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| <b>Title</b>           | Developing a Risk Management Framework for Wirral Place Partnership Arrangements   |
| <b>Authors</b>         | Simon Banks, Place Director (Wirral), NHS Cheshire and Merseyside<br>Dawn Boyer, Head of Corporate Affairs and Governance, NHS Cheshire and Merseyside |
| <b>Report for</b>      | Wirral Place Based Partnership Board   |
| <b>Date of Meeting</b> | 19 <sup>th</sup> October 2023  |

### Report Purpose and Recommendations

The purpose of this report is to provide the Wirral Place Based Partnership Board with details on how NHS Cheshire and Merseyside's Risk Management Framework will be applied in Wirral. The paper sets out the key components of the Risk Management Framework and includes a draft Place Delivery Assurance Framework.

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.
- Note that the application of the Risk Management Framework will be undertaken through engagement with partner organisations in Wirral.
- Endorse the work to develop a Place Delivery Assurance Framework and risk registers for the supporting groups to the Board.
- Request an update on the development of the Risk Management Framework and an updated PDAF at the December meeting of the Board.

### Key Risks

This report sets out the Risk Management Framework and a Place Delivery Assurance Framework that is designed to support partners in managing key strategic risks. The key strategic risks identified so far in the draft Place Delivery Assurance Framework pertain to:

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

The documentation defines the initial, 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 |

### 1 Narrative

|            |   |
|------------|---|
| <b>1.1</b> | <b>Background</b>   |
| 1.1.1      | <p>In February 2023 NHS Cheshire and Merseyside’s Board approved the organisation’s Risk Management Strategy. The Strategy reflects current best practice, considering a range of governance standards including those set out in:</p> <ul style="list-style-type: none"> <li>• UK Corporate Code of Governance (2018)</li> <li>• BS31100: The British Code of Practice for Risk Management &amp; Guidance</li> <li>• NHS Controls Assurance, Risk Register Working Group 2002</li> </ul>   |
| 1.1.2      | <p>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. This paper sets out how the Risk Management Framework will be applied to the Wirral Place Based Partnership governance arrangements.</p>   |
| 1.1.3      | <p>Appendix 1 defines the meaning of the terminology used in this paper.</p>  |
| <b>1.2</b> | <b>NHS Cheshire and Merseyside’s Risk Management Framework</b>  |
| 1.2.1      | <p>NHS Cheshire and Merseyside (NHS C&amp;M) is committed to the provision of high-quality commissioning, partnership and collaboration, and NHS system-wide working and oversight in the delivery of its objectives. This will be supported through the development and implementation of a robust system of internal control including processes for risk management and assurance that are understood and embedded at all levels of the organisation.</p>  |
| 1.2.2      | <p>The establishment of effective risk management systems is vital to the successful management of the organisation and local NHS system and is recognised as being fundamental in ensuring good governance. NHS C&amp;M’s management needs to receive robust and independent assurances on the soundness and effectiveness of the systems and processes in place for meeting its objectives and delivering appropriate outcomes. NHS C&amp;M’s leadership therefore has overall responsibility for ensuring they have assurance that the process of risk identification, evaluation and control are effective.</p> |
| 1.2.3      | <p>The Risk Management Framework supports the delivery of NHS Cheshire and Merseyside’s strategic objectives, which are:</p> <ul style="list-style-type: none"> <li>• Improve population health and healthcare.</li> <li>• Tackling health inequality, improving outcomes and access to services.</li> <li>• Enhancing quality, productivity and value for money.</li> <li>• Helping the NHS to support broader social and economic development.</li> </ul>   |
| 1.2.4      | <p>The aims of managing risk effectively are to:</p> <ul style="list-style-type: none"> <li>• Ensure the management of risk is consistent with and supports the achievement of NHS C&amp;M strategic objectives.</li> <li>• Provide high quality services to patients.</li> <li>• Initiate action to prevent or reduce the adverse effects of risk.</li> <li>• Minimise the financial and other negative consequences of losses and claims, for example, poor publicity, loss of reputation.</li> </ul>   |

