-type: none"> •Undertake independent review and seek advice off Authorizing Engineer on level of Risk •Consider sourcing spares •Review upgrade options •Look at extension of existing board •Look at having back up emergency arrangements away from existing building. 			5	1	5
48		UHW 01/12/2024	<p>Issue: Main 415 v distribution panel</p> <p>Risk/Potential Impact:</p> <ul style="list-style-type: none"> •Failure of Board due to age and leave area without power. •Live terminals exposed RISK OF ELECTROCUTION •Whole board shut down to work on system •Parts not readily available adaptations would need to be completed to make a repair. •No overload protection only rewirable fuses •No expansion available without add on boards 	5	5	25	<ul style="list-style-type: none"> •No mitigation against failure •Warning notices to be fitted •Qualified competent electrician only to work on system 	5	5	25		<ul style="list-style-type: none"> •Review installation for suitability. •Install new board to modern standard and re cable all outgoing services with appropriate protection. 			2	4	8
50		UHW 01/12/2024	<p>Issue: 2 cold/hot water storage tanks</p> <p>Risk/Potential Impact:</p> <ul style="list-style-type: none"> •Failure of a tank or tanks leading to loss of water supply hot and cold to CHFW Phase 1. •Tanks not being turned over in 12 hours meaning over capacity and not compliant with Guidance. •Tanks serve both services hot and cold any issues result in both services being affected. •Tanks 24 years old life expectancy is 25 years •Tanks physically joined together and not wholly independent. •Access ladder non-compliant 	5	4	20	<ul style="list-style-type: none"> •Chlorine dioxide plant feeding tanks reducing legionella and pseudomonas risk to system. •2 tanks normally available for resilience. 	5	4	20		<ul style="list-style-type: none"> •Replacement of tanks completely to current standards. •Two independent tanks fitted of the correct size and in line with today's standards •Ensure access ladder upgraded 			4	1	4
79		UHB 04/12/2024	<p>Issue: Cast Iron above ground drainage pipes</p> <p>Risk/Potential Issue:</p> <ul style="list-style-type: none"> •Due to age leaks due to cracking have occurred. •Sewerage outfall at failure of pipes causing disruption to departments. •Internal bore restricted causing blockages •Damage to equipment and departments •Expensive repairs and clean ups to revenue budget 	5	4	20	<ul style="list-style-type: none"> •Replacement program for main ward blocks •Repairs can be carried out at point of failure 	5	4	20		<ul style="list-style-type: none"> •Conduct conditional survey and highlight areas in need of replacement in priority order. •Extend replacement program to cover essential areas or problematic areas by priority. 			4	1	4
85		UHW 10/12/2024	<p>Issue: Day surgery medical air compressors</p> <p>Risk/ Potential Issue:</p> <ul style="list-style-type: none"> •The plant is located within a general plantroom with ventilation, electric distribution and other equipment. This is a non-conformity making it non-compliant. •Plant is old and repairs have been carried out to keep plant running. •One compressor obsolete and not working 	5	4	20	<ul style="list-style-type: none"> •Unable to mitigate against non-compliance •Maintenance contract in place for repairs to plant 	5	4	20		<ul style="list-style-type: none"> •Remove plant completely when new A&E med air plant installed and rationalize pipework and distribution supply pipe work 			4	1	4
93		UHW 18/12/2024	<p>Issues: Modular heating boilers</p> <p>Risk/Potential Issue:</p> <ul style="list-style-type: none"> •Lack of heating in winter CHFW Phase 1 •Boiler safety notice issued only 3 out of the 12 modules working, will not meet heat demand in winter •Expensive to replace modules beyond repair •Obsolescence in future new variant required to replace •Only > 60% efficiency as single pass boiler (condensing boiler) 	5	4	20	<ul style="list-style-type: none"> •No mitigation replacements need to be sought 	5	4	20		<ul style="list-style-type: none"> •Suggest install new more economic condensing boilers before winter. •Repair replace other modules 			4	1	4

Mechanical

