

<b>Title</b>	Place Delivery Assurance Framework
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<b>Report for</b>	Wirral Place Based Partnership Board
<b>Date of Meeting</b>	25 <sup>th</sup> July 2024

### Report Purpose and Recommendations

The purpose of this report is to provide the Wirral Place Based Partnership Board with an update on the system management of key strategic risks as identified in the Place Delivery Assurance Framework. This item was due to be presented at the Wirral Place Based Partnership Board on 20<sup>th</sup> June 2024, which was cancelled due to pre-election guidance.

The Wirral Place Based Partnership Board is asked to:

- Note the work to apply NHS Cheshire and Merseyside's Risk Management Framework to the Wirral Place Partnership governance arrangements.
- Approve the updated Place Delivery Assurance Framework.
- Note that an updated PDAF will be presented at the Board meeting scheduled for 26<sup>th</sup> September 2024.

### Key Risks

The Place Delivery Assurance Framework has identified the key strategic risks for Wirral Place in the following areas:

- Service Delivery
- Children and Young People
- Collaboration
- Workforce
- Finance
- Community Wealth Building
- Unscheduled Care

The documentation defines the inherent, current and target risk score for each of these strategic risks.

### Governance journey

Date	Forum	Report Title	Purpose/Decision
23 <sup>rd</sup> February 2023	NHS Cheshire and Merseyside Board	Risk Management	Approved Risk Management Strategy and Framework
19 <sup>th</sup> October 2023	Wirral Place Based Partnership Board	Developing a Risk Management Framework for Wirral Place Partnership Arrangements	Approved
21 <sup>st</sup> December 2023	Wirral Place Based Partnership Board	Place Delivery Assurance Framework	Approved

21 <sup>st</sup> March 2024	Wirral Place Based Partnership Board	Place Delivery Assurance Framework	Approved
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<b>1</b>	<b>Narrative</b>
<b>1.1</b>	<b>Background</b>
1.1.1	In February 2023 NHS Cheshire and Merseyside's Board approved the organisation's Risk Management Strategy. The Strategy seeks to create an effective risk management framework to ensure that high quality services are delivered within available resources and to provide a safe working environment for staff. The framework that the Strategy creates incorporates Place Based Partnership Boards and their supporting groups as these are part of NHS Cheshire and Merseyside's governance arrangements in each of the nine Places.
1.1.2	The Wirral Place Based Partnership Board approved a paper on 19 <sup>th</sup> October 2023 that set out how the Risk Management Framework will be applied to NHS Cheshire and Merseyside's governance arrangements in and with Wirral Place. The Board approved the Place Delivery Assurance Framework (PDAF) at this meeting. The Board agreed to review the PDAF every three months, the last review was at the meeting held on 21 <sup>st</sup> March 2024. This item was due to be presented at the Wirral Place Based Partnership Board on 20 <sup>th</sup> June 2024, which was cancelled due to pre-election guidance.
1.1.3	Appendix 1 defines the meaning of the terminology used in this paper. Appendix 2 sets out the key components of the risk management framework. Appendix 3 sets out the risk assessment matrix that is being used by NHS Cheshire and Merseyside across the whole organisation and the nine Places. This sets out the criteria used to define and measure impact and likelihood, resulting in the risk rating. This aims to ensure a consistent approach to the rating of risks. This matrix is used for the NHS Cheshire and Merseyside Board Assurance Framework and Risk Registers and is also applied to the PDAF, Place Risk Register and the risk registers of the four supporting groups.
<b>1.2</b>	<b>Applying the Risk Management Framework to Wirral Place Partnership Arrangements</b>
1.2.1	The Place Delivery Assurance Framework (PDAF) in Appendix 4 sets out the controls, the systems and processes, that are currently in place to prevent a risk from occurring, or to reduce the potential consequences and likelihood. The PDAF also provides evidence on the assurances that controls are in place, operating effectively and objectives are being achieved. The PDAF provides an assurance framework for the Wirral Place Based Partnership Board. The PDAF creates a structured means of identifying, mapping and assessing sources of assurance in relation to the strength and effectiveness of the controls that have been put in place to mitigate the risks to Place objectives. By receiving and reviewing the actual assurances and using findings, the adequacy of controls can be confirmed or modified. The PDAF is a "living" document that will be reviewed by the Wirral Place Based Partnership Board every quarter, the next review will be the meeting that will be scheduled for 26 <sup>th</sup> September 2024.
1.2.2	The PDAF was reviewed in May 2024 by the Senior Responsible Officers for the delivery programmes most relevant to the identified strategic risks. It was also reviewed by the Governance leads from partnership organisations, reviewing the PDAF against their own organisational strategic risk management arrangements.

