

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	Assurance Committee		
					Consequence Likelihood	Total			Consequence Likelihood	Total						Consequence Likelihood	Total				
<b>Major Capital</b>																					
None																					
<b>Capital Property &amp; Accom.</b>																					
P&A20		24/05/2021	<b>Issue: Park View HWBC Land transaction</b> <b>Risk/Potential Impact</b> Overage clause impacting disposal of Park View land.	GW	3	5	15	Overage agreement in place for UHB land that requires a payment of any potential sale income to macob Projects Ltd. UHB taking legal advice on how to take this forward.	Macob Projects Ltd have been wound up and their assets passed to the Crown.	3	5	15	08/02/24 - following legal feedback, payment of overage is likely. 10/05/24 - Kier need site for compound. This hinders disposal.				3	1	3	Ongoing	
P&A27		15/10/2021	<b>Issue: ALAS Treforest Lease Expiry</b> Proposals for service post lease expiry. <b>Risk/Potential Impact</b> Detrimental effect on service if new lease or alternative secured.	GW	4	4	16	Units 1 and 2 Treforest house the ALAS Appliance Repair Service, Community Dental, Physio Walking Aid Refurbishment and Medical Records Store. Both leases expire 15/10/2024.	Property Surveyor Advice - NWSSP Specialist Estates Services. Solicitor / Legal Advice - NWSSP Legal & Risk	4	4	16	Risk increased as prev lease has expired and new Tenancy at Will has not been signed by execs.	Service / UHB Execs			4	1	4	Ongoing	
P&A44		16/10/2023	<b>Issue: Whitchurch - Halfed Disposal</b> UHB to sell freehold of halfed HA lease. Target within 27/28. Disagreement on basis of valuation may cause delay and change in value. <b>Risk/Potential Impact</b> Financial risk to UHB.	GW	4	3	12	Valuation received. NWSSP SE5 and L&A advising	Progress will be reported to relevant committees.	4	4	16	23/12/24 - Draft legal issued. 23/04/25 - New valuation has reduced value from £320k to £230k. Briefing paper sent to GW.				4	1	4	Ongoing	
P&A51		14/06/2024	<b>Issue: UHW Sports &amp; Social Club Lease</b> SSC surrender and regrant did not take place in 2021/22, therefore existing long lease stays. This is a risk to be considered when planning UHW2 <b>Risk/Potential Impact</b> Project and Financial risk	GW	4	4	16	Lease in place governing tenancy. UHB will need to enter into early negotiations when planning UHW2. UHB may need to reprove facility.	Progress will be reported to relevant committees.	4	4	16					4	1	4	Ongoing	
P&A52		14/06/2024	<b>Issue: UHW Concourse WHSmithM&amp;S Lease</b> UHB responsible for cost of removing partition wall and associated works. Costs are higher than anticipated. No funding available.	GW	4	4	16	Discussions underway with prospective tenants.	UHB will be briefed on progress	4	4	16					4	1	4	Ongoing	
P&A53		03/08/2024	<b>Issue: Llanrumney Med Cen Lease</b> Lease expires Sept 2025. Linked to ongoing talks regarding GP element. No agreement on rent. Risk posed by lease end. <b>Risk/Potential Impact</b> Project and Financial risk	GW	3	4	12	Ongoing talks via NWSSP and solicitors.	Progress will be reported to relevant committees.	4	4	16	Risk raised to reflect risk of GPs closing their practice, which would in turn, impact the UHB lease and services.				4	1	4	Ongoing	
P&A54		15/10/2024	<b>Issue: Bookable Meeting Rooms</b> Changes in CU meeting room booking system have negatively affected the ability for UHB staff to book UHW rooms. <b>Risk/Potential Impact</b> Impact on Services	EXECS	5	3	15	Ongoing discussions. Need to be escalated via AWG.	Progress will be reported to relevant committees.	5	3	15	No UHB room booking system. CEF not resourced to undertake function.				5	1	5	Ongoing	
P&A55		17/01/2025	<b>Issue: WRP Cover of UHB Tenants</b> WRP have cast doubt on whether they will indemnify the UHB against building risks traditionally offered by commercial insurance. <b>Risk/Potential Impact</b> Financial Impact and Legal Impact	GW	5	4	20	Ongoing discussions between NWSSP and WRP	Progress will be reported to relevant committees.	5	4	20					5	1	5	Ongoing	
<b>Capital PFI</b>																					
PF02		02/11/2022	<b>Risk/Issue: SDH</b> Stairs Rooms require enclosing in 30min fire resisting construction <b>Impact:</b> Fire could impact wider area and affect patients	GW	4	5	20	Wards advised to reduce storage in these rooms. Patrols undertaken by Security. 30 min fire doors fitted April 2022 Work necessary to fireproof walls themselves. Would require partial closure of ward(s)	Area regularly checked and often visited by staff	4	4	16	Not compliant with current HTM Issue discussed with NWSSP specialists. May be a compromise available. Awaiting some feedback from Sempster/Equans before confirming. Risk raised as Equans refuse work instruction (linked to PFI 15 below)	Further discussion required with NWSSP and Building Control. New proposals have been received from UHB Str Fire Advisor. Instruction given to Equans.	IMC / Equans			4	1	4	
PF09		15/11/2023	<b>Risk/Issue: SDH</b> - End of PFI <b>Impact:</b> Significant resource needed to oversee and plan for end of agreement.	GW	4	5	20	PFI ends 31/01/2031. Series of activities required.	Separate risk register prepared to monitor all associated risks.	4	5	20	Risk increased to 20 to emphasise need to commence appointment and activities, especially with loss of PFI manager in April.	Ongoing contract management. Urgent need to formalise UHB team to oversee.	UHB, IMC, Equans	Performance meetings.	4	1	4		
PF10		15/11/2023	<b>Risk/Issue: UHL</b> - End of 3PD <b>Impact:</b> 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		
PF15		19/11/2024	<b>Risk/Issue: SDH</b> - Potential Fire Compartmentation Issue <b>Impact:</b> Potential risk to patients and staff. Compliance issue.	GW	4	4	16	Issue being discussed between all PFI parties. Level of risk unclear at this time. Risk level scored assuming	Meeting requested with senior level PFI managers asap. Monthly/Quarterly contract meetings.	4	4	16	Survey on site has found that additional works required. Sempsterian / Equans to progress as a priority.	23/12/24 - Issue still ongoing. Written report due following site surveys in early Jan 25. 23/12/24 - Regular fire safety meeting	UHB, IMC, Equans	Performance meetings.	4	2	8		
3PD UHL 05		08/11/2023	<b>Risk/Issue: 3PD</b> Transition - Potential End Term Payment <b>Impact:</b> UHL 3PD requires payment of sum to 3PD partner in the region of £1.2m	GW	5	5	25	Valuation being undertaken. Contracts being reviewed by specialist.	Alternative options may be available. These will be outlined.	5	5	25	Meeting held with Pobl indicated that they are open to a new agreement for the provision of the services. This will eliminate the need for a	Meetings scheduled for early 2024.	UHB/CWAS	Ongoing	5	1	5		
PPP UHL 05		08/11/2023	<b>Risk/Issue: PPP</b> Transition - Potential End Term Payment <b>Impact:</b> UHL PPP requires payment of sum to PPP partner in the region of £1.2m	GW	5	5	25	Valuation being undertaken. Contracts being reviewed by specialist.	Alternative options may be available. These will be outlined.	5	5	25	Meeting held with Pobl indicated that they are open to a new agreement for the provision of the services. This will eliminate the need for a lump sum payment.	Meeting on 20/08/24	UHB/CWAS	Ongoing	5	1	5		
PPP UHL 08		08/11/2023	<b>Risk/Issue: Joint UHB/PPP Expiry Plan</b> <b>Impact:</b> A joint plan including strong governance structure is required to oversee the end of the PPP. This does not exist at the moment.	GW	4	5	20			4	5	20	End PFI project team to be formed. Risk upped to 20 as issue needs attention as end of PFI getting nearer.		UHB		4	1	4		

PFISDH H 08	08/11/2023	<b>Risk/Issue:</b> Joint UHB/PFI Expiry Plan <b>Impact:</b> A joint plan including strong governance structure is required to oversee the end of the PFI. This does not exist at the moment.	GW	4 5 20		4 5 20	End PFI project team to be formed.  Risk upped to 20 as issue needs attention as end of PFI getting nearer.			UHB	4 1 4		
PFISDH H 10	08/11/2023	<b>Risk/Issue:</b> Ensure UHB Board fully sighted on transition. <b>Impact:</b> All relevant issues, risks and decision requirements should be escalated to an executive lead or UHB board in accordance with the delegation of authority.	GW	4 4 16	Process in collating and escalating necessary information has begun.  IPA PFI health check due Dec 2023	4 4 16	Workstream has not commenced at this time.  Risk upped to 16 as issue needs attention as end of PFI getting nearer.				4 1 4		
PFISDH H 12	08/11/2023	<b>Risk/Issue:</b> UHB resource to manage transition process. <b>Impact:</b> Should there be insufficient resource available to effectively manage the transition process, the UHB will be at a disadvantage in negotiations and preparedness.	GW	4 4 16		4 4 16	Resource needs assessment required.  Risk upped to 16 as issue needs attention as end of PFI getting nearer.				5 1 5		
				0		0					0		
<b>Catering CFPU</b>													
13	29/06/2023	<b>Risk:</b> Aged equipment including refrigeration and blast freezers failing. The equipment is an integral part of the cook freeze process when producing patient meals for the UHB. <b>Impact:</b> An increased food safety risk to our patients, an financial increase due to the disposal of products, the inability to produce maximum levels of products to provide to the patients which incurs additional costs due to the contingency plan is purchasing external companies - (linked to risk 10 above).	GW	5 4 20	CFPU management to continue to monitor processes and functionality of equipment daily - reporting directly to estates and including exec level intervention.	5 3 16	Regular maintenance checks and repairs need to be scheduled to ensure aged equipment is working at its optimum parameters, and this also provides opportunity to identify when a piece of equipment is beyond economical repair and is end of life.	Equipment failures are generally based around the hot weather season. Failures will result in the destruction of any food produced during the failure period as critical Microbiological testing will likely result in failures	The location of critical equipment needs to be changed to allow compressors to cool when under pressure.	SD/SWTW	ASAP	5 2 10	Apr-24
15	26/07/2023	<b>Risk:</b> Chillers/Refrigeration/Holding freezers/ lack of maintenance inspections across causing failure of key equipment in controlling food safety	GW	5 4 20	Current maintenance contract with contractor not sufficient to maintain service	5 3 16	A new 6 month maintenance contract required with designated refrigeration expertise, asset list shared with operational managers to improve communication and speed of repairs	An electronic system would improve the process when monitoring regular maintenance checks for all equipment.	Continue to raise concerns and monitor progress of any repairs or replacements	SDL/PSW	Monthly	4 2 8	Apr-24
17	19/12/2023	<b>Risk:</b> Not able to maximise stock levels to create a contingency stock level of frozen patient meals at the CFPU. <b>Impact:</b> 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. <b>Financial impact:</b> The need to purchase additional meals from an external company at an approximate cost of £25k monthly.	GW	5 4 20	Team Managers checking rota's 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 Appetit for additional stock items	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 externally.	SBAR to be submitted to request additional funding.	All roles 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.	SDL/PISS	ASAP	5 4 20	Apr-24
18	01/02/2024	<b>Risk:</b> CFPU are sitting on the outer HV ring, which isnt currently backed up by the HV generator, also without a local LV generator. <b>Impact:</b> 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 compromise the ability to feed patients in line with Nutrition and hydration guidelines.	GW	5 4 20	The issue has been highlighted during the Power outage testing. CEF are aware	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	23/04/2024	<b>Risk:</b> 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. <b>Impact:</b> 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.	GW	5 4 20	The issue has been highlighted during the lift failure 19/04/24. CEF are aware.	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
				0		0					0		
				0		0					0		
<b>Ward Based Catering/ Retail</b>													
3	03/05/2024	<b>Risk:</b> Aged equipment including refrigeration, blast freezers/ chillers failing. The equipment is an integral part of the blast chilling/ freezing process when producing non sterile feeds within the special feeds unit within the childrens hospital for Wales. <b>Impact:</b> An increased food safety risk to vulnerable, ill, babies/ children, unable to meet nutritional complex needs.	GW	5 4 20	Ward Based Catering Team management to continue to monitor processes and functionality of equipment daily - reporting directly to estates and including senior management intervention where necessary.	5 3 16	Regular maintenance checks via a planned plant maintenance schedule and repairs need to be actioned to ensure aged equipment is working within its optimum parameters, and this also provides opportunity to identify when a piece of equipment is beyond economical repair and is end of life.	Failures will result in the destruction of any feeds produced/ stored during the failure period.	PPM is currently annually but needs to be considered six monthly. Daily function of blast chillers / freezer to be monitored and reported directly to Estates. Contingency plan in place should one of the blast chillers become non functional. Further contingency plan required should both blast chillers become non functional	JE/SS	ASAP	5 3 10	Jul-24
7	17/12/2024	<b>Risk:</b> Main kitchen walk in holding freezers and fridges at UHL. Maintenance Requests are continually being raised as aged equipment not holding temperatures in line with Food Safety Management System (HACCP) When equipment is Out of Use there is a significant increase in the amount of handling frozen or chilled stock to move to other catering areas to store safely in accordance with food safety legislation. This can include high risk/high volume patient foods e.g. main course produced products / ice cream / DDSI meals / sandwiches, etc. <b>Impact:</b> - unable to store frozen / chilled products to maximum capacity, thus potentially having an impact on menu choices being offered. Adverse additional pressure on other aged fridges / freezers. Subsequently further pressure placed on staff when having to transfer products to different areas ie increased manual handling risk. Difficulties when picking and packing access points blocked by cages due to additional stock being stored that need to be moved to access different products / menu	GW	5 4 20	Internal and digital temperature monitoring is undertaken daily. Adverse temperatures are recorded, corrective actions noted and actions taken as required. Estates and maintenance reactive to requests for repair via Micaid system.Current maintenance contract not sufficient, no annual service or PPM maintenance	5 3 16	A new 6 month maintenance contract is required with designated refrigeration expertise, asset list shared with operational managers to improve communication and speed of repairs.	An electronic system would improve the process when monitoring regular maintenance checks for all equipment.	Continue to raise concerns and monitor progress of any repairs or replacements. Discussion with CEF Senior Management regarding capital funding for aged temperature controlled walk in freezers and fridges.	SD/UE	ASAP	4 2 8	Monthly
				0		0					0		
				0		0					0		
<b>Operations</b>													
3	01/09/2021	There is a Risk that the Health Board will be subject to regulatory and statutory penalties for failure to comply with procurement regulations and the Health Board's Standing Financial Instructions in relation to the commissioning of contractors for its Capital Programme.	Executive Director of Finance	4 5 20	All CEF capital procurement requirements will be processed and managed by Procurement Services	4 4 16	This is likely to slow the system up for the Capital and Discretionary schemes going forward as it is likely that pre tender estimates will be required to secure funding prior to tendering for major projects	1. Procurement training to be provided to CEF leads on appropriate Procurement routes and processes and Public Contracts Regulations 2015 as there is a requirement to uphold the obligations of the PCR 15 Regulations and evoke modification clauses when required, and variation to contracts. 2. Moving forward all contracts must be approved prior to the letting of the contract to ensure compliance with the Health Board's SFT's/ISO and internal governance procedures. 3. A phase 2 review of contracts will complete in September. 4. An Internal Audit will be commissioned in 12 months time to review Capital Infrastructure Schemes.	Executive Director of Finance and Head of Procurement	ASAP	4 2 8	Sep-21	Audit and Assurance Committee

Risk Ref. 12 =15 Removed

Risk Ref. No. 2 = 15 Removed

Unidentified author

5	19/10/2021	Problems recruiting new staff in all areas of the section may result in issues with service delivery particular in critical areas such as housekeeping and catering. Risk: Shortage of critical staff. Impact: Unable to provide the level of service required and increased overtime costs resulting in a tiered workforce.	GW	5	4	20	There is currently a very active recruitment campaign in all areas of the Directorate. Workforce are also liaising with various agencies to recruit temporary staff.	Shifts are currently being covered where possible by supervisors and or overtime.	5	3	10	Although the recruitment campaign is ongoing the quality of applicants and the quantity of applicants is poor.	The workforce is tiered resulting in high levels of sickness in areas such as housekeeping and catering which is exacerbating the situation.	Rolling recruitment adverts are being maintained to ensure that recruitment is ongoing. Additional agencies will be looked at to widen the scope of recruitment.	GW	5	1	5			
						0					0										
<b>Security</b>																					
S2	07/07/2022	Serious incident on site including issues such as violence and aggressive behaviour, use of weapons and attempted suicide (falls from height). Risk: Closure of part or whole of site in the event of a serious incident. Impact: Any closure of the site or parts of the site will severely impact the day to day running of the site and in the event of fall from height from the closely located road bridge the roads around the site.	GW	5	4	20	The security team are well trained and competent to deal with all situations and have excellent links with the local police force who provide back up in severe situations. The security team are equipped with personal protection suitable for the task which includes body cams and radios. When attending contentious situations there is always a minimum of 2 guards attending with radios monitored to ensure any further back up is able to be provided promptly.	Training records, security reports, body cam footage, radio monitoring.	5	3	10	Failure of equipment could place the team at risk during and incident. Lack of resources in the form of security staff due to sickness or leave may put security staff in a vulnerable situation when dealing with patient of staff incidents.	Reliant on adequate resources working and being monitored correctly.				5	1	5		No additional content
S3	07/07/2022	Lack of resources resulting in the security department being unable to adequately support the sites. Risk: unable to provide appropriate security resource to sites. Impact: officers attending incidents without appropriate back up putting them in a vulnerable position. Staff in areas such as clinics and A&E feel vulnerable due to lack of security support.	GW	5	4	20	The security team is continuing a recruitment drive to ensure that the department is adequately resourced at all times. Sickness and annual leave are generally able to be covered by existing teams covering overtime shifts.	Time sheets, incident reports, monitoring records	5	3	10	Due to the nature of the role sickness levels may be quite high and unpredictable. Dealing with potentially violent incidents on a daily basis is a very stressful job.	Reliant on adequate resources working and being monitored correctly.				5	1	5		No additional content
S4	07/07/2022	Helpaid incident resulting in failure to safely land the aircraft or catastrophic incident during landing or take off. Risk: Closure of site in particular A&E as the nearest department to the Helpaid. Impact: This is the only A&E servicing the whole of Cardiff and the Vale.	GW	5	4	20	The helpaid procedures cover all aspects of safety around helpaid use. Security team are responsible for securing the area around the helpaid during landings and take offs and have received appropriate training in all aspects of helpaid safety. The helpaid has regular inspections by both the health board and the recognised body for aircraft safety, and the pad complies with all aspects of the regulations for helpaids.	Training records , records of helpaid use, ongoing practical training, procedures	5	3	10	Securing the area around the helpaid requires a finite resource. Although there is a minimum of a 10 minute warning before flights come in if the security team are involved in an incident at the time there may be difficulties in securing the immediate area.	reliance on the team being available				5	1	5		No additional content
<b>Portering and Switchboard</b>																					
						0					0										
<b>Facilities Housekeeping/ Waste/ Linen</b>																					
Waste 9	09/07/2023	Risk if clinical board areas do not segregate waste correctly that increased costs and contravening environmental legislation.	SM/LW	4	4	10	Training and awareness information on waste sharpoint page, recently sent out alert through corporate safety newsletter.	Waste audits being carried out	4	4	10	Results of waste audits to be forwarded to safety operational group for further action by clinical boards.	Assurance required from H&S for agenda item at the next operational H&S meeting.	Send results of waste audit to Head of H&S for agenda item at the next operational H&S meeting.	SMLW	30/08/2023	4	2	8	01/04/2024	H&S op group
Waste 12	28/02/2024	Flooding lower ground tunnels, by the ramp, caused maintenance contacted to ask if when flooded the area can be fitted with a pump to pump the water out.	LW	4	4	10			4	4	10	Pooling water during wet periods causing damage to electric tugs, due to the poor tunnel surface housekeeping flood machines not designed to clean up such water and hence causing damage.	No drainage to remove the pooling water at the bottom of the ramp in the tunnel.	Risk assessment completed not to use flood machines and scrubber dryers as these machines are designed for internal areas.	Estates	01/04/2024	4	4	10	01/10/2024	
Waste 17	01/07/2025	Timescale to carry out repairs and lack of communication whereby staff are able to report maintenance issues for repair.	SM	4	4	10	Maintenance request system whereby staff are able to report maintenance issues for repair.	Repairs are complete in a timely manner to prevent accidents.	4	4	10	Jobs are often marked as complete.	Jobs remain incomplete increasing the risk of accidents and injuries.	Highlight major risks to the assurance team to assist with pushing the MR through.	SM	01/04/2025	4	2	8	01/08/2025	H&S op group
Waste 18	01/07/2025	Slips on wet floors UHL main corridor due to wet waste skips.	GM	4	4	10	Housekeeping clean the main corridors at night when there is minimum footfall.	Training provided to housekeeping staff in best practices when wet mopping or	4	4	10	Waste staff bring wet skips into the	Provide waste staff with training to highlight the current level of slips caused due to bringing wet bins into the main corridor of UHL during high footfall period.	Waste management team to review current process and	GM/ JB	01/08/2025	1	2	2	01/08/2025	
Housekeeping 8	26/04/2023	Concern around current accident and reporting method and the risk of claims against the health board.	GM	4	4	10	Current control measure is that staff report the incident to a team leader.	Team leader completes a Datix report and then sent to a manager.	4	4	10	The gap in the control is that the team leaders need training to investigate accidents as they happen and ask the relevant questions, take pictures etc and provide far greater detail in the report.	Team leaders currently take the word of the staff member without physically checking the area and asking enough probing questions. Leaving us open to industrial injury claims without the relevant information to submit a counter claim.	Training to the team leaders on what action to take if a staff member reports an accident. Training and education to staff to phone a team leader to attend the area to gather all the relevant evidence to complete the report.	Housekeeping and Assurance team	01/02/2024	1	2	2	2012/2024	
Housekeeping 17	01/07/2025	The use of plastic bin liners in Hafey-Y-Coed due to patient ligature concerns.	Mental health team & ESW	4	4	10	Part of the housekeepers duties is to change the bin liners and remove the waste for hygiene purposes.	The bin liners prevent contamination of the bin, waste is contained in the bin liner is tagged and taken to the waste disposable point for collection on a daily basis.	4	4	10	The bin liners are plastic and have	The bin liners are plastic.	Remove bins and set up a managed recycling locked waste area.	MT/ ESW	01/10/2025	1	2	2	01/08/2025	
Housekeeping 18	01/07/2025	Slips on wet floors UHL main corridor due to wet waste skips.	GM	4	4	10	Housekeeping clean the main corridors at night when there is minimum footfall.	Training provided to housekeeping staff in best practices when wet mopping or	4	4	10	Waste staff bring wet skips into the	Provide waste staff with training to highlight the current level of slips caused due to bringing wet bins into the main corridor of UHL during high footfall period.	Waste management team to review current process and	GM/ JB	01/08/2025	1	2	2	01/08/2025	
Linen 3	20/10/2023	Broken floor tiles and slabs, causes the linen trolleys.	GM	4	4	10	Staff are made aware of the risk.	Maintenance request system whereby staff are able to report maintenance issues for repair.	4	4	10	Although staff are aware to avoid	Continue to monitor surfaces highlight issues complete near miss Datix reports.	Continue to highlight near miss incidents and report faulty flooring.	Linen staff and manager	Ongoing	2	1	2	2012/2024	
Linen 6	26/02/2025	Greenvale not meeting the linen SLA impacting on patient care, IPC practices and service delivery due to lack of clean linen for patient beds, lack of scrubs for theatre staff.	GM	4	4	10	SLA agreed & signed off by DDF.	Greenvale collect the dirty linen wash the items and return. The linen porters collect the dirty linen from the wards & departments and distribute the clean linen. Greenvale collect dirty & deliver scrubs directly from theatres areas, no linen porters are involved in the process.	4	4	10	SLA levels were agreed without any feedback from the clinical and operational linen teams.	Greenvale don't meet the SLA times a set fee is paid per month.	look at an alternative supplier who can meet the needs of the service.	GM/procurement	01/03/2025	1	2	2	20/03/2025	
Waste 6	28/07/2023	Risk/ issue level of scrap/ bulky waste removal requests- having a negative impact on the waste budget and staff manual handling issues.	SM	4	4	10	SOP for removal of scrap and bulky items.	Scrap and bulky items are removed to the correct waste streams with minimum cost and environmental impact.	4	4	10	Gap in training and education for the owner of the scrap waste being generated.	Scrap and bulky items are being removed at both a staffing and financial cost to both the waste and housekeeping team teams.	Revisit the SOP, Communicate the SOP via CAV Web. Provide training & education to staff and the owners of the scrap or bulky items.	SM	01/09/2023	4	2	8	20/12/2024	
Waste 9	05/07/2023	Risk if clinical board areas do not segregate waste correctly that increased costs and contravening environmental legislation.	SM/LW	4	4	10	Training and awareness information on waste sharpoint page, recently sent out alert through corporate safety newsletter.	Waste audits being carried out	4	4	10	Results of waste audits to be forwarded to safety operational group for further action by clinical boards.	Assurance required from clinical boards in safety operational group that audit findings will be followed up.	Send results of waste audit to Head of H&S for agenda item at the next operational H&S meeting.	SM/LW	30/08/2023	4	2	8	20/12/2024	H&S op group

