

Risk Management Recommendations Implementation Template
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Recommendations (status):
Implemented
Work in progress
No action yet

Number	Recommendations	Action Plan	By Whom	Target Date	Status
1	PCT Audit and Assurance Committee ensure a better balance of time of the Audit and Assurance Committee between Audit/Internal Controls and Governance, Risk Management and Assurance and that the work programme(s) allows sufficient time for review and discussion of Governance, Risk Management and Assurance matters.	PCT – Chairman of the Audit and Assurance Committee in liaison with Director of Resources to agree agenda and ensure adequate time for full discussion on Governance matters.	Chairman of Audit and Assurance Committee and Director of Resources	Nov-10	Assessment to be undertaken by committee members March 2011
2	PCT current subcommittees – The Terms of Reference (ToR) of all PCT sub-committees be amended to include responsibility for reviewing and challenging significant risks (15 and above), controls and action plans extracted from directorate risk registers where sub-committee has direct oversight: Audit and Assurance Committee; Performance & Quality Committee; Health and Social Care Programme; Board; Clinical Reference Group (PEC); Charitable Funds Committee; Remuneration Committee and Provider Board	PCT – (1) Board Secretary to liaise with Chairman(s) of subcommittees and advisory groups and inform them of Board approval of recommendation. (2) Sub-committees and advisory groups Terms of Reference to be amended by Board Secretary in line with recommendation. (3) Directorate risk champion(s) to be responsible for making available risk registers populated by high level risks only 15> for scrutiny and review by subcommittees.	Board Secretary	Dec-10	(1) Sub-committee Chairs informed (2) Sub-committees and advisory groups Terms of Reference being amended (3) Availability of risk registers at subcommittees to be monitored during December and January
3	PCT Pro-forma risk template - Embed practice of Board Assurance Pro-Forma templates being used at all sub-committees and advisory groups for capturing new risks and issuing to the Board Secretary for escalation.	PCT - Board Secretary to ensure all Chairs of subcommittees understand process and monitor adherence.	Board Secretary	Sep-10	Updated Pro-Forma template issued by Board Secretary

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4	PCT & Council - A Corporate Risk Management Group (CRMG) to be established to review risks across Herefordshire Public Service Partnership, reporting to the Herefordshire Public Services Steering Group and JMT.	Council & PCT - The Performance Improvement Network (PIN) group to be responsible for identifying and reviewing risks across Herefordshire Public Service Partnership, liaising with the nominated Corporate Governance Manager and reporting to the Herefordshire Public Services Steering Group and JMT using the Partnership Assurance Framework (PAF) – PCT Commissioning arm Board Assurance Framework template to be adopted for PAF Herefordshire Public Services Steering Group and JMT responsible for scrutiny of Partnership Assurance Framework and identifying new risks (using Pro Forma template see recommendation 3) and informing the PIN group thus facilitating a top down / bottom up approach to risk identification.	Deputy Chief Executive	Nov-10	Partnership Assurance Framework being presented to JMT 9 Nov and HPS 23 Nov, consideration for reporting to the PCT Board and Cabinet will discussed at the HPS meeting.
5	PCT & Council - All Directors to be responsible for ensuring that the directorate risk register is a standing item at all Directorate Team Meetings and that all risks are assigned owners discussions must cover: -identification of new risks -review of current risks including controls -action plans and risk ratings all risk discussions must be minuted	Directorate risk champions to ensure Risk Register review is a standing item at Directorate team meetings.	Directors	Sep-10	Directorate Risk Registers are now standing items at all Directorate meetings
6	PCT & Council (6a) Directorate risk champion/lead(s) - each directorate and project team must have a nominated risk register champion who will have the role of championing risk awareness and overseeing the directorate/project risk register, with the full support of the relevant Director. Each director must effectively communicate risk management arrangements to all staff in their directorate. (6b) Electronic one page risk leaflet to be distributed to raise risk awareness within NHS (PCT) and Council. (6c) Risk champion/lead(s) to be gatekeeper of directorate risk registers - (if recommendation 9 approved support will be provided by the nominated Corporate Governance Manager.	PCT (a) Inform all Directorate Risk Champions and project leads of recommendations approved by the Board. (b) Design electronic page risk awareness. (c) Directorate Risk Champions to be informed of Board approved recommendations.	Risk Consultant	Sep-10	a) All directorate risk leads informed of risk recommendations b) Risk awareness electronic brochure to be circulated to all staff 15 Nov 2010 c) Risk leads informed of gate keeping responsibilities