|            |  |
|------------|--|
|            | <ul style="list-style-type: none"> <li>• Ensure the risks associated with new developments and activities remain within agreed tolerances determined by the relevant Executive Director in accordance with the Board's risk appetite.</li> <li>• Meet statutory and legal obligations and improve compliance with the ongoing requirements of best practice governance standards.</li> <li>• Protect visitors and staff from risks as far as is reasonably practicable.</li> </ul>   |
| 1.2.5      | Appendix 2 sets out the key components of the risk management framework. This paper is concerned about the application of the framework to the Place Based Partnership Board and supporting groups.  |
| <b>1.3</b> | <b>Applying the Risk Management Framework to Wirral Place Partnership Arrangements</b>   |
| 1.3.1      | It is often at the interface between organisations that the highest risks exist and clarity about responsibilities and accountabilities for those risks can sometimes be difficult. Partnership risks in each Place need to be jointly owned by NHS Cheshire and Merseyside and its partners. They need to be influenced by the strategic objectives of Place as well as by those of NHS Cheshire and Merseyside. An approach to partnership risks needs to be developed in conjunction with partners in each Place.   |
| 1.3.2      | Place risks are those that threaten the delivery of NHS Cheshire and Merseyside strategic objectives or statutory functions and duties in each of the nine Places. These are assessed with reference to the impact and likelihood for the Place. The same or similar risks may exist in more than one Place but would be assessed independently in the context of the environment and situation in each Place. Risks will be aggregated across the nine Places and assessed with reference to the impact and likelihood for NHS Cheshire and Merseyside as a whole for the purposes of inclusion on the Corporate Risk Register.   |
| 1.3.3      | As set out in Appendix 2, the focus for Place is to develop a Place Delivery Assurance Framework (PDAF) and a Place Risk Register. The PDAF will focus on the principal risks to the delivery of Place strategic objectives. A Place Risk Register will focus on the delivery of functions delegated to Place, whether specific to a Place or across multiple Places. The Place Risk Register will be influenced by the risk registers of the five supporting groups, which are: <ul style="list-style-type: none"> <li>• Finance and Investment</li> <li>• Primary Care</li> <li>• Quality and Performance</li> <li>• Strategy and Transformation</li> <li>• Workforce</li> </ul> |
| 1.3.4      | 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>1.4</b> | <b>Developing the Place Delivery Assurance Framework (PDAF)</b>  |
| 1.4.1      | NHS Cheshire and Merseyside have engaged with governance leads from partner organisations in Wirral to develop a draft PDAF, which can be found in Appendix 4. The draft PDAF identifies strategic risks in the following areas:   |

|       |  |
|-------|--|
|       | <ul style="list-style-type: none"> <li>• Service Delivery</li> <li>• Children and Young People</li> <li>• Collaboration</li> <li>• Workforce</li> <li>• Finance</li> <li>• Community Wealth Building</li> </ul> <p>The documentation defines the initial, current and target risk score for each of these strategic risks.</p>   |
| 1.4.2 | The PDAF 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.  |
| 1.4.3 | 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. |
| 1.4.4 | Governance leads from partnership organisations reviewed the draft PDAF and risk summaries on 7 <sup>th</sup> September 2023. Governance leads from partner organisations will continue to be engaged to develop the PDAF further, reviewing the PDAF against their own organisational strategic risk management arrangements. The PDAF is a “living” document that will be reviewed by the Wirral Place Based Partnership Board every quarter.        |

| 2 Implications |   |
|----------------|---|
| 2.1            | <i>Risk Mitigation and Assurance</i><br>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.  |
| 2.2            | <i>Financial</i><br>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.  |
| 2.3            | <i>Legal and regulatory</i><br>There are no direct legal or regulatory implications arising from this report, although the Risk Management Framework does follow the principles of good governance.   |
| 2.4            | <i>Resources</i><br>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. |
| 2.5            | <i>Engagement and consultation</i><br>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.   |

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| 2.6 | <p><i>Equality</i><br/>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><br/>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><br/>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> |

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| <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>• Develop the PDAF and establish quarterly reporting to the Wirral Place Based Partnership Board.</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>   |

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

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|-----------------------|--|
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## APPENDIX 1