Waste12		28/02/2024	Flooding lower ground tunnels, by the ramp, cause	LW	4	4	16	Maintenance contacted to ask if when flooded the area can be filled with a pump to pump the water out			4	4	16	Pooling water during wet periods causing damage to electric lugs, due to the poor tunnel surface housekeeping flood machines not designed to clean up such water and hence causing damage to the machines	No drainage to remove the pooling water at the bottom of the ramp in the tunnel	Risk assessment completed not to use flood machines and scrubber dryers as these machines are designed for internal areas	Estates	01/04/2024	4	4	16	01/10/2024		
Waste16		27/01/2025	Risk that clinical staff are not segregate orange sharps waste correctly resulting increased costs and contravening environmental legislation and audit non compliance	SM	4	4	16	Training and awareness information on waste sharepoint page, recently sent out alert through corporate safety newsletter	Waste audits being carried out		4	4	16	Results of waste audits to be forwarded to safety operational group for further action by clinical boards	Assurance required from safety operational group that audit findings will be followed up	Send results of waste audit to Head of H&S for agenda item at the next operational H&S meeting	SM	01/04/2025	4	4	16	25/02/2025		
Waste17		28/02/2025	Lack of working lifts- increased risks to manual handle the full waste bins- SOP updated 2 staff required to manoeuvre the bins in the event the lack of service lift	SM	4	4	16	In the lack of service lift 2 staff members are required to maneuver the waste skips from the waste room to the nearest working lift	Lift reports provided and areas with lack of service lifts are d		4	4	16	On the day limited staff availability will cause gaps in assurance in order to double man the area	Additional funding required to support the additional staff needed to double man areas without working service lifts		SM	01/04/2025	4	4	16	20/03/2025	H&S op group	
							0																	
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<b>Estates</b>																								
2	UHL	22/09/2019	Issue: New theatre block at UHL. Component failure star delta control obsolete parts in all AHUs. <b>Risk:</b> failure of AHU. <b>Impact:</b> loss of provision due to equipment air handling equipment not working resulting in procedures being delayed or moved	GW	4	5	20	Equipment is currently being maintained to a reasonable standard. Plans in place to fit direct drives to all systems under the refit scheme	Some parts are maintained in stock at the current time		4	5	20	some theatres are more at risk than others dependent on the age of the equipment.	Some parts but becoming few and far between	Equipment needs converting to direct drive units which will alleviate the issue. DD units have now been fitted under the refit program which mitigates the risk	Mark Branch					21/12/2022 - 11/04/2025 - Score change after review - Likelihood now = 5, (IR & CR change)	Removed Estates 76 = 20, 81 = 16, 90 = 20, 90a = 20, 95 = 16, 111 = 20, 148 = 20.	
18	UHW wide - LGF areas	15/11/2019	Issue: Fire doors identified as requiring replacing due to condition of doors not meeting fire requirements. <b>Risk:</b> fire doors non compliant. <b>Impact:</b> 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 Dental No. 14 x 2, LGF Medical Records No 317 new doors required, LGF Pembroke 330, 341N, 341, 343, 345, 346, 360 all require replacing, LGF Lakeside No 317 x 2, 359, 330, 331, 335A, LGF Outpatients rear exit doors.	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	ASAP	Estates					21/12/2022	
23	UHW	15/03/2020	Risk/Issue: Block canopy with the underside rotten and coming apart. Risk to patients and public safety		4	4	16	Temporary scaffolding is in place	PG to request quotations to repair / make safe		4	4	16	Ongoing issue at present		Quotation required to clean and remove the canopy	ASAP					21/12/2022 - 11/04/2025 - Score amended and increased due to health hazard. (IR & CR change)		
26	Admin	16/05/2022	Lack of staffing resources in critical positions in particular M&E and management positions will provide an extremely challenging position with regards delivering the service required to all areas and 3rd party SLAs. <b>Risk:</b> inability to provide a service to maintain compliance. <b>Impact:</b> deteriorating estate and failure to comply with agreed SLAs to third parties. Failure to maintain compliance could result in the failure of critical systems which will affect patient services such as theatres	GW	4	4	16	Advertisements are out to try and recruit in critical and areas and bring the team back up to full strength. Some interviews have taken place but interest is poor with potential candidates of a poor quality in most areas	Recruitment advertisements and agencies. Job description and interview records		4	4	16	Response to recruitment is poor, some candidates applying do not have the requisite competence and experience. Tradesmen working in the M&E field are able to earn far more than the salaries typically offered by the health board. Estates are currently bringing in external contractors to cover critical areas which is extremely costly	Very difficult to encourage the right candidates to apply and recruitment process is slow resulting in the departing working in extremely trying conditions	Decisions required around banding of key positions to encourage the right people for recruitment	Senior executives / GW / SG / Estates management	ASAP				21/12/2022		
28	LGF Oxygen pipework corroded	29/01/2022	Risk/Issue: Due to water leaking from above it has now become coated with calcified and adhered to the pipework which will corrode the pipework and risk of loss of oxygen to the hospital - which will have major impact on patient care.	GW	4	4	16	No Control specified - investigation into looking for alternate route and plan to replace section of pipework.	Whilst the pipework remains undisturbed then should be reasonable to say it is secure without cutting away the build up and risk any damage.		4	4	16	Review current system around the site to provide back up without total loss to site.			IF/GS/PG	31-Dec-22				21/12/2022		
29	LGF Main Gas pipework corroded	26/07/2022	Risk/Issue: Due to water leaking from above it has now become coated with calcified and adhered to the pipework which will corrode the pipework and risk of loss of gas to the hospital - which will have major impact on patient care.	GW	4	4	16	No Control specified - investigation into looking for alternate route and plan to replace section of pipework.	Whilst the pipework remains undisturbed then should be reasonable to say it is secure without cutting away the build up and risk any damage.		4	4	16	Review current system around the site to provide back up without total loss to site.			IF/GS/PG	31-Dec-22				21/12/2022		
30	MGPS Obsolete GAUGES	11/03/2022	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 inspection.	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/IE/GS/PG All MGPS Aps	31-Dec-22				21/12/2022		
31	Water pipework supply to MGPS Obsolete hospital	18/05/2022	Risk/Issue: 12" and 6" water pipework to/from main boilerhouse that runs below floor level where LGF access to Dental building is sited in LGF tunnel. Pipework is rusted due to years of submersed with water, unsure of pipe wall thickness.	GW	4	4	16	No specific control for this equipment, only visual inspection.	Continued checks, but if pipe wall cracks then water pressure will be significant and risk to person in area.		4	4	16	Plan to inspect and look to re-route/replace these sections of pipework.	Plan to inspect and look to re-route/replace these sections of pipework.		JE/ES/VR	30-Jun-23				21/12/2022		
42	Lifts - Comms	07/10/2022	Risk/Issue: Lift auto dialler system is currently operated on analog system. This will be phased out end of 2023. Affecting emergency autodialler system	GW	4	4	16	Digital GSM system to be used for new systems available as a replacement - trial to be implemented	Assuming this will be phased out approach to the system, therefore time to manage the upgrade of each lift system.		4	4	16	Working with current lift contractor to plan change and trial.	Until trial complete unsure if suitable over all floor levels and building blind spots for remote system. Using a GSM and SIM card needs managing to keep in credit		Estates Building team Capital	31-Dec-23				21/12/2022		
44	Boilers - Parts	10/10/2022	Risk/Issue: No 1 & 3 boilers - Obsolete parts for the control panel for the two main boilers. Which now is more likely not to be able to source a replacement part, which cannot be repaired. This would cause the boilers to fail and cause the loss of central heating, hot water and steam supply.	GW	5	4	20	To look to source the availability of new or second hand parts for the Deep Sea Controller.	To continue to look for available parts		5	4	20	3 months for new EST installation for new control panel. (Has order been placed?) Relying on Temporary boiler and feasibility into using old Rookwood Steam & Hot Water boiler	Any delay's in ordering new panels or specification for new design panel. (10 weeks delivery time for new equipment)	To get a quotation to install two new control panels for the two main boilers. Parts now obsolete and none available anywhere. NEW burner and control required	Mark Branch/Gareth Simpson	31-Dec-23				21/12/2022		

Removed Estates 76 = 20, 81 = 16, 90 = 20, 90a = 20, 95 = 16, 111 = 20, 148 = 20.

44A	Boilers - Parts	18/06/2023	<b>Risk/Issue:</b> No 3 boiler -in Conjunction with RR E44 Steam Boilers 1 & 3 - obsolescence of parts- Control issues / failures with Boilers 1 & 3) Boiler 3 Control circuit is now unreliable, whole control circuit has encountered failures of control (Boiler Modulation /control) over the last month (Aug 23) -Parts are unavailable to buy or fit, (to reduce the risk of failures) UHL does not have the temporary boiler, this was removed due to the installation of new boiler 2, which is incomplete, increasing the failure Risk	GW	5	4	20	Look to source New control system required for Boiler 3	UHL relying on local company to nurse boiler 3 to continue operation	Boiler 1 has same control obsolescence but not the same current level of failures	lead time for replacement 4 months		Mark Branch	30-Oct-23	5	1	5	23/08/2023			
44B	Boilers - Parts	18/06/2023	Boiler number 1 - The Alpha-link burner controller is now confirmed obsolete for the burner and boiler; all critical spare parts are now currently obsolete and no longer be able source even in the second-hand market. If one of the parts fail to breakdown or if this controller powers down there is a high risk that the controller will not be able to function and power back up. The boiler will out of action and will not produce steam or hot water. Cochran has carried out a survey condition report and confirmed the - The Alpha-link burner controller & Burner is now obsolete controllers need replacing. This Boiler is now very unreliable and constantly breaking down.	GW	5	4	20	Look to source New control system required for Boiler 1	To look and seek costs to replace for a new controller panel.		lead time for replacement 4 months		Mark Branch	30-Oct-23	5	1	5	23/08/2023			
45	Main Hydrotherapy Pool	14/11/2022	<b>Risk/Issue:</b> Main hydrotherapy pool steam heating system pipework and calorifier are currently in very poor state and preventing pool operations for patients.	GW	4	4	16	To replace with new PHE system and replace all pipework and associated safety equipment for the steam and water supplies.	To source and replace u/s parts for immediate action, but may will monitor constantly to ensure continuous operation.	System and equipment is so old and poor condition, then this poses as high risk due to what could fail next on the system.	If any further faults or equipment issues may occur.	To get a quotation to install new PHE system and replace all pipework including safety equipment.	Paul George	31-Mar-23	4	1	4	21/12/2022			
49	Lift AE	07/12/2022	<b>Risk/Issue:</b> 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.	System managed as trained but not appointed formally	Do not follow the HTM standard and authorisation 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			
51	Heating	07/12/2022	<b>Risk/Issue:</b> 30 radiators not working in Barry hospital and requires investigation and further works to follow on.	GW	4	4	16	Temporary heating in place and new pump unit required and on order, awaiting delivery.	Temperatures not too low currently, but complaints will follow.			Further action to checks pumps are working correctly, flush radiator thermostats as required.	Mark Branch	31-Dec-22	4	1	4	21/12/2022			
53	Heating UHW	14/12/2022	<b>Risk/Issue:</b> General heating issues to various areas due to zero degree temperatures.	GW	4	4	16	Temporary and portable heating in place to reduce effect of system not working	Temperatures low currently, complaints and estates dealing with issues as best they can with resources and equipment.	Not sustainable and requires full repair. Look for longterm solution with backlog maintenance to replace equipment to ensure reliability.	Source spares and carry out full repair - Utilise & apply for backlog maintenance funding to repair and/or replace equipment. PPM to be reconfigured to check and test heating system prior to winter period.	Chris Watts	28-Feb-23	4	1	4	21/12/2022				
54	Heating UHL	14/12/2022	<b>Risk/Issue:</b> General heating issues to various areas due to zero degree temperatures.	GW	4	4	16	Temporary and portable heating in place to reduce effect of system not working	Temperatures low currently, complaints and estates dealing with issues as best they can with resources and equipment.	Not sustainable and requires full repair. Look for longterm solution with backlog maintenance to replace equipment to ensure reliability.	Source spares and carry out full repair - Utilise & apply for backlog maintenance funding to repair and/or replace equipment. PPM to be reconfigured to check and test heating system prior to winter period.	Chris Watts	28-Feb-23	4	1	4	21/12/2022				
55	BMS Control	14/12/2022	<b>Risk/Issue:</b> General issues with IT ports and BMS system. The ports become locked and no system communications over the network and affects plant and control functions.	GW	5	4	20	Contact IT department to reset the port, but can take too long for this process to be resolved.	Can operate valves, pumps and vents annually but not ideal and this will add additional pressures to the already stretched estates team.		Record all events and timeline from issued raised to issue resolved by IT.	Chris Watts	31-Mar-23	4	1	4	21/12/2022				
56	Services & Infrastructure	14/12/2022	<b>Risk/Issue:</b> General site mains water services due aged infrastructure and risk of failure. Each year we experience pipe failures and requires excavation works to repair.	GW	5	4	20	Most repairs can be completed within 48 hours depending on location of the leak and a water bowser can be hired to provide water supply.	Currently only short duration with water turned off for repair to minimise disruption to services and areas affected.			Chris Watts	31-Mar-23	5	1	5	21/12/2022				
57	Services & Infrastructure	14/12/2022	<b>Risk/Issue:</b> NGT 11KV incoming supply to Linstead and position of the 2 feeder circuit breakers and the bus section with no alternative incoming supply if bus section failed.	GW	5	3	15	Reconfigure the 11KV board to provide resilience and/or an interconnector between HVC and UHL substations.	No major failure to date, but major planning and inconvenience to hospital during NGT maintenance. Also if circuit breaker failed.					31-Dec-24	5	1	5	21/12/2022			
58	Community Barry	14/12/2022	<b>Risk/Issue:</b> Drainage problems where they keep backing up. We constntly call Wales environments out to unblock the drains. Patients do stick hand paper towels down the toilet.	GW	4	5	20	The drains are checked on a weekly basis. Camera survey carried out, but contractor has reported the underlying problem is the drains may need re-benching.	Unfortunately this is only a short term solution.	We need access to the internal manholes we should then be able to unblock them more efficiently, but this causes problems with patients because any raised edging around the manhole could	Meeting with TSF flooring contractor at BARRY Hospital to see if a solution can be devised.	Mark Branch	31-Mar-23	3	1	3	21/12/2022 - 11/04/2025 - Still risk although current managed under PPM, score amended and increased to 20. (IR & CR change)	Yes	Dave Evans		
61	UHW	04/01/2023	<b>Risk/Issue:</b> LV Bus Coupler "out of phase" in Sub 2 with HV & LV phase shift. This prevents this circuit breaker being used to link two sides of the main LV switchboard and prevents maintenance and use in an emergency	GW	4	4	16	SSE have been to carry out tests and see what is the problem and how to correct, but nothing moved with SSE due to company rebranded and contract.	The system is stable and no issues to date and circuit breaker maintained.	Unable to maintain their circuit breakers without power loss to A&E/EU area.	No records of maintenance on HV or LV switchgear and non compliant with HSE guidance on annual functional		Paul George	31-Dec-23	3	1	3	20/01/2023 - 11/04/2025 - Issue around maintenance and requires full power shutdown. Score amended and	Yes	Paul George	
62	Building Fabric	13/01/2023	<b>Risk/Issue:</b> Roof leak, which has caused the roof (joists to rot (now in a dangerous state). Pictures were attached. Estates, Block 17 area - Flat roof above old plantroom/subway corridor.	GW	4	4	16	The area has been cordoned off. Please note if anyone steps onto the upstand detail - (They will fall through).	None specified	None specified	None specified		Dave Evans	30/06/2023	4	1	4	15/03/2023			
63	Services	13/01/2023	<b>Risk/Issue:</b> Pumps (80WJ125) are now obsolete, failures of plant could result in risk of no heating/hot water. Estates, Calorifier room (adj to boiler house)-Calorifier plant room.	GW	4	4	16	In the process of ordering two complete pump units. These can only be ordered from spares and built up, as complete units are obsolete.	Looking at compatibility and availability of different pumps, availability and the resulting modifications that will be required to fit and run system.	None specified	None specified		Jody Shepperd	30/06/2023	4	1	4	15/03/2023			
66	Ventilation	05/04/2023	<b>Risk/Issue:</b> Theatres AHU's, Plant Room West side rooftop UHL T1-T4. Several failures of AHU parts 20+ years old OEM manufacturer installed parts and have recent failures w/e 02/04/23. Failures affecting theatre lists.	GW	4	4	16	15/11/2019	List of parts sourced to carry out urgent repairs. Extensive list of parts obtained that will need renewing - quotes for renewals/upgrades.	None specified	None specified		Jody Shepperd	31/05/2023	4	1	4	31/05/2023			
67	MGPS	10/06/2023	<b>Risk/Issue:</b> Medical gas Terminal Units (2nd Fix) all obsolete spares require major shutdown to renew. All Terminal Units (1st & 2nd Fix). When wardwax refured med gas TU's were not updated on these two wards.	GW	5	4	20	Portable units available if required (currently not required).	Medical gases in this area only have a few minor issues but plan to undertake high hazard work is required sooner rather than later to renew all TU's to be able to maintain and ensure continuity on these wards.	None specified	None specified	Suggest carry out a full survey of all TU's on site and compile a full list of obsolete parts so this can be planned and ensure all TU's are compliant via replacement or retro conversion kit.	Jody Shepperd	30/06/2023	4	1	4	01/06/2023			
72	MHSOP	27/06/2023	<b>Risk/Issue:</b> Several water pumps are in plantroom A&B Twin sets, 1 half of twin set in u/s. Pumps are OEM fitted from building opening and now obsolete.	GW	4	4	16	None Specified	Quotations obtained are available as stock items from suppliers. Prices between £2000 & £4000 per unit depending on which pump set. (2 plant room A + plant room B). Spacers would have to be fitted (quoted for, due to obsolescence and pump sizes different).	None specified	None specified	None specified	Jody Shepperd	27/06/2023	4	1	4	31/07/2023			
74	West 1, Bed 16	04/07/2023	<b>Risk/Issue:</b> OXY broken hit by bed (not heating), these are obsolete, no spares available for GEM 10 only new GEM shield avail. MR 194650.	GW	4	4	16	None Specified	Advised ward sister that at present, estates are unable to repair, requires full medgas shutdown on entire ward to renew 1st & 2nd fix TU's which are obsolete.	None specified	None specified	None specified	Jody Shepperd	04/07/2023	4	1	4	31/07/2023			

75	Plant Room 4B	07/07/2023	Risk/Issue: Chilled water system, Grundfos TPD pumps Twin pump sets 5.5kw - running on a single motor on 2X units - Medical records and Outpatients department - mechanical seal failure on med records unit.	GW	4 4 16	None Specified	Plant room checks, water catchment to maintain some flow to med records area.	Failed pumps on MRC+ OP pump set + replacement pump sets are obsolete, only option are to up size which will need pipework adjustments.	None specified	None specified	None specified	Chris Watts	04/07/2023	4 1 4	31/07/2023
77	Autoclave Pathology Lab	11/07/2023	Risk/Issue: New Autoclave machine @ Pathlabs, alarm demand for new one, is too high to run both autoclaves, this is interrupting normal operational service (if both are running during same cycle of demand, both will fail).	GW	5 3 15	None Specified	Can only run one at a time, due to advise from Auxilliam, to ensure autoclave cycles don't fail.	None specified	None specified	None specified	None specified	Mark Branch	31/12/2023	4 1 4	31/07/2023
78	Diesel Storage Tanks	11/07/2023	Risk/Issue: All diesel fuel tanks to be NDT tested, fire risk (highly combustible fuel in large volumes) for diesel Generators etc (Ageing tanks also, how old they might be?). Also environmental issues if tanks fail. (Potential All Sites with diesel storage tanks).	GW	5 3 15	None Specified	All tanks are banded (have they been tested/inspected).	None specified	None specified	None specified	None specified	Paul George/Jody Sheppard	31/12/2023	4 1 4	31/07/2023
79	Plantrooms	14/07/2023	Risk/Issue: Water coming through main plant room covers, turning down flues. Water then running onto boilers/electrical plant, covers fitted incorrectly daylight visible. The risk is this will cause severe damage to plant/loss of power and heating.	GW	5 4 20	None Specified	I have put this on the risk register ASAP, also a water catchment device fitted in the plant room above Dental (fitted by Andrew Hefferman).	None specified	None specified	None specified	None specified	Dave Evans	31/07/2023	4 1 4	31/07/2023
80	Plant Room E/78 Lift 54-Tenous	21/07/2023	Risk/Issue: Lift control PCB has failed and spares now obsolete and no other spares from overseas.	GW	4 4 16	Will attempt to repair PCB but not guaranteed as a temporary/interim measure to keep lift in service.	Unable to provide assurances due to no available spares, but if PCB can be repaired then will reduce risk as a temporary measure. Currently 2 lifts in building for the short term continued service.	Unsure if the PCB can be repaired due to age.	Reliant on PCB repair.	To try and repair PCB to have lift temporarily reinstated and source a new control panel to replace existing to provide reliability of lift.	None specified	Paul George	31/01/2024	4 1 4	31/08/2023
82	Plant Room E/78	19/07/2023	Risk/Issue: Hot Water Boilers - The secondary boiler has completely failed, the heat exchanger has split and the gas valve non-repairable. The primary boiler has also failed, it has been reported the main display mal function.	GW	5 4 20	None Specified	To put a temporary boiler or lick replacement boiler.	None specified	None specified	None specified	None specified	Mark Branch	31/01/2024	4 1 4	31/08/2023
83	staffing	19/07/2023	Risk/Issue: There is a shortage management of M&E Manager Mechanical X1 M&E Manager Electrical X1, Electrical Team Leader X1 Electrical engineer X1. We only have 2 electrical engineers and 1 electrical supporting the Team leader's role until the role is fulfilled. Which is causing limited resources to deliver a service and demands.	GW	4 4 16	None Specified	To seek from UHW in case large issues or any AP assistance. Estates operations Manager will manage on the shop floor.	None specified	None specified	None specified	None specified	Mark Branch	31/01/2024	4 1 4	31/08/2023
84	Microbiology Department	21/07/2023	Risk/Issue: The DB Board located in the Microbiology Department has a MCB board which is 25 years over which we no longer purchase MAC replacements. This would be an added cost pressure to get this upgraded.	GW	4 4 16	None Specified	We will seek to get a quotation to a replacement MCB board, this may need to be passed to Capital.	None specified	None specified	None specified	None specified	Mark Branch	31/01/2024	4 1 4	31/08/2023
85	Estates, Boilerhouse	24/07/2023	Risk/Issue: Crack in brick work external & internal, crack from ground level to wall plate. The risk is, this is structural & brickwork above the (top window could be loose)? Please note we believe that this has been like this for a long time, but it is now highlighted.	GW	5 4 20	None Specified	I have contacted ET&S construction, he is arranging for a structural engineer to attend site.	None specified	None specified	None specified	None specified	Mark Branch	31/01/2024	5 1 5	31/08/2023
89	Main Roof-Entrance	26/07/2023	Risk/Issue: Damaged/loose solar panel, (it could fall & cause injury). This has to be looked by the electrician team. (Outside main entrance of Barry Hospital-Main Roof).	GW	4 4 16	None Specified	I have escalated this to estates management (see picture attached).	None specified	None specified	None specified	None specified	Dave Evans	31/07/2023	4 1 4	31/07/2023
93/93 Cont.	LV Substation 2A	21/08/2023	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 Cages 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	4 5 20	None Specified	LVAP action plan include - Electrical team providing ongoing weekly checks/ BMS alarm 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 6/10 minutes maximum time of 40 minutes) potentially without power for this duration. Mitigation of attendance timeline lift support system is covered by uninterruptible power supplies (UPS systems) up to 60 minutes (can vary on loading will affect duration). Panel board coverage - include life support areas, main theatres, pre-operation, post-operation, ITU Home Office Essential Areas, Essential Public Health Wales laboratories. Investigations on the ACB completed by a specialist electrical contractor, with reported direct replacement part being obsolete & un-serviceable.	None specified	None specified	None specified	None specified	Chris Watts	29/07/2023	5 2 10	29/08/2023
94	Central Plant room 14 room	04/09/2023	Risk/Issue: 2 Boilers un-serviceable out of 6 - Possibility of losing heating or hot water, affecting clinics and patient care (leaking flue affected PCB's)	GW	4 5 20	None Specified		Leak diverted / temporary fix until Flu repair has been carried	None specified	None specified	None specified		04/08/2023	4 2 8	05/09/2023
96	Perimeter Boundary Fence	22/08/2023	Risk/Issue: UHL Perimeter and Boundary wall has become damaged and fallen in certain areas and acts as boundary between C&V and Residents.	GW	4 4 16	None Specified	None Specified	None Specified	None specified	To arrange and conduct a survey of the boundary wall to obtain an overall condition report	None specified		22/08/2023	4 2 8	05/09/2023
99	CHW Phase 1 CWST	23/08/2023	Risk/Issue: Tank 31 is leaking and caused damage to the LATCH area below the plant room. Attempts to seal the leak but with no success, therefore require a replacement CWST.	GW	4 5 20	The CWST has been isolated, drained and taken out of use due to the continuous leaking. Controls have been adjusted to control the system.	The second tank is providing water into the building.	This is only a temporary measure and a second tank requires replacement.	The second tank in use is of the same age and possibility this could leak.	To replace the CWST or both tanks, but could be replaced with smaller capacity tanks.	None specified		23/08/2023	4 1 4	23/09/2023
103	Sigma Out Station	01/09/2023	Risk/Issue: Sigma Outstations at UHW, Obsolete - no spares available for critical area- Cardiff University JBIOS Department AHU's	GW	4 4 16	None Specified	Nursing and manually controlling	Spares unavailable in the event of failure	Spares unavailable in the event of failure / unable to monitor 24hr and adjust as / # required	None specified	None specified	Chris Watts	20-Sep-23	4 1 4	01/10/2023
104	Sigma Out station	01/09/2023	Risk/Issue: Sigma Outstations at UHW, Obsolete - no spares available for critical area- Main Theatre AHU's	GW	4 4 16	None Specified	Nursing and manually controlling	Spares unavailable in the event of failure	Spares unavailable in the event of failure / unable to monitor 24hr and adjust as / # required	None specified	None specified	Chris Watts	20-Sep-23	4 1 4	01/10/2023
105	Flourescent Lamps Obsolete	01/09/2023	Risk/Issue: Fluorescent lamps - April 2024 - Lamps become obsolete. Will introduce slip trip and fall risks when lamp fail	GW	4 4 16	Changing light fittings one at a time as they fail	Changing light fittings one at a time as they fail to LED	Spares unavailable in the event of failure - time in being able to change if large number of failures occur & stock health board keep.	Fitting cost £50 plus labour to change, but being done as and when they fail, hundreds of these obsoleted lamps in use	None specified	None specified	Mark Branch		4 1 4	

106	Heating & DHW Boilers	01/09/2023	<b>Risk/Issue:</b> Central Plant room 1st Floor - 2 Boilers out of 6 not working - possibility of loss of heating and hot water - clinics could close - cause, leaking boiler flue / roof (Water ingress has damaged Circuit boards)	GW	4 5 20	Leak has been diverted	Contractors contacted to provide quotes	Leak still present	only 4 out of 6 boilers working	Mark Branch		4 1 4
107	Flu / Roof leaks	31/08/2023	<b>Risk/Issue:</b> Multiple Main Roof leaks and around Flu's, slips/trips/falls. Leaks close to elect equipment	GW	5 1 15	Catchment system set up	Contractors contacted to provide quotes - passed to KD			Karen Doyle		5 1 5
108	Main AROMA Call area	01/09/2023	<b>Risk/Issue:</b> Two leaks Main Roof Aroma UHL around Lantern/sky lights, slips/trips/falls.	GW	4 4 16	Tarpaulins set up to cover	Contractors contacted to provide quotes - passed to KD/MB			Mark Branch		4 1 4
112	DSSA HV & LV Sub Doors	06/09/2023	<b>Risk/Issue:</b> Both DSSA 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 of 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		Obtain quotes and replace asap.	P George	2023/24	5 1 5
113	Lift 6 M&T - Concourse	16/09/2023	<b>Risk/Issue:</b> Both lifts have no back up generator or other powersupply in the event of power outage. This cause major issues with normal volume of people traffic for outpatients, staff and visitors etc.	GW	4 4 16	Lifts are maintained but no alternative power supply to lifts in an emergency when power loss.	If power was lost for long period of time then a temporary supply could be installed to allow business continuity.	Not permanent solution and resilience to service.	Not permanent solution.	Paul George	31/12/2024	31/11/2023
114	Lift 4B&D - MSCP	16/09/2023	<b>Risk/Issue:</b> Both lifts have no back up generator or other powersupply in the event of power outage. This cause major issues with normal volume of people traffic for outpatients, staff and visitors etc. From car park high floor levels and not able to park in disabled section.	GW	4 4 16	Lifts are maintained but no alternative power supply to lifts in an emergency when power loss.	If power was lost for long period of time then a temporary supply could be installed to allow business continuity.	Not permanent solution and resilience to service.	Not permanent solution.	Paul George	31/12/2024	31/11/2023
115	House 54-56	20/09/2023	<b>Risk/Issue:</b> House 54-56 roof leaks causing ceiling collapses, mould/damp and slipping/trips and fall hazards - affecting most upper rooms	GW	4 4 16	minor repairs carried out, gutters cleaned, but leaks still apparent, especially during heavy rain	minor repairs carried out, gutters cleaned	permanent solution required, full scaffolding to access and carry out full repairs		K Doyle	01/01/2024	31/11/2024
116	A,B,C,T Blocks	27/09/2023	<b>Risk/Issue:</b> 4 main (only 2 visible)Chimney flues (A,B&C Tower block) support cable stays rusted away (these are designed to give support in adverse weather preventing extra stress / strain on flue / chimney structure)	GW	4 5 20	controlled access to area, base supports appear to be in good condition	contractor to contact and supply quotes	able stays require renewing		Jody Shepperd	02/11/2023	31/11/2023
117	Boiler house	22/09/2023	<b>Risk/Issue:</b> main CHP Chimney flues support cable stays rusted away (these are designed to give support in adverse weather preventing extra stress / strain on flue/chimney structure)	GW	4 4 16	Not a public accessible area	contractor to contact and supply quotes	able stays require renewing. Or CHP flues removing, this will then completely remove any future risk		Jody Shepperd	02/11/2023	31/11/2023
119	UHL Hot Water	13/01/2022	<b>Risk/Issue:</b> Hotwell Tank is towards end of life expectancy and has been welded on numerous occasions - unable to inspect due to asbestos insulation	GW	5 4 20	Asbestos to remove	When asbestos removed inspection will be possible to ascertain the actual condition	Asbestos removed 13/10/23 Now able to visually inspect / repair	Condition of Hot well tank to monitor	M Branch	01/11/2023	31/01/2024
120	CWST	14/10/2023	<b>Risk/Issue:</b> Safe Access to the CWST (B56) 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.	Both contractors and DEL labour require access.	Check with contractor last time inspected and how safe access was achieved?	P George	31/12/2023	31/03/2024
122	A Block Roofing sheets	17/10/2023	<b>Risk/Issue:</b> Roofing sheets, rusted through S.W corner of A block, to A Block Link - Several holes and sheeling could be affected by inclement weather	GW	4 5 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 1 5
123	Sigma BMS control cards	18/10/2023	<b>Risk/Issue:</b> Satckwell 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 (plinthroom 10), CHPW theatres, SSSU day theatres, ITU, NICU, Boiler House, Multiple Cardiff University labs including BMS 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	Caps 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
124	Main Oxygen VIE Supply	25/10/2023	<b>Risk/Issue:</b> 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.	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.	P George	31/12/2024	31/01/2024
127	Car Park No.8 LV cable Damage	01/11/2023	<b>Risk/Issue:</b> Multiple damage events have caused to the LV cable containment Z22 trunking that crosses over the 1st floor access up & down ramps, due to high vehicles ignoring height restriction on entrance barrier. Subsequently damaged all electrical circuits with the trunking exposing potentially live cables on impact, also damaging cables beyond repair, to small power and lighting 40% of lighting within the ground floor & 20% of the lighting on 1st floor cannot be reinstated and will need to be rewired totally. Car parking CCTV and Parking Eye are not in service. Low light levels/increase risk rating with the winter period being the main EU department car park, it as a high footfall, H&S concerns, risk consequence and likelihood score highly. Cost in excess of £5K	GW	5 4 20	Limited controls night time footfall considerably reduced, still presents slip, trip or fall risk/pedestrian impact by a vehicle is still highly possible, electrocution through further damage to the cable trunking containment.	Local aviation warning lights are solar panel battery supported (backed up and stand alone)			Chris Watts	31/12/2023	4 2 8
128	Lift 4 Kay OT073	06/11/2023	<b>Risk/Issue:</b> Lift at end of Life - Failures with door drive mechanism not fanfall enough to close door due to age/weight of doors, causing door lock faults and out of service issues.	GW	4 4 16	OTIS PPM and call outs	KPI for lifts, does not highlight this issue, issue brought to the fore from Service report visit paperwork - 2 call outs for lift 4, both door issues - recommended full refurbishment of old obsolete equipment			Jody Shepperd	01/01/2024	4 2 8
129	HVC Flooring	13/11/2023	<b>Risk/Issue:</b> Main shower / toilets (PODs) Bedroom 9/16/14 Willow ward - poly nymyl flooring peeling back, becomes unsealed, causing triphazards (9+16 completed previously using specialist paint)	GW	4 4 16	room 9+16 preciously completed using contractor with specialist paint - Building teams have carried out repairs, but doesn't last	2 rooms coated with specialist paint. UHL building team condemned that now other PODs are becoming affected around entire of HVC			Dave Evans	01/01/2024	4 2 8
130	ALAC Roof Leaks	13/11/2023	<b>Risk/Issue:</b> Multiple roof leaks, roof requires clearing of Moss and debris, gutter and down pipes require unblocking. Scaffolding needed for high level and courtyards. All internal ceiling contain asbestos and have water damage	GW	4 4 16	Low level gutters to be unblocked	Quotes to be submitted for high level and courtyards scaffolding, OO arranging removal of damaged asbestos			Mark Wright	13/12/2023	4 2 8