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7	PCT & Council -Training Board /Cabinet Members – to undertake bi-annual refresher training in both risk and performance management. Induction programme must include risk management for new Board Members.	Risk management training programme to be designed.	Nominated Corporate Governance Manager, Democratic Services Manager, PCT Board Secretary and HR Learning Training and Development Team -	Dec 2011 / Jan 2012	The Modern Councilor e-induction package is used for new Elected Members. The Democratic Services Manager will address any specific learning needs in this area for Cabinet Members. The Board Secretary will review the levels of training received to date, with NEDs and agree on a programme.
8	PCT & Council - Training Staff – a comprehensive, mandatory training on an annual refresher basis for all Directors and Senior Managers in the principles and processes relating to risk and performance management including project and partnerships risks, understanding risk tolerance. In addition these disciplines need to be incorporated within the induction training programme.	Risk management training programme to be designed. Full Implementation dependant on Council's Cabinet approval	HR Learning Training and Development	Apr-11	From 2011 a standards-based induction for Provider Services/ICO managers will include risk assessment and management as well as performance management. This induction can be extended to new Council/PCT managers (pending review). E-learning will be explored for on-going and refresher training
9	PCT & Council Corporate Governance Manager to be nominated supporting both PCT and Council in wide ranging governance matters covering (within existing resources): Corporate governance Clinical governance, Risk management, Financial governance, Information governance, Staff governance; and Inter organizational (Partnership).	Implementation dependant on reorganisation structure Agree options with relevant Services, taking account of other governance functions across HPS.	Deputy Chief Executive	Sep-10	Risk Interim arrangements in place - further work being undertaken by Deputy Chief Executive
10	PCT Board Assurance Framework (BAF) – 'the Board Secretary' will continue to be responsible for maintaining and reporting the BAF to the PCT Board, Audit and Assurance and JMT, pending organizational management review	Continuation of existing arrangements.	Board Secretary	Sep-10	Board Secretary informed 16 Sep 2010

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11	PCT & Council - At the end of each financial year each director will be required to complete an internal risk management assessment for review by the Audit and Assurance Committee (PCT) and Audit and Governance (Council), this will provide evidence for the Statement of Internal this will provide evidence for the Statement of Internal Control for both organizations and form part of the performance appraisal process for each director.	PCT- Directors to be informed of the process.	Chief Executive / Board Secretary	Apr-11	Annie Brookes briefed and will lead on the implementation liaising with Chief Executive and Deputy Chief Executive
12	PCT The Corporate Risk Register to be kept up to date by Executive Directors and the register to be reviewed by: Board (quarterly) Audit and Assurance Committee (every meeting) Joint Management Team (exception reporting)	Directors to fully understand risk escalation process and review Corporate Risk Registers frequently. Summary reporting format to be designed	Board Secretary In the interim/ Nominated Corporate Governance Manager	Sep-10	Corporate risk register now established in compliance with risk escalation criteria - review March 2011
13	PCT - Board members to have access to the BAF at any time and a process to be established for raising any new risks outside of any formal Board meeting via the Board Secretary.	Updated BAF to be issued to Board members after each Board meeting and procedure established to enable Board members to update BAF outside formal meetings. Seek views on any missing risks at informal Board in September.	Board Secretary	Sep-10	Implemented
14	PCT & Council - All formal projects (<i>those with objectives, milestones, outputs, outcomes, time and resources constraints</i>) to have, as a standing item on their agendas - the review of their project risk register.	PCT - Director who sponsors project to communicate recommendation and monitor adherence.	Appropriate Director	Sep-10	Risk leads informed - review compliance Feb 2011
15	PCT & Council - Audit trail of changes to risk registers to be maintained by directorate risk champion and key issues reported to the Directorate Management Team as necessary.	Risk champions/leads to collaborate and design simple process of maintaining changes to risk registers.	Directorate Risk Champions/ Leads	Sep-10	Change log designed and issued to risk leads
16	PCT & Council should accelerate the development of Performance Plus for corporate performance and risk reporting and also develop an integrated Performance and Risk Management Framework.	PCT - Review of project milestone	Deputy Chief Executive	Sep-10	JMT have already identified risk, acceleration depends on there being sufficient trained staff and a clear understanding of what is required. Training underway for staff.