## DEFINITIONS

|                        |   |
|------------------------|---|
| <b>Risk</b>            | <p>The effect of uncertainty on objectives.</p> <p>Risk is the combination of the probability of an event and its consequence.</p> <p>The chance of something happening that will have an impact on objectives.</p> <p>An uncertain event or set of events that, should it occur, will have an effect on the achievement of objectives.</p>   |
| <b>Issue</b>           | <p>A relevant event that has happened or is certain to happen, was not planned, and requires specific management action.</p> <p>The distinction between an issue and a risk is that an issue is an event that has happened or will happen, and a risk is an event that may happen.</p>  |
| <b>Risk Assessment</b> | <p>A systematic process of identifying, analysing and evaluating risks.</p>   |
| <b>Impact</b>          | <p>A measure of the anticipated effect on the achievement of NHS C&amp;M's objectives if the event or set of events occurs.</p>   |
| <b>Likelihood</b>      | <p>A measure of the chance or probability of the event or set of events occurring.</p>  |
| <b>Risk Rating</b>     | <p>The severity assigned to a risk following assessment. This is determined by multiplying the impact of the risk by the likelihood of occurrence.</p>  |
| <b>Risk Matrix</b>     | <p>A matrix setting out the criteria used to define and measure the impact and likelihood, resulting in the risk rating. This aims to ensure a consistent approach to the rating of risks across NHS C&amp;M. Impact may be measured in the context of each of the 9 places or for the ICB as a whole.</p>  |
| <b>Risk Management</b> | <p>The culture, framework, processes and structures that are directed towards identifying, understanding and controlling exposure to risks which may threaten the achievement of NHS C&amp;M's objectives.</p>  |
| <b>Risk Register</b>   | <p>A log of risks of all kinds that threaten the achievement of NHS C&amp;M's objectives. It is a dynamic document, populated through the organisation's risk management process, enabling risk to be quantified and ranked. It provides a structure for collating information about risks that helps both in the analysis of risks and in decisions about whether or how these risks should be treated. The ICB will have a Corporate Risk Register and 9 Place Risk Registers.</p>  |
| <b>Controls</b>        | <p>The systems or processes we <i>currently</i> have in place to prevent a risk from occurring, or to reduce the potential consequences and likelihood. Examples of possible controls include:</p> <ul style="list-style-type: none"> <li>• Implementation of policies and guidance</li> <li>• Management structure and accountabilities</li> <li>• Corporate and clinical governance processes</li> <li>• Statutory frameworks e.g., Standing Orders, Standing Financial Instructions, Scheme of Delegation</li> <li>• Incident reporting, complaints, and patient and public feedback procedures</li> <li>• Staff recruitment, retention and training.</li> </ul> |

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| <b>Assurance</b>                 | Confidence, based on sufficient evidence, that internal controls are in place, operating effectively and objectives are being achieved.   |
| <b>Assurance Framework</b>       | A structured means of identifying, mapping and assessing sources of assurance in relation to the strength and effectiveness of internal controls to mitigate the risks to the organisation's objectives. By receiving and reviewing actual assurances and using findings, the adequacy of internal control can be confirmed or modified.  |
| <b>Board Assurance Framework</b> | The document used to capture and provide assurance to the ICB's board in relation to the control of the principal risks and delivery of the strategic objectives.   |
| <b>Principal Risks</b>           | The key risks, of such significance that should they be realised, would prevent NHS C&M from delivering its strategic objectives, continuing to operate and/or seriously affect its performance, future prospects or reputation. These include risks that would threaten the business model, future performance or financial sustainability of NHS C&M.   |
| <b>Corporate Risks</b>           | Risks that threaten the delivery of the ICB's operational plan, statutory functions and duties. These are assessed with reference to the impact and likelihood for the ICB as a whole and in some cases will be an aggregation of risks being managed in the 9 places.  |
| <b>Place Risks</b>               | Risks that threaten the delivery of the ICB Place objectives, operational plans, statutory functions and duties in each of the 9 places. These are assessed with reference to the impact and likelihood for the place. The same or similar risks may exist in more than one place but would be assessed independently in the context of the environment and situation in each place. Risks will be aggregated across the 9 places and assessed with reference to the impact and likelihood for the ICB as a whole for the purposes of inclusion on the Corporate Risk Register. |
| <b>Risk Appetite</b>             | The amount of risk that NHS C&M is willing to seek or accept in the pursuit of its strategic objectives. This is determined by the Board in relation to each strategic objective and is reviewed annually. It is used by the leadership team to determine what potential options will / will not be considered in pursuing these objectives.  |
| <b>Risk Tolerance</b>            | The boundaries of risk taking outside of which NHS C&M is not prepared to venture in the pursuit of its strategic objectives. This is determined by the Board and reflected in this Risk and Assurance Strategy. It is used by leadership to determine where action is required to improve control and when risks require escalation.   |