M17		Feb-20	<p>Risk/Issue: UHW HSDU Chiller Plant. Chiller is 22 years old and failing with new spare parts now unavailable chiller will require to be renewed in the near future</p> <p>Impact: Failure leading to loss of cooling to HSDU department.</p>	5	4	20	<p>Regular maintenance being carried out. Actions currently being progressed.</p>	System is subject to statutory testing and inspection in line with legislation and HTM	5	4	20	System is currently being maintained but needs replacing	Non compliant with HTM	prepare plans to renew the Chiller	DC Team	Sep-20	5	1	5	
M29		Jun-21	<p>Risk/Issue: Ventilation verification of critical systems has identified UHW ITU A3N does not comply with HTM's for ventilation.</p> <p>Impact: Not compliant</p>	GW	5	4	20	<p>Maintenance intermittent due to access issues to the AHU within ward waste room. Fan coils in ward are not accesable unless ward emptied fan coils do not comply</p>	System has never complied with HTM'S	5	4	20	System isnt suitable and correct maintenance is restricted control measures are not sufficient to reduce the risks significantly	Curernt HTM not being adhered to	Acute Site Master Planning schemes are looking to resolve most issues around the HTM in particular the ventilation. This is however a medium term plan and requires significant funding. C3South & C3 North are currently going through the design stage	DC Team	funding dependant	5	1	5

M30	Jun-21	Risk/Issue: Ventilation verification of critical systems has identified UHW ITU B3N North does not comply with HTM's for ventilation. Impact: Not compliant Risk; loss of critical services that will effect patients	GW	5	4	20	Maintenance intermitent due to access issues AHU within ward	System has never complied with HTM'S	5	4	20	System isn't suitable and correct maintenance is restricted. Control measures are not sufficient to reduce the risks significantly	Curernt HTM not being adhered to	Look at improving the sytem to comply with current HTMs	DC Team	funding dependant	5	1	5	Bi Monthly	
M31	Jun-21	Risk/Issue: Ventilation verification of critical systems has identified UHW Cardiac ITU C3 Link does not comply with HTM's for ventilation. Impact: Not compliant	GW	5	4	20	Regular maintenance being carried out	System has never complied with HTM'S	5	4	20	Not compliant with HTM control measures	Curernt HTM not being adhered to	Look at improving the sytem to comply with current HTMs	DC Team	funding dependant	5	1	5	Bi Monthly	
M34		Risk/Issue:Helipad Main Medical Air Plant supplied and installed by another with no medical gas certification. Plant components are bespoke items which are not specified for medical gas systems. Plant is non-compliant to the HTM02-01 MGPS Part A: Design, Installation, Validation & Verification Medical Compressed Air Systems. Impact: Quality of Air supplied & Not compliant		5	5	25	Regular maintenance being carried out	The medical air plant is maintained on a regular basis however breakdowns have occurred outside of the service window.	5	4	20	System is currently being maintained but needs replacing	Non compliant with HTM	Bid to WG for funding under EFAB schemehas been improved for implimentation 2024/2025	DC Team		5	1	5	Bi Monthly	
M35		Risk/Issue: Ambulatory Care Medical Air Plant supplied and installed by another with no medical gas certification. Plant components are bespoke items which are not specified for medical gas systems. Plant is non-compliant to the HTM02-01 MGPS Part A: Design, Installation, Validation & Verification Medical Compressed Air Systems. Impact: Quality of Air supplied & Not compliant		5	5	25	Regular maintenance being carried out	The medical air plant is maintained on a regular basis however breakdowns have occurred outside of the service window.	5	4	20	System is currently being maintained but needs replacing	Non compliant with HTM	Bid to WG for funding under EFAB schemehas been improved for implimentation 2024/2025	DC Team		5	1	5	Bi Monthly	
M36		Risk/Issue: UHW & UHL Medical Gas Pressure reducing sets out of manufacturers recommended operational service dates Impact: Equipment Failure leading to Loss of Service and Interruption of supply impacting on patients		5	5	25	Regular maintenance being carried out	UHW & UHL would suffer from Equipment Failure due to high pressures	5	4	20	Not compliant with HTM		UHL set has been replaced, the second set is due for completion under current upgrade scheme and is due for completion March 2023. There are approximately 15 sets at UHW. Funding has been approved for 6 sets which are due to be completed this financial year. Funding for the remaining sets is being			5	1	5	Bi Monthly	