131	ICU/HDU 1st Floor	27/07/2023	Risk/Issue: Multiple damaged and missing soffit boards - HDU/ICU - Birds nesting in areas above patient beds in roof ceiling voids	GW	4	4	16	None specified	quotations to obtain and decide whether this is economical to carry out in house	4	4	16				David Evans	14/12/2023	4	2	8					
134	Boiler house compressors	07/12/2023	Risk/Issue: Boiler house air compressors 1,2-3 at end of working life 10+ years old. No 1 off-line and cannot be re-iterated no 2 and 3 are running constantly - both require full overhaul and slated as beyond economical repair. As no 1 is u/s we do not have the capacity to work on either 2 or 3 as we cannot keep up with demand on one compressor. (Previously Risk raised-Risk Number Estates_22)	GW	5	4	20	None provided- all have been deemed uneconomical to repair - no capacity to overhaul no.1, due to demand on 2 & 3.	No assurances can be given, full report to be provided by Control gear	5	3	15	None specified	None specified		James Adams		5	1	5					
136	Obsolescence	11/01/2024	Risk/Issue: : Lift 2 - Control gear / parts obsolescence - Failure of parts of the control system will result this lift remaining out of service, new control system required.	GW	5	3	15	PPM - none specified	Only assurances are PPM and control parts could be salvaged from lift parts, salvaged after upgrades/modernisation	5	3	15	None specified	None specified	Part of modernisation plan	Jody Shepperd	01/04/2024	3	1	3	01/06/2024				
143	COMMUNITY-CRI	16/09/2024	Risk /Issue: The Flue is leaking in CRI main plantroom. Early indications are its leaking through the double skinned flue. The leak is coming back onto the boilers and causing considerable damage and corrosion to the boilers resulting in		4	5	20	none specified	We have tried to minimise the damage to the boilers by putting a temporary system in place to catch the water. The x2 back up boilers are currently awaiting repairs with Equans, but the boilers have considerable damage. The long term solution is a flue replacement and boilers, but	4	5	20	None specified	None specified		Tom Gerrett		4	1	4	11/04/2025 - Score amended and increased to 20, with Capital checking. (IR & CR change)		Tom Gerrett	Completed & Received Estates Risk Proforma	
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 LRT 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	No Target Risk Rating Score Provided				
Estates_146	Cavoc chiller - Roof plantroom	18/04/2024	Risk/Issue: The chiller unit that feeds CAVOC (inc theatre AHUs) has a leak on No1 refrigeration coil. The leak is not repairable. It has also has an issue with the chiller water system. We can not get flow due to the amount of debris in the system. The debris appears to be coming from the corroded pipework.		5	4	20	none specified	We are attempting to get the unit working but fear it will fail very soon.	4	4	16	None specified	None specified		Michael Burns		4	2	8				Mark Branch	Completed & Received Estates Risk Proforma 13/02/24 Electrical/HL CAVOC Chilled Water chiller.docx
Estates_147	HVC Bus stop	19/09/2024	Risk/Issue: Raised & Loose pavours, damaged and cracked drainage channels		4	5	20	none specified	Minor repairs carried out previously - area barred off -after these actions previous score dropped to 9	4	4	16	None specified	None specified	New repairs required	David Evans		4	1	4			Completed & Received Estates Risk Proforma 13/02/24 Electrical/HL CAVOC Chilled Water chiller.docx	Mark Branch	Completed & Received Estates Risk Proforma 13/02/24 Electrical/HL CAVOC Chilled Water chiller.docx
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.		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				Mark Branch	Completed & Received Estates Risk Proforma 13/02/24 Mechanical
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		4	5	20	A cost is raised and we are awaiting authorization from senior management on the bypassing work at the far end of the duct. The diversion of the leaks is only a temporary	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				Mark Branch	Completed & Received Estates Risk Proforma 13/02/24 Mechanical
Estates_151	UNW	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.		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				J Shepperd	Completed & Received Estates Risk Proforma 13/02/24 Mechanical
Estates_152	CAU/IB	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 & SMOCC, 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	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				G Simpson	Completed & Received Estates Risk Proforma 13/02/24 Electrical Engineer.docx
Estates_153	CAU/IB	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 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 & SMOCC, 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 the night if not actioned by electrical engineer.	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				G Simpson	Completed & Received Estates Risk Proforma 13/02/24 Mechanical Engineer.docx
Estates_154	CAU/IB	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 & SMOCC, 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 the night if not actioned by electrical engineer.	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				G Simpson	Completed & Received Estates Risk Proforma 13/02/24 Team Leader.docx

Estate_162	UHW	01/05/2025	Risk/Issue:Roof Lifeline/Mansafe covered & Obstructed by AHU. This means the lifeline is unusable in it's current state and as parts of the lifeline are under the AHU, it cannot be certified for use under LOLER. As box section cover line, persons are unable to clip 2 clip over box section.	4	5	20	NONE - Restrict / No Access, lifeline cannot be used			Funding required,	J Shepperd	4	1	4	J Shepperd	Completed & Reported	
Estate_163	UHW	01/05/2025	Risk/Issue:Roof Parapet wall not to regulation height (<1.1M) - possible fall from height. Lifeline/Mansafe access covered & Obstructed by Air Con units. This means the lifeline is not safely accessible in it's current state (to clip on lifeline, you	4	5	20	Restrict access			Funding required,	J Shepperd	4	1	4	J Shepperd	Completed & Reported	
Estate_167	UHL	12/06/2025	Risk/Issue:The MRC plant room was upgraded around 20 years ago with second hand equipment after the plant room had its first asbestos strip out. plant is standalone, providing heating, hot water, feeding the whole of the MRC. High risk of failure. Whole plant room needs total full refurbishment of plant infrastructure. Heating calorifier and access	5	4	20	We continue to monitor on a weekly basis and look to repair minor repairs when required. We have diverted the current leak from the calorifier.	In an event of total plant failure, we can put in electric under sink/ over sink water heaters. For temporary heating, plan is to provide limited electric oil filled radiators.		High risk of failure of large plant and to provide heating and hot water to the service users.	Due to the size of the works required and financial risk cost, this needs to be passed for Capital intervention to replace whole plant infrastructure. This should be looked at before and review the winter season.	Mark Branch	4	1	4	Mark Branch	Completed & Reported
Estate_168	UHL	21/09/2025	Risk/Issue:Due to the ongoing issues to control Legionella bacteria positive water sample results, the requirement for a different system that will provide adequate control and eradication of legionella risk in the water system.	5	4	20	Currently we have Chlorine Dioxide dosing into the cold water system and manual flushing by estates and clinical staff. Maintenance program in place to strip and clean TMVs and filters.	Reasonable assurance with the work carried out to fight the legionella bacteria, but due to the age of the system, modifications to clinical areas has made the system to control difficult		Reliance of clinical staff carrying out manual flushing as per the CBV water safety plan and procedures. Plus lack of control and estates being informed of vacant areas.	The water system has had booster pumps added and old pipework system inadequate for effective flow around the hospital and specific areas.	Paul George	4	2	8	Paul George	Completed & Reported
Estate_169	UHW	24/06/2025	Risk/Issue:Currently we have no Chlorine Dioxide dosing into the cold water system. Maintenance program in place to strip and clean TMVs and filters. Ongoing routine water sampling and remedial works to disinfect the outlet. Temperature control on hot water system distribution.	5	4	20	Currently we have no Chlorine Dioxide dosing into the cold water system. Maintenance program in place to strip and clean TMVs and filters. Ongoing routine water sampling and remedial works to disinfect the outlet. Temperature control on hot water system distribution.	None due to the system not operational and dosing.		Reliance of clinical staff carrying out manual flushing as per the CBV water safety plan and procedures.	Without dosing into the cold water system unable to provide assurance on the cold water system.	Paul George	4	2	8	Paul George	Completed & Reported
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<b>Critical Risk Project</b>																	
2	UHW	06/11/2023	Issue: High voltage load shedding equipment <b>Risk/Potential Impact:</b> *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 Authorized people high voltage (APs) able to remedy	5	5	20	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.			*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		
3	UHW	20/11/2023	Issue: MEDICAL AIR 4 BAR Manifold Room <b>Risk/Potential Impact:</b> -Loss of medical air to wards and departments *Valves are old and unknown whether isolate and function correctly to isolate. *Valves have no test points for pharmacy testing *Unable to change some critical safety valves as not duplex (major disruption to do so) *Pressure regulators obsolete and unable to repair or replace due to space constraints *Complex system as added to previously making difficult to operate safely	4	4	16	*Maintenance contract in place with specialist contractor for maintenance and emergency break downs.			*Revamp, redesign and install all new equipment to latest standards simplifying the complex installation. *Alternatively replace valves, safety valves and regulators to each section in a phased approach			5	1	5		
7	UHW	22/11/2023	Issue: 2 Pumped cold water mains to roof tanks <b>Risk/Potential Impact:</b> -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)			*Plan to replace original pipe with modern materials and joining techniques. *Look at secondary riser either full bore or emergency capacity. *Look at life cycle of +1 and plan replacement			4	1	4		
8	UHW	22/11/2023	Issue: Estates VIE (oxygen) distribution pipe <b>Risk/Potential Impact:</b> -Loss of oxygen to the hospital and patient care *The copper pipes leave the VIE and enter a soft finished grass area. They are not ducted so the condition is not known. *There is a tree in close proximity to pipework unknown damage to pipe work *Time to resolve should a problem occur *Only key personnel able to work on systems *Audit failure of non-compliance	4	4	16	*2 pipes on different runs to supply site *Secondary VIE at children's hospital to back feed *Order raised to make completed ring main and automatic operation in event of failure *Specialist contractors engaged with doing maintenance			*Run ducts and reroute pipework to ensure robustness and meets the current requirements. *Investigate pipe work condition and assess *Reroute pipework to separate sufficiently			3	1	3		
10	UHW	14/12/2023	Issue: Towns water main feeding UHW <b>Risk/Potential Impact:</b> -Loss of water to site and areas directly fed from main *Water main original old and cast iron *Town main alone has pressure issues to feed site without backup of fire main *Some areas use town main as not treated water (Chlorine dioxide) *Condition unknown *Some areas and joints may contain asbestos materials *Site disruption wen failure occurs *Potential dead legs (legionella risk)	4	4	16	*Secondary fire main can feed the tanks *Welsh water support and feed the site at critical points *Several contractors able to repair ground works usually within 48hrs			*consider replacement due to age *look at duplex feeds (N+1) *change essential valve arrangements *review drawings and update *risk assess			4	3	12		
15	UHW	01/12/2023	Issue: Blowdown vessel of main steam boilers <b>Risk/Potential Impact:</b> *Operational difficulty in controlling quality of boiler water *Failure to meet pressure vessel regulations (subject to defect notice) *Contamination for water discharge permit by Welsh water *Scalding risk *Isolation valves 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			*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		

33 Removed  
CHFW Ph 1  
boilers replaced.

16	UHW 14/12/2023	<p><b>Issue: LTHW main domestic hot water plate heat exchanger and controls/pumps</b></p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>Failure of the plate would result in low temperature domestic hot water being produced for the hospital. (increased legionella risk) NEEDS TO BE &gt;400C</li> <li>Essential as load leveler currently at 50% due for upgrade ASAP</li> <li>Single point of failure (not a duplex system)</li> <li>Multiple parts to go wrong or fail</li> <li>Age of equipment beyond working life</li> <li>Lack of knowledge of workings</li> <li>Warns not sufficient failed recently staff unaware</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>Several parts on system are duplex (some resilience)</li> <li>Load levelers when 100% take the load</li> <li>Specialist contractors available to repair</li> <li>Has been reliable</li> </ul>		<ul style="list-style-type: none"> <li>Consider full upgrade</li> <li>Install n+1</li> <li>Carry essential repairs</li> <li>Overhaul existing plant and equipment</li> <li>Upgrade controls and peripheral equipment</li> <li>Take out contract on plate maintenance</li> <li>Implement ppm system on checking operation</li> <li>Check alarm system and upgrade</li> </ul>	4	4	4
21	UHW 14/12/2023	<p><b>Issue: Natural gas main supplying main boiler house</b></p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>Loss of gas supply by gas supplier whether intention Planned or accidental (unexpected). No steam generated for heating and hot water.</li> <li>Failure on site of mains pipe, mechanical or damage, loss of supply as above.</li> <li>Financial impact due to failure</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>Fuel oil back up to run boiler house requires intervention by staff and or contractors.</li> <li>Same for internal as external run-on fuel oil</li> </ul>		<ul style="list-style-type: none"> <li>Conduct integrity test of pipe work and carry out any remedials from test</li> <li>Clean and paint and protect exposed pipework prevent further rusting and corrosion</li> <li>Mechanically protect exposed pipework to reduce possible damage by vehicles in area.</li> </ul>	4	4	4
25	UHL 13/12/2023	<p><b>Issue: Steam raising boilers 1 and 3</b></p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>Boilers 1 and 3 have failed (age of boilers not supported) numerously over the last several months resulting in steam loss and disruption to the hospital, hot water temperature reduced, heating affected, sterilization on stop.</li> <li>Parts are obsolete and repairs have become harder to instigate and effect reliability.</li> <li>Main suppliers wont support due to age of boiler</li> <li>Cost of extended maintenance and time spent hire etc.</li> <li>Next failure could result in several critical parts being non repairable</li> <li>Lack of expertise or contractors to be able to assist reliant on one company</li> <li>Critical spares unavailable</li> </ul>	5	4	20	<ul style="list-style-type: none"> <li>Boiler 2 upgraded for new boiler due on-line December 2023</li> <li>Temporary boiler connected as insurance back up</li> <li>Local company sourcing spare parts</li> <li>Welsh government case for money and upgrades and replacement early 2024</li> <li>Regular checks and maintenance carried out</li> </ul>		<ul style="list-style-type: none"> <li>Boiler 2 due on line completely new installation</li> <li>Replacement upgrade of boiler 1 and 3</li> <li>Source spare parts in interim</li> </ul>	4	2	8
27	UHL 01/12/2024	<p><b>Issue: 4 Steam to LTHW plate heat exchangers for primary heating circuit</b></p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>Failure of all plate heat exchangers would result in no heating through hospital</li> <li>Pump failure on plates has occurred and they are now obsolete and repairs to old pumps take time to return as well as cost.</li> <li>Controls have failed on one exchanger no drawings as part of old boiler house set up run by others (resilience lost by one set down)</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>Unlikely that all 4 plates would fail simultaneously mechanically as they have been replaced within last 5 years.</li> <li>4 pump sets unlikely all fail same time can still repair currently old sets</li> <li>Upgrade one set and keep other as spare</li> <li>Increase maintenance checks and preventative maintenance</li> </ul>		<ul style="list-style-type: none"> <li>Upgrade all pump sets to latest standard</li> <li>Rewire failed control circuit to get resilience back</li> <li>Consider total upgrade of BMS controls for longevity and migrate all essential plant on to new system.</li> <li>Increase maintenance checks and preventative maintenance</li> </ul>	4	2	8
28	UHW 01/12/2024	<p><b>Issue: 11kv main distribution board for UHW site network</b></p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>There are no additional spare circuits for any further expansion. Any additional substations are added to existing circuits adding to their criticality and reliance.</li> <li>Fault with board causing loss of power to hospital</li> <li>Breakers are SF6 (Sulphur hexafluoride) ozone depleting gas.</li> <li>Unsure of replacement parts due to age and Gas type</li> <li>Only Authorised people able to switch equipment</li> <li>All the electrical intake equipment is in one location, feeding the whole of hospital, risk to loss from fire would mean total loss.</li> </ul>	5	4	20	<ul style="list-style-type: none"> <li>Any new developments added to existing ring will require low voltage stand by generation to take load.</li> <li>Able to split board and feed from other half of board</li> <li>Regular checks for leaks</li> <li>Contract with specialist contractors for maintenance</li> <li>Trained staff and competent staff on call 24/7</li> <li>Full alarm system and regular maintenance</li> </ul>		<ul style="list-style-type: none"> <li>Undertake independent review and seek advice off Authorizing Engineer on level of Risk</li> <li>Consider sourcing spares</li> <li>Review upgrade options</li> <li>Look at extension of existing board</li> <li>Look at having back up emergency arrangements away from existing building.</li> </ul>	5	1	5
29	UHW 01/12/2024	<p><b>Issue: Control valves, monitoring and controls and fittings and boiler ancillary parts and lagging</b></p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>Loss of steam to main boiler house or reduced capacity affecting heating, hot water sterilization and ventilation.</li> <li>Loss of controls could impact and result in unplanned shutdowns.</li> <li>Parts unavailable or not compatible resulting in loss of steam production.</li> <li>Possible HSE intervention through insurance inspections.</li> <li>Higher financial running costs due to poor efficiency.</li> <li>Unsafe practices leading to accidents.</li> <li>Reliability issues due to unexpected failure.</li> <li>Length of time for repairs could be extended.</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>Annual insurance inspection to check safety operation and critical devices.</li> <li>Number of boilers available to meet demand.</li> <li>More frequent checks on water quality by DEL</li> <li>Specialist contractors available to assist when called upon.</li> <li>No mitigation for economizers or lagging</li> <li>Putting DEL staff through recognized BOAS training</li> </ul>		<ul style="list-style-type: none"> <li>Upgrade critical failed parts</li> <li>Completely overhaul each boiler controls, valves etc. to modern standard.</li> <li>Ensure DEL staff competent through BOAS training.</li> <li>Invest in economizers and new lagging</li> <li>Undertake full review independently of boilers and any further recommendations.</li> <li>Consider having tap in valves for external boilers.</li> </ul>	1	4	4
31	UHW 01/12/2024	<p><b>Issue: High and low voltage power supplying CFPU from DSSS</b></p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>Loss of power due to fault on internal HV network services</li> <li>Loss of power due to external fault on hospital supply (no power at CFPU or other buildings) food production and storage on stop.</li> <li>Unable to do high voltage maintenance without turning power off.</li> <li>Low voltage panel issues loss of power single point of failure</li> <li>Equipment getting older</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>HV supply to be switched from both sides of ring</li> <li>No mitigation against external power loss</li> <li>Various contractors and staff available to respond to issues</li> </ul>		<ul style="list-style-type: none"> <li>Consider generator to cover whole of DSSS.</li> <li>Consider local generator for lakeside CFPU food production only (cost based).</li> <li>Consider low voltage connections for external generator in an emergency.</li> <li>Consider alternative power on high voltage on external ring</li> <li>Consider smaller generators for fridges and freezers</li> <li>Consider low voltage secondary feed to LV panel</li> </ul>	1	4	4
38	UHW 01/12/2024	<p><b>Issue: Main steam header and valves</b></p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>The steam header is of an age and condition not checked and unknown thickness</li> <li>probably asbestos joints on some of the flanges/pipework (not confirmed) hindering repairs.</li> <li>Valves are of a single isolation type and not now the double block and bleed type. Major shutdowns now require in most cases a major shutdown of steam to the hospital.</li> <li>Existing valves not sealing and holding, unable to maintain due to criticality of shutting off steam.</li> </ul>	5	5	25	<ul style="list-style-type: none"> <li>Contractors and DEL staff available to conduct repairs as required</li> </ul>		<ul style="list-style-type: none"> <li>Look at changing the valves to double block and bleed</li> <li>Consider new steam header replacement with all new and redesign for better resilience.</li> <li>Introduce summer shutdown maintenance swap out valves and reset and pack existing valves</li> <li>Review asbestos data and consider strip out</li> </ul>	3	4	12

41	UHL 01/12/2024	<p><b>Issue:</b> 11kv High Voltage intake distribution board</p> <p><b>Risk/Potential Impact:</b> -Both Llandough feeder (normal)and primary both supply on the same bus section and are controlled by WPD. In the event of an issue with busbar it would all be shut off. Leaving no mains power to UHL. -Every time WPD do maintenance on their side of the board UHL has to run on generator. -2 radials can only be connected at LV point no HV interconnection -All of hospital on one side of outgoing busbar any faults would take out site</p>	3 5 16	<p>-WPD do regular maintenance but unable to mitigate against failure on incoming side of busbar. -No mitigation against outgoing busbar</p>		<p>-Review installation and upgrade to reduce single points of failure.</p>	5 3 10
42	UHW 01/12/2024	<p><b>Issue:</b> Plate heat exchanger for domestic hot water</p> <p><b>Risk/Potential Impact:</b> -2 independent plate heat exchangers are installed to serve the hospital with domestic hot water. One has failed and the existing plate heat exchanger cannot maintain the temperature at the set point. -Maintenance compromised if one plate heat exchanger cannot maintain the temperature set at 60 Celsius. -Increased risk of legionella -If last plate fails no hot water generation available.</p>	5 4 20	<p>-Chlorine dioxide is a secondary method of controlling legionella and cold feed is treated before being circulated as generated hot water.</p>		<p>-Repair existing plate heat exchanger. -Consider adding a 3rd plate for resilience. -Ensure buffer vessel is installed to remove any peak demand issues.</p>	5 3 10
43	UHW 01/12/2024	<p><b>Issue:</b> Hydro plant controls, dosing and heating</p> <p><b>Risk/Potential Impact:</b> -Pool out of use and patients unable to have treatment as per their recovery plans. -Callotter is old and single point of failure and not efficient reliance on steam and condensate systems. -Pipework is old and failed lagging deteriorated -Lack of ventilation due to poor lagging excessive heat -Some of controls old and problematic -No back up to critical components -Pool out of action for maintenance and insurance inspections annually</p>	5 3 15	<p>-Daily pool checks for early intervention of faults -Maintenance contract in place -Contractors available for repairs</p>		<p>-Revamp plantroom completely with new plant including all parts of the system -Partial upgrade -Carry essential spares</p>	2 3 6
47	UHW 01/12/2024	<p><b>Issue:</b> Main 415 v distribution panel</p> <p><b>Risk/Potential Impact:</b> -Failure of Board due to age and leave Theatres without power. -Live terminals exposed RISK OF ELECTROCUTION -Whole board shut down to work on system -Unsure whether Isolators will work -Parts not readily available adaptations would need to be completed to make a repair. -No overload protection only rewirable fuses</p>	3 5 15	<p>-No mitigation against failure -Warning notices to be fitted -Qualified competent electrician only to work on system</p>		<p>-Review installation for suitability. -Install new board to modern standard and re cable all outgoing services with appropriate protection.</p>	2 4 8
48	UHW 01/12/2024	<p><b>Issue:</b> Main 415 v distribution panel</p> <p><b>Risk/Potential Impact:</b> -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</p>	5 5 25	<p>-No mitigation against failure -Warning notices to be fitted -Qualified competent electrician only to work on system</p>		<p>-Review installation for suitability. -Install new board to modern standard and re cable all outgoing services with appropriate protection.</p>	2 4 8
50	UHW 01/12/2024	<p><b>Issue:</b> 2 cold/hot water storage tanks</p> <p><b>Risk/Potential Impact:</b> -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</p>	5 4 20	<p>-Chlorine dioxide plant feeding tanks reducing legionella and pseudomonas risk to system. -2 tanks normally available for resilience.</p>		<p>-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</p>	4 1 4
54	UHW 01/12/2024	<p><b>Issue:</b> Medical gas Oxygen system isolating valve</p> <p><b>Risk/Potential Impact:</b> -A non-medical isolation valve has been fitted to the medical oxygen system. -It is not compliant -Can be confused for other isolating valves and turned off inadvertently as conventional handwheel type -Not sure would isolate as not designed for oxygen -Possible leaks from stem of valve -Could remain shut if operated</p>	4 4 16	<p>-No mitigation as wrong valve in wrong situation fitted</p>		<p>-Replace valve of the appropriate standard for medical Gas pipeline systems.</p>	4 1 4