## APPENDIX 3

## RISK ASSESSMENT MATRIX

| LEVEL | DESCRIPTOR             | DESCRIPTION – ICB LEVEL  | DESCRIPTION – PLACE LEVEL  |
|-------|------------------------|--|--|
| 5     | Catastrophic (>75%)    | <p><b>Safety</b> - multiple deaths which is responsibility of ICB. Multiple permanent injuries or irreversible health effects. An event affecting &gt;50 people.</p> <p><b>Finance</b> - significant financial loss - &gt;1% of ICB budget</p> <p><b>Reputation</b> - failure to be authorised, sustained adverse national media (3 days+), significant adverse public reaction / loss of public confidence</p>                  | <p><b>Safety</b> - multiple deaths which is responsibility of ICB. Multiple permanent injuries or irreversible health effects. An event affecting &gt;50 people.</p> <p><b>Finance</b> - significant financial loss - &gt;1% of delegated Place budget</p> <p><b>Reputation</b> - ICB delegation withheld / withdrawn, sustained adverse local media (3 days+), significant adverse public reaction / loss of public confidence</p>    |
| 4     | Major (50% > 75%)      | <p><b>Safety</b> - individual death / permanent injury/ disability which is responsibility of ICB. 14 days off work - affects 16 – 50</p> <p><b>Finance</b> - major financial loss of 0.5-1% of ICB budget</p> <p><b>Reputation</b> - criticism or intervention by NHSE/I, litigation, adverse national media, adverse public</p>  | <p><b>Safety</b> - individual death / permanent injury/ disability which is responsibility of ICB. 14 days off work - affects 16</p> <p><b>Finance</b> - major financial loss of 0.5-1% of delegated Place budget</p> <p><b>Reputation</b> - criticism or intervention by ICB, litigation, adverse local media, adverse public reaction</p>  |
| 3     | Moderate (25% > - 50%) | <p><b>Safety</b> - moderate injury or illness, requiring medical treatment e.g. fracture which is responsibility of ICB. RIDDOR/Agency reportable incident (4-14 days lost).</p> <p><b>Finance</b> - moderate financial loss - less than 0.5% of ICB budget</p> <p><b>Reputation</b> - conditions imposed on authorisation by NHSE/I, litigation, local media coverage, patient and partner complaints &amp; dissatisfaction</p> | <p><b>Safety</b> - moderate injury or illness, requiring medical treatment e.g. fracture which is responsibility of ICB. RIDDOR/Agency reportable incident (4-14 days lost).</p> <p><b>Finance</b> - moderate financial loss - less than 0.5% of delegated Place budget</p> <p><b>Reputation</b> - conditions imposed on delegation by ICB, litigation, local media coverage, patient and partner complaints &amp; dissatisfaction</p> |
| 2     | Minor (<25%)           | <p><b>Safety</b> - minor injury or illness requiring first aid treatment</p> <p><b>Finance</b> - minor financial loss less than 0.2% of ICB budget</p> <p><b>Reputation</b> - some criticism slight possibility of complaint or litigation but minimum impact on ICB</p>   | <p><b>Safety</b> - minor injury or illness requiring first aid treatment</p> <p><b>Finance</b> - minor financial loss less than 0.2% of delegated Place budget</p> <p><b>Reputation</b> - some criticism slight possibility of complaint or litigation but minimum impact on Place</p>   |
| 1     | Negligible (<5%)       | <p><b>Safety</b> - none or insignificant injury due to fault of ICB</p> <p><b>Finance</b> - no financial or very minor loss</p> <p><b>Reputation</b> - no impact or loss of external reputation</p>  | <p><b>Safety</b> - none or insignificant injury due to fault of ICB</p> <p><b>Finance</b> - no financial or very minor loss</p> <p><b>Reputation</b> - no impact or loss of external reputation</p>  |

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|--|--|--|---|--|
| <b>1</b>   | <b>2</b>   | <b>3</b>   | <b>4</b>  | <b>5</b>   |
| <b>Rare</b><br>The event could only occur in exceptional circumstances (<5%) | <b>Unlikely</b><br>The event could occur at some time (<25%) | <b>Possible</b><br>The event may well occur at some time (25%> -50%) | <b>Likely</b><br>The event will occur in most circumstances (50% > 75%) | <b>Almost certain</b><br>The event is almost certain to occur (>75%) |

| LIKELIHOOD of risk being realised | IMPACT (severity) of risk being realised |           |              |           |                  |
|-----------------------------------|--|-----------|--------------|-----------|------------------|
|                                   | Negligible (1)                           | Minor (2) | Moderate (3) | Major (4) | Catastrophic (5) |
| Rare (1)                          | 1  | 2         | 3            | 4         | 5                |
| Unlikely (2)                      | 2  | 4         | 6            | 8         | 10               |
| Possible (3)                      | 3  | 6         | 9            | 12        | 15               |
| Likely (4)                        | 4  | 8         | 12           | 16        | 20               |
| Almost Certain (5)                | 5  | 10        | 15           | 20        | 25               |