	Appendix 4 sets out the outcomes of this review process. The PDAF Risk Summaries have been adapted to link Integrated Care System (ICS) strategic objectives to the strategic objectives of the Wirral Plan 2026.
1.2.3	<p>The outcomes of the review of the PDAF is as follows:</p> <ul style="list-style-type: none"> <li>• PDAF 1: Service Delivery – there is no change in the risk score.</li> <li>• PDAF 2: Children and Young People – the inherent risk score has been increased from 4(Likelihood(L)) x 4 (Impact(I)) =16 to 5(L)x4(I) =20. The current risk score has increased from 3(L)x4(I)=12 to 4(L)x4(I)=16. This is following the Department for Education Improvement Notice and a revaluation of risk in this area of work.</li> <li>• PDAF 3: Collaboration - there has been no change in the risk score. The Board will note that the Wirral Review work may change this in future.</li> <li>• PDAF 4: Workforce – there has been no change in the risk score.</li> <li>• PDAF 5: Finance – the risk description has been changed from “Poor financial performance in the Wirral health and care system leads to a negative impact and increased monitoring and regulation” to “Financial pressures in the Wirral health and care system could impact in the quality of care and patient experience.” The inherent risk score has moved down from (5(L)x5(I))=25 to 4(L)x4(I)=16. The current risk score has also moved down from 4(L)x(5(I))=20 to 4(L)x3(I)=12. This is down due to changes in NHS Cheshire and Merseyside’s risk framework tolerances as set out in Appendix 3.</li> <li>• PDAF 6: Community Wealth Building – there has been no change in the risk score.</li> <li>• PDAF 7: Unscheduled Care – There has been no change in this risk score.</li> </ul> <p>The Wirral Place Based Partnership Board is asked to approve the updated PDAF.</p>
1.2.4	The Place Director (Wirral) will work the Place Governance Leads in August 2024 to review the PDAF in advance of the September PBPB. This will also take account of revisions to the Risk Management Framework agreed by NHS Cheshire and Merseyside in March 2024.

<b>2</b>	<b>Implications</b>
2.1	<p><i>Risk Mitigation and Assurance</i></p> <p>The implementation of the Risk Management Framework will support the management of the key strategic risks for NHS Cheshire and Merseyside’s partnership arrangements in Wirral.</p>
2.2	<p><i>Financial</i></p> <p>There are no direct financial implications arising from this report, although the ability of the Wirral system to achieve financial balance is a key strategic risk.</p>
2.3	<p><i>Legal and regulatory</i></p> <p>There are no direct legal or regulatory implications arising from this report, although the Risk Management Framework does follow the principles of good governance.</p>

2.4	<p><i>Resources</i></p> <p>There are no direct implications for other resources – staffing, IT and assets – arising from this report. The Risk Management Framework will be managed within existing NHS Cheshire and Merseyside partnership arrangements in Wirral. The PDAF does also identify workforce capacity, capability and availability as a key area of strategic risk.</p>
2.5	<p><i>Engagement and consultation</i></p> <p>Engagement with system partners has taken place in the development of the PDAF. This will continue as the Risk Management Framework is fully implemented in Wirral.</p>
2.6	<p><i>Equality</i></p> <p>Wirral Council and NHS Cheshire and Merseyside and statutory partners have a legal requirement to make sure their policies, and the way they carry out their work, do not discriminate against anyone. No Equality Impact Assessment (EIA) is required for this report.</p>
2.7	<p><i>Environment and Climate</i></p> <p>Wirral Council and NHS Cheshire and Merseyside and partners in Wirral are committed to carrying out their work in an environmentally responsible manner. There are no environment and climate implications arising from this report.</p>
2.8	<p><i>Community Wealth Building</i></p> <p>Community Wealth Building in Wirral focusses on partnerships and collaboration. These partnerships are led by Wirral Council with external partners and stakeholders, including residents. NHS Cheshire and Merseyside and partner organisations will support the Council in community wealth building by ensuring health and care organisations in the borough have a focus on reducing health inequalities and contribute to the development of a resilient and inclusive economy for Wirral. The report concerns the establishment of effective risk management systems which, while not directly impacting on health inequalities, will create a framework for the consideration, identification, and mitigation of risks to health equality, and provide assurance regarding the effectiveness of mitigation strategies.</p>

<b>3</b>	<b>Conclusion</b>
3.1	<p>The next steps in developing NHS Cheshire and Merseyside’s Risk Management Framework in Wirral are to:</p> <ul style="list-style-type: none"> <li>• Undertake the next quarterly review of the PDAF and report to the Wirral Place Based Partnership Board on 26<sup>th</sup> September 2024.</li> <li>• Develop the risk registers for the supporting groups to the Wirral Place Based Partnership Board.</li> </ul>
3.2	<p>This work will be undertaken through engagement with the governance leads of partner organisations and members of the supporting groups. The Wirral Place Based Partnership Board will then receive the latest and most relevant documentation for oversight and assurance.</p>

<b>4</b>	<b>Appendices</b>
	<p>Appendix 1 – Definitions</p> <p>Appendix 2 – Key components of the Risk Management Framework</p> <p>Appendix 3 – Amended Risk Management Matrix</p> <p>Appendix 4 – Place Delivery Assurance Framework and Risk Summaries</p>

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