55	UMB 01/22/2024	<p><b>Issue:</b> Emergency water connections via fire hydrant connection</p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>•Both fire main and town main fractured leading to loss of water to parts of the hospital.</li> <li>•Due to complexity of both mains falling contingency measures to supply water were extreme and challenging.</li> <li>•No specific connections to connect welsh water bowzers to top up tanks.</li> <li>•No emergency testing of systems/business continuity with regards to water failure.</li> <li>•Effect on third party such as Cardiff University Electrical supplies</li> <li>•Flooding to others</li> <li>•Availability of contractors and staff out of hours</li> </ul>	5	4	20	<ul style="list-style-type: none"> <li>•Two mains (2 going rare occurrence)</li> <li>•Welsh water tankers, bottled water</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>•Review UMB wide contingency with regard to water disruption in consultation with welsh water emergency planners.</li> <li>•Fit appropriate slabbings at strategic points as gared</li> <li>•Consider dry riser connections</li> </ul>	4	1	4						
61	UMB 01/22/2024	<p><b>Issue:</b> Thermostatic mixing valves on domestic hot water system</p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>•Legionella</li> <li>Risk increased in faulty TMV</li> <li>•Scalding to patients</li> <li>•Increased buildup of scale and debris in filter mesh protecting TMV can harbor Legionella and pseudomonas.</li> <li>•Reduced water flow to flush out biofilms etc.</li> <li>•Enhanced maintenance costs on TMV that may not be required.</li> <li>•Further monitoring costs by water safety Team</li> <li>•Isolation valves not working correctly unable to maintain or service correctly.</li> <li>•Non-return valves not working correctly introducing cold water into hot water system reducing temperature.</li> <li>•Various TMVs fitted spares stock increased</li> <li>•Slower repairs</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>•Water safety team checking temperatures and manage water systems.</li> <li>•External contractor maintaining TMVs</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>•Risk assess the need for TMVs in non-patient area and remove.</li> <li>•Re-visit existing all TMVs and add to backlog for changing (standardize)</li> <li>•Isolating valves may need attention also</li> <li>•Remove non-patient TMVs</li> </ul>	3	4	12						
78	UMB 03/12/2024	<p><b>Issue:</b> Modular gas boilers</p> <p><b>Risk/Potential Issue:</b></p> <ul style="list-style-type: none"> <li>•Boilers produce condensate (pure water extremely corrosive) which will eat away the aluminum fins and corrode copper heat exchanger fins and pipework.</li> <li>•Premature failure of heat exchangers.</li> <li>•Loss of heating</li> <li>•Leaks</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>•Service contract in place to check boiler integrity.</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>•Maintain boiler in accordance with manufacturers recommendation with program for cleaning water and fire side with proprietary chemical cleaner.</li> </ul>	4	1	4						
79	UMB 04/12/2024	<p><b>Issue:</b> Cast iron above ground drainage pipes</p> <p><b>Risk/Potential Issue:</b></p> <ul style="list-style-type: none"> <li>•Due to age leaks due to cracking have occurred.</li> <li>•Sewerage outfall at failure of pipes causing disruption to departments.</li> <li>•Internal bore restricted causing blockages</li> <li>•Damage to equipment and departments</li> <li>•Expensive repairs and clean up to revenue budget</li> </ul>	5	4	20	<ul style="list-style-type: none"> <li>•Replacement program for main ward blocks</li> <li>•Repairs can be carried out at point of failure</li> </ul>	5	4	20	<ul style="list-style-type: none"> <li>•Conduct conditional survey and highlight areas in need of replacement in priority order.</li> <li>•Extend replacement program to cover essential areas or problematic areas by priority.</li> </ul>	4	1	4						
85	UMB 03/22/2024	<p><b>Issue:</b> Day surgery medical air compressors</p> <p><b>Risk/Potential Issue:</b></p> <ul style="list-style-type: none"> <li>•The plant is located within a general plantroom with ventilation, electric distribution and other equipment. This is a non-conformity making it non-compliant.</li> <li>•Plant is old and repairs have been carried out to keep plant running.</li> <li>•One compressor obsolete and not working</li> <li>•Installation does not allow for easy testing by pharmacist.</li> <li>•Old plant uneconomical to run electrically</li> </ul>	5	4	20	<ul style="list-style-type: none"> <li>•Unable to mitigate against non-compliance</li> <li>•Maintenance contract in place for repairs to plant</li> </ul>	5	4	20	<ul style="list-style-type: none"> <li>•Remove plant completely when new A&amp;E need air plant installed and rationalize pipework and distribution supply pipe work</li> </ul>	4	1	4						
					0								0						
					0								0						
<b>Mechanical</b>																			
M1	Dec-2019	<p><b>Risk/Issue:</b> Some of the Ventilation systems and theatre spaces are old and are reaching the end of their useful life. This is resulting in large number of remedial works being required.</p> <p><b>Impact:</b> Closure of theatres, impact on service delivery...</p>	GW	5	4	20	<p>Verifications at UHW &amp; UHL theatres have identified many issues with ventilation system and environment condition of theatres. Theatres are also not to current HTM guidance for size. Short, medium and long term plans for theatres are being progressed.</p>	5	3	15	<p>Theatres are not to current HTMs for size.</p>	<p>Maintenance of older plant is getting more and more difficult as parts are difficult to source</p>	<p>continue with plans</p>	DC team	ongoing	5	1	5	
M19	Dec-19	<p><b>Risk/Issue:</b> Ventilation verification of critical systems has identified UHW Dental Theatres &amp; recovery does not comply with HTMs for ventilation. Airflow is low in 2 dental theatres fed by the same plant</p> <p><b>Impact:</b> Not compliant</p>	GW	5	4	20	<p>Regular maintenance being carried out</p>	5	3	15	<p>Theatres cannot be used in current condition short term plan being executed to provide 1 compliant theatre</p>	<p>New AHU required to feed theatres only.</p>			5	1	5		
M29	Jan-21	<p><b>Risk/Issue:</b> Ventilation verification of critical systems has identified UHW ITU ASN does not comply with HTMs for ventilation.</p> <p><b>Impact:</b> None compliant</p>	GW	5	4	20	<p>Maintenance intermittent due to access issues AHU with ward WASTE room Fancoils in ward are not accessible unless ward emptied but do not comply anyway</p>	5	4	20	<p>System is not suitable and correct maintenance is restricted</p>	<p>Current HTM not being adhered to</p>	<p>Acute Site Master Planning schemes are looking to resolve most of the issues around HTM in particular the ventilation. This is however a medium term plan and requires significant funding. C3 South &amp; C3 North are currently going through design stage.</p>	DC Team		5	1	5	
M30	Jan-21	<p><b>Risk/Issue:</b> Ventilation verification of critical systems has identified UHW ITU B3N North does not comply with HTMs for ventilation.</p> <p><b>Impact:</b> Not compliant Risk: loss of critical services that will effect patients</p>	GW	5	4	20	<p>Maintenance intermittent due to access issues AHU with ward</p>	5	4	20	<p>System is not suitable and correct maintenance is restricted</p>	<p>Current HTM not being adhered to</p>	<p>Look at improving the system to comply with current HTMs</p>	DC Team		5	1	5	
M31	Jan-21	<p><b>Risk/Issue:</b> Ventilation verification of critical systems has identified UHW Cardiac ITU C3 Link does not comply with HTMs for ventilation.</p> <p><b>Impact:</b> Not compliant</p>	GW	5	4	20	<p>Regular maintenance being carried out</p>	5	4	20	<p>System has never complied with HTMs</p>	<p>Not compliant with HTM</p>	<p>Current HTM not being adhered to</p>	<p>Look at improving the system to comply with current HTMs</p>	DC Team		5	1	5
M32	Apr-22	<p><b>Risk/Issue:</b> Main walk in Drugs fridge in UHW Pharmacy stores LGF, is old and requires renewing due to being unreliable and parts difficult to obtain.</p> <p><b>Impact:</b> Loss of refrigerated drugs causing interruption to service</p>	GW	4	4	16	<p>Regular maintenance being carried out</p>	4	4	16	<p>Fridge is maintained on a regular basis however breakdowns have occurred outside of the service window.</p>	<p>due to age failure is likely</p>	<p>Parts are currently long lead in time if system was to fail</p>	<p>Renewal of Fridge and components with run and standby equipment required</p>	DC Team		5	1	5
M33	Apr-22	<p><b>Risk/Issue:</b> SPS walk in Drugs fridge in UHW Pharmacy stores GF is old and requires renewing due to being unreliable and parts difficult to obtain.</p> <p><b>Impact:</b> Loss of refrigerated drugs causing interruption to service</p>	GW	4	4	16	<p>Regular maintenance being carried out</p>	4	4	16	<p>Fridge is maintained on a regular basis however breakdowns have occurred outside of the service window.</p>	<p>due to age failure is likely</p>	<p>Parts are currently long lead in time if system was to fail</p>	<p>Renewal of Fridge and components with run and standby equipment required</p>	DC Team		5	1	5

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 would suffer from Equipment Failure due to high pressures	5	4	20			UHL set has been replaced. There are approximately 15 sets at UHW. Funding has been approved and they are to be completed this financial year before end of March.			5	1	5	
M37			Risk/Issue: Medical Gas PPM at all sites has identified that there are no "low line Pressure" alarms and warning lamps as per the requirements of HTM. Impact: Equipment Failure leading to Loss of Service and Interruption of supply impacting on critical procedures patient safety	5	5	25	Regular maintenance being carried out		5	3	15	Systems are currently being maintained but they need upgrading	Non compliant with HTM	prepare plans to install alarm panels and warning lights, critical areas first i.e theatres, ITU etc to comply with HTM's	DC Team		5	1	5	
M38		Dec-19	Risk/Issue: Ventilation AHU serving HDU AT UHL 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.	5	4	20	Regular maintenance being carried out to maintain the systems as is	Systems are statutory tested and inspected annually	5	3	15	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 AHU.	DC Team		5	1	5	
M45			Risk/Issue: Medical Gas Pendant hoses 5 yearly replacements have never been completed.	5	4	20	Regular maintenance being carried out but hoses not inspected	PPM inspections are carried out 3 monthly	5	3	15	Systems are currently being maintained but hoses have never been inspected or changed	Non compliant with HTM	Carry out survey of pendant hoses and action report	DC Team		5	1	5	
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	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		3	1	3	
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.	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 AHU.	DC Team	01-Aug-20	3	1	3	
M52			Risk/Issue: Animal House Bau Boiler No1 & No2 would lose heating supply Impact: Potential loss of heating in area	4	4	16	Regular maintenance being carried out to maintain the systems as is	Systems are statutory tested and inspected annually	4	4	16	replacement of boilerS 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	
M53			Risk/Issue: Barry hospital boiler No2 is in very poor condition heating issues Impact: Potential loss of heating in area	4	4	16	Regular maintenance being carried out to maintain the systems as is	Systems are statutory tested and inspected annually	4	4	16	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	
M55			Risk/Issue: Broad Street Clinic boiler no 1 is in very poor condition supply Impact: Potential loss of heating in area	4	4	16	Regular maintenance being carried out to maintain the systems as is	Systems are statutory tested and inspected annually	4	4	16	replacement of boilers 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	
M56			Risk/Issue: Llan Rummy Clinic boiler no1 would be in very poor condition Impact: Potential loss of heating in area	4	4	16	Regular maintenance being carried out to maintain the systems as is	Systems are statutory tested and inspected annually	4	4	16	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	
M57			Risk/Issue: HSDU RO PLANT failing on a regular basis some parts are obsolete Impact: Potential loss of RO water	4	4	16	Regular maintenance being carried out to maintain the systems as is	Systems are statutory tested and inspected annually	4	4	16	Replacement of RO plant	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	
M58		Oct-23	Risk/Issue: Gas main to dental hospital, unable to re-install following pipe failure to main supply due to out of date fittings which would not pass gas safe regulations. Impact: No gas supply available to dental, restriction in capacity to deliver service.	3	5	16	Local bottle burners being used		3	5	16	New gas main required		Design and install new gas main	DC Team	01-May-24	3	1	3	
M60			Risk/Issue: UHL Cavoc theatres - mechanical infrastructure failing, including the chiller, AHU, AHU supply and extract air ducting and multiple pipe work system. Impact: Potential loss of use for all Cavoc theatres	4	4	16	Regular maintenance being carried out to maintain the systems as is	Systems are statutory tested and inspected annually	4	4	16	Multiple replacements required	statutory inspections records are kept on a data base	prepare plans to renew	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	
M64			Risk/Issue: UHW Tunnels corroded 6" CHW flow & Return Pipework to hospital cooling systems (Theatres,Animal House,ICU). Impact: Equipment Failure leading to Loss of Service and Interruption of air supply impacting on patients	4	4	16	Maintenance not carried out to pipework	Pipework not inspected full survey is required to ascertain extent of corrosion	4	4	16	Replace Pipework	System needs replacing	Prepare Plans to replace	DC Team		5	1	5	
M65			Risk/Issue: UHW Chlorine Dioxide water dosing system needs replacing due to parts and service of current system expensive and locked into one supplier equipment to repair is not easily obtainable Impact: Equipment Failure leading to loss of chlorine dosing system in water supply feeding the hospital	4	4	16	Maintenance not carried out to pipework		4	4	16	Replace System	Service is records are kept via estates	Prepare Plans to replace system	DC Team		5	1	5	
M66			Risk/Issue: Ro Water system no longer supported by Manufacturer from 2027 in the Dave thomas renal unit fed from lgf RO plantroom parts will become obsolete Impact: Loss of RO equipment impacting Patient care	4	4	16	Regular maintenance being carried out to maintain the systems as is	Systems are statutory tested and inspected annually	4	4	16	Replacement of RO plant	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	
M67			Risk/Issue: Ro Water system no longer supported by Manufacturer from 2027 in the B5 ward Dialysis unit fed from lgf RO plantroom parts will become obsolete Impact: Loss of RO equipment impacting Patient care	4	4	16	Regular maintenance being carried out to maintain the systems as is	Systems are statutory tested and inspected annually	4	4	16	Replacement of RO plant	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	
M68			Risk/Issue: Ro Water system no longer supported by Manufacturer from 2027 in the CHEW renal unit parts will become obsolete Impact: Loss of RO equipment impacting Patient care	4	4	16	Regular maintenance being carried out to maintain the systems as is	Systems are statutory tested and inspected annually	4	4	16	Replacement of RO plant	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	
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<b>Electrical</b>																				
E1			Risk/Issue: Lifts urgently require replacement. A phased approach has been adopted with the following lifts to be reviewed: 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	4	16	Maintained on a best endeavours philosophy until scheme to replace these lifts is conducted	The UMB has an annual testing program in place that inspects all lifts. These lifts require major overhaul and upgrade to latest standards	4	4	16	Some parts are likely 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			3	1	3
E4			Risk/Issue: The main low voltage busbars serving the ward blocks at the UHW are past their useful life. Impact: Potential disruption to wards should busbars fail leading to long disruption.	4	4	16	Inspection regime in place, repairs delt with when occur.	No failures to date	4	4	16	Inspection regime doesn't identify the likelihood of breakdowns occurring	limited amount of spares	Prepare a replacement plan for when funding becomes available	Senior Electrical engineer			4	2	8
E9			Risk/Issue:There is currently no backup power Generator for the Tertiary Tower Building. Due to a recent high voltage network fault the Tertiary Tower lost power on two occasions putting Staff, Patients and Visitors at risk. Risk- power failure with no back up system Impact - failure of power at key times such as during surgery risking loss of life	4	4	16	Detail design being carried out by the Discretionary Capital team to provide future long term resilience for the Tertiary Tower	A short term plan has now been put in place to reduce some of the risks and provide backup to essential plant in the Tertiary Tower however a long term solution is still required to deal with this situation.	4	4	16	Redesign of the electrical infrastructure required to improve reliability and resilience	None	Approval for funding required.	Senior Electrical engineer			5	1	5

E10	02/09/2021	<b>Risk/Issue:</b> DSS2-Sub 2 the hospital's main central switchroom. The hospital's natural growth has now used up all the spare capacity of the Sub 2 main distribution panel meaning there is no spare capacity for natural growth or scheme development within the SUB 2 panel.	4	4	16	Detail design required to expand the sub station room, and to expand the existing panel configuration to allow for natural expansion & growth of the site infrastructure	the last spare ways have been designated for the The EU Xray scheme	4	4	16	Prepare detailed design for when funding is available	None	Prepare a design for when funding is available	Senior Electrical engineer	Dec-25	4	4	4	
E12		<b>Risk/Issue:</b> UHL, Fire alarm system, old series devices not allowing to safe address the system, leaving the system compromised, addresses can shift leading to wrong operation of interfaces & detectors, and labels of rooms being incorrect for fire brigade	4	4	16	contract in place for fire alarm maintenance, contractor & estates monitoring system, contractor testing programme in place	back up of system memory taken and stored by contractor, testing regime in place & managing system and alterations& additions	4	4	16	replacement program is ongoing as and when funding is available. Need to put a program together for replacement of interface units and call points	information and system operation at risk until upgraded and safe addressed	Bid to WG for funding under EFAB scheme has been approved for implementation 2023/2024 & 2024/2025	Senior Electrical engineer	01-Dec-25	4	4	4	
E16		<b>Risk/Issue:</b> 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 numerous times however has not resolved the issue. The equipment cannot be directly replaced as due to the age the Panels and equipment are 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, Day Theatres and Recover, 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-25	5	4	20	No Target Risk Rating Score Provided
E17		<b>Risk/Issue:</b> 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	4	20	
E18		<b>Risk/Issue:</b> UHW LGF switch room 4 suffers from water ingress and damp, due to the humidity within the room the electrical switch gear is suffering corrosion and the standing water, dripping off leaking valves is an electrocution risk to operatives	5	5	25	Estates are aware of the issues	Discretionary Capital will look at the cause and rectify, and add suitable drainage, switch gear replacement.	5	4	20	Redesign of the mechanical services and electrical infrastructure required to improve reliability and resilience	none		Senior Electrical engineer	06-Dec-26	5	5	25	
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<b>Asbestos</b>																			
8		<b>Risk/Issue:</b> Unauthorised access to Regulation 18 asbestos areas <b>Impact:</b> Potential for disturbance of friable asbestos and subsequent asbestos exposure of individuals	5	3	10	Regulation 18 Asbestos Areas list updated regularly and circulated to relevant parties. All Reg 18 areas are locked with a suited padlock and have been appropriately signed with new QR coded signage. Estates Managers and Supervisors should update details/times of staff accessing Reg 18 areas on the log/record. All Reg 18 areas show an Out of Bounds on MICAD. Access to Regulation 18 areas is controlled by a Permit issued by AMT.	Estates staff have received further training on Reg 18 areas. Areas are secured with suited padlocks with CiC controlled access to key. They are periodically checked to ensure they are still secure. Priority is given to clearing reg 18 areas to allow full access as soon as possible.	5	3	10	Often the Reg 18 locks are found to have been removed to allow unauthorised access. In the last 18 months 10% of Reg 18 areas have been accessed at least once.	Resecure damaged areas. Reiterate to all parties that Reg 18 areas must not be accessed without a Permit issued by the AMT. Consider more robust method for securing areas. Larger locks, bigger hasps, bespoke plates / gates.	Estates	01/04/2025	5	3	10		
16		<b>Risk/Issue:</b> Continued maintenance of services (especially high level and floor ducts) within the UHW basement due to known and high risk ACM's <b>Impact:</b> High risk asbestos types can increase risk of contamination if disturbed and can have a significant impact on maintenance of services	5	4	20	Asbestos database shows current known ACM's. High risk areas noted on Regulation 18 Asbestos areas list. Estates staff aware that work in floor ducts, high level areas and to original pipe work is restricted and requires approval from AMT. R&D surveying required for larger scale projects or work in high risk areas.	Further R&D surveys have provided more in depth information on the presence of debris and ACMs in the tunnel areas. Significant clean up work has been undertaken to improve the conditions in the tunnels. All MICAD pages for the tunnels have comments reiterating that ducts and high level surfaces are not asbestos free and that work in these areas is restricted. Also included in any relevant tool box talks / site inductions / management meetings	Estates staff need to be reminded that work in the ducts and high level of the tunnel areas continues to be controlled. New staff and temporary workforce need to be informed of these issues as part of their site induction team. SO need to be aware of the requirement to gain a signed ATP for planned works	It is virtually impossible to provide assurance of a complete clean at high level and in the ducts, therefore work in these areas will remain as controlled work	Previous actions completed	O.D	Apr-22	5	3	10	Jun-24			
18	19/06/2023	<b>Risk/Issue:</b> Not undertaking comprehensive asbestos removal from areas undergoing refurbishment because of time or financial reasons <b>Impact:</b> Failing to meet the requirements of the AMP and CAR 2012 Reg 7 (3). Overall number of ACM's is not consistently reducing	3	5	15	It is a key aim of the AMP (in line with Regulation 7(3)) to ensure that "in cases of final demolition or major refurbishment of premises, the plan of work must, so far as is reasonably practicable, specify that asbestos must be removed before any other major works begin, unless removal would cause a greater risk to employees than if the asbestos had been left in place."	The AMP are usually involved at the outset of most projects due to the need for procuring R&D surveys. This provides opportunity to influence the scope of asbestos removal works related to the project to remove more asbestos than is necessary to fulfil the project brief.	Budget and time constraints are often set by others and often asbestos removal is not a primary consideration in some schemes. Limitations of scope for some projects makes removal of ACMs within the work area, but not related to the scope of the work, unfeasible.	If the government impose a mandatory timescale for removal of asbestos from public buildings we are currently not removing enough to meet these targets.	No actions currently			3	2	6	Jun-24			
20	19/06/2023	<b>Risk/Issue:</b> High percentage of known ACM's showing signs of damage <b>Impact:</b> Potential for disturbance of friable asbestos and subsequent asbestos exposure of individuals	5	3	15	The highest risk ACMs are controlled most strictly, either through being locked down (Reg 18), prioritised for removal or risks being better communicated to those contractors likely to disturb them. Lower risk ACM's with lower likelihood of producing airborne fibre are less well controlled and unless they are within an area being refurbished will not usually be removed or repaired / encapsulated.	Reinspection process highlights damaged ACMs which pose a significant or immediate risk to building occupants and / or prioritised for removal / repair immediately.	Lower risk ACM's with lower likelihood of producing airborne fibre are less well controlled and unless they are within an area being refurbished will not usually be removed or repaired / encapsulated.	Create a method for monitoring levels of damage and prioritising repair or removal of most damaged items. Creating a rolling programme for reducing the risk of damaged ACMs	O.D	Sep-23	5	3	10	Jun-24				
21	06/12/2023	<b>Risk/Issue:</b> Emergency Services (blue light services) but also gas and electrical board contractors do not access or are given relevant asbestos information when attending site for emergencies <b>Impact:</b> Potential for disturbance and spread of friable asbestos and subsequent asbestos exposure of individuals	5	3	15	SWFRS Fire Officers attending site will follow their SOP's (they are not prepared to share these with UHB) to deal with asbestos appropriately. Security and Estates both have access to asbestos information via MICAD so could provide if SWFRS are unable to. This needs to be formalised because there are no set procedures for admitting emergency services to site. At UHW Electrician always meets emergency services when attending but this is not consistent across other sites and outside normal office hours.	No assurance provided from either Corporate Fire Safety or SWFRS.	No agreed procedure with SWFRS or others to provide relevant asbestos information at point of source. SWFRS have been contacted to provide a preference so that a suitable SOP can be developed. They have been slow to respond and have moved responsibility of making the decision to the Ops Intel Dept.	Until SOP is in place there is no measure of performance.	Agree and implement a procedure to provide asbestos information when emergency services attend site. Meeting arranged for w/c 11th Mar with SWFRS and Corporate Fire Team to agree a procedure.	O.D / Ryan Puxford & SWFRS	Mar-24	5	3	10	Jun-24			
22	02/01/2024	<b>Risk/Issue:</b> Regulation 18 areas cause significant maintenance issues because access is restricted to CAT B trained staff and LARCs only. Routine maintenance within these areas is either missed or is expensive. <b>Impact:</b> Inappropriate access of these areas can lead to exposure to asbestos fibres. Additionally, there is significant complexity and expense to undertaking planned work in these areas.	5	4	20	Regulation 18 Asbestos Areas list updated regularly and circulated to relevant parties. All Reg 18 areas are locked with a suited padlock and have been appropriately signed with new QR coded signage. Estates Managers and Supervisors should update details/times of staff accessing Reg 18 areas on the log/record. All Reg 18 areas show an Out of Bounds on MICAD. Access to Regulation 18 areas is controlled by a Permit issued by AMT should prevent inadvertent access and therefore exposure. Where preplanned maintenance of services is required suitably competent and equipped people are able to undertake these tasks under asbestos conditions. This is	Pre planned work is undertaken under Permit (if internal) or by a LARC working to an approved RAMS. Regular checks done of Reg 18 locations to ensure locks and signage are still in place. LARCs are from the approved framework and RAMS etc are approved before work starts. 5% of all LARC activity is formally audited to ensure the quality work.	No gaps in control identified.	No gaps in assurance identified.	All Regulation 18 areas are risk assessed on the asbestos material and its likelihood of exposure but this does not allow individual areas to be appropriately ranked against each other. Ranking should be based on importance of critical services within the area, the affect loss of these services may have on the building or clinical area it serves, the general occupancy of the area and the long term strategy for the building. This would allow them to be prioritised for remediation.	AMT / Estates & Cap	01/04/2025	4	2	8				

23		02/01/2024	<b>Risk/Issue:</b> Regulation 18 areas cause significant complexity when dealing with emergencies in these areas. <b>Impact:</b> In the event of an emergency there is significant pressure on the first responder to stop further damage and this can lead to inappropriate work methods and this can increase the risk of exposure to those initially dealing with the issue. Some of the areas are so high risk that it is not possible to use own staff to deal with issue and a LARC is required. This can lead to significant delays in dealing with the initial cause of the emergency which in turn can increase the disruption / damage to the affected area.	5	4	20	General access is restricted by using suited locks and specific Reg 18 signage. MICAD also provides additional assurance by flagging issues in the rooms. These measures should prevent inadvertent access and therefore exposure. 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. Regular checks done of Reg 18 locations to ensure locks and signage are still in place. LARCs are from the approved framework and RAMS etc are approved before work starts. 5% of all LARC activity is formally audited to ensure the quality work.	5	3	15	In an emergency the initial response should be by a LARC with analytical support and the subsequent clean up costs will be far more significant than if it was preplanned. If the emergency is out of hours or is dealt with by a person outside of CEF control then often the emergency procedures may not be strictly followed and this has the potential to allow the spread of asbestos fibres and subsequently risk of exposure to those directly involved and within the vicinity.	The AMT is often not responses, either initially or sometimes at all, so it's not always possible to provide the level of support required.	All Regulation 18 areas are risk assessed on the asbestos material and its likelihood of exposure but this does not allow individual areas to be appropriately ranked against each other. Ranking should be based on importance of critical services within the area, the affect loss of these services may have on the building or clinical area it serves, the general occupancy of the area and the long term strategy for the building. This would allow them to be prioritised for remediation.	AMG	01/04/2025	5	2	10
24		02/01/2024	<b>Risk/Issue:</b> 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. <b>Impact:</b> When there are emergencies (ceiling 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	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.	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	<b>Risk/Issue:</b> 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). <b>Impact:</b> 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.	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																			
HS13	Site disposal	21/12/2023	<b>Issue:</b> The deterioration of Rookwood Hospital (building structure). Ongoing issues of trespass and attempted material thefts, fly tipping. Potential damage to asbestos materials. <b>Risk/Potential Impact:</b> At the facility there is a foreseeable risk of structural failures to the building infrastructure (cracks appearing in the corridors). Potential injuries/ exposure to asbestos to both trespassers and thieves during their presence on site.	5	3	15	The site is currently monitored externally/ internally by an onsite contracted security team. The site is also monitored by localised CCTV cameras feeding back to a central control point. Planned site visits (internal/ external) are carried out by various CEF team members. The site is still partially in use. Where structural cracks have appeared in corridors, props have been installed to prevent structural failure.	The site is manned 24hrs per day. Site visits are carried out by experienced personnel who have a knowledge of the building and its associated risks. Staff are present onsite to report any building/ services faults etc.	Failure to continue to maintain the 24 hr. site security presence (cost pressures). Ongoing deterioration caused by subsidence. Determined trespasser/ thieves to bypass the existing security control measures.	Cost pressures deterring the level of security coverage onsite. Site visits becoming infrequent by experienced building/ maintenance personnel. Services currently being provided on site being potentially scaled down.	Ongoing site visits, planned, plant maintenance. Potentially Rookwood will be removed from the C&V property portfolio in the near future.	CEF discretionary/ major capital teams. CEF assurance and compliance team. CEF security team/ security contractor.	Ongoing	5	1	5	21/03/2024		
HS19	Contractor Control	15/02/2025	<b>Issue:</b> 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 RAMS. 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. <b>Risk/Potential Impact:</b> It 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.	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 Officers 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.	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 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 Mechanical																			
56			<b>Issue: Gas Safety.</b> Insufficient asset identification and lack of regular inspections and / or maintenance resulting in defects leading to temporary or permanent failure. <b>Risk/Potential Impact:</b> Potential for loss of service. Disruption to patient care. Danger due to explosion.	5	5	25	All known assets are currently on long term contract arrangement with a single supplier for all UHB sites. The inspections are carried out every twelve months.	5 year contract in place. Started July 22 till July 27	Electronic system to run the statutory inspections would be very difficult due to the differing inspections across all disciplines.	One system can not fit all inspections as different companies use different specific programmes that suit their requirements	Current electronic system captures all inspection sheets as a pdf. This does prove challenging to keep up to date however it does allow storage in one place and accessibility for different depts. Target to achieve >95% compliance at any one time is continually monitored each month.	Tony Ward / Richard Sheppard	01-Jun-25	5	1	5	Monthly		
58			<b>Issue: Legionella inspections.</b> Insufficient asset identification and lack of regular inspections and / or maintenance resulting in defects leading to temporary or permanent failure. <b>Risk/Potential Impact:</b> Potential for loss of service. Disruption to patient care. Risk of contracting Legionnaires disease	5	4	20	All known assets are currently on long term contract arrangement with a single supplier for all UHB sites. The inspections within this contract include TMV's, temperature monitoring, calorifiers, showers, tanks. Expectations within this contract are different frequencies dependant on the inspection named above.	5 year contract in place. Started 1st November 2018. 3 + 1 + 1 year contract end date 1st November 2023. Contract is has been extended by 1 year whilst new tender goes through procurement.	Electronic system to run the statutory inspections would be very difficult due to the differing inspections across all disciplines.	One system can not fit all inspections as different companies use different specific programmes that suit their requirements	Current electronic system captures all inspection sheets as a pdf. This does prove challenging to keep up to date however it does allow storage in one place and accessibility for different depts. Target to achieve >95% compliance at any one time is continually monitored each month.	Tony Ward / Richard Sheppard	01-Aug-25	5	1	5	Monthly		
S12A			<b>Issue: Fume Cabinets.</b> Insufficient asset identification and lack of regular inspections and / or maintenance resulting in defects leading to temporary or permanent failure. <b>Risk/Potential Impact:</b> Potential for loss of service. Disruption to Estates service. Danger from dust and/or fume inhalation.	4	4	16	These assets are owned by end users. We are unsure of all known assets.	No records currently collated centrally. Unsure if all regular inspected.	Assets need to be collated, records recorded and kept in one location. This information has been requested on several occasions at the Ventilation Safety Group (VSG).	Records of inspections are not kept centrally for HB.	Clinical Boards are requested to present asset list to VSG. Records would then need to be collated and a copy kept centrally. Regular updates will be required going forward.	Clinical Boards	Jun-25	4	1	4	Monthly		
S19			<b>Issue: Ventilation Smoke/Fire Dampers.</b> Insufficient asset identification and lack of regular inspections and / or maintenance resulting in defects leading to temporary or permanent failure. <b>Risk/Potential Impact:</b> Potential for loss of service. Disruption to patient care. Danger of fire spread.	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 hatches 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.	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-25	5	3	15	Monthly		