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17	<p>PCT – An annual Board workshop should be held to review strategic objectives, World Class Commissioning desired outcomes and associated risks and agree top strategic objectives and associated risks (<i>in view of the pace of change in the external environment workshop may be required to be held half yearly</i>).</p> <p>Council – An annual Cabinet workshop should be held to review strategic objectives and associated risks in light of changing external environment and agree top strategic objectives and associated risks (<i>in view of the pace of change in the external environment workshop may be required to be held half yearly</i>).</p>	PCT- Agreement to be reached between Chair / Chief Executive / Deputy Chief Executive and workshop to be designed.	Chair / Chief Executive / Deputy Chief Executive / Board Secretary	Sep/Oct 2010	Cabinet and Board members meet on 28 October to discuss the implications of the Comprehensive Speeding Review - Deputy Chief Executive has produced a paper on strategic planning and transition arrangements.
18	Council - To enable further integration and to provide a consistent basis for reporting strategic risks across Herefordshire Public Services and to the Council Audit and Governance Committee, the Cabinet Assurance Framework (CAF) must be implemented by October 2010.	Council Assurance Framework to be developed	Corporate Risk Manager	Sep-10	Work underway -to be taken forward by Andrew Rewell
19	Council – All teams currently not complying in full with the Herefordshire Public Services and Partnership Risk Management and Assurance Guidance particularly risk register formats to be instructed to do so and all actions to be completed by 30 September 2010, compliance review to be undertaken by the Council Corporate Risk Manager or nominated individual.	Review of all Council risk registers to be undertaken for compliance with risk guidance	Corporate Risk Manager	Sep-10	Review undertaken: the majority of registers comply with approved format and work is underway for full compliance by all directorates. - review Jan 2011
20	Council – Adopts the PCT Assurance Proforma Template for use at its Overview and Scrutiny committees for identifying risks.	Chairs of Overview and Scrutiny Committees to be briefed liaising with executive staff member servicing committee	Corporate Risk Manager	Sep-10	Discussion to be held with Councillor Bramer on developing a light touch approach of identifying risks at Overview and Scrutiny Committees meetings - Lead Andrew Rewell

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21	<p>PCT - Risk Management must be an integral element of all new business areas / programme / projects, new business areas must apply a six step process:</p> <ol style="list-style-type: none"> 1 Nominate a risk lead for the business area, assessing individuals' expertise, experience, capabilities and skills in risk management 2 Gather quality information on risks identified 3 Assess potential impact of risk using PCT risk scoring methodology 4 Interpreting risk and causation 5 Consider risk opportunities 6 On large projects where there are a number of actions to mitigate against a risk a cost benefit analysis be undertaken to inform the decision making process on the most appropriate action plan to be implemented (detailed guidance to be drafted and issued to all project and programme managers setting out criteria including definition of large projects). 	<p>PCT – Council's Corporate Programmes team Risk Management guidance for projects and programmes be adopted. On large projects (to be defined by nominated Corporate Governance Manager) where there are a number of actions to mitigate against a risk that a cost benefit analysis be undertaken to inform the decision making process on the most appropriate action plan to be implemented (Council's Corporate Programmes team to be engaged for support).</p>	Nominated Corporate Governance Manager	Nov-10	All nominated directorate risk leads to monitor compliance and report to their Director March 2011
22	<p>Herefordshire Partnership Steering Group – To ensure risks identified at the Partnership level are communicated down to all appropriate levels within PCT and Council and owners assigned via JMT using Pro-forma risk template and Vice Versa.</p>	<p>Herefordshire Partnership Services adopts PCT Assurance Pro-Forma templates and procedure established for communicating risks.</p>	Nominated Corporate Governance Manager	Nov-10	Pro-forma template to be adopted from 23 Nov 2010

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23	<p>(a) Council – Risk opportunities on the works and services delivered through the Amey partnership are furthered explored, this requires the council's client team to continue with the gathering of quality data on works performance and cost by widening the sources of data that enable the proper scrutiny and challenge to Amey's costings.</p> <p>(b) Council – The opportunity to extend the scope of the Managing Agent Contract (MAC) contract arrangements with Amey should be explored to capture the potential for further savings, improvements in performance and are enhancements in value for money through extending the better control of cost and effective risk management to a wider range of services.</p> <p>(c) Council – The opportunity to extend the best practice demonstrated in the contract management practices that are in place to manage the Amey partnership to other key partnerships should also be explored, thereby ensuring that risk is properly understood and managed in all key partnerships and the potential for financial savings and improved performance in other areas of service are truly realised.</p>	<p>Council –</p> <p>(a) Amey's council's client team to continue with the gathering of quality data on works performance and cost.</p> <p>(b) Undertake scoping work where Managing Agent Contract (MAC) contract may be extended for both Council and PCT.</p> <p>(c) Explore best practice adoption in other partnership arrangements across Council and PCT.</p> <p><i>Implementation dependant on Council's Cabinet approving Recommendations</i></p>	Highway Network Manager - Clive Hall	Nov-10	Benchmarking is underway and wider market place costings are being developed along with the direct cost information coming from Amey, in some areas there is still work to do to confirm who to compare with and how that might best be done.

updated 04 Nov 2010