M46	Oct-23	Risk/Issue: Ventilation verification of critical systems has identified a non compliant plant and airflow serving main recovery at UHW Impact: Potential AHU failure leading to loss of main recovery	GW	5	4	20	Regular maintenance being carried out.	System is subject to statutory testing and inspection in line with legislation and HTM	5	4	20	Systems are being maintained to best endeavour	System needs replacing	prepare plans to renew the AHU	DC team		5	1	5		
M49	Oct-23	Risk/Issue: Ventilation AHU serving Maternity delivery suites does not comply to HTM's. There are major issues with it's Air Handling Unit and recommends replacement. Impact: Potential AHU failure leading to loss of service.	GW	4	5	20	Regular maintenance being carried out to maintain the systems as is	Systems are statutory tested and inspected annually	4	5	20	replacement of AHU required	Statutory inspections records are kept on a spread sheet and need to be transferred to a data base	prepare plans to renew the AUH.	DC Team	01-Aug-20	4	1	4		
M50	Oct-23	Risk/Issue: Ventilation AHU serving Obstetrics east and west does not comply to HTM's. There are major issues with it's Air Handling Unit and recommends replacement. Impact: Potential AHU failure leading to loss of service.	GW	4	5	20	Regular maintenance being carried out to maintain the systems as is	Systems are statutory tested and inspected annually	4	5	20	replacement of AHU required	Statutory inspections records are kept on a spread sheet and need to be transferred to a data base	prepare plans to renew the AUH.	DC Team	01-Aug-20	4	1	4		
M54		Risk/Issue: UHL WARD 7 boiler No1,2,3,4. are in very poor condition (update 22/7/24 now only 2 no boilers working parts obselete,boilers 31 years old Impact: Potential loss of heating in area		4	5	20	Regular maintenance being carried out to maintain the systems as is	Systems are statutory tested and inspected annually	4	5	20	replacement of boilers required	statutory inspections records are kept on a spread sheet and need to be transferred	prepare plans to renew the boilers	DC Team		3	1	3		
M61		Risk/Issue: Hamadryad Centre boiler no1 & 2 in very poor condition Fan dilution system inadequate Impact: Potential loss of heating in area		4	5	20	Regular maintenance being carried out to maintain the systems as is	Systems are statutory tested and inspected annually	4	5	20	replacement of boiler required	statutory inspections records are kept on a spread sheet and need to be transferred to a data base	prepare plans to renew the boilers	DC Team		3	1	3		
Electrical																					
E1		Risk/Issue Lifts urgently require replacement. A phased approach has been adopted with the following lifts to be reviewed: Maternity Lifts 8 & 9 All to be considered. Impact: Failure of lifts restricts public and staff movement around site. Lifts 1, 2,5,6,12,13,14,15,16,17,18,19,20,21,22,23,24 & 27 All to be considered. Impact: Failure of lifts restricts public and staff movement around site		4	5	20	Maintained on a best endeavours philosophy until scheme to replace these lifts is conducted	The UHB has an annual testing program in place that inspects all lifts. These lifts require major overhaul and upgrade to latest standards	4	5	20	Some parts are likley to become obsolete whilst waiting for upgrades	Although lifts are annually tested in line with statutory requirements this doesn't control any breakdowns	Put a replacement plan in place for lifts	Senior Electrical engineer	01-Dec-25		4	1	4	

E16			Risk/issue: during maintenance and testing works for operation POET (power outage emergency test) an issue was encountered in electrical sub station 2A where the automatic changeover system to start the low voltage generator is not functioning. Maintenance and re-testing has been carried out on numerous times however has not resolved the issue. The equipment cannot be directly replaced due to the age of the panels and equipment is now obsolete. In the event of an unplanned power outage the changeover system will not work and will require manual switching by Estates staff. Sub 2A provides power for a number of essential areas including Main Operating Theatres, Dy theatres and recovery, SDEC, Mortuary, Cath labs A B and C, sections of the LGF tunnels and other essential plant.	5	4	20	On call Estates Staff are aware of the issue and will attend as a priority in the event of a power loss	Discretionary Capital will start the Design and Tender process to enable funding to be sought from Welsh Government for replacement of the equipment.	5	4	20	Redesign of the electrical infrastructure required to improve reliability and resilience	Obsolete parts unavailable in the short term until replacement project can be undertaken.	Bid to WG for funding under EFAB scheme or BJC funding for 2024	Senior Electrical engineer	01-Dec-24	5	1	5