19A			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.  Risk/Potential Impact: Potential for loss of service. Disruption to patient care. Danger of fire spread.	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.	01-Aug-26	5 3 15	
Compliance Electrical													
S27			Issue: High Voltage. Insufficient asset identification and lack of regular inspections and / or maintenance resulting in defects leading to temporary or permanent failure.  Risk/Potential Impact: Potential for loss of service. Disruption to patient care. Critical service disruption.	5 5 25	All known assets are currently on long term contract arrangement with a single supplier for all UHB sites. The inspections are carried out at varying intervals.	4 year contract in place. Started Dec 22 till Dec 26	5 5 15	Electronic system to run the statutory inspections would be very difficult due to the differing inspections across all disciplines.	One system can not fit all inspections as use different companies use different specific programmes that suit their requirements	Current electronic system captures all inspection sheets as a pdf. This does prove challenging to keep up to date however it does allow storage in one place and accessibility for different depts. Target to achieve >95% compliance at any one time is continually monitored each month.	01-Jun-25	5 1 5	Monthly
S30			Issue: Lightning Conductors. Insufficient asset identification and lack of regular inspections and / or maintenance resulting in defects leading to temporary or permanent failure.  Risk/Potential Impact: Potential structural damage. Potential danger to Patients, Public & Staff.	4 4 16	Some Lightning protection systems are on contract and being serviced within last 1 years.	Approx 35% of the lightning conductors are on a rolling 1 year contract.	4 4 16	All assets are not known. Long term contract to be put in place to cover all assets on a regular maintenance programme.	Currently looking to procure a company to risk assess all properties to provide definitive asset list. Contract in place for potentially 35% (not fully known until survey complete) of UHB properties.	Collation of assets, production of specification and tendering to appoint a suitable contractor. Final target to achieve >95% compliance at any one time.	01-Jan-25	4 1 4	Monthly
Compliance Fire													
S34			Issue: Fire Compartmentation. Insufficient asset identification and lack of regular inspections and / or maintenance resulting in defects leading to temporary or permanent failure.  Risk/Potential Impact: Potential for loss of service. Disruption to patient care. Danger of fire spread.	5 4 20	All known assets are currently on long term contract arrangement with a single supplier for all UHB sites. The inspections are carried out at varying intervals.	Out of contract, currently out to tender	5 3 15	Systematically identify areas with poor compartmentation. This has been put into a priority list which is currently being worked through. This means areas lower down on list create a risk.	Assurance cannot be given until all areas have been completed. This will take several years.	Continue assessing priorities and work through back log list.	01-Jun-25	5 2 10	Monthly
Compliance Other													
None													
Building													
B1			Aging roof systems causing issue with water ingress and stability. A number of roofs are at risk of failure, however the Roof at UHL Physio is in need of urgent replacement. - Risk - severe leaks or roof collapse causing closure of buildings - Impact - service disruption.	4 4 16	Replacement program in place. Ongoing program to prioritise roof repairs	Estates to monitor on a regular basis depending on weather conditions.	4 4 16	Full scope of all roof structures needs to be carried out to ascertain current position and produce a priority list for future upgrades	Only one projects currently on the agenda for this year	Complete a survey of all roof structures to ascertain the current condition	01-Dec-24	4 2 8	
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 have the potential to fall putting pedestrian and vehicle traffic at risk	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	Dec-24	5 2 10	
B8	17/05/2023		106 plant room failure to control bird invasion causing the various plant to be contaminated with bird guano Risk: failure to complete PPM and plant repairs due to the risk of ill health from pigeon guano for in house and contractors staff Impact: failure of critical plant due breakdown as result of maintenance and repairs not being completed	4 5 20	Ad hoc cleaning has been completed by specialist cleaning contractors which allows for repairs to be completed when necessary	Plant is repaired when breakdown occurs once a specialist clean is completed	4 4 16	Although specialist cleans are completed when repairs are necessary the area has never been secured to stop the ingress of bird and other vermin. Resulting in a specialist clean being required before any repairs can be carried out each time	Although essential repairs are completed PPM are often not completed on time due to the contamination in the area and in particular on the plant	The area needs major work to prevent and control of birds and vermin and to allow PPMs and repairs to be carried out in a timely manner and safe access to 106 area	Sep-23	4 2 8	
B9	17/05/2023		Heulwen South - roof failures causing major leaks to clinical areas Risk: Clinical areas in both wards are having to deal with water ingress and interruptions to patient services Impact: Loss of clinical areas due to major disruption as a result of heavy rain causing large volumes of water ingress	4 5 20	Emergency repairs have been carried out to minimise the disruption to the wards	Emergency repairs have reduced the likelihood of closures at present	4 4 16	Emergency repairs are only a stop gap and will have a time limit of no more 6 months	Emergency repairs can not be guaranteed to last through the winter months	Both roofs need replacing before next winter	Sep-23	4 2 8	
Energy and Environment													
12			Risk/Issue Energy expenditure. With an annual spend of £30 million utilities represents a significant single expenditure for the UHB	4 4 16	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.	4 4 16	None	None at present	None	01-Nov-21	4 2 8	
13			Risk/Issue Energy Cost pressures. Energy Markets are very unstable which is resulting in dramatic tariff increases for 23/24 financial year. Estimated expenditure is £30 million however Energy Bill relief scheme will reduce this impact.	5 5 25	Energy spend monitored and reported to Finance department monthly and is further supported by monthly meetings.	Weekly EPRMG meetings are held to discuss and monitor prices and make purchasing decisions. Decisions and energy prices/cost pressures are monitored and communicated to management Teams.	5 4 20	None	None at present	None	01-Nov-21	4 4 16	
14			Risk/Issue Energy Contract Transfer to CCS. Energy Markets are very unstable which is resulting in dramatic tariff increases for 23/24 financial year. All Wales Energy contract shall transfer to CCS framework on 1/10/23 and as there is a significant body of work in the transfer process and many accounts to transfer, this will result in significant financial, contract and resource risk implications.	4 4 16	Meetings with Shared Services regarding the transfer process are held regularly.	Weekly EPRMG meetings are held to discuss and monitor transfer procedures and updates which are communicated to management Teams.	4 4 16	NA	NA	CCS Transfer has now been completed and early indications are positive with the transfer being predominantly successful therefore risk reduced. There are still potential risks which will be monitored and reviewed.	01-Nov-23	4 3 12	
18			Risk/Issue IT Connectivity associated with Refit Phase 2/3	5 4 20	Refit phases 2 and 3 have meetings with contractor and IT weekly to resolve. Also further strategic meetings in progress	Control is through ISO14001 accreditation process and EM&G.	5 4 20	None	None at present	None	Ongoing	4 1 4	
19			Risk/Issue UHW CHP Plant current O and M contract with Clarke Energy will expire in December 2023	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.	Ongoing	4 2 8	
20			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	5 4 20	Current O and M contract is in place until April 2025. 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	CHP plant upgrade/replacement is required.	CHP Plant upgrade/replacement is required	Discussions are in progress with Clarke Energy regarding future options. Paper has been prepared detailing available place. 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.	Ongoing	4 4 16	
22			Risk/Issue UHW Water Consumption Water consumption is increasing attributed to leaks and unexplained usage. This is resulting in water wastage and excessive costs.	5 4 20	Water studies and leakage detection surveys are in progress to determine the scale of the leakage and the location(s) of the leaks. Certain leaks have been repaired. Estates have undertaken step tests during the evening to narrow down the location(s) affected.	Meeting being carried out each week between Estates, Energy Team and Enica along with other stakeholders to monitor progress. Updates are provided to senior leadership team fortnightly.	5 4 20	None	None at present	Ongoing control actions in progress with updates provided to SLT as discussed	Ongoing	4 2 8	



RISK REGISTER TEMPLATE: September 2025

CLINICAL BOARD: CEF

DIRECTORATE: CEF

General Master 15+

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	Assurance Committee
					Consequence	Likelihood	Total			Consequence	Likelihood	Total						Consequence	Likelihood	Total		
18	UHW LGF areas		<b>Issue:</b> Fire doors identified as requiring replacing due to condition of doors not meeting fire requirements <b>Risk:</b> fire doors non compliant <b>Impact:</b> 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 Dental No 14 x 2, LGF Medical Records No 317 new doors required, LGF Pembroke 330, 341N, 341, 343, 345, 346, 360 all require replacing, LGF Lakeside No 317 x 2, 359, 330, 331, 335A, LGF Outpatients rear exit doors.	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	ASAP	Estates	5	1	5	21/12/2022	
62	UHL roof leak		<b>Risk/Issue:</b> Roof leak, which has caused the roof joists to rot (now in a dangerous state). Pictures were attached. <b>Estates, Block 17 area - Flat roof above old plantroom/subway corridor.</b>	GW	4	4	16	The area has been cordoned off. Please note if anyone steps onto the upstand detail - (They will fall through).	None specified	4	4	16	None specified	None specified		Dave Evans	30/06/2023	4	1	4	15/03/2023	
79	Community /Barry		<b>Risk/Issue:</b> Water coming through main plant room roofs, running down flues. Water then running onto boilers/electrical plant, cowls fitted incorrectly daylight visible. The risk is this will cause severe damage to plant/loss of power and heating.	GW	5	4	20	None Specified	I have put this on the risk register ASAP, also a water catchment device fitted in the plant room above Dental (fitted by Andrew Hefferman).	4	4	16	None specified	None specified	None specified	Dave Evans	31/07/2023	4	1	4	31/07/2023	
85	Estates Boilerhouse		<b>Risk/Issue:</b> Crack in brick work external & internal, crack from ground level to wall plate. The risk is, this is structural & brickwork above the (top window could be loose)? Please note we believe that this has been like this for a long time, but it is now highlighted.	GW	5	4	20	None Specified	I have contacted Mr D Thomas from (ET&S construction), he is arranging for a structural engineer to attend site.	5	4	20	None specified	None specified	None specified	Mark Branch	31/01/2024	5	1	5	31/08/2023	
96	UHL Boundary wall		<b>Risk/Issue:</b> UHL Perimeter and Boundary wall has become damaged and failed in certain areas and acts as boundary between C&V and Residents.	GW	4	4	16	None Specified	None Specified	4	4	16	None Specified	None specified	To arrange and conduct a survey of the boundary wall to obtain an overall condition report		22/08/2023	4	2	8	05/09/2023	
107			<b>Risk/Issue:</b> Multiple Main Roof leaks and around Flu's, slips/trips/falls. Leaks close to elect equipment	GW	5	3	15	Catchment system set up	Contractors contacted to provide quotes - passed to KD	5	3	15				Karen Doyle		5	1	5		
108			<b>Risk/Issue:</b> Two leaks Main Roof Aroma UHL around Lanterns/sky lights, slips/trips/falls.	GW	4	4	16	Tarpaulins set up to cover	Contractors contacted to provide quotes - passed to KD/MB	4	4	16				Mark Branch		4	1	4		
115			<b>Risk/Issue:</b> .House 54-56 roof leaks causing ceiling collapses, mould / damp and slips/trips and fall hazards - affecting most upper rooms	GW	4	4	16	minor repairs carried out, gutters cleaned, but leaks still apparent, especially during heavy rain	minor repairs carried out, gutters cleaned	4	4	16	permenant solution required, full scaffolding to acces and carry out full repairs			K. Doyle	01/01/2024	4	2	8	31/11/2024	

117			<b>Risk/Issue:</b> main CHP Chimney flues support cable stays rusted away (these are designed to give support in adverse weather preventing extra stress / strain on flue/chimney structure)	GW	4	4	16	Not a public accessible area	contractor to contact and supply quotes	4	4	16	cable stays require renewing. Or CHP flues removing, this will then completely remove any future risk			Jody Shepperd	02/11/2023	4	2	8	31/11/2023
122			<b>Risk/Issue:</b> 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	4	5	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	4	5	20						3	1	3	
129			<b>Risk/Issue:</b> Main shower / toilets (PODs) Bedroom 9/16/14 Willow ward - poly nymyl flooring peeling back, becomes unsealed, causing triphazards (9+16 completed previously using specialist paint)	GW	4	4	16	room 9+16 preciously completed using contractor with specialist paint - Building teams have carried out repairs, but doesn't last	2 rooms coated with specialist paint, UHL building team concerned that now other PODs are becoming affected around entire of HYC	4	4	16				Dave Evans	01/01/2024	4	2	8	
130			<b>Risk/Issue:</b> Multiple roof leaks, roof requires clearing of Moss and debris, gutter and down pipes require unblocking. Scaffolding needed for high level and courtyards. All internal ceiling contain asbestos and have water damage	GW	4	4	16	Low level gutters to be unblocked	Quotes to be submitted for high level and coutyards scaffolding, OD arranging removal of damaged asbestos	4	4	16				Mark Wright	13/12/2023	4	2	8	
131			<b>Risk/Issue:</b> Multiple damaged and missing soffit boards - HDU/ICU - Birds nesting in area's above patient beds in roof /ceiling voids	GW	4	4	16	None specified	quotations to obtain and decide whether this is economical to carry out in house	4	4	16				David Evans	14/12/2023	4	2	8	
B1			Ageing roof systems causing issue with water ingress and stability. A number of roofs are at risk of failure, however the Roof at UHL Physio is in need of urgent replacement. - Risk - severe leaks or roof collapse causing closure of buildings - Impact - service disruption.	GW	4	4	16	Replacement program in place. Ongoing program to prioritise roof repairs	Estates to monitor on a regular basis depending on weather conditions.	4	4	16	Full scope of all roof structures needs to be carried out to ascertain current position and produce a priority list for future upgrades	Only one projects currently on the agenda for this year	Complete a survey of all roof structures to ascertain the current condition	DC team	01-Dec-21	4	2	8	
B4			Plant room roofs at UHW are showing signs of degraation and failure. Roofs are metal profile on steel girders. On A block plant room there is obvious signs of Corroision with daylight showing clearly on the far right side. Lift rooms roofs leaking causing down time on lifts - Risk / roofs sheets corrodng causing collapse of roof - Impact / loose sheets have the potential to fall putting pedestrian and vehicle traffic at risk	GW	5	3	15	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	3	15	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	
B8		17/05/2023	106 plant room failure to control bird invasion causing the various plant to be contaminated with bird guana Risk: failure to complete PPM and plant repairs due to the risk of ill health from pigeon guana for in house and contractors staff Impact: failure of critical plant due breakdown as result of maintenance and repairs not being completed	GW	4	5	20	Ad hoc cleaning has been completed by specialist cleaning contractors which allows for repairs to be completed when necessary	Plant is repaired when breakdown occurs once a specialist clean is completed	4	4	16	Although specialist cleans are completed when repairs are necessary the area has never been secured to stop thre ingress of bird and other vermin. Resulting in a specialist clean being required before any repairs can be carried out each time	Although essential repairs are completed PPM are often not completed on time due to the contamination in the area and in particular on the plant	The area needs major work to prevent and control of birds and vermin and to allow PPMs and repairs to being carried out in a timely manner and safe access to 106 area	DC Team	ASAP	4	1	4	
B9		17/05/2023	Heulwen South - roof failures causing major leaks to clinical areas Risk. Clinical areas in both wards are having to deal with water ingress and interruptions to patient services Impact: Loss of clinical areas due to major disruption as a result of heavy rain causing large volumes of water ingress	GW	4	5	20	Emergency repairs have been carried out to minimise the disruption to the wards	Emergency repairs have reduced the likelihood of closures at present	4	4	16	Emergency repairs are only a stop gap and will have a time limit of no more 6 months	Emergency repairs can not be gauranteed to last through the winter months	Both roofs need replacing before next winter	DC team	Sep-23	4	2	8	

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_147	HYC Bus stop	18/09/2024	Risk/Issue: Raised & Loose pavements, damaged and cracked drainage channels		4	5	20	none specified	Minor repairs carried out previously - area barriered off - after these actions previous score dropped to 9	4	4	16	None specified	None specified	New repairs required	David Evans		4	1	4	
B13			UHW Pharmacy - Roof failure - potential that closure of dispensary	GW	5	4	20	Temporary repairs and controls eg rain catchers	When experiencing inclement weather, estates maintenance monitor area and implement reactive controls eg clean up and bunding	5	4	20	Awaiting specialist survey results		Upon receipt of specialist survey implement corrective measures	DC team	01-Dec-24	4	2	8	
23	UHW	15/03/2020	Risk/Issue: B Block canopy with the underside rotten and coming apart. Risk to patients and public safety		4	4	16	Temporary scaffolding is in place	PG to request quotations to repair / make safe	4	4	16	Ongoing issue at present		Quotation required to clean and remove the canopy	ASAP		3	1	3	21/12/2022 - 11/04/2025 - Score amended and increased due to health hazard. (IR & CR change)
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	
							0												0		
							0												0		
<b>Electrical</b>																					
42	UHB	07/10/2022	Risk/Issue: Lift auto dialler system is currently operated on analog system. This will be phased out end of 2023. Affecting emergency autodialler system	GW	4	4	16	Digital GSM system to be used and new systems available as a replacement - trial to be implemented	Assuming this will be phased out approach to the system, therefore time to manage the upgrade of each lift system.	4	4	16	Working with current lift contractor to plan change and trial.	Until trail complete unsure if suitable over all floor levels and building blind spots for remote system. Using a GSM and SIM card needs managing to keep in credit		Estates Building team/ Capital.	31-Dec-23	4	1	4	21/12/2022
49	UHB wide	07/10/2022	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 authorisation 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
55	BMSI Control	14/12/2022	Risk/Issue: General issues with IT ports and BMSI system. The ports become locked and no system communications over the network and affects plant and control functions.	GW	5	4	20	Contact IT department to reset the port, but can take too long for this process to be resolved.	Can operate valves, pumps and vents annually but not ideal and this will add additional pressures to the already stretched estates team.	5	4	20			Record all events and timeline from issued raised to issue resolved by IT.	Chris Watts	31-Mar-23	4	1	4	21/12/2022
57	UHL Services	14/12/2022	Risk/Issue: NGT 11KV incoming supply to Llandough and position of the 2 feeder circuit breakers and the bus section with no alternative incoming supply if bus section failed.	GW	5	3	15	Reconfigure the 11KV board to provide resilience and/or an interconnector between HYC and UHL substations.	No major failure to date, but major planning and inconvenience to hospital during NGT maintenance. Also if circuit breaker failed.	5	3	15				Capital scheme?	31-Dec-24	5	1	5	21/12/2022

80	UHW Lift 4 tenovus	21/07/2023	<b>Risk/Issue:</b> Lift control PCB has failed and spares now obsolete and no other spares from overseas.	GW	4	4	16	Will attempt to repair PCB but not guaranteed as a temporary/interim measure to keep lift in service.	Unable to provide assurances due to no available spares, but if PCB can be repaired then will reduce risk as a temporary measure.	4	4	16	Unsure if the PCB can be repaired due to age.	Reliant on PCB repair.	To try and repair PCB to have lift temporarily reinstated and source a new control panel to replace existing to provide reliability of lift.	Paul George	31/01/2024	4	1	4	31/08/2023
84	UHL Microbiology	21/07/2023	<b>Risk/Issue:</b> The DB Board located in the Microbiology Department has a MCB board which is 25 years over which we no longer purchase MAC replacements. This would be an added cost pressure to get this upgraded.	GW	4	4	16	None Specified	We will seek to get a quotation to a replacement MCB board, this may need to be passed to Capital.	4	4	16	None specified	None specified	None specified	Mark Branch	31/01/2024	4	1	4	31/08/2023
89	Community /Barry	28/07/2023	<b>Risk/Issue:</b> Damaged/loose solar panel, (it could fall & cause injury). This has to be looked by the electrician team. <b>(Outside main entrance of Barry Hospital-Main Roof).</b>	GW	4	4	16	None Specified	I am escalating this to Mark Branch & Karen Doyle & Paul George (see picture attached).	4	4	16	None specified	None specified	None specified	Dave Evans	31/07/2023	4	1	4	31/07/2023
93	LV Substation 2A	21/08/2023	<b>Risk/Issue:</b> 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	4	5	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	4	5	20	None specified	None specified	Chris Watts	29/07/2023	5	2	10	29/08/2023	
105	Flourescent Lamps Obsolete	01/09/2023	<b>Risk/Issue:</b> Flourescent lamps - April 2024 - Lamps become obsolete. Will introduce slip trip and fall risks when lamp fail	GW	4	4	16	Changing light fittings one at a time as they fail	Changing light fittings one at a time as they fail to LED	4	4	16	Spares unavailable in the event of failure - time in being able to change if large number of failures occur & stock health board keep.	Fitting cost £50 plus labour to change, but being done as and when, they fail, hundreds of these obsoleted lamps in use		Mark Branch		4	1	4	
113	Lift 61&62 -Concourse	16/09/2023	<b>Risk/Issue:</b> Both lifts have no back up generator or other powersupply in the event of power outage. This cause major issues with normal volume of people traffic for outpatients, staff and visitors etc.	GW	4	4	16	Lifts are maintained but no alternative power supply to lifts in an emergency when power loss.	If power was lost for long period of time then a temporary supply could be installed to allow business continuity.	4	4	16	Not permanent solution and resilience to service.	Not permanent solution.	Invest in generator/essential supply or install emergency back up changeover for 1 lift.	Paul George	31/12/2024	4	1	4	31/11/2023
123	Sigma BMS control cards	18/10/2023	<b>Risk/Issue:</b> 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), CHFW 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	5	25		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	4	4	16	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	

127	Car Park No.8 LV cable Damage	01/11/2023	<b>Risk/Issue:</b> Multiple damage events have caused to the LV cable containment 2x2 trunking that crosses over the 1st floor access up & down ramps, due to high vehicles ignoring height restriction on entrance barrier. Subsequently damaged all electrical circuits with the trunking exposing potentially live cables on impact, also damaging cables beyond repair, to small power and lighting 40% of lighting within the ground floor & 20% of the lighting on 1st floor cannot be reinstated and will need to be rewired totally. Car parking CCTV and Parking Eye are not in service. Low light levels increase risk rating with the winter period being the main EU department car park, it as a high footfall. H&S concerns, risk consequence and likelihood score highly. Cost in excess of £5K	GW	5	4	20	Limited controls night time footfall considerably reduced, still presents slip, trip or fall risk pedestrian impact by a vehicle is still highly possible, electrocution through further damage to the cable trunking containment.	Local aviation warning lights are solar panel battery supported (backed up and stand alone)	4	4	16				Chris Watts	31/12/2023	4	2	8
128	Lift 4 Xray Q7673	06/11/2023	<b>Risk/Issue:</b> Lift at end of Life - Failures with door drive mechanism not forceful enough to close door due to age/weight of doors, causing door lock faults and out of service issues	GW	4	4	16	OTIS PPM and call outs	KPI for lifts, does not highlight this issue, issue brought to the fore from Service report visit paperwork - 2 call outs for lift 4, both door issues - recommended full refurbishment of old obsolete equipment	4	4	16				Jody Shepperd	01/01/2024	4	2	8
E1			<b>Risk/Issue</b> Lifts urgently require replacement. A phased approach has been adopted with the following lifts to be reviewed: Lifts 1, 2,5,6,12,13,14,15,16,17,18,19,20,21,22,23,24 & 27 Maternity Lifts 8 & 9 All to be considered. Impact: Failure of lifts restricts public and staff movement around site.		4	4	16	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	4	16	Some parts are likely 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
E1A			<b>Risk/Issue</b> 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.		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 likely 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
E4			<b>Risk/Issue:</b> The main low voltage busbars serving the ward blocks at the UHW are past their useful life. Impact: Potential disruption to wards should busbars fail leading to long disruption.		4	4	16	Inspection regime in place, repairs dealt with when occur.	No failures to date	4	4	16	Inspection regime doesn't identify the likelihood of breakdowns occurring	limited amount of spares	Prepare a replacement plan for when funding becomes available	Senior Electrical engineer	Dec-23	4	2	8
E9			<b>Risk/Issue:</b> There is currently no backup power Generator for the Tertiary Tower Building. Due to a recent high voltage network fault the Tertiary Tower lost power on two occasions putting Staff, Patients and Visitors at risk. Risk - power failure with no back up system Impact - failure of power at key times such as during surgery risking loss of life		4	4	16	Detail design being carried out by the Discretionary Capital team to provide future long term resilience for the Tertiary Tower	A short term plan has now been put in place to reduce some of the risks and provide backup to essential plant in the Tertiary Tower however a long term solution is still required to deal with this situation.	4	4	16	Redesign of the electrical infrastructure required to improve reliability and resilience	None	Approval for funding required.	Senior Electrical engineer	Dec-25	5	1	5
E10		02/08/2021	<b>Risk/Issue:</b> DSS2-Sub 2 the hospital's main central switchroom, The hospital's natural growth has now used up all the spare capacity of the Sub 2 main distribution panel meaning there is no spare capacity for natural growth or scheme development within the SUB 2 panel.		4	4	16	Detail design required to expand the sub station room, and to expand the existing panel configuration to allow for natural expansion & growth of the site infrastructure	the last spare ways have been designated for the The EU Xray scheme	4	4	16	Prepare detailed design for when funding is available	None	Prepare a design for when funding is available	Senior Electrical engineer	Dec-25	4	1	4
E12			<b>Risk/Issue:</b> UHL, Fire alarm system, old series devices not allowing to safely address the system, leaving the system compromised, addresses can shift leading to wrong operation of interfaces & detectors, and labels of rooms being incorrect for fire brigade		4	4	16	contract in place for fire alarm maintenance, contractor & estates monitoring system, contractor testing programme in place	back up of system memory taken and stored by contractor, testing regime in place & managing system and alterations & additions	4	4	16	replacement program is ongoing as and when funding is available. Need to put a program together for replacement of Interface units and call points.	information and system operation at risk until upgraded and safely addressed	Bid to WG for funding under EFAB scheme has been approved for implementation 2023/2024 & 2024/2025	Senior Electrical engineer	01-Dec-25	4	1	4

E16			Ris 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	No Target Risk Rating Score Provided
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	
Estates 2	UHL	22/05/2019	<b>Issue:</b> New theatre block at UHL Component failure star delta control obsolete parts in all AHUs: <b>Risk:</b> failure of AHU <b>Impact:</b> loss of provision due to equipment air handling equipment not working resulting in procedures being delayed or	GW	4	5	20	Equipment is currently being maintained to a reasonable standard. Plans in place to fit direct drives to all systems under the refit scheme	Some parts are maintained in stock at the current time		4	5	20	some theatres are more at risk than others dependent on the age of the equipment.	Some parts but becoming few and far between	Equipment needs converting to direct drive units which will alleviate the issue. DD units have now been fitted under the refit program which mitigates the risk	Mark Branch		3	1	3	21/12/2022. 11/04/2025 - Score change after review - Likelihood now = 5. (IR & CR change)
Estates 61	UHW	04/01/2023	<b>Risk/Issue:</b> LV Bus Coupler "out of phase" in Sub 2 with HV & LV phase shift. This prevents this circuit breaker being used to link two sides of the main LV	GW	4	4	16	SSE have been to carry out tests and see what is the problem and how to correct, but nothing moved with SSE due to company	The system is stable and no issues to date and circuit breaker maintained.		4	4	16	Unable to maintain their circuit breakers without power loss to A&E/EU area.	No records of maintenance on HV or LV switchgear and non compliant with HSE guidance on annual functional switching of		Paul George	31-Dec-23	3	1	3	20/01/2023 - 11/04/2025 - Issue around maintenance and requires
Estates_152	CAVUHB	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.		5	4	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	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	
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<b>Mechanical</b>																						
28	LGF Oxygen pipework corroded	29/07/2022	<b>Risk/Issue:</b> Due to water leaking from above it has now become coated with calcified and adhered to the pipework which will corrode the pipework and risk of loss of oxygen to the hospital - which will have major impact on patient care.	GW	4	4	16	No Control specified - investigation into looking for alternate route and plan to replace section of pipework.	Whilst the pipework remains undisturbed then should be reasonable to say it is secure without cutting away the build up and risk any damage.		4	4	16	Review current system around the site to provide back up without total loss to site.			IF/GS/PG	31-Dec-22	4	1	4	21/12/2022