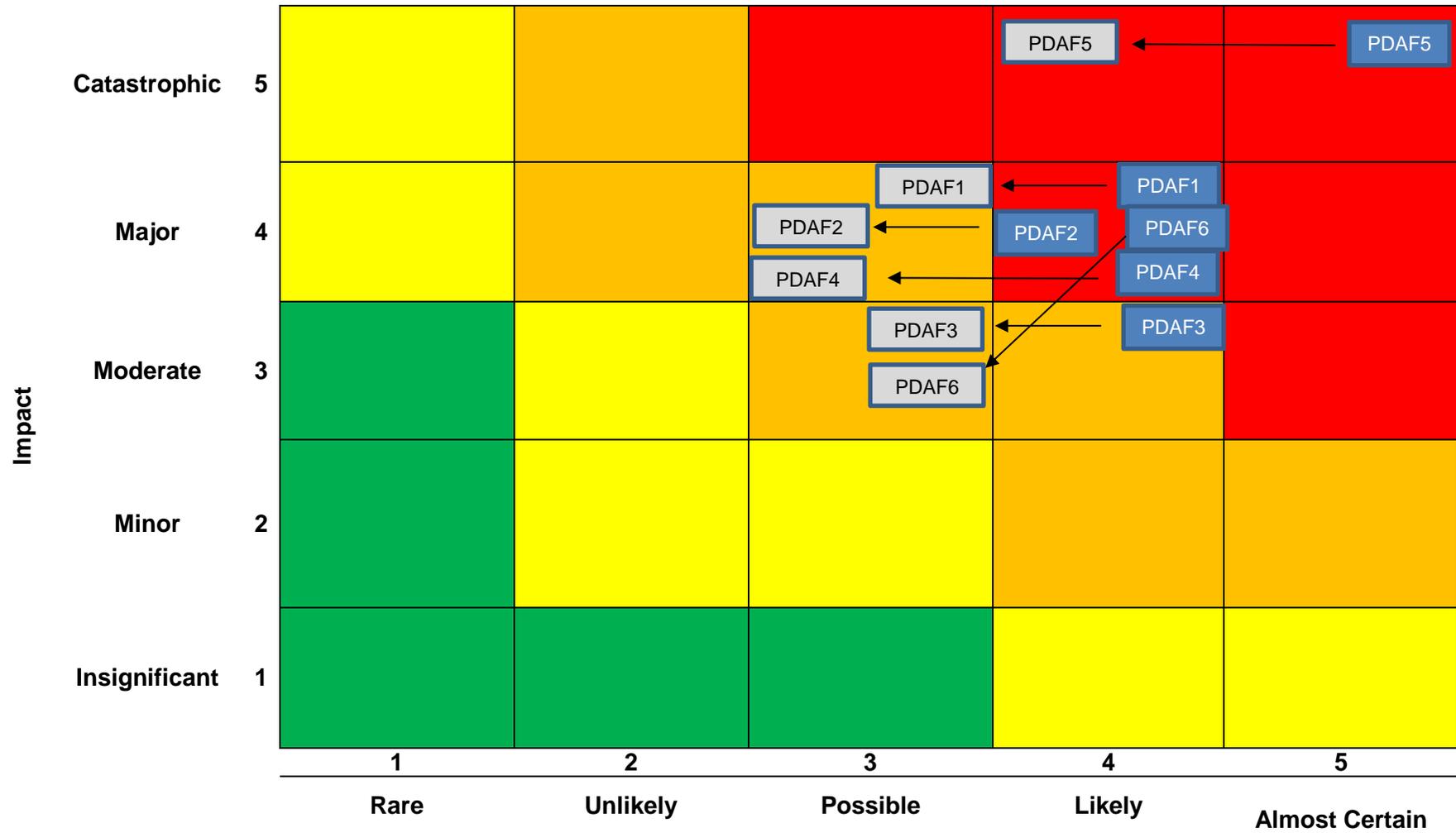
## Wirral Place Based Partnership Board Delivery Assurance Framework 2023/24

