

## Risk Management Recommendations Implementation Template

### Recommendations (status):

Implemented

Work in progress

Behind target

No	Recommendations	Action Plan	By Whom	Target Date	Revised Date	Implemented Date	Status
1	<b>PCT</b> - Audit and Assurance Committee to ensure a better balance of time at Audit and Assurance Committee meeting is spent between (Audit/Internal Controls) and (Governance, Risk Management and Assurance) and that the work programme 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 the Director of Resources to agree agenda and ensure adequate time for full discussion on all Governance matters.	Chairman of Audit and Assurance Committee and Director of Resources	Nov-10	Mar-11		It has been agreed that a more objective review will be undertaken by moving date for assessment to the end of the financial year.
2	<b>PCT</b> - 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 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 Chairs 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 15> for scrutiny and review by subcommittees.	Board Secretary	Dec-10	Feb-11		(1) Sub-committee Chairs informed (2) Sub-committees and advisory groups Terms of Reference amended (3) Availability of risk registers at subcommittees monitoring to be extended to February 2011
3	<b>PCT</b> - Pro-forma risk template - Embed practice of Board Assurance Pro-Forma template usage 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	Oct-10	Oct-10	Implemented - Updated Pro-Forma template issued by Board Secretary

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4	<b>PCT &amp; Council</b> - 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.	<b>Council &amp; PCT</b> - 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).	Deputy Chief Executive	Nov-10		Nov-10	Implemented - Partnership Assurance Framework presented to JMT 9 Nov and HPS 23 Nov.
5	<b>PCT &amp; Council</b> - All Directors to be responsible for ensuring that their directorate risk registers are a standing item at all Directorate Team Meetings and that all risks are assigned owners and associated action plans are reviewed. <b><i>all risk discussions must be minuted</i></b>	Directorate risk leads to ensure Risk Registers are a standing item at Directorate team meetings.	Directors	Sep-10		Sep-10	Implemented
6	<b>PCT &amp; Council</b> - (6a) Directorate risk leads - each directorate and project team must have a nominated risk register lead 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) Risk management brochure to be distributed to raise risk awareness within PCT and Council. (6c) Risk leads to be gatekeepers of directorate risk registers.	<b>PCT</b> (a) Inform all Directorate Risk Champions and project leads of recommendations approved by the Board. (b) Design risk management brochure. (c) Risk leads to be informed of role.	Risk Consultant	Sep-10	Dec-10	Dec-10	Implemented

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7	<b>PCT &amp; Council</b> - PCT Board /Cabinet Members – to undertake bi-annual refresher training in both risk and performance management. Induction programme must include risk management for new PCT 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 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 partnership risks, understanding risk tolerance. In addition these disciplines need to be incorporated within the induction training programme.	Risk management training programme to be designed.	HR Learning Training and Development (Liz Wallace HR)	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	<b>PCT &amp; Council</b> 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 dependent on reorganisation structure Agree options with relevant Services, taking account of other governance functions across HPS.	Deputy Chief Executive	Sep-10	Feb-11		Interim risk arrangements in place - a resilience limit is being created to strengthen risk management and assurance capacity.
10	<b>PCT</b> 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		Sep-10	Implemented- Board Secretary informed 16 Sep 2010

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11	<b>PCT &amp; Council</b> - At the end of each financial year each director will be required to complete an internal risk management evaluation of their directorate for review by the PCT Audit and Assurance Committee and Council Audit and Governance Committee, Risk management evaluation will also form part of Directors' performance appraisal overseen by the Chief Executive.	Directors to be informed of the process.	Chief Executive	Apr-11			Chief Executive Office is leading on the implementation liaising with Chief Executive, Deputy Chief Executive and Directors
12	<b>PCT</b> - 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.	Board Secretary	Sep-10		Sep-10	Implemented - Corporate risk register now incorporated into Board Assurance Framework
13	<b>PCT</b> - Board members to have access to the BAF 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.	Board Secretary	Sep-10		Sep-10	Implemented
14	<b>PCT &amp; Council</b> - 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.	<b>PCT</b> - Director(s) who sponsor projects to communicate recommendation and monitor adherence.	Appropriate Director	Sep-10		Sep-10	Implemented
15	<b>PCT &amp; Council</b> - Audit trail of changes to risk registers to be maintained by directorate risk leads and key issues reported to the Directorate Management Team as necessary.	Risk leads to collaborate and design simple process of maintaining changes to risk registers.	Directorate Risk Leads	Sep-10	Dec-10	Dec-10	Implemented - Risk registers redesigned to automatically log any changes made to registers
16	<b>PCT &amp; Council</b> should accelerate the development of Performance Plus for corporate performance and risk reporting and also develop an integrated Performance and Risk Management Framework.	<b>PCT</b> - Review of project milestone	Deputy Chief Executive	Sep-10	Apr-11		JMT have discussed development of Performance Plus and reviewed implementation plans.

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17	<p><b>PCT</b> – An annual Board workshop should be held to review strategic objectives, 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><b>Council</b> – 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	Feb-11		Cabinet Members and Board Members meet regularly to review risks (HPS Steering Group)
18	Council - To enable further integration of process and procedures in line with the PCT and to provide a consistent basis for reporting strategic risks the Council Assurance Framework (CAF) to be developed.	Council Assurance Framework to be developed	Corporate Risk Manager	Sep-10	Dec-10	Dec-10	Implemented
19	<b>Council</b> – All directorates to comply with Risk Management and Assurance Guidance particularly risk register formats, compliance review to be undertaken by the Council Corporate Risk Manager.	Review of all Council risk registers to be undertaken for compliance with risk guidance	Corporate Risk Manager	Oct-10	Jan-11	Jan-11	Review undertaken: the majority of registers comply with approved format and work is underway for full compliance by all directorates by Jan 2011
20	<b>Council</b> – 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	Dec-10	Jan-11	Jan-11	Discussions held with Councillor Bramer on developing a light touch approach of identifying risks at Overview and Scrutiny Committee meetings.

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21	<p><b>PCT</b> - 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"> <li>1 Nominate a risk lead for the business area, assessing individuals' expertise, experience, capabilities and skills in risk management</li> <li>2 Gather quality information on risks identified</li> <li>3 Assess potential impact of risk using PCT risk scoring methodology</li> <li>4 Interpreting risk and causation</li> <li>5 Consider risk opportunities</li> <li>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).</li> </ol>	<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>	Corporate Governance Manager	Nov-10	Mar-11		All nominated directorate risk leads to monitor compliance and report to their Director March 2011
22	<p><b>Herefordshire Partnership Steering Group</b> – To identify new partnership risks.</p>	<p>Herefordshire Partnership Services adopts PCT Assurance Pro-Forma templates and procedure established for communicating risks.</p>	Democratic Services Manager	Nov-10		Nov-10	Implemented

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23	<p>(a) <b>Council</b> – Risk opportunities on the works and services delivered through the Amey partnership are further 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) <b>Council</b> – 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) <b>Council</b> – 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>	Highway Network Manager - Clive Hall	Nov-10	Jan-11		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.

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