29	LGF Main Gas pipework corroded	29/07/2022	<b>Risk/Issue:</b> Due to water leaking from above it has now become coated with calcified and adhered to the pipework which will corrode the pipework and risk of loss of gas to the hospital - which will have major impact on patient care.	GW	4 4 16	No Control specified - investigation into looking for alternate route and plan to replace section of pipework.	Whilst the pipework remains undisturbed then should be reasonable to say it is secure without cutting away the build up and risk any damage.	4 4 16	Review current system around the site to provide back up without total loss to site.			IF/GS/PG	31-Dec-22	4 1 4	21/12/2022
30	MGPS Obsolete PRV & GAUGES	18/08/2022	<b>Risk/Issue:</b> 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 inspection.	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/JE/GS/PG All MGPS Aps	31-Dec-22	4 1 4	21/12/2022
31	Water pipework supply to hospital	18/05/2022	<b>Risk/Issue:</b> 12" and 6" water pipework to/from main boilerhouse that runs below floor level where LGF access to Dental building is sited in LGF tunnel . Pipework is rusted due to years of submersed with water, unsure of pipe wall thickness.	GW	4 4 16	No specific control for this equipment, only visual inspection.	Continued checks, but if pipe wall cracks then water pressure will be significant and risk to person in area.	4 4 16		Plan to inspect and look to reroute/replace these sections of pipework.	Plan to inspect and look to reroute/replace these sections of pipework.	JE/ES/VR	30-Jun-23	4 1 4	21/12/2022
44	Boilers - Parts	10/10/2022	<b>Risk/Issue:</b> No 1 & 3 boilers - Obsolete parts for the control panel for the two main boilers. Which now is more likely not to be able to source a replacement part, which cannot be repaired. This would cause the boilers to fail and cause the loss of central heating, hot water and steam supply.	GW	5 4 20	To look to source the availability of new or second hand parts for the Deep Sea Controller.	To continue to look for available parts	5 3 15	3 months for new EST installation for new control panel. (Has order been placed?) Relying on Temporary boiler and feasibility into using old Rookwood Steam & Hot Water boiler	Any delay's in ordering new panels or specification for new design panel. (10 weeks delivery time for new equipment)	To get a quotation to install two new control panels for the two main boilers. Parts now obsolete and none available anywhere. NEW burner and control required	Mark Branch/Gareth Simpson	31-Dec-23	5 1 5	21/12/2022
44A	Boilers - Parts	18/08/2023	<b>Risk/Issue:</b> No 3 boiler -(in Conjunction with RR E44 Steam Boilers 1 & 3 - obsolescence of parts- Control issues / failures with Boilers 1 & 3) Boiler 3 Control circuit is now unreliable, whole control circuit has encountered failures of control (Boiler Modulation /control) over the last month (Aug 23) -Parts are unavailable to buy or fit, (to reduce the risk of failures). UHL does not have the temporary boiler, this was removed due to the installation of new boiler 2, which is incomplete, increasing the failure Risk	GW	5 4 20	Look to source New control system required for Boiler 3	UHL relying on local company to nurse boiler 3 to continue operation	5 3 15	Boiler 1 has same control obsolescence but not the same current level of failures	lead time for replacement 4 months		Mark Branch	30-Oct-23	5 1 5	23/08/2023
44B	Boilers - Parts	18/08/2023	Boiler number 1 - The Alpha-link burner controller is now confirmed obsolete for the burner and boiler; all critical spare parts are now currently obsolete and no longer be able source even in the second-hand market. If one of the parts fail to breakdown or if this controller powers down there is a high risk that the controller will not be able to function and power back up. The boiler will out of action and will not produce steam or hot water. Cochran has carried out a survey condition report and confirmed the - The Alpha-link burner controller & Burner is now obsolete controllers need replacing. This Boiler is now very unreliable and constantly breaking down.		5 4 20	Look to source New control system required for Boiler 1	To look and seek costs to replace for a new controller panel.	5 3 15		lead time for replacement 4 months		Mark Branch	30-Oct-23	5 1 5	23/08/2023
45	Main Hydrotherapy Pool	14/11/2022	<b>Risk/Issue:</b> Main hydrotherapy pool steam heating system pipework and calorifier are currently in very poor state and preventing pool operations for patients.	GW	4 4 16	To replace with new PHE system and replace all pipework and associated safety equipment for the steam and water supplies.	To source and replace u/s parts for immediate action, but may will monitor constantly to ensure continuous operation.	4 4 16	System and equipment is so old and poor condition, then this poses as high risk due to what could fail next on the system.	If any further faults or equipment issues may occur.	To get a quotation to install new PHE system and replace all pipework including safety equipment.	Paul George	31-Mar-23	4 1 4	21/12/2022
49	Lift AE	07/12/2022	<b>Risk/Issue:</b> 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 authorisation 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

51	Heating	07/12/2022	<b>Risk/Issue:</b> 30 radiators not working in Barry hospital and requires investigation and further works to follow on.	GW	4	4	16	Temporary heating in place and new pump unit required and on order, awaiting delivery.	Temperatures not too low currently, but complaints will follow.	4	4	16		Further action to checks pumps are working correctly, flush radiator thermostats as required.	Mark Branch	31-Dec-22	4	1	4	21/12/2022	
53	Heating UHW	14/12/2022	<b>Risk/Issue:</b> General heating issues to various ares due to zero degree temperatures.	GW	4	4	16	Temporary and portable heating in place to reduce effect of system not working	Temperatures low currently, compliants and estates dealing with issues as best they can with resources and equipment.	4	4	16	Not sustainable and requires full repair. Look for longterm solution with backlog maintenance to replace equipment to ensure reliability.	Source spares and carry out full repair - Utilise & apply for backlog maintenance funding to repair and/or replace equipment. PPM to be reconfigured to check and test heating system prior to winter period.	Chris Watts	28-Feb-23	4	1	4	21/12/2022	
54	Heating UHL	14/12/2022	<b>Risk/Issue:</b> General heating issues to various ares due to zero degree temperatures.	GW	4	4	16	Temporary and portable heating in place to reduce effect of system not working	Temperatures low currently, compliants and estates dealing with issues as best they can with resources and equipment.	4	4	16	Not sustainable and requires full repair. Look for longterm solution with backlog maintenance to replace equipment to ensure reliability.	Source spares and carry out full repair - Utilise & apply for backlog maintenance funding to repair and/or replace equipment. PPM to be reconfigured to check and test heating system prior to winter period.	Chris Watts	28-Feb-23	4	1	4	21/12/2022	
55	BMSI Control	14/12/2022	<b>Risk/Issue:</b> General issues with IT ports and BMSI system. The ports become locked and no system communications over the network and affects plant and control functions.	GW	4	4	16	Contact IT department to reset the port, but can take too long for this process to be resolved.	Can operate valves, pumps and vents annually but not ideal and this will add additional pressures to the already stretched estates team.	4	4	16		Record all events and timeline from issued raised to issue resolved by IT.	Chris Watts	31-Mar-23	4	1	4	21/12/2022	
56	Services & Infrastructure	14/12/2022	<b>Risk/Issue:</b> General site mains water services due aged infrastructure and risk of failure. Each year we experience pipe failures and requires excavation works to repair.	GW	5	4	20	Most repairs can be completed within 48 hours depending on location of the leak and a water bowser can be hired to provide water supply.	Currently only short duration with water turned off for repair to minimise disruption to services and areas affected.	5	4	20			Chris Watts	31-Mar-23	5	1	5	21/12/2022	
57	Services & Infrastructure	14/12/2022	<b>Risk/Issue:</b> NGT 11KV incoming supply to Llandough and position of the 2 feeder circuit breakers and the bus section with no alternative incoming supply if bus section failed.	GW	5	3	15	Reconfigure the 11KV board to provide resilience and/or an interconnector between HYC and UHL substations.	No major failure to date, but major planning and inconvenience to hospital during NGT maintenance. Also if circuit breaker failed.	5	3	15				31-Dec-24	5	1	5	21/12/2022	
58	Community Barry	14/12/2022	<b>Risk/Issue:</b> Drainage problems where they keep backing up. We constntly call Wales environmentsl out to unblock the drains. Patients do stick hand paper towels down the toilet.	GW	4	5	20	The drains are checked on a weekly basis. Camera survey carried out, but contractor has reported the underlying problem is the drsins may need re-benching.	Unfortunately this is only a short term solution.	4	5	20	We need access to the internal manholes we should then be able to unblock them more efficiently, but this causes problems with patients because any raised edging around the manhole could caue a trip hazard.	Meeting with TSF flooring contractor at BARRY Hospitl to see if a solution can be devised.	Mark Branch	31-Mar-23	3	1	3	21/12/2022 - 11/04/2025 - Still risk although current managed under PPM, score amended and increased to 20. (IR & CR change)	
63	Services	13/01/2023	<b>Risk/Issue:</b> Pumps (80WJ125) are now obsolete, failures of plant could result in risk of no heating/hot water. <b>Estates, Calorifier room (adj to boiler house)- Calorifier plant room.</b>	GW	4	4	16	In the process of ordering two complete pump units. These can only be ordered from spares and built up, as complete units are obsolete.	Looking at compatibility and availability of different pumps, availability and the resulting modifications that will be required to fit and run system.	4	4	16	None specified	None specified	Jody Shepperd	30/06/2023	4	1	4	15/03/2023	
66	Ventilation	05/04/2023	<b>Risk/Issue:</b> Theatres AHU's. Plant Room West side rooftop UHL T1-T4. Several failures of AHU parts 20+ years old OEM manufacturer installed parts and have recent failures w/e 02/04/23. Failures affecting theatre lists.	GW	4	4	16	15/11/2019	List of parts sourced to carry out urgent repairs. Extensive list of parts obtained that will need renewing - quotes for renewals/upgrades.	4	4	16	None specified	None specified	Jody Shepperd	31/05/2023	4	1	4	31/05/2023	
67	MGPS	10/05/2023	<b>Risk/Issue:</b> Medical gas Terminal Units (2nd Fix) all obsolete spares require major shutdown to renew. All Terminal Units (1st & 2nd Fix). When wardwas refured med gas TU's were not updated on these two wards.	GW	5	4	20	Portable units available if required (currently not required).	Medical gases in this area only have a few minor issues but plan to undertake high hazard work is required sooner rather than later to renew all TU's to be able to maintain and ensure continuity on these wards.	5	4	20	None specified	None specified	Suggest carry out a full survey of al TU's on site and compile a full list of obsolete parts so this can be planned and ensure all TU's are compliant via replacement or retro conversion kit.	Jody Shepperd	30/06/2023	4	1	4	01/06/2023

72	MHSOP	27/06/2023	<b>Risk/Issue:</b> Several water pumps are in plantroom A&B Twin sets, 1 half of twin set in u/s. Pumps are OEM fitted from building opening and now obsolete.	GW	4	4	16	None Specified	Quotations obtained are available as stock items from suppliers. Prices between £2000 & £4000 per unit depending on which pump set. (2 plant room A + plant room B). Spacers would have to be fitted (quoted for, due to obsolescence and pump sizes different).	4	4	16	None specified	None specified	None specified	Jody Shepperd	27/06/2023	4	1	4	31/07/2023
74	West 1, Bed 16	04/07/2023	<b>Risk/Issue:</b> OXY broken hit by bed (not leaking), these are obsolete, no spares available for GEM 10 only new GEM shield avail. MR 194650.	GW	4	4	16	None Specified	Advised ward sister that at present, estates are unable to repair, requires full medgas shutdown on entire ward to renew 1st & 2nd fix TU's which are obsolete.	4	4	16	None specified	None specified	None specified	Jody Shepperd	04/07/2023	4	1	4	31/07/2023
75	Plant Room 4B	07/07/2023	<b>Risk/Issue:</b> Chilled water system, Grundfos TPD pumps Twin pump sets 5.5kw - running on a single motor on 2X units - Medical records and Outpatients department + mechanical seal failure on med records uni.	GW	4	4	16	None Specified	Plant room checks, water catchment to maintain some flow to med records area.	4	4	16	Failed pumps on MRC+ OP pump set + replacement pump sets are obsolete, only option are to up size which will need pipework adjustments.	None specified	None specified	Chris Watts	04/07/2023	4	1	4	31/07/2023
77	Autoclaves Pathology Labs	11/07/2023	<b>Risk/Issue:</b> New Autoclave machine @ Pathlabs, steam demand for new one, is too high to run both autoclaves, this is interrupting normal operational service (if both are running during same cycle of demand, both will fail).	GW	5	3	15	None Specified	Can only run one at a time, due to advise from Auxilliam, to ensure autoclave cycles don't fail.	4	4	16	None specified	None specified	None specified	Mark Branch	31/12/2023	4	1	4	31/07/2023
78	Diesel Storage Tanks	11/07/2023	<b>Risk/Issue:</b> All diesel fuel tanks to be NDT tested, fire risk (highly combustible fuel in large volumes) for diesel Generators etc (Ageing tanks also, how old they might be?). Also environmental issues I tanks fail. (Potential All Sites with diesel storage tanks).	GW	5	3	15	None Specified	All tanks are banded (have they been tested,inspected).	4	4	16	None specified	None specified	None specified	Paul George/Jody Shepperd	31/12/2023	4	1	4	31/07/2023
82	Plant Room E7/8	19/07/2023	<b>Risk/Issue:</b> Hot Water Boilers - The secondary boiler has completely failed, the heat exchanger has split and the gas valve non-repairable. The primary boiler has also failed, it has been reported the main display mal function.	GW	5	4	20	None Specified	To put a temporary boiler or uick replacement boiler.	4	4	16	None specified	None specified	None specified	Mark Branch	31/01/2024	4	1	4	31/08/2023
83	staffing	19/07/2023	<b>Risk/Issue:</b> There is a shortage management of M&E Manager Mechanical X1 M&E Manager Electrical X1, Electrical Team Leader X1, Electrical engineer X1. We only have 2 electrical engineers and 1 electrical supporting the Team leader's role until the role is fulfilled. Which is causing limited resources to deliver a service and demands.	GW	4	4	16	None Specified	To seek from UHW in case large issues or any AP assistance. Estates operations Manager will manage on the shop floor.	4	4	16	None specified	None specified	None specified	Mark Branch	31/01/2024	4	1	4	31/08/2023
94	Central Plant room 1st room	04/08/2023	<b>Risk/Issue:</b> 2 Boilers unservicable out of 6 -Possibility of losing heating or hot water, affecting clinics and patient care (leaking flue affected PCB's)	GW	4	5	20	None Specified		4	5	20	Leak diverted / temporary fix until Flu repair has been carried	None specified	None specified		04/08/2023	4	2	8	05/09/2023
99	CHW Phase 1 CWST	23/08/2023	<b>Risk/Issue:</b> Tank 31 is leaking and caused damage to the LATCH area below the plant room. Attempts to seal the leak but with no success, therefore require a replacement CWST.	GW	4	5	20	The CWST has been isolated, drained and taken out of use due to the continuous leaking. Controls have been adjusted to control the system.	The second tank isproviding water into the building.	4	4	16	This is only a temporary measure and a second tank requires replacement.	The second tank in use is of the ssame age and possibility this could leak.	To replace the CWST or both tanks, but could be replaced with smaller capacity tanks.		23/08/2023	4	1	4	23/09/2023

106	Heating & DHW Boilers	01/09/2023	<b>Risk/Issue:</b> Central Plant room 1st Floor - 2 Boilers out of 6 not working - possibility of loss of heating and hot water -clinics could close - cause, leaking boiler flu / roof (Water ingress has damaged Circuit boards)	GW	4	5	20	Leak has been diverted	Contractors contacted to provide quotes	4	5	20	Leak still present	only 4 out of 6 boilers working		Mark Branch		4	1	4	
119	UHL Hot Well	13/01/2022	<b>Risk/Issue:</b> Hotwell Tank is towards end of life expectancy and has been welded on numerous occasions - unable to inspect due to asbestos insulation	GW	5	4	20	Asbestos to remove	When asbestos removed inspection will be possible to ascertain the actual condition	4	4	16	Asbestos removed 13/10/23 Now able to visually inspect / repair	Condition of Hot well tank to monitor	Look at investment to replace	M Branch	01/11/2023	4	1	4	31/01/2024
120	CWST	14/10/2023	<b>Risk/Issue:</b> 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 uregently.	P George	31/12/2023	4	1	4	31/03/2024
123	Sigma BMS control cards	18/10/2023	<b>Risk/Issue:</b> 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), CHFW 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	
124	Main Oxygen VIE Supply	25/10/2023	<b>Risk/Issue:</b> Main piped oxygen from estates VIE tank runs underground, no ducting and a large tree growing directly above the ground/pipework route. Major rosk 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 oxyegn demand for hospital. This concern has also be 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
128	Lift 4 Xray Q7673	06/11/2023	<b>Risk/Issue:</b> Lift at end of Life - Failures with door drive mechanism not forcefull enough to close door due to age/weight of doors, causing door lock faults and out of service issues.	GW	4	4	16	OTIS PPM and call outs	KPI for lifts, does not highlight this issue, issue brought to the fore from Service report visit paperwork - 2 call outs for lift 4, both door issues - recommended full refurbishment of old obsolete equipment	4	4	16				Jody Shepperd	01/01/2024	4	2	8	
129	HYC Flooring	13/11/2023	<b>Risk/Issue:</b> Main shower / toilets (PODs) Bedroom 9/16/14 Willow ward - poly nymyl flooring peeling back, becomes unsealed, causing triphazards (9+16 completed previously using specialist paint)	GW	4	4	16	room 9+16 preciously completed using contractor with specialist paint - Building teams have carried out repairs, but doesn't last	2 rooms coated with specialist paint, UHL building team concerned that now other PODs are becoming affected around entire of HYC	4	4	16				Dave Evans	01/01/2024	4	2	8	
134	Boiler house compres	07/12/2023	<b>Risk/Issue:</b> Bolier house air compressors 1,2+3 at end of working life 10 + years old. No.1 off-line and cannot be re-istated no 2 and 3 are running constantly - both require full overhaul and stated as beyond economical repair. As no.1 is u/s we do not have the capacity to work on either 2 or 3 as we	GW	5	4	20	None provided- all have been deemed uneconomical to repair - no capacity to overhaul no.1, due to demand on 2 & 3.	No assurances can be given, full report to be provided by Control gear	5	3	15	None specified	None specified		James Adams		5	1	5	
136	Obsolecence	11/01/2024	<b>Risk/Issue:</b> : Lift 2 – Control gear / parts obsolescence – Failure of parts of the control system will result this lift remaining out of service, new control system required.	GW	5	3	15	PPM - none specified	Only assurances are PPM and control parts could be salvaged from lift parts, salvaged after upgrades/modernisation	5	3	15	None specified	None specified	Part of modernisation plan	Jody Shepperd	01/04/2024	3	1	3	01/06/2024

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.		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		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	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_153	CAVUHB	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		4	5	20	Escalation to Senior Management Team & SMOC, however attendance would not be guaranteed as this would require additional overtime payments which	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	CAVUHB	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		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	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		
M1		Decc 2019	<b>Risk/Issue:</b> Some of the Ventilation systems and theatre spaces are old and are reaching the end of their useful life. This is resulting in large number of remedial works being required. <b>Impact:</b> Closure of theatres, impact on service delivery.	GW		5	4	20	Verifications at UHW & UHL theatres have identified many issues with ventilation system and environment condition of theatres. Theatre are also not to current HTM guidance for size. Short, medium and long term plans for theatres are being progressed.	Theatres are being maintained to ensure continuity of service. Plans are in place to upgrade theatres in line with HTMs on a priority basis	5	3	15	Theatres are not to current HTMs for size.	Maintenance of older plant is getting more and more difficult as parts are difficult to source	continue with plans	D C team	ongoing		5	1	5
M19		Dec-19	<b>Risk/Issue:</b> Ventilation verification of critical systems has identified UHW Dental Theatres & recovery does not comply with HTM's for ventilation. Airflow is low in 2 dental theatres fed by the same plant <b>Impact:</b> Not compliant	GW	5	4	20	Regular maintenance being carried out	Theatres cannot be used in current condition short term plan being executed to provide 1 compliant theatre	5	3	15	Not compliant with HTM		New AHU required to feed theatres only.				5	1	5	
M29		Jun-21	<b>Risk/Issue:</b> Ventilation verification of critical systems has identified UHW ITU A3N does not comply with HTM's for ventilation. <b>Impact:</b> None compliant	GW	5	4	20	Maintenance intermittent due to access issues AHU with ward WASTE room Fancoils in ward are not accesable unless ward emptied but do not comply anyway	System has never complied with HTM'S	5	4	20	System isnt suitable and correct maintenance is restricted	Current HTM not being adhered to	Acute Site Master Planning schemes are looking to resolve most of the issues around HTM in particular the ventilation. This is however a medium term plan and requires significant funding. C3 South & C3 North are currently going through design stage.	DC Team			5	1	5	
M30		Jun-21	<b>Risk/Issue:</b> Ventilation verification of critical systems has identified UHW ITU B3N North does not comply with HTM's for ventilation. <b>Impact:</b> Not compliant Risk; loss of critical services that will effect patients	GW	5	4	20	Maintenance intermittent due to access issues AHU with ward	System has never complied with HTM'S	5	4	20	System isnt suitable and correct maintenance is restricted	Current HTM not being adhered to	Look at improving the sytem to comply with current HTMs	DC Team			5	1	5	

M31		Jun-21	<b>Risk/Issue:</b> Ventilation verification of critical systems has identified UHW Cardiac ITU C3 Link does not comply with HTM's for ventilation. <b>Impact:</b> 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	Curent HTM not being adhered to	Look at improving the sytem to comply with current HTMs	DC Team		5	1	5
M32		Apr-22	<b>Risk/Issue:</b> Main walk in Drugs fridge in UHW Pharmacy stores LGF, is old and requires renewing due to being unreliable and parts difficult to obtain. <b>Impact:</b> Loss of refrigerated drugs causing interruption to service	GW	4	4	16	Regular maintenance being carried out	Fridge is maintained on a regular basis however breakdowns have occurred outside of the service window.	4	4	16	due to age failure is likely	Parts are currently long lead in time if system was to fail	Renewal of Fridge and componenets with run and standby equipment required	DC Team		5	1	5
M33		Apr-22	<b>Risk/Issue:</b> SPS walk in Drugs fridge in UHW Pharmacy stores GF is old and requires renewing due to being unreliable and parts difficult to obtain. <b>Impact:</b> Loss of refrigerated drugs causing interruption to service	GW	4	4	16	Regular maintenance being carried out	Fridge is maintained on a regular basis however breakdowns have occurred outside of the service window.	4	4	16	due to age failure is likely	Parts are currently long lead in time if system was to fail	Renewal of Fridge and componenets with run and standby equipment required	DC Team		5	1	5
M36			<b>Risk/Issue:</b> UHW & UHL Medical Gas Pressure reducing sets out of manufacturers recommended operational service dates <b>Impact:</b> Equipment Failure leading to Loss of Service and Interruption of supply impacting on patients		5	5	25	Regular maintenance being carried out	UHW would suffer from Equipment Failure due to high pressures	5	4	20			UHL set has been replaced, There are approximatley 15 sets at UHW. Funding has been approved and they are o be completed this financial year before end of March.			5	1	5
M37			<b>Risk/Issue:</b> Medical Gas PPM at all sites has identified that there are no "low line Pressure" alarms and warning lamps as per the requirments of HTM. <b>Impact:</b> Equipment Failure leading to Loss of Service and Interruption of supply impacting on critical procedures patient safety		5	5	25	Regular maintenance being carried out		5	3	15	Systems are currently being maintained but they need upgrading	Non compliant with HTM	prepare plans to install alarm panels and warning lights, critical areas first i.e theatres, ITU etc to comply with HTM's	DC Team		5	1	5
M38		Dec-19	<b>Risk/Issue:</b> Ventilation AHU serving HDU AT UHL does not comply to HTM's. There are major issues with it's Air Handling Unit and recommends replacement. <b>Impact:</b> Potential AHU failure leading to loss of service.	GW	5	4	20	Regular maintenance being carried out to maintain the systems as is	Systems are statutory tested and inspected annually	5	3	15	replacement of AHU required	statutory inspections records are kept on a spread sheet and need to be trasferred to a data base	prepare plans to renew the AUH.	DC Team		5	1	5
M45			<b>Risk/Issue:</b> Medical Gas Pendant hoses 5 yearly replacements have never been completed.		5	4	20	Regular maintenance being carried out but hoses not inspected	PPM inspections are carried out 3 monthly	5	3	15	Systems are currently being maintained but hoses have never been inspected or changed	Non compliant with HTM	Carry ouy survey of pendant hoses and action report	DC Team		5	1	5

M46		Oct-23	<b>Risk/Issue:</b> Ventilation verification of critical systems has identified a non compliant plant and airflow serving main recovery at UHW <b>Impact:</b> 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			3	1	3		
M49		Oct-23	<b>Risk/Issue:</b> 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. <b>Impact:</b> 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			3	1	3	
M52			<b>Risk/Issue:</b> Animal House Bsu Boiler No1 & No2 would loose heating supply <b>Impact:</b> Potential loss of heating in area		4	4	16	Regular maintenance being carried out to maintain the systems as is	Systems are statutory tested and inspected annually	4	4	16	replacement of boilerS 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
M53			<b>Risk/Issue:</b> Barry hospital boiler No2 is in very poor condition heating issues <b>Impact:</b> Potential loss of heating in area		4	4	16	Regular maintenance being carried out to maintain the systems as is	Systems are statutory tested and inspected annually	4	4	16	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
M55			<b>Risk/Issue:</b> Broad Street Clinic boiler no 1 is in very poor condition supply <b>Impact:</b> Potential loss of heating in area		4	4	16	Regular maintenance being carried out to maintain the systems as is	Systems are statutory tested and inspected annually	4	4	16	replacement of boilers 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
M56			<b>Risk/Issue:</b> Llan Rumney Clinic boiler no1 would is in very poor condition <b>Impact:</b> Potential loss of heating in area		4	4	16	Regular maintenance being carried out to maintain the systems as is	Systems are statutory tested and inspected annually	4	4	16	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
M57			<b>Risk/Issue:</b> HSDU RO PLANT failing on a regular basis some parts are obsolete <b>Impact:</b> Potential loss of RO water		4	4	16	Regular maintenance being carried out to maintain the systems as is	Systems are statutory tested and inspected annually	4	4	16	Replacement of RO plant	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