| Risk Identifier   | Principal Risks  | Responsible Group and SRO                            | Inherent Risk Score (LxI) | Current Risk Score (LxI) | Change from previous quarter | Target Risk Score | Priority Actions / Assurance Activities  |
|---|--|--|---------------------------|--------------------------|------------------------------|-------------------|--|
| <b>Strategic Objective 1: Tackling Health Inequalities in Outcomes, Access and Experience</b> |  |  |                           |                          |                              |                   |  |
| <b>PDAF 1</b>   | <b>Service Delivery:</b> Wirral system partners are unable to deliver the priority programmes within the Wirral Health and Care Plan which will result in poorer outcomes and greater inequalities for our population. | Wirral Place Based Partnership Board, Place Director | <b>4x4=16</b>             | <b>3x4=12</b>            |                              | <b>2x4=8</b>      | <p>Place Based Partnership Board has approved Wirral Health and Care Plan.</p> <p>Common approach to reporting on delivery using SmartSheets needs to be agreed by Place Based Partnership Board.</p> <p>Regular reporting to relevant supporting group and/or Wirral Place Based Partnership Board needs to be established.</p> |

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| PDAF 2  | <b>Children and Young People:</b> The Wirral health and care system is unable to meet the needs of children and young people with complex and/or additional needs leading to long term health issues, increased inequalities and demands on services. | Wirral Place Based Partnership Board, Place Director | 4x4=16 | 3x4=12 |  | 2x4=8 | Development of a JSNA for children and young people.<br><br>Implementation of actions to address SEND Written Statement of Action.<br><br>Development of new pathways and services for children and young people with complex needs that provide alternatives to care, custody or inpatient admission through anticipatory care. |
| <b>Strategic Objective 2: Improving Population Health and Healthcare</b>          |   |  |        |        |  |       |  |
| PDAF 3  | <b>Collaboration:</b> Leaders and organisations in the Wirral health and care system may not work together effectively to improve population health and healthcare.   | Wirral Place Based Partnership Board, Place Director | 4x3=12 | 3x3=9  |  | 1x3=3 | Place Review Meetings<br><br>Reporting systems in place.   |
| <b>Strategic Objective 3: Enhancing Quality, Productivity and Value for Money</b> |   |  |        |        |  |       |  |
| PDAF 4  | <b>Workforce:</b> The Wirral health and care system is unable to recruit, develop and retain staff to create a diverse health and care workforce with the skills and experience   | Wirral Place Based Partnership Board, Place          | 4x4=16 | 3x4=12 |  | 3x3=9 | Establish Workforce Strategy Group   |

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|  | required to deliver the strategic objectives.  | Director   |        |        |  |        | Develop Workforce Strategy<br><br>Establish reporting mechanisms to Place Based Partnership Board.   |
| <b>PDAF 5</b>  | <b>Finance:</b> Poor financial performance in the Wirral health and care system leads to a negative impact and increased monitoring and regulation.  | Wirral Place Based Partnership Board, Place Director | 5x5=25 | 4x5=20 |  | 3x5=15 | Develop and implement Wirral Place Financial Recovery Plan.<br><br>Establish reporting mechanisms to Place Based Partnership Board through Finance and Investment group. |
| <b>Strategic Objective 4: Helping the NHS to support broader social and economic development</b> |  |  |        |        |  |        |  |
| <b>PDAF 6</b>  | <b>Community Wealth Building:</b> The focus on responding to current service priorities and demands diverts resource and attention from delivery of longer-term initiatives in our strategies that support the broader social and economic development of the borough. | Wirral Place Based Partnership Board, Place Director | 4x4=16 | 3x3=9  |  | 2x3=6  | Approval of Joint Forward Plan by Wirral Health and Wellbeing Board.<br><br>Establish delivery arrangements and governance for Health and Wellbeing Strategy.            |