E17			Risk/issue: Reliance on HV generator for critical services	5	4	20	On call Estates Staff are aware of the issue and will attend as a priority in the event of a power loss	Discretionary Capital will start the Design and Tender process to enable funding to be sought from Welsh Government for installation of secondary LV generators to essential loads	5	4	20	Redesign of the electrical infrastructure required to improve reliability and resilience	none	Bid to WG for funding under EFAB scheme or BJC funding for 2025	Senior Electrical engineer	01-Dec-25	5	1	5

Asbestos

24		02/01/2024	Risk/Issue: Regulation 18 areas in the Dental Hospital (ceiling voids and risers) do not allow routine maintenance of services (Fire alarms, fire compartmentation & dampers, ventilation systems and other essential services). It also makes routine upgrades of equipment, cabling and other services complex and more high risk and makes dealing with emergencies (water leaks etc) slower, more complex and more expensive Impact: When there are emergencies (ceiling tile collapsing, fire etc) there is an increased risk of exposure to asbestos fibres to staff and the public in the vicinity. The lack of routine maintenance increases the risk of loss of service for the clinical areas. The increased costs involved in working in this building are significant.	5	4	20	General access to ceiling voids and risers is generally restricted and this is primarily communicated via MiCAD and staff Asbestos training sessions. Where preplanned maintenance of services is required suitably competent and equipped people are able to undertake these tasks under asbestos conditions. This is expensive (2 or 3 times the cost of an equivalent non-asbestos contractor). There are a number of areas where the ceiling voids and risers have already been remediated and these experience far less issues in terms of leaks and general maintenance of these areas is simpler.	Staff, both within the Dental Hospital and Estates are aware of the requirements and the AMT are copied into all correspondence regarding maintenance works and emergencies. Dental staff are used to vacating rooms that show signs of or experience any breach of the ceiling. Estates have an arrangement with one of the approved LARCs to respond within 4 hours to emergencies. Pre planned work is undertaken under Permit (if internal) or by a LARC working to an approved RAMS.	5	4	20	There have been several occasions over the last 3 years where contractors have undertaken work without the necessary controls in place because they were not aware of the requirements.	No identified gaps in assurance.	The ceiling voids and risers should be remediated on a rolling programme of works until all ceiling voids and risers are generally accessible. The order should be based on the likelihood of issues in each area. This is a significant cost /disruption because of the requirement to close the area for 12 weeks and replace the ceiling and other services on completion of the asbestos remediation. Cleaning the risers would represent a significantly lower cost and disruption impact and could be done within a single financial year.	AMG / Cap / Estates / Dental	01/04/2030	5	2	10