M58		Oct-23	<p><b>Risk/Issue:</b> Gas main to dental hospital, unable to re-instate following pipe failure to main supply due to out of date fittings which would not pass gas safe regulations.  <b>Impact:</b> No gas supply available to dental, restriction in capacity to deliver service.</p>	GW	3	5	15	Local bottle bunsen burners being used		3	5	15	New gas main required		Design and install new gas main	DC Team	01-May-24	3	1	3
M60			<p><b>Risk/Issue:</b> UHL Cavoc theatres - mechanical Infrastructure failing, including the chiller, AHU, AHU supply and extract air ducting and multiple pipe work system.  <b>Impact:</b> Potential loss of use for all Cavoc theatres</p>		4	4	16	Regular maintenance being carried out to maintain the systems as is	Systems are statutory tested and inspected annually	4	4	16	Multiple replacements required	statutory inspections records are kept on a data base	prepare plans to renew	DC Team		3	1	3
M61			<p><b>Risk/Issue:</b> Hamadryad Centre boiler no1 &amp; 2 in very poor condition Fan dilution system inadequate  <b>Impact:</b> Potential loss of heating in area</p>		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
M64			<p><b>Risk/Issue:</b> UHW Tunnels corroded 6" CHW flow &amp; Return Pipework to hospital cooling systems (Theatres, Animal House, ICU).  <b>Impact:</b> Equipment Failure leading to Loss of Service and Interruption of air supply impacting on patients</p>		4	4	16	Maintenance not carried out to pipework	Pipework not inspected full survey is required to ascertain extent of corrosion	4	4	16	Replace Pipework	System needs replacing	Prepare Plans to replace	DC Team		5	1	5
M65			<p><b>Risk/Issue:</b> UHW Chlorine Dioxide water dosing system needs replacing due to parts and service of current system expensive and locked into one supplier equipment to repair is not easily obtainable  <b>Impact:</b> Equipment Failure leading to loss of chlorine</p>		4	4	16	Maintenance not carried out to pipework		4	4	16	Replace System	Service is records are kept via estates	Prepare Plans to replace system	DC Team		5	1	5
M66			<p><b>Risk/Issue:</b> Ro Water system no longer supported by Manufacturer from 2027 in the Dave thomas renal unit fed from lgf RO plantroom parts will become obsolete  <b>Impact: Loss of RO equipment impacting Patient care</b></p>		4	4	16	Regular maintenance being carried out to maintain the systems as is	Systems are statutory tested and inspected annually	4	4	16	Replacement of RO plant	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
M67			<p><b>Risk/Issue:</b> Ro Water system no longer supported by Manufacturer from 2027 in the B5 ward Dialysis unit fed from lgf RO plantroom parts will become obsolete  <b>Impact: Loss of RO equipment impacting Patient care</b></p>		4	4	16	Regular maintenance being carried out to maintain the systems as is	Systems are statutory tested and inspected annually	4	4	16	Replacement of RO plant	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

M68			Risk/Issue: Ro Water system no longer supported by Manufacturer from 2027 in the CHFV renal unit parts will become obsolete <b>Impact: Loss of RO equipment impacting Patient care</b>	4	4	16	Regular maintenance being carried out to maintain the systems as is	Systems are statutory tested and inspected annually	4	4	16	Replacement of RO plant	statutory inspections records are kept on a spreadsheet and need to be transferred to a database	prepare plans to renew the boilers	DC Team		3	1	3	
143	COMMUNITY-CRI	16/04/2024	CRI main plantroom. Early indications are its leaking through the double skinned flue. The leak is coming back onto the boilers and causing considerable damage and corrosion to the boilers resulting in expensive repairs and a safety concern. We are awaiting	4	5	20	none specified	We have tried to minimise the damage to the boilers by putting a temporary system in place to catch the water. The x2 back up boilers are currently awaiting repairs with Equans, but the boilers have considerable damage. The long term solution is	4	5	20	None specified	None specified		Tom Gerrett		4	1	4	11/04/2025 - Score amended and increased to 20, with Capital checking. (IR & CR change)
Estates_162	UHW	01/05/2025	Risk/Issue:Roof Lifeline/Mansafe covered & Obstructed by AHU. This means the lifeline is unusable in its current state and as parts of the lifeline are under the AHU, it cannot be certified for use under LOLER. As box section cover line, persons are unable to clip 2 clip	4	5	20	<b>NONE – Restrict / No Access, lifeline cannot be used</b>		4	5	20	None specified		Funding required,	J Shepperd		4	1	4	
Estates_163	UHW	01/05/2025	Risk/Issue:Roof Parapet wall not to regulation height (<1.1M) – possible fall from height. Lifeline/Mansafe access covered & Obstructed by Air Con units. This means the lifeline is not safely accessible in its current state (to clip on lifeline, you	4	5	20	<b>Restrict access</b>		4	5	20	None specified		Funding required,	J Shepperd		4	1	4	
Estates_167	UHL	12/06/2025	Risk/Issue:The MRC plant room was upgraded around 20 years ago with second hand equipment after the plant room had its first asbestos strip out. plant is standalone, providing heating, hot water, feeding the whole of the MRC. High risk of failure. Whole plant room needs total full refurbishment of plant infrastructure. Heating calorifier and access limited. Single calorifier unlagged and uneconomical.	5	4	20	We continue to monitor on a weekly basis and look to repair minor repairs when required. We have diverted the current leak from the calorifier.	In an event of total plant failure, we can put in electric under sink/ over sink water heaters. For temporary heating, plan is to provide limited electric oil filled radiators.	4	4	16	High risk of failure of large plant and to provide heating and hot water to the service users.		Due to the size of the works required and financial risk cost, this needs to be passed for Capital intervention to replace whole plant infrastructure. This should be looked at before and review the winter season.	Mark Branch		4	1	4	
Estates_168	UHL	23/06/2025	Risk/Issue:Due to the ongoing issues to control Legionella bacteria positive water sample results, the requirement for a different system that will provide adequate control and eradication of legionella risk in the water system.	5	4	20	Currently we have Chlorine Dioxide dosing into the cold water system and manual flushing by estates and clinical staff. Maintenance program in place to strip and clean TMVs and filters. Ongoing routine water sampling and remedial	Reasonable assurance with the work carried out to fight the legionella bacteria, but due to the age of the system, modifications to clinical areas has made the system to control difficult	5	4	20	Reliance of clinical staff carrying out manual flushing as per the C&V water safety plan and procedures. Plus lack of control and estates being informed of vacant areas.	The water system has had booster pumps added and old pipework system inadequate for effective flow around the hospital and specific areas.	To upgrade the chemical control system to help combat and eradicate potential legionella bacterial growth and risk to patients and invest and review new advanced technology; E.G. a new system cold Copper-Silver Ionisation which is proven or Chloric acid system.	Paul George		4	2	8	
Estates_169	UHW	24/06/2025	Risk/Issue:Currently we have no Chlorine Dioxide dosing into the cold water system. Maintenance program in place to strip and clean TMVs and filters. Ongoing routine water sampling and remedial works to disinfect the outlet. Temperature control on hot water system distribution.	5	4	20	Currently we have no Chlorine Dioxide dosing into the cold water system. Maintenance program in place to strip and clean TMVs and filters. Ongoing routine water sampling and remedial works to disinfect the	None due to the system not operational and dosing.	5	4	20	Reliance of clinical staff carrying out manual flushing as per the C&V water safety plan and procedures.	Without dosing into the cold water system unable to provide assurance on the cold water system.	To upgrade the chemical control system to help combat and eradicate potential legionella bacterial growth and risk to patients and invest and review new advanced technology; E.G. a new system cold Copper-Silver Ionisation which is proven or Chloric acid system.	Paul George		4	2	8	

E18			Risk/issue: UHW LGF switch room 4 suffers from water ingress and damp, due to the humidity within the room the electrical switch gear is suffering corrosion and the standing water , dripping off leaking valves is an electrocution risk to operatives	5	5	25	Estates are aware of the issues	Discretionary Capital will look at the cause and rectify , and add suitable drainage, switch gear replacement.	5	4	20	Redesign of the mechanical services and electrical infrastructure required to improve reliability and resilience	none		Senior Electrical engineer	08-Dec-26	5	1	5	
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**Compliance Mechanical**

S6			<b>Issue: Gas Safety.</b> Insufficient asset identification and lack of regular inspections and / or maintenance resulting in defects leading to temporary or permanent failure.  <b>Risk/Potential Impact:</b> Potential for loss of service. Disruption to patient care. Danger due to explosion	5	5	25	All known assets are currently on long term contract arrangement with a single supplier for all UHB sites. The inspections are carried out every twelve months.	5 year contract in place. Started July 22 till July 27	5	3	15	Electronic system to run the statutory inspections would be very difficult due to the differing inspections across all disciplines.	One system can not fit all inspections as different companies use different specific programmes that suit their requirements	Current electronic system captures all inspection sheets as a pdf. This does prove challenging to keep up to date however it does allow storage in one place and accessibility for different depts. Target to achieve >95% compliance at any one time is continually monitored each month.	Tony Ward / Richard Sheppard	01-Jun-25	5	1	5	Monthly
S8			<b>Issue: Legionella Inspections.</b> Insufficient asset identification and lack of regular inspections and / or maintenance resulting in defects leading to temporary or permanent failure.  <b>Risk/Potential Impact:</b> Potential for loss of service. Disruption to patient care. Risk of contracting Legionnaires disease	5	4	20	All known assets are currently on long term contract arrangement with a single supplier for all UHB sites. The inspections within this contract include TMV's, temperature monitoring, calorifiers, showers, tanks. Expectations within this contract are different frequencies dependant on the inspection named above.	5 year contract in place. Started 1st November 2018. 3 + 1 + 1 year contract end date 1st November 2023. Contract is has been extend by 1 year whilst new tender goes through procurement.	5	3	15	Electronic system to run the statutory inspections would be very difficult due to the differing inspections across all disciplines.	One system can not fit all inspections as different companies use different specific programmes that suit their requirements	Current electronic system captures all inspection sheets as a pdf. This does prove challenging to keep up to date however it does allow storage in one place and accessibility for different depts. Target to achieve >95% compliance at any one time is continually monitored each month.	Tony Ward / Richard Sheppard	01-Aug-25	5	1	5	Monthly
S12A			<b>Issue: Fume Cabinets.</b> Insufficient asset identification and lack of regular inspections and / or maintenance resulting in defects leading to temporary or permanent failure.  <b>Risk/Potential Impact:</b> Potential for loss of service. Disruption to Estates service. Danger from dust and/or fume inhalation.	4	4	16	These assets are owned by end users. We are unsure of all known assets.	No records currently collated centrally. Unsure if all be regular inspected.	4	4	16	Assets need to be collated, records recorded and kept in one location. This information has been requested on several occasions at the Ventilation Safety Group (VSG).	Records of inspections are not kept centrally for HB.	Clinical Boards are requested to present asset list to VSG. Records would then need to be collated and a copy kept centrally. Regular updates will be required going forward.	Clinical Boards	Jun-25	4	1	4	Monthly
S19			<b>Issue: Ventilation Smoke/Fire Dampers.</b> Insufficient asset identification and lack of regular inspections and / or maintenance resulting in defects leading to temporary or permanent failure.  <b>Risk/Potential Impact:</b> Potential for loss of service. Disruption to patient care. Danger of fire spread.	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-25	5	3	15	Monthly

19A			<p><b>Issue: Ventilation Smoke/Fire Dampers. DENTAL HOSPITAL UHW</b> Regular inspection and / or maintenance is not possible as fire / smoke dampers are housed in ceiling void which is contaminated with Asbestos.</p> <p><b>Risk/Potential Impact:</b> 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.		01-Aug-26	5 3 15	
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**Compliance Electrical**

S27			<p><b>Issue: High Voltage.</b> Insufficient asset identification and lack of regular inspections and / or maintenance resulting in defects leading to temporary or permanent failure.</p> <p><b>Risk/Potential Impact:</b> Potential for loss of service. Disruption to patient care. Critical service disruption.</p>	5 5 25	All known assets are currently on long term contract arrangement with a single supplier for all UHB sites. The inspections are carried out at varying intervals.	4 year contract in place. Started Dec 22 till Dec 26	5 3 15	Electronic system to run the statutory inspections would be very difficult due to the differing inspections across all disciplines.	One system can not fit all inspections as different companies use different specific programmes that suit their requirements	Current electronic system captures all inspection sheets as a pdf. This does prove challenging to keep up to date however it does allow storage in one place and accessibility for different depts. Target to achieve >95% compliance at any one time is continually monitored each month.	Tony Ward / Gavin Evans / Steve Hill	01-Jun-25	5 1 5	Monthly
S30			<p><b>Issue: Lightning Conductors.</b> Insufficient asset identification and lack of regular inspections and / or maintenance resulting in defects leading to temporary or permanent failure.</p> <p><b>Risk/Potential Impact:</b> Potential structural damage. Potential danger to Patients, Public &amp; Staff.</p>	4 4 16	Some Lightning protection systems are on contract and been serviced within last 1 years.	Approx 35% of the lightning conductors are on a rolling 1 year contract.	4 4 16	All assets are not known. Long term contract to be put in place to cover all assets on a regular maintenance programme.	Currently looking to procure a company to risk assess all properties to provide definitive asset list. Contract in place for potentially 35% (not fully known until survey complete) of UHB properties.	Collation of assets, production of specification and tendering to appoint a suitable contractor. Final target to achieve >95% compliance at any one time.	Tony Ward / Gavin Evans / Steve Hill	01-Jan-25	4 1 4	Monthly
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**Compliance Fire**

S34			<p><b>Issue: Fire Compartmentation.</b> Insufficient asset identification and lack of regular inspections and / or maintenance resulting in defects leading to temporary or permanent failure.</p> <p><b>Risk/Potential Impact:</b> Potential for loss of service. Disruption to patient care. Danger of fire spread.</p>	5 4 20	All known assets are currently on long term contract arrangement with a single supplier for all UHB sites. The inspections are carried out at varying intervals.	Out of contract, currently out to tender	5 3 15	Systematically identify areas with poor compartmentation. This has been put into a priority list which is currently being worked through. This means areas lower down on list create a risk.	Assurance cannot be given until all areas have been completed. This will take several years.	Continue assessing priorities and work through back log list.	Tony Ward / Rod Faulkner	01-Jun-25	5 2 10	Monthly
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**Compliance Other**

None														0
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**Critical Risk Project**

2		06/11/2023	<p><b>Issue: High voltage load shedding equipment</b></p> <p><b>Risk/Potential Impact :</b></p> <ul style="list-style-type: none"> <li>•The system relies on external data from the building management system which is now old and newer systems available</li> <li>•The system age is now not compatible with latest BMS installed</li> <li>•Failure of the system could result in no power being distributed to site.</li> <li>•Failure could result in overload of generator and no power available</li> <li>•External parts could fail and not work correctly causing loss of power</li> <li>•There is only one system no N+1</li> <li>•No simple override system</li> <li>•Only know it's working when required to do so</li> <li>•Only Authorised people high voltage (APs) able to remedy</li> </ul>	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			<ul style="list-style-type: none"> <li>•Upgrade existing system and associated equipment to latest standard</li> <li>•Consideration of installation of backup system N+1 to allow maintenance and resilience in event of failure</li> <li>•Look at simple override function (remote switching)</li> <li>•Possibly move away from BMS control and move to independent system</li> </ul>			5 1 5	
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3		20/11/2023	<p><b>Issue: MEDICAL AIR 4 BAR Manifold Room</b></p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>•Loss of medical air to wards and departments</li> <li>•Valves are old and unknown whether isolate and function correctly to isolate.</li> <li>•Valves have no test points for pharmacy testing</li> <li>•Unable to change some critical safety valves as not duplex (major disruption to do so)</li> <li>•Pressure regulators obsolete and unable to repair or replace due to space constraints</li> <li>•Complex system as added to previously making difficult to operate safely</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>•Maintenance contract in place with specialist contractor for maintenance and emergency break downs.</li> </ul>	4	4	16		<ul style="list-style-type: none"> <li>•Revamp, redesign and install all new equipment to latest standards simplifying the complex installation.</li> <li>•Alternatively replace valves, safety valves and regulators to each section in a phased approach</li> </ul>	5	1	5
7		22/11/2023	<p><b>Issue: 2 Pumped cold water mains to roof tanks</b></p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>•Failure of pipework (resilience)</li> <li>•Unable to supply cold water to roof tanks</li> <li>•Age of original pipe and number of repairs</li> <li>•+1 pipe is now approximately 20 years old</li> <li>•Both pipes converge into one riser (single point failure)</li> <li>•Disruption to site when failure occurs</li> <li>•Treated water (chlorine dioxide) not supplied in event of total failure</li> <li>•Labour intensive to resolve</li> </ul>	5	4	20	<ul style="list-style-type: none"> <li>•N+1 installed one can supply the site</li> <li>•Contractors usually effect repair within 2 days</li> <li>•Pipes separated for most of run minimizing accidental damage, or subsidence.</li> <li>•+1 installed within 20 years</li> <li>•Alternative supply available in LGF (untreated)</li> </ul>	5	4	20		<ul style="list-style-type: none"> <li>•Plan to replace original pipe with modern materials and jointing techniques.</li> <li>•Look at secondary riser either full bore or emergency capacity.</li> <li>•Look at life cycle of +1 and plan replacement</li> </ul>	4	1	4
8		22/11/2023	<p><b>Issue: Estates VIE (oxygen) distribution pipe</b></p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>•Loss of oxygen to the hospital and patient care</li> <li>•The copper pipes leave the VIE and enter a soft finished grass area. They are not ducted so the condition is not known.</li> <li>•There is a tree in close proximity to pipework unknown damage to pipe work</li> <li>•Time to resolve should a problem occur</li> <li>•Only key personnel able to work on systems</li> <li>•Audit failure of non-compliance</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>•2 pipes on different runs to supply site</li> <li>•Secondary VIE at children's hospital to back feed</li> <li>•Order raised to make completed ring main and automatic operation in event of failure</li> <li>•Specialist contractors engaged with doing maintenance</li> </ul>	4	4	16		<ul style="list-style-type: none"> <li>•Run ducts and reroute pipework to ensure robustness and meets the current requirements.</li> <li>•Investigate pipe work condition and assess</li> <li>•Reroute pipework to separate sufficiently</li> </ul>	3	1	3
10		14/12/2023	<p><b>Issue: Towns water main feeding UHW</b></p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>•Loss of water to site and areas directly fed from main</li> <li>•Water main original old and cast iron</li> <li>•Town main alone has pressure issues to feed site without backup of fire main</li> <li>•Some areas use town main as not treated water (Chlorine dioxide)</li> <li>•Condition unknown</li> <li>•Some areas and joints may contain asbestos materials</li> <li>•Site disruption wen failure occurs</li> <li>•Potential dead legs (legionella risk)</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>•Secondary fire main can feed the tanks</li> <li>•Welsh water support and feed the site at critical points</li> <li>•Several contractors able to repair ground works usually within 48hrs</li> </ul>	4	4	16		<ul style="list-style-type: none"> <li>•consider replacement due to age</li> <li>•look at duplex feeds (N+1)</li> <li>•change essential valve arrangements</li> <li>•review drawings and update</li> <li>•risk assess</li> </ul>	4	3	12

15		01/12/2023	<p><b>Issue: Blowdown vessel of main steam boilers</b></p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>Operational difficulty in controlling quality of boiler water</li> <li>Failure to meet pressure vessel regulations (subject to defect notice)</li> <li>Contravention for water discharge permit by Welsh water</li> <li>Scalding risk</li> <li>Isolation vales showing signs of wear</li> <li>Age of vessel beyond working life</li> </ul>	5 4 20	<ul style="list-style-type: none"> <li>Discharge water pipe repaired and replaced by estates recently to prevent boiling water being exhausted through vent (actual event)</li> <li>Approved people in boiler house and trained</li> <li>Daily checks carried out</li> </ul>	5 4 20		<ul style="list-style-type: none"> <li>Suggest new vessel and associated valves replaced</li> <li>Repair existing vessel and controls to comply</li> <li>Improve PPMS and reporting procedures</li> <li>Carry out remedial maintenance works</li> </ul>		4 1 4	
16		14/12/2023	<p><b>Issue: LTHW main domestic hot water plate heat exchanger and controls/pumps</b></p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>Failure of the plate would result in low temperature domestic hot water being produced for the hospital. (increased legionella risk) NEEDS TO BE &gt;600C</li> <li>Essential as load leveler currently at 50% due for upgrade ASAP</li> <li>Single point of failure (not a duplex system)</li> <li>Multiple parts to go wrong or fail</li> <li>Age of equipment beyond working life</li> <li>Lack of knowledge of workings</li> <li>Alarms not sufficient failed recently staff unawre</li> </ul>	4 4 16	<ul style="list-style-type: none"> <li>Several parts on system are duplex (some resilience)</li> <li>Load levelers when 100% take the load</li> <li>Specialist contractors available to repair</li> <li>Has been reliable</li> </ul>	4 4 16		<ul style="list-style-type: none"> <li>Consider full upgrade</li> <li>Install n+1</li> <li>Carry essential repairs</li> <li>Overhaul existing plant and equipment</li> <li>Upgrade controls and peripheral equipment</li> <li>Take out contract on plate maintenance</li> <li>Implement ppm system on checking operation</li> <li>Check alarm system and upgrade</li> </ul>		4 1 4	
21		14/12/2023	<p><b>Issue: Natural gas main supplying main boiler house</b></p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>Loss of gas supply by gas supplier whether intention Planned) or accidental (unexpected). No steam generated for heating and hot water.</li> <li>Failure on site of mains pipe, mechanical or damage, loss of supply as above.</li> <li>Financial impact due to failure</li> </ul>	4 4 16	<ul style="list-style-type: none"> <li>Fuel oil back up to run boiler house requires intervention by staff and or contractors.</li> <li>Same for internal as external run-on fuel oil</li> </ul>	4 4 16		<ul style="list-style-type: none"> <li>Conduct integrity test of pipe work and carry out any remedials from test</li> <li>Clean and paint and protect exposed pipework prevent further rusting and corrosion</li> <li>Mechanically protect exposed pipework to reduce possible damage by vehicles in area.</li> </ul>		4 1 4	
25		13/12/2023	<p><b>Issue: Steam raising boilers 1 and 3</b></p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>Boilers 1 and 3 have failed (age of boilers not supported) numerous over the last several months resulting in steam loss and disruption to the hospital, hot water temperature reduced, heating affected, sterilization on stop.</li> <li>Parts are obsolete and repairs have become harder to instigate and effect reliability.</li> <li>Main suppliers wont support due to age of boilers</li> <li>Cost of extended maintenance and time spent hire etc.</li> <li>Next failure could result in several critical parts being non repairable.</li> <li>Lack of expertise or contractors to be able to assist reliant on one company</li> <li>Critical spares unavailable</li> </ul>	5 4 20	<ul style="list-style-type: none"> <li>Boiler 2 upgraded for new boiler due on-line December 2023</li> <li>Temporary boiler connected as insurance back up</li> <li>Local company sourcing spare parts</li> <li>Welsh government case for money and upgrades and replacement early 2024</li> <li>Regular checks and maintenance carried out</li> </ul>	5 3 15		<ul style="list-style-type: none"> <li>Boiler 2 due on line completely new installation</li> <li>Replacement upgrade of boiler 1 and 3</li> <li>Source spare parts in interim</li> </ul>		4 2 8	

27		01/12/2024	<p>Issue: 4 Steam to LTHW plate heat exchangers for primary heating circuit</p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>•Failure of all plate heat exchangers would result in no heating through hospital.</li> <li>•Pump failure on plates has occurred and they are now obsolete and repairs to old pumps take time to return as well as cost.</li> <li>•Controls have failed on one exchanger no drawings as part of old boiler house set up run by others (resilience lost by one set down)</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>•Unlikely that all 4 plates would fail simultaneously mechanically as they have been replaced within last 5 years.</li> <li>•4 pump sets unlikely all fail same time can still repair currently old sets</li> <li>•Upgrade one set and keep other as spare</li> <li>•Increase maintenance checks and preventative maintenance</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>•Upgrade all pump sets to latest standard</li> <li>•Rewire failed control circuit to get resilience back</li> <li>•Consider total upgrade of BMS controls for longevity and migrate all essential plant on to new system.</li> <li>•Increase maintenance checks and preventative maintenance</li> </ul>	4	2	8
28		01/12/2024	<p>Issue: 11kv main distribution board for UHW site network</p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>•There are no additional spare circuits for any further expansion. Any additional substations are added to existing circuits adding to their criticality and reliance.</li> <li>•Fault with board causing loss of power to hospital</li> <li>•Breakers are SF6 (Sulphur hexafluoride) ozone depleting gas.</li> <li>•Unsure of replacement parts due to age and Gas type</li> <li>•Only Authorised people able to switch equipment</li> <li>•All the electrical intake equipment is in one location, feeding the whole of hospital, risk to loss from fire would mean total loss.</li> </ul>	5	4	20	<ul style="list-style-type: none"> <li>•Any new developments added to existing ring will require low voltage stand by generation to take load.</li> <li>•Able to split board and feed from other half of board</li> <li>•Regular checks for leaks</li> <li>•Contract with specialist contractors for maintenance</li> <li>•Trained staff and competent staff on call 24/7</li> <li>•Full alarm system and regular maintenance</li> </ul>	5	4	20	<ul style="list-style-type: none"> <li>•Undertake independent review and seek advice off Authorizing Engineer on level of Risk</li> <li>•Consider sourcing spares</li> <li>•Review upgrade options</li> <li>•Look at extension of existing board</li> <li>•Look at having back up emergency arrangements away from existing building.</li> </ul>	5	1	5
29		01/12/2024	<p>Issue: Control valves, monitoring and controls and fittings and boiler ancillary parts and lagging</p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>•Loss of steam to main boiler house or reduced capacity affecting heating, hot water sterilization and ventilation.</li> <li>•Loss of controls could impact and result in unplanned shutdowns.</li> <li>•Parts unavailable or not compatible resulting in loss of steam production.</li> <li>•Possible HSE intervention through insurance inspections.</li> <li>•Higher financial running costs due to poor efficiency.</li> <li>•Unsafe practices leading to accidents.</li> <li>•Reliability issues due to unexpected failure.</li> <li>•Length of time for repairs could be extended.</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>•Annual insurance inspection to check safety operation and critical devices.</li> <li>•Number of boilers available to meet demand.</li> <li>•More frequent checks on water quality by DEL</li> <li>•Specialist contractors available to assist when called upon.</li> <li>•No mitigation for economizers or lagging</li> <li>•Putting DEL staff through recognized BOAS training</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>•Upgrade critical failed parts</li> <li>•Completely overhaul each boiler controls, valves etc. to modern standard.</li> <li>•Ensure DEL staff competent through BOAS training.</li> <li>•Invest in economizers and new lagging</li> <li>•Undertake full review independently of boilers and any further recommendations.</li> <li>•Consider having tap in valves for external boilers.</li> </ul>	1	4	4
31		01/12/2024	<p>Issue: High and low voltage power supplying CFPU from DSS5</p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>•Loss of power due to fault on internal HV network services.</li> <li>•Loss of power due to external fault on hospital supply (no power at CFPU or other buildings) food production and storage on stop.</li> <li>•Unable to do high voltage maintenance without turning power off.</li> <li>•Low voltage panel issues loss of power single point of failure.</li> <li>•Equipment getting older</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>•HV supply to be switched from both sides of ring</li> <li>•No mitigation against external power loss</li> <li>•Various contractors and staff available to respond to issues</li> </ul>	4	4	16	<ul style="list-style-type: none"> <li>•Consider generator to cover whole of DSS5.</li> <li>•Consider local generator for lakeside CFPU food production only (cost based).</li> <li>•Consider low voltage connections for external generator in an emergency.</li> <li>•Consider alternative power on high voltage on external ring</li> <li>•Consider smaller generators for fridges and freezers</li> <li>•Consider low voltage secondary feed to LV panel</li> </ul>	1	4	4