# Heat Map



Inherent Risk

Current Risk

## Risk Assurance Map

| Risk Identifier   | Principal Risks   | Current Risk Score | Controls |           |       |           |           | 1 <sup>st</sup> line of defence  | 2 <sup>nd</sup> line of defence   | 3 <sup>rd</sup> line of defence   | Assurance Rating  |
|---|---|--------------------|----------|-----------|-------|-----------|-----------|--|---|---|-------------------|
|   |   |                    | Policies | Processes | Plans | Contracts | Reporting |  |   |   |                   |
| <b>Strategic Objective 1: Tackling Health Inequalities in Outcomes, Access and Experience</b> |   |                    |          |           |       |           |           |  |   |   |                   |
| <b>PDAF 1</b>   | <b>Service Delivery:</b> Wirral system partners are unable to deliver the priority programmes within the Wirral Health and Care Plan which will result in poorer outcomes and greater inequalities for our population.                                | 12                 | G        | G         | A     | G         | A         | Senior Responsible Officer and management control of each priority programme – <b><i>In place.</i></b> | Programme reporting to Strategy and Transformation Group (majority of programmes) - <b><i>Planned</i></b> | Reporting to Place Based Partnership Board - <b><i>Planned</i></b>            | <b>Reasonable</b> |
| <b>PDAF 2</b>   | <b>Children and Young People:</b> The Wirral health and care system is unable to meet the needs of children and young people with complex and/or additional needs leading to long term health issues, increased inequalities and demands on services. | 12                 | G        | A         | A     | G         | G         | Day to day management oversight and leadership – <b><i>In place.</i></b>                               | Escalation to senior leadership - <b><i>In place.</i></b>   | Escalation to Wirral system CEOs and Place Director – <b><i>In place.</i></b> | <b>Reasonable</b> |
| <b>Strategic Objective 2: Improving Population Health and Healthcare</b>                      |   |                    |          |           |       |           |           |  |   |   |                   |
| <b>PDAF 3</b>   | <b>Collaboration:</b> Leaders and organisations in the Wirral health and care system may not work together effectively to improve population health   | 9                  | G        | A         | A     | G         | A         | Day to day management oversight and leadership – <b><i>In place.</i></b>                               | Alignment of programmes of work around Wirral Health and Care Plan – <b><i>In place.</i></b>              | Place Director and Wirral System CEOs meeting – <b><i>In</i></b>              | <b>Reasonable</b> |

| Risk Identifier   | Principal Risks   | Current Risk Score | Controls |           |          |           |           | 1 <sup>st</sup> line of defence  | 2 <sup>nd</sup> line of defence   | 3 <sup>rd</sup> line of defence            | Assurance Rating  |
|---|---|--------------------|----------|-----------|----------|-----------|-----------|--|---|--|-------------------|
|   |   |                    | Policies | Processes | Plans    | Contracts | Reporting |  |   |  |                   |
|   | and healthcare.   |                    |          |           |          |           |           | Working groups to deliver system priorities – <b><i>In place.</i></b><br><br>Reporting to supporting groups – <b><i>Planned.</i></b> | <b><i>place.</i></b><br><br>Reporting to PBPB – <b><i>Planned.</i></b><br><br>Place Review Meetings – <b><i>In place.</i></b> |  |                   |
| <b>Strategic Objective 3: Enhancing Quality, Productivity and Value for Money</b> |   |                    |          |           |          |           |           |  |   |  |                   |
| <b>PDAF 4</b>   | <b>Workforce:</b> The Wirral health and care system is unable to recruit, develop and retain staff to create a diverse health and care workforce with the skills and experience required to deliver the strategic objectives. | <b>12</b>          | <b>A</b> | <b>A</b>  | <b>A</b> | <b>G</b>  | <b>A</b>  | Day to day management oversight and leadership – <b><i>In place.</i></b>   | Workforce Supporting Group and associated work programme – <b><i>Planned.</i></b>   | Reporting to PBPB – <b><i>Planned.</i></b> | <b>Reasonable</b> |
| <b>PDAF 5</b>   | <b>Finance:</b> Poor financial performance in the Wirral health and care system leads to a negative impact and increased monitoring and regulation.   | <b>20</b>          | <b>A</b> | <b>A</b>  | <b>A</b> | <b>A</b>  | <b>A</b>  | Day to day management oversight and leadership – <b><i>In place.</i></b>   | Internal organisational controls – <b><i>In place.</i></b><br><br>Financial Recovery Plan – <b><i>Planned.</i></b>            | Reporting to PBPB – <b><i>Planned.</i></b> | <b>Reasonable</b> |