25		02/01/2024	Risk/Issue: Regulation 18 areas in the basement of CRI Outpatients does not allow routine maintenance of services (heating, electrical supplies and mains water to the site). Impact: When there are emergencies (water / heating loss etc) there is an increased risk of exposure to asbestos fibres to staff. The lack of routine maintenance increases the risk of loss of service for the clinical area it serves.	5	4	20	The basement is accessible only by Estates staff and the 2 rooms with friable asbestos on the floors are both locked with suited keys and have Reg 18 signage. Staff have also been told about the change in status. They have also been added to the Regulation 18 area list. Where preplanned maintenance of services is required suitably competent and equipped people are able to undertake these tasks under asbestos conditions. This is expensive (2 or 3 times the cost of an equivalent non-asbestos contractor).	Pre planned work is undertaken under Permit (if internal) or by a LARC working to an approved RAMS.	5	4	20	No gaps in control identified.	No gaps in assurance identified.	The two rooms with friable asbestos on the floor should be remediated as a priority but the other 4 adjacent rooms also have high risk products which while manageable in their current state would be more cost effective to remove as part of a wider scheme of work.	AMG / Cap / Estates / Dental	01/04/2025	1	1	1

Assurance and Compliance

HS19	Contractor Control	15/02/2025	<p>Issue: Risk Assessment (RA)/ Method Statements (MS) that are provided and in some cases not provided unless prompted and are often not suitable for the task being carried out. They are often generic and not job specific. The RAMS are often not provided in good time for review. On occasion contractors will attend site to start work without the submission of RA/MS. Contractors / sub-contractors often attend site not provided with or equipped with the information and documentation that they require to work safely on the C&V estate. documentation</p> <p>Risk/Potential Impact: Is that we are not compliant with the Cardiff & Vale University Health Board Control of Contractors Policy V4. There is a potential for an accident/ incident that can be serious in nature, leading to enforcement action/ prosecution by the enforcing authorities.</p>	5	4	20	Cardiff & Vale University Health Board Control of Contractors Policy V4 and supporting appendices are in place and have been so since 2013. Duties are contained therein for both the Health Board Supervising Officer/s and contractors alike.	Following the Cardiff and Vale Control of Contractors Policy V4 would allow for compliance to the policy. The standard dictated within the policy if followed should provide the necessary assurance to the health board that contracted out works will be carried out safely and efficiently.	5	4	20	Supervising officers often fail to ensure that the contracted out works are not always carried out in accordance with the C&V Control of Contractors Policy V4. Supervising Officers have specific duties under the policy. Contractors often do not work in accordance to the Control of Contractors Policy V4.	By not following the policy both Health Board and its Supervising Officers and contractors lend themselves to investigation in the event of an accident/ incident.	Ensure that both parties are fully aware of their duties under the C&V Control of Contractors Policy V4 and are adhered to.	Supervising Officers, Principal Contractors, Assurance, Sub-Contractors Compliance and Asbestos Team members.	3 - 6 Months	5	1	5	May-25	
Compliance																					
S19			<p>Issue: Ventilation Smoke/Fire Dampers. Insufficient asset identification and lack of regular inspections and / or maintenance resulting in defects leading to temporary or permanent failure.</p> <p>Risk/Potential Impact: Potential for loss of service. Disruption to patient care. Danger of fire spread.</p>	5	4	20	Assets are currently on long term contract arrangement with a single supplier for all UHB sites. Dampers 40% of dampers are not being serviced due to access issues. These range from no access hatched through to existing services prevent void access.	5 year contract in place. Started 1st Sept 2019. 3 + 1 + 1 year contract end date 1st Sept till 2024. 60% of dampers are being inspected annually.	5	4	20	40% of dampers are not being serviced due to access issues. These range from no access hatches through to existing services prevent damper access.	Some of the dampers can not and will not be able to be access due to the amount of services obstructing the damper access.	Carry out remedial work to provide access where possible. Note not all dampers will have access available after this process	Tony Ward / Richard Sheppard	01-Dec-23	5	1	5	Monthly	