38		01/12/2024	<p><b>Issue:</b> Main steam header and valves</p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>•The steam header is of an age and condition not checked and unknown thickness.</li> <li>•probably asbestos joints on some of the flanges/pipework (not confirmed) hindering repairs.</li> <li>•Valves are of a single isolation type and not now the double block and bleed type. Major shutdowns now require in most cases a major shutdown of steam to the hospital.</li> <li>•Existing valves not seating and holding, unable to maintain due to criticality of shutting off steam.</li> </ul>	5 5 25	<ul style="list-style-type: none"> <li>•Contractors and DEL staff available to conduct repairs as required</li> </ul>	5 4 20		<ul style="list-style-type: none"> <li>•Look at changing the valves to double block and bleed</li> <li>•Consider new steam header replacement with all new and redesign for better resilience.</li> <li>•Introduce summer shutdown maintenance swap out valves and reset and pack existing valves</li> <li>•Review asbestos data and consider strip out</li> </ul>		3 4 12	
41		01/12/2024	<p><b>Issue:</b> 11kv High Voltage intake distribution board</p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>•Both Llandough feeder (normal)and primary both supply on the same bus section and are controlled by WPD. In the event of an issue with busbar it would all be shut off. Leaving no mains power to Uhl.</li> <li>•Every time WPD do maintenance on their side of the board UHL has to run on generator.</li> <li>•2 radials can only be connected at LV point no HV Interconnection</li> <li>•All of hospital on one side of outgoing busbar any faults would take out site</li> </ul>	3 5 15	<ul style="list-style-type: none"> <li>•WPD do regular maintenance but unable to mitigate against failure on incoming side of busbar.</li> <li>•No mitigation against outgoing busbar</li> </ul>	3 5 15		<ul style="list-style-type: none"> <li>•Review installation and upgrade to reduce single points of failure.</li> </ul>		5 2 10	
42		01/12/2024	<p><b>Issue:</b> Plate heat exchanger for domestic hot water</p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>•2 independent plate heat exchangers are installed to serve the hospital with domestic hot water. One has failed and the existing plate heat exchanger cannot maintain the temperature at the set point.</li> <li>•Maintenance compromised if one plate heat exchanger cannot maintain the temperature set at 60 Celsius.</li> <li>•Increased risk of legionella</li> <li>•If last plate fails no hot water generation available.</li> </ul>	5 4 20	<ul style="list-style-type: none"> <li>•Chlorine dioxide is a secondary method of controlling legionella and cold feed is treated before being circulated as generated hot water.</li> </ul>	5 3 15		<ul style="list-style-type: none"> <li>•Repair existing plate heat exchanger.</li> <li>•Consider adding a 3rd plate for resilience.</li> <li>•Ensure buffer vessel is installed to remove any peak demand issues.</li> </ul>		2 5 10	
43		01/12/2024	<p><b>Issue:</b> Hydro plant controls, dosing and heating</p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>•Pool out of use and patients unable to have treatment as per their recovery plans.</li> <li>•Calorifier is old and single point of failure and not efficient reliance on steam and condensate systems.</li> <li>•Pipework is old and failed lagging deteriorated</li> <li>•Lack of ventilation due to poor lagging excessive heat</li> <li>•Some of controls old and problematic</li> <li>•No back up to critical components</li> <li>•Pool out of action for maintenance and insurance inspections annually</li> </ul>	5 3 15	<ul style="list-style-type: none"> <li>•Daily pool checks for early intervention of faults</li> <li>•Maintenance contract in place</li> <li>•Contractors available for repairs</li> </ul>	3 5 15		<ul style="list-style-type: none"> <li>•Revamp plantroom completely with new plant including all parts of the system</li> <li>•Partial upgrade</li> <li>•Carry essential spares</li> </ul>		2 3 6	

47		01/12/2024	<p><b>Issue:</b> Main 415 v distribution panel</p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>•Failure of Board due to age and leave Theatres without power.</li> <li>•Live terminals exposed RISK OF ELECTROCUTION</li> <li>•Whole board shut down to work on system</li> <li>•Unsure whether Isolators will work</li> <li>•Parts not readily available adaptations would need to be completed to make a repair.</li> <li>•No overload protection only rewirable fuses</li> </ul>	3 5 15	<ul style="list-style-type: none"> <li>•No mitigation against failure</li> <li>•Warning notices to be fitted</li> <li>•Qualified competent electrician only to work on system</li> </ul>		3 5 15		<ul style="list-style-type: none"> <li>•Review installation for suitability.</li> <li>•Install new board to modern standard and re cable all outgoing services with appropriate protection.</li> </ul>			2 4 8	
48		01/12/2024	<p><b>Issue:</b> Main 415 v distribution panel</p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>•Failure of Board due to age and leave area without power.</li> <li>•Live terminals exposed RISK OF ELECTROCUTION</li> <li>•Whole board shut down to work on system</li> <li>•Parts not readily available adaptations would need to be completed to make a repair.</li> <li>•No overload protection only rewirable fuses</li> <li>•No expansion available without add on boards</li> </ul>	5 5 25	<ul style="list-style-type: none"> <li>•No mitigation against failure</li> <li>•Warning notices to be fitted</li> <li>•Qualified competent electrician only to work on system</li> </ul>		5 5 25		<ul style="list-style-type: none"> <li>•Review installation for suitability.</li> <li>•Install new board to modern standard and re cable all outgoing services with appropriate protection.</li> </ul>			2 4 8	
50		01/12/2024	<p><b>Issue:</b> 2 cold/hot water storage tanks</p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>•Failure of a tank or tanks leading to loss of water supply hot and cold to CHFW Phase 1.</li> <li>•Tanks not being turned over in 12 hours meaning over capacity and not compliant with Guidance.</li> <li>•Tanks serve both services hot and cold any issues result in both services being affected.</li> <li>•Tanks 24 years old life expectancy is 25 years</li> <li>•Tanks physically joined together and not wholly independent.</li> <li>•Access ladder non-compliant</li> </ul>	5 4 20	<ul style="list-style-type: none"> <li>•Chlorine dioxide plant feeding tanks reducing legionella and pseudomonas risk to system.</li> <li>•2 tanks normally available for resilience.</li> </ul>		5 4 20		<ul style="list-style-type: none"> <li>•Replacement of tanks completely to current standards.</li> <li>•Two independent tanks fitted of the correct size and in line with today's standards</li> <li>•Ensure access ladder upgraded</li> </ul>			4 1 4	
54		01/12/2024	<p><b>Issue:</b> Medical gas Oxygen system isolating valve</p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>•A non-medical isolation valve has been fitted to the medical oxygen system.</li> <li>•It is non compliant</li> <li>•Can be confused for other isolating valves and turned off inadvertently as conventional handwheel type.</li> <li>•Not sure would isolate as not designed for oxygen</li> <li>•Possible leaks from stem of valve</li> <li>•Could remain shut if operated</li> </ul>	4 4 16	<ul style="list-style-type: none"> <li>•No mitigation as wrong valve in wrong situation fitted</li> </ul>		4 4 16		<ul style="list-style-type: none"> <li>•Replace valve of the appropriate standard for medical Gas pipeline systems.</li> </ul>			4 1 4	

55		01/12/2024	<p><b>Issue:</b> Emergency water connections via fire hydrant connection</p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>•Both fire main and town main fractured leading to loss of water to parts of the hospital.</li> <li>•Due to complexity of both mains failing contingency measures to supply water were extreme and challenging.</li> <li>•No specific connections to connect welsh water bowsers to top up tanks.</li> <li>•No emergency testing of systems/business continuity with regards to water failure.</li> <li>•Effect on third party such as Cardiff University Electrical supplies</li> <li>•Flooding to others</li> <li>•Availability of contractors and staff out of hours</li> </ul>	5 4 20	<ul style="list-style-type: none"> <li>•Two mains (2 going rare occurrence)</li> <li>•Welsh water tankers, bottled water</li> </ul>		4 4 16		<ul style="list-style-type: none"> <li>•Review UHB wide contingency with regard to water disruption in consultation with welsh water emergency planners.</li> <li>•Fit appropriate stabbings at strategic points as gareed</li> <li>•Consider dry riser connections</li> </ul>		4 1 4	
61		01/12/2024	<p><b>Issue:</b> Thermostatic mixing valves on domestic hot water system</p> <p><b>Risk/Potential Impact:</b></p> <ul style="list-style-type: none"> <li>•Legionella Risk increased in faulty TMV</li> <li>•Scalding to patients</li> <li>•Increased buildup of scale and debris in filter mesh protecting TMV can harbor Legionella and pseudomonas.</li> <li>•Reduced water flow to flush out biofilms etc.</li> <li>•Enhanced maintenance costs on TMV that may not be required.</li> <li>•Further monitoring costs by water safety Team</li> <li>•Isolation valves not working correctly unable to maintain or service correctly.</li> <li>•Non-return valves not working correctly introducing cold water into hot water system reducing temperature.</li> <li>•Various TMVs fitted spares stock increased</li> <li>•Slower repairs</li> </ul>	4 4 16	<ul style="list-style-type: none"> <li>•Water safety team checking temperatures and manage water systems.</li> <li>•External contractor maintaining TMVs</li> </ul>		4 4 16		<ul style="list-style-type: none"> <li>•Risk assess the need for TMVs in non-patient area and remove.</li> <li>•Re-visit existing all TMVs and add to backlog for changing (standardize)</li> <li>•Isolating valves may need attention also</li> <li>•Remove non-patient TMVs</li> </ul>		3 4 12	
78		03/12/2024	<p><b>Issue:</b> Modular gas boilers</p> <p><b>Risk/Potential Issue:</b></p> <ul style="list-style-type: none"> <li>•Boilers produce condensate (pure water extremely corrosive) which will eat away the aluminum fins and corrode copper heat exchanger fins and pipework.</li> <li>•Premature failure of heat exchangers.</li> <li>•Loss of heating</li> <li>•Leaks</li> <li>•Downtime</li> <li>•Chemical clean and strip downs not undertaken</li> <li>•Poor performance</li> <li>•Inefficient operation</li> <li>•Cost of replacement</li> <li>•Staff shortage/finance shortfall</li> </ul>	4 4 16	<ul style="list-style-type: none"> <li>•Service contract in place to check boiler integrity.</li> </ul>		4 4 16		<ul style="list-style-type: none"> <li>•Maintain boiler in accordance with manufacturers recommendation with program for cleaning water and fire side with proprietary chemical cleaner.</li> </ul>		4 1 4	
79		04/12/2024	<p><b>Issue:</b> Cast Iron above ground drainage pipes</p> <p><b>Risk/Potential Issue:</b></p> <ul style="list-style-type: none"> <li>•Due to age leaks due to cracking have occurred.</li> <li>•Sewerage outfall at failure of pipes causing disruption to departments.</li> <li>•Internal bore restricted causing blockages</li> <li>•Damage to equipment and departments</li> <li>•Expensive repairs and clean ups to revenue budget</li> </ul>	5 4 20	<ul style="list-style-type: none"> <li>•Replacement program for main ward blocks</li> <li>•Repairs can be carried out at point of failure</li> </ul>		5 4 20		<ul style="list-style-type: none"> <li>•Conduct conditional survey and highlight areas in need of replacement in priority order.</li> <li>•Extend replacement program to cover essential areas or problematic areas by priority.</li> </ul>		4 1 4	

85		10/12/2024	<p><b>Issue:</b> Day surgery medical air compressors</p> <p><b>Risk/ Potential Issue:</b> •The plant is located within a general plantroom with ventilation, electric distribution and other equipment. This is a non-conformity making it non-compliant.</p> <p>•Plant is old and repairs have been carried out to keep plant running.</p> <p>•One compressor obsolete and not working</p> <p>•Installation does not allow for easy testing by pharmacist.</p> <p>•Old plant uneconomical to run electrically</p>		5	4	20	<ul style="list-style-type: none"> <li>•Unable to mitigate against non-compliance</li> <li>•Maintenance contract in place for repairs to plant</li> </ul>		5	4	20					4	1	4	
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							0					0							0	

**CFPU**

13		29/06/2023	<p><b>Risk:</b> Aged equipment including refrigeration and blast freezers failing. The equipment is an integral part of the cook freeze process when producing patient meals for the UHB. <b>Impact:</b> An increased food safety risk to our patients, a financial increase due to the disposal of products, the inability to produce maximum levels of products to provide to the patients which incurs additional costs due to the contingency plan is purchasing external companies - (linked to risk 10 above).</p>	GW	5	4	20	CFPU management to continue to monitor processes and functionality of equipment daily - reporting directly to estates and including exec level intervention.	All food items that do not comply with food safety processes as per the HACCP document is disposed of. All food items produce are subjected to microbiological testing before release to the patients. No further assurances as there is a consistent failure of equipment in the roof space where the compressors for blast freezers and holding freezers are located, especially during the summer months.	5	3	15	Regular maintenance checks and repairs need to be scheduled to ensure aged equipment is working at its optimum parameters, and this also provides opportunity to identify when a piece of equipment is beyond economical repair and is end of life.	Equipment failures are generally based around the hot weather season. Failures will result in the destruction of any food produced during the failure period as critical Microbiological testing will likely result in failures	The location of critical equipment needs to be changed to allow compressors to cool when under pressure.	SD/SWTW	ASAP	5	2	10	Apr-24
15		26/07/2023	<p><b>Risk:</b> Chillers/Refrigeration/Holding freezers/ lack of maintenance inspections across causing failure of key equipment in controlling food safety</p>	GW	5	4	20	Current maintenance contract with contractor not sufficient to maintain service	Expert knowledge, historical ability has proven that our reactive measures work in maintaining our services, however long term there is financial and patient impact	5	3	15	A new 6 month maintenance contract required with designated refrigeration expertise, asset list shared with operational managers to improve communication and speed of repairs	An electronic system would improve the process when monitoring regular maintenance checks for all equipment.	Continue to raise concerns and monitor progress of any repairs or replacements	SD/LP/SW	Monthly	4	2	8	Apr-24
17		19/12/2023	<p><b>Risk:</b> Not able to maximise stock levels to create a contingency stock level of frozen patient meals at the CFPU. <b>Impact:</b> 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. <b>Financial impact:</b> The need to purchase additional meals from an external company at an approximate cost of £25k monthly.</p>	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 <b>weekly priority</b> 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 externally.	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><b>Risk:</b> CFPU are sitting on the outer HV ring, which isn't currently backed up by the HV generator, also without a local LV generator. <b>Impact:</b> 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 compromise 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		23/04/2024	<b>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:</b> 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.	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
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**Assurance and Compliance**

HS13	Site disposal	21/12/2023	<b>Issue:</b> The deterioration of Rookwood Hospital (building structure). Ongoing issues of trespass and attempted material thefts, fly tipping, Potential damage to asbestos materials. <b>Risk/Potential Impact:</b> At the facility there is a foreseeable risk of structural failures to the building infrastructure (cracks appearing in the corridors). Potential injuries/ exposure to asbestos to both trespassers and thieves during their presence on site.		5	3	15	The site is currently monitored externally/ internally by an onsite contracted security team. The site is also monitored by localised CCTV cameras feeding back to a central control point. Planned site visits (internal/ external) are carried out by various CEF team members. The site is still partially in use. Where structural cracks have appeared in corridors, props have been installed to prevent structural failure.	The site is manned 24hrs per day. Site visits are carried out by experienced personnel who have a knowledge of the building and its associated risks. Staff are present onsite to report any building/ services faults etc.	5	3	15	Failure to continue to maintain the 24 hr. site security presence (cost pressures). Ongoing deterioration caused by subsidence. Determined trespasser/ thieves to bypass the existing security control measures.	Cost pressures determining the level of security coverage onsite. Site visits becoming infrequent by experienced building/ maintenance personnel. Services currently being provided on site being potentially scaled down.	Ongoing site visits, planned, plant maintenance. Potentially Rookwood will be removed from the C&V property portfolio in the near future.	CEF discretionary/ major capital teams. CEF assurance and compliance team. CEF security team/ security contractor.	Ongoing		5	1	5	21/03/2024
HS19	Contractor Control	15/02/2025	<b>Issue:</b> 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 RA/MS 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 <b>Risk/Potential Impact:</b> 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.		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
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**Energy and Environment**

12			<b>Risk/Issue Energy expenditure.</b> With an annual spend of of £30 million utilities represents a significant single expenditure for the UHB	GW	4	4	16	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.	4	4	16	None	None at present	None	Head of Energy and Performance	01-Nov-21	4	2	8	
13			<b>Risk/Issue Energy Cost pressures.</b> Energy Markets are very unstable which is resulting in dramatic tariff increases for 23/24 financial year. Estimated expenditure is £30 million however Energy Bill relief scheme will reduce this impact.	GW	5	5	25	Energy spend monitored and reported to Finance department monthly and is further supported by monthly meetings.	Weekly EPRMG meetings are held to discuss and monitor prices and make purchasing decisions. Decisions and energy prices/cost pressures are monitored and communicated to management Teams.	5	4	20	None	None at present	None	Head of Energy and Performance	01-Nov-21	4	4	16	

14			<b>Risk/Issue Energy Contract Transfer to CCS.</b> Energy Markets are very unstable which is resulting in dramatic tariff increases for 23/24 financial year. All Wales Energy contract shall transfer to CCS framework on 1/10/23 and as there is a significant body of work in the transfer process and many accounts to transfer, this will result in significant financial, contract and resource risk/implications.	GW	4	4	16	Meetings with Shared Services regarding the transfer process are held regularly.	Weekly EPRMG meetings are held to discuss and monitor transfer procedures and updates which are communicated to management Teams.	4	4	16	NA	NA	CCS Transfer has now been completed and early indications are positive with the transfer being predominantly successful therefore risk reduced. There are still potential risks which will be monitored and reviewed.	Head of Energy and Performance	01-Nov-23	4	3	12
18			Risk/Issue IT Connectivity associated with Refit Phase 2/3	GW	5	4	20	Refit phases 2 and 3 have meetings with contractor and IT weekly to resolve. Also further strategic meetings in progress	Control is through ISO14001 accreditation process and EMSG.	5	4	20	None	None at present	None	Head of Energy and Performance/Head of Discretionary Capital & Compliance	Ongoing	4	1	4
19			<b>Risk/Issue UHW CHP Plant</b> 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	4	2	8
20			<b>Risk/Issue UHW CHP Plant</b> 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	GW	5	4	20	Current O and M contract is in place until April 2025. 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	CHP plant upgrade/replacement is required.	CHP Plant upgrade/replacement is required	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.	Head of Energy and Performance/Head of Discretionary Capital & Compliance/Head of Facilities	Ongoing	4	4	16
22			<b>Risk/Issue UHW Water Consumption</b> Water consumption is increasing attributed to leaks and unexplained usage. This is resulting in water wastage and excessive costs.	GW	5	4	20	Water studies and leakage detection surveys are in progress to determine the scale of the leakage and the location(s) of the leaks. Certain leaks have been repaired. Estates have undertaken step tests during the evening to narrow down the location(s) affected.	Meeting being carried out each week between Estates, Energy Team and Enica along with other stakeholders to monitor progress. Updates are provided to senior leadership team fortnightly.	5	4	20	None	None at present	Ongoing control actions in progress with updates provided to SLT as discussed	Head of Estates/Head of Energy and Performance/Energy Manager	Ongoing	4	2	8
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<b>Portering and Switchboard</b>																				
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<b>PFI</b>																				
PFI09		15/11/2023	<b>Risk/Issue: SDH</b> - End of PFI <b>Impact:</b> Significant resource needed to oversee and plan for end of agreement.	GW	4	5	20	PFI ends 31/01/2031. Series of activities required.	Separate risk register prepared to monitor all associated risks.	4	5	20	Risk increased to 20 to emphasise need to commence appointment and activities, especially with loss of PFI manager in April.		Ongoing contract management. Urgent need to formalise UHB team to oversee.	UHB, IMC, Equans.	Performance meetings.	4	1	4
PFI10		15/11/2023	<b>Risk/Issue: UHL</b> - End of 3PD <b>Impact:</b> 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	4	16			Ongoing contract management.	UHB, Pobl,	Performance meetings.	4	1	4

3PD UHL 05		08/11/2023	<b>Risk/Issue:</b> 3PD Transition - Potential End Term Payment <b>Impact:</b> UHL 3PD requires payment of sum to 3PD partner in the region of £1.2m	GW	5	5	25	Valuation being undertaken. Contracts being reviewed by specialist.	Alternative options may be available. These will be outlined.	5	3	15	Meeting held with Pobl indicated that they are open to a new agreement for the provision of the services. This will eliminate the need for a lump sum payment.		Meetings scheduled for early 2024.	UHB/CWAS	Ongoing	5	1	5		
PFI15		19/11/2024	<b>Risk/Issue:</b> SDH - Potential Fire Compartmentation Issue <b>Impact:</b> Potential risk to patients and staff. Compliance issue.	GW	4	4	16	Issue being discussed between all PFI parties. Level of risk unclear at this time. Risk level scored assuming there is an issue.	Meeting requested with senior level PFI managers asap. Monthly/Quarterly contract meetings.	4	4	16	Survey on site has found that additional works required. Semperian / Equans to progress as a priority.		23/12/24 - Issue still ongoing. Written report due following site surveys in early Jan 25. 23/12/24 - Regular fire safety meeting scheduled going forward.	UHB, IMC, Equans.	Performance meetings.	4	2	8		
PPP UHL 05		08/11/2023	<b>Risk/Issue:</b> PPP Transition - Potential End Term Payment <b>Impact:</b> UHL PPP requires payment of sum to PPP partner in the region of £1.2m	GW	5	5	25	Valuation being undertaken. Contracts being reviewed by specialist.	Alternative options may be available. These will be outlined.	5	3	15	Meeting held with Pobl indicated that they are open to a new agreement for the provision of the services. This will eliminate the need for a lump sum payment.		Meeting on 20/08/24	UHB/CWAS	Ongoing	5	1	5		
PPP UHL 08		08/11/2023	<b>Risk/Issue:</b> Joint UHB/PPP Expiry Plan <b>Impact:</b> A joint plan including strong governance structure is required to oversee the end of the PPP. This does not exist at the moment.	GW	4	5	20			4	5	20	End PFI project team to be formed. Risk upped to 20 as issue needs attention as end of PFI getting nearer.			UHB		4	1	4		
PFI SDH H 08		08/11/2023	<b>Risk/Issue:</b> Joint UHB/PFI Expiry Plan <b>Impact:</b> A joint plan including strong governance structure is required to oversee the end of the PFI. This does not exist at the moment.	GW	4	5	20			4	5	20	End PFI project team to be formed. Risk upped to 20 as issue needs attention as end of PFI getting nearer.			UHB		4	1	4		
PFI SDH H 10		08/11/2023	<b>Risk/Issue:</b> Ensure UHB Board fully sighted on transition. <b>Impact:</b> All relevant issues, risks and decision requirements should be escalated to an executive lead or UHB board in accordance with the delegation of authority.	GW	4	4	16	Process in collating and escalating necessary information has begun. IPA PFI health check due Dec 2023		4	4	16	Workstream has not commenced at this time. Risk upped to 16 as issue needs attention as end of PFI getting nearer.					4	1	4		
PFI SDH H 12		08/11/2023	<b>Risk/Issue:</b> UHB resource to manage transition process. <b>Impact:</b> Should there be insufficient resource available to effectively manage the transition process, the UHB will be at a disadvantage in negotiations and preparedness.	GW	4	4	16			4	4	16	Resource needs assessment required. Risk upped to 16 as issue needs attention as end of PFI getting nearer.					5	1	5		
							0					0									0	
							0					0									0	
<b>Major Capital</b>																						
None																						
							0					0									0	
							0					0									0	
<b>Capital Property</b>																						
P&A1		15/04/2021	<b>Issue: Rookwood Disposal</b> Requirement to dispose of surplus UHB asset on behalf of Rookwood Charity. <b>Risk/Potential Impact</b> <u>Financial risk.</u> Sale needs to progress in line with transfer of services off site. Best value must be attained on the open market. Charity and Financial Governance must be followed.  <i>Vacant property risk appears on security risk register.</i>	GW	4	4	16	Disposal of surplus sites is subject to WG approval and overseen by NWSSP Specialist Estate Services.	Disposal team to be set up consisting of Charity, NWSSP, Marketing Agent, Planning Agent  Progress will be reported to relevant committees.	4	4	16			15/10/24 - Board of Trustees to meet Disposal Team before making decision.	Disposal Team	ASAP	5	1	5	Ongoing	Rook disposal team CMG Charity Meeting



	Consequence score (severity levels) and examples of descriptors				
Domains	1 Negligible	2 Minor	3 Moderate	4 Major	5 Catastrophic
<b>Impact on the safety of patients, staff or public (physical/psychological harm)</b>	Minimal injury requiring no/minimal intervention or treatment.  No time off work	Minor injury or illness, requiring minor intervention  Requiring time off work for >3 days  Increase in length of hospital stay by 1-3 days	Moderate injury requiring professional intervention  Requiring time off work for 4-14 days  Increase in length of hospital stay by 4-15 days  RIDDOR/agency reportable incident  An event which impacts on a small number of patients	Major injury leading to long-term incapacity/disability  Requiring time off work for >14 days  Increase in length of hospital stay by >15 days  Mismanagement of patient care with long-term effects	Incident leading to death  Multiple permanent injuries or irreversible health effects  An event which impacts on a large number of patients
<b>Quality/complaints/audit</b>	Peripheral element of treatment or service suboptimal  Informal complaint/inquiry	Overall treatment or service suboptimal  Formal complaint/ Local resolution  Single failure to meet internal standards Minor implications for patient safety if unresolved Reduced performance rating if unresolved	Treatment or service has significantly reduced effectiveness  Formal complaint / Local resolution (with potential to go to independent review)  Repeated failure to meet internal standards Major patient safety implications if findings are not acted on	Non-compliance with national standards with significant risk to patients if unresolved  Multiple complaints/ independent review  Critical report	Totally unacceptable level or quality of treatment/service  Inquest/ombudsman inquiry Gross failure of patient safety if findings not acted on  Gross failure to meet national standards

<b>Human resources/ organisational development/staffing/ competence</b>	Short-term low staffing level that temporarily reduces service quality (< 1 day)	Low staffing level that reduces the service quality	Late delivery of key objective/ service due to lack of staff  Unsafe staffing level or competence (>1 day)  Low staff morale  Poor staff attendance for mandatory/key professional training	Uncertain delivery of key objective/service due to lack of staff  Unsafe staffing level or competence (>5 days) Loss of key staff  Very low staff morale  Significant numbers of staff not attending mandatory/ key professional training	Non-delivery of key objective/service due to lack of staff  Ongoing unsafe staffing levels or competence Loss of several key staff  No staff attending mandatory training /key professional training on an ongoing basis
<b>Statutory duty/ inspections</b>	No or minimal impact or breach of guidance/ statutory duty	Breach of statutory legislation	Single breach in statutory duty  Challenging external recommendations  Improvement notice	Multiple breaches in statutory duty  Critical report  Prohibition notices	Multiple breaches in statutory duty with high likelihood of enforcement action  Complete systems change required Severely critical report Prosecution
<b>Adverse publicity/ reputation</b>	Rumours Potential for public concern	Local media coverage – short-term reduction in public confidence  Elements of public expectation not being met	Local media coverage – long-term reduction in public confidence	National media coverage with <3 days service well below reasonable public expectation	National media coverage with >3 days service well below reasonable public expectation.  MP/AM concerned (questions in the House/Assembly)  Total loss of public confidence
<b>Business objectives/ projects</b>	Insignificant cost increase/ schedule slippage	<5 per cent over project budget Schedule slippage	5–10 per cent over project budget Schedule slippage	10–25 per cent over project budget Schedule slippage Key objectives not met	Incident leading >25 per cent over project budget Schedule slippage Key objectives not met

<b>Finance including claims</b>	Small loss Risk of claim remote	Loss of 0.1–0.25 per cent of budget  Claim less than £10,000	Loss of 0.25–0.5 per cent of budget  Claim(s) between £10,000 and £100,000	Uncertain delivery of key objective/Loss of 0.5–1.0 per cent of budget  Claim(s) between £100,000 and £1 million  Purchasers failing to pay on time	Non-delivery of key objective/ Loss of >1 per cent of budget  Claim(s) in excess of £1 million  Loss of contract
<b>Service/business interruption</b>	Loss/interruption of >1 hour	Loss/interruption of >8 hours	Loss/interruption of >1 day	Loss/interruption of >1 week	Permanent loss of service or facility
<b>Environmental impact</b>	Minimal or no impact on the environment	Minor impact on environment	Moderate impact on environment	Major impact on environment	Catastrophic impact on environment

### Likelihood Score (L)

- What is the likelihood of the consequence occurring?
- The frequency based score is appropriate in most circumstances and is easier to identify. It should be used whenever it is possible to identify the frequency at which a risk is likely to occur.
- The probability score is more appropriate for risks relating to time limited or one-off projects or business objectives

#### Likelihood Score

Descriptor	1 Rare	2 Unlikely	3 Possible	4 Likely	5 Almost Certain
<b>Frequency</b> How often does it might it happen	This will probably never happen/ recur	Do not expect it to happen / recur but it is possible it may do so	Might happen or recur occasionally	Will probably happen/recur but it is not a persisting issue	Will undoubtedly happen/recur, possibly frequently
<b>Probability</b> Will it happen or not? % chance of <u>not</u> meeting objective	<0.1 per cent	0.1-1 per cent	1 -10 per cent	10-50 per cent	>50 per cent

**Table 3 - Risk Scoring = Consequence x Likelihood (C x L)**

Consequence Score	Likelihood Score				
	1 Rare	2 Unlikely	3 Possible	4 Likely	5 Almost certain
5 - Catastrophic	5	10	15	20	25
4 - Major	4	8	12	16	20
3 - Moderate	3	6	9	12	15
2 - Minor	2	4	6	8	10
1 - Negligible	1	2	3	4	5

**For grading risk, the scores obtained from the risk matrix are assigned grades as follows**

1 - 3 = Low Risk	Quick, easy measures implemented immediately and further action planned for when resources permit
4 - 10 = Moderate Risk	Actions implemented as soon as possible but no later than a year
12 - 16 = High Risk	Actions implemented as soon as possible but no later than six months
20 - 25 = Extreme Risk	Requires urgent action. The OMB Board is made aware and it implements immediate corrective action