

Inception date: August 2013

Last review date: 13th Sep 2013

Risk ID	SD00057
Risk Area	Operations
Risk Owner	Chief Operating Officer
Main responsible Committee	Executive Committee
Risk Manager	Service Redesign Manager
Title	EDICs- handover process (electronic and paper)
Risk Description	EDICs operated clinics out of Tattenham, Tadworth and Shadbolt practices and out of hubs at the Ebbisham Centre, Medwyn Centre, Leatherhead Hospital and the Old Cottage hospital. All of the sites have paper based patient records and electronic records & appointments booked accessible only via PPS (a system which EDICs own and have a licence for). All patient notes, records and appointments need to be transferred securely over to the new locations and host providers. All external agencies need to be informed of the transfer and all diagnostic results and tests currently with external companies need to be identified and transferred with the patient records. All archived files need to be transferred to new providers/storage facilities.
Source of risk	EDICS is in administration and in order to maintain access to patient data the CCG has transferred monies to retain PPS for one month and to ensure continuation of points of contact for each clinic. Each clinic administrator is at risk of redundancy (or less hours where they are contracted through a practice) as a result of the company's administration.
Effect of risk	Clinical - the risk is that patient records and future booked appointments may be lost if the handover process is not completed in a timely fashion and under the correct governance process. All archived notes also need to be transferred to new providers/storage. Legal -if there is a legal challenge on patient care the archived records need to be accessible hence the need to safely transition these over to new providers/storage. Reputational - large reputational risk if patients are not tracked through the system
Assurance	The CCG prioritised the needs of patients immediately and transferred monies to cover support of all clinics to ensure a safe handover process. Legal and HR advice has been sought regarding the onwards dealings with EDICs staff. Communication links with all clinic support staff and EDICs operational arm is strong.
Gaps in assurance	None known
Controls	A stringent governance process has been put in place to record the transfer of paper notes: Clinic templates with pre booked appointments are printed off the

	EDICs owned PPS system; All notes for patients in that clinic are pulled, prepped and bundled together; Outcome sheet is printed off and attached to notes bundle; Outcome sheet is signed out by named contact at EDICs site and given to courier; Outcome sheet is signed in at medical records by named contact of the receiving organisation's medical records department. All future booked appointments will be pulled off the PPS systems followed by patients with future "flags" in the system (i.e. to chase a diagnostic test at X date), followed by a check of archived patients on the system to ensure their cases are closed. Nhs.net addresses have been used consistently to share patient level data where necessary for continuation of care. Clear communications have been sent round all clinic administrators with regards the process to be used and contact details have been shared across new and existing clinic locations. Relevant contact details have been shared as points of contact for operational queries.
Gaps in controls	None known
Actions with timescales	Assurance teleconferences and meetings weekly.
Comments on risk appetite	This risk is being actively managed

Risk scoring					
Opening position		Last update		Revised	
Pre mitigation impact score	5	Last impact score	5	Proposed impact score	
Pre mitigation Likelihood score	4	Last likelihood score	3	Proposed likelihood score	
Net initial score	20	Net last score	20	Proposed new net score	15