S19A			<p>Issue: Ventilation Smoke/Fire Dampers. DENTAL HOSPITAL UHW Regular inspection and / or maintenance is not possible as fire / smoke dampers are housed in ceiling void which is contaminated with Asbestos.</p> <p>Risk/Potential Impact: Potential for loss of service. Disruption to patient care. Danger of fire spread.</p>	5	4	20	The current drainage replacement programme involves clearing asbestos from the whole ceiling void on of a wing, one floor at a time. This will allow access to these areas.	Fire damper inspections will be carried when asbestos clearance has been completed. This will be done on a floor by floor basis.	5	4	20	Inspections will only be carried out as and when ceiling voids are made safe of asbestos	Unable to complete until all floors have been made safe of asbestos.	Continue with schemes to made area accessible.			5	3	15		
Building																					
B4			Plant room roofs at UHW are showing signs of degradation and failure. Roofs are metal profile on steel girders. On A block plant room there is obvious signs of Corrosion with daylight showing clearly on the far right side. Lift rooms roofs leaking causing down time on lifts - Risk / roofs sheets corroding causing collapse of roof - Impact / loose sheets	GW	5	4	20	Early signs of corrosion, roof is reasonably stable at present roof is to be continually monitored to check for further signs of structural loss	Roof is being monitored	5	4	20	No plan at present to address the issues	Monitoring is not recorded formally	Put in a plan to formally monitor roof in A block and carry out full structural survey of all roofs including lift plant room roofs	DC team	Aug-21	5	2	10	
Energy and Environment																					
13			Risk/Issue Energy Cost pressures. Energy Markets are very unstable which is resulting in dramatic tariff increases for the remainder of 21/22 and for the entire 22/23 financial year. Estimated cost pressures are £2.1 million for 21/22 and £4.6 million for 22/23 (total estimated expenditure is therefore £15 million).	GW	5	5	25	Energy spend monitored and reported to Finance department monthly and is further supported by monthly meetings.	Assurances are through monthly reporting and meetings with finance.	5	4	20	None	None at present	None	Head of Energy and Performance	20-May-22	5	4	20	
19			Risk/Issue UHW CHP Plant current O and M contract with Clarke Energy will expire in December 2023	GW	5	4	20	Current O and M contract is in place until December 2023. Internal discussions are being held to develop proposed solutions.	Controls are through Departmental Assurance meetings, Team Brief and discussions with Clarke Energy	5	4	20	None at present	None at present	Discussions are in progress with Clarke Energy regarding future options and the provision of an O and M temporary bridging contract until 31/3/23. There will be no warranty/breakdown provisions with this agreement. Risk rating has been upgraded.	Head of Energy and Performance/Head of Discretionary Capital & Compliance/Head of Facilities	Ongoing	5	2	10	

20			<p>Risk/Issue UHW CHP Plant current O and M contract with Clarke Energy will expire in April 2025. Current CHP plant has exceeded 90,000 run hours requiring major overhaul / upgrade or plant replacement. As the CHP plant provides significant revenue savings and forms a significant element of the heating and electricity infrastructure, plant failure will result in operational difficulties. Current contract states that plant failure risk lies with the UHB</p>	GW	5	4	20	<p>Current O and M contract is in place until April 2025. Internal discussions are being held to develop proposed solutions.</p>	<p>Controls are through Departmental Assurance meetings, Team Brief and discussions with Clarke Energy</p>	5	4	20	<p>CHP plant upgrade/replacement is required.</p>	<p>CHP Plant upgrade/replacement is required</p>	<p>Discussions are in progress with Clarke Energy regarding future options. Paper has been prepared detailing available options. If preferred option not progressed then an intermediate plant upgrade, service and other works will reduce operational risk. Estimated cost of these works is £1.1 million inc VAT.</p>	<p>Head of Energy and Performance/Head of Discretionary Capital & Compliance/Head of Facilities</p>	<p>Ongoing</p>	4	4	16
----	--	--	--	----	---	---	----	--	--	---	---	----	---	--	--	---	----------------	---	---	----