| Risk Identifier  | Principal Risks  | Current Risk Score | Controls |           |          |           |           | 1 <sup>st</sup> line of defence  | 2 <sup>nd</sup> line of defence  | 3 <sup>rd</sup> line of defence   | Assurance Rating  |
|--|--|--------------------|----------|-----------|----------|-----------|-----------|--|--|---|-------------------|
|  |  |                    | Policies | Processes | Plans    | Contracts | Reporting |  |  |   |                   |
|  |  |                    |          |           |          |           |           | Monitoring and interventions through Finance and Investment Group – <i>In place.</i> |  |   |                   |
| <b>Strategic Objective 4: Helping the NHS to support broader social and economic development</b> |  |                    |          |           |          |           |           |  |  |   |                   |
| <b>PDAF 6</b>  | <b>Community Wealth Building:</b> The focus on responding to current service priorities and demands diverts resource and attention from delivery of longer-term initiatives in our strategies that support the broader social and economic development of the borough. | <b>9</b>           | <b>G</b> | <b>G</b>  | <b>A</b> | <b>G</b>  | <b>A</b>  | Day to day management oversight and leadership – <i>In place.</i>                    | Reporting to Health and Wellbeing Board and Place Based Partnership Board - <i>Planned</i> | Review and approval of Wirral Health and Wellbeing Strategy by Wirral Health and Wellbeing Board – <i>In place.</i> | <b>Reasonable</b> |

## Risk Summaries

|                     |  |
|---------------------|--|
| <b>ID No: PDAF1</b> | <b>Risk Title: Wirral system partners are unable to deliver the priority programmes within the Wirral Health and Care Plan which will result in poorer outcomes and greater inequalities for our population.</b> |
|---------------------|--|

|   | Likelihood   | Impact | Risk Score                                | Trend                         |
|---|--|--------|---|-------------------------------|
| Inherent Risk Score <i>[assess on 5x5 scale, this is the score before any controls are applied]</i> | 4  | 4      | <b>16</b>                                 |                               |
| Current Risk Score  | 3  | 4      | <b>12</b>                                 |                               |
| Target Risk Score   | 2  | 4      | <b>8</b>                                  |                               |
| Risk Appetite   | NHS Cheshire and Merseyside are still working on guidance on Risk Appetite.      |        |   |                               |
| Senior Responsible Lead   | Operational Lead   |        | Directorate                               | Responsible Committee         |
| Place Director, NHS Cheshire and Merseyside   | Associate Director, Transformation and Partnerships, NHS Cheshire and Merseyside |        | NHS Cheshire and Merseyside, Wirral Place | Place Based Partnership Board |

| Strategic Objective  | Function       | Risk Proximity            | Risk Type | Risk Response |
|--|----------------|---------------------------|-----------|---------------|
| Strategic Objective 1: Tackling Health Inequalities in Outcomes, Access and Experience | Transformation | C - beyond financial year | Place     | Manage        |

| Date Raised                | Last Updated                   | Next Update Due               |
|----------------------------|--------------------------------|-------------------------------|
| 12 <sup>th</sup> July 2023 | 7 <sup>th</sup> September 2023 | 31 <sup>st</sup> October 2023 |

## Risk Description

*[Description of risk and rationale for score – think about the cause, what this might lead to (the risk) and the consequences if this happens]*

The Wirral Health and Care Plan 2023/24 has been agreed with system partners and approved by the Wirral Place Based Partnership Board. The Plan and the component programmes now need to be delivered. The Board needs oversight of these programmes to gain assurance on delivery and to intervene if there is deviation from or non-delivery of these programmes. This risk therefore concerns the potential consequences of deviation from the agreed Plan. It is the role of NHS Cheshire and Merseyside to hold providers to account for the delivery of the Plan through the Wirral Place Based Partnership Board.

## Linked operational risks

The operational Risk Registers are to be developed.

| Current Controls |   | Rating |
|------------------|---|--------|
| <b>Policies</b>  | NHS Operational Planning Guidance 2023/24   | Green  |
| <b>Processes</b> | Health and Care Plan developed collaboratively. Programme Management, Contract Management | Green  |
| <b>Plans</b>     | Wirral Health and Care Plan 2023/24 developed with and approved by partners.              | Amber  |
| <b>Contracts</b> | Wirral Health and Care Plan 2023/24 included in contracts with providers.                 | Green  |
| <b>Reporting</b> | Governance and reporting routes agreed.   | Amber  |

## Gaps in control

*[areas where controls are not in place or are not effective, or where we cannot be assured of their effectiveness]*

Individual programme delivery plans to be finalised.  
Establish common approach to reporting on delivery using SmartSheets.

| Actions planned  | Owner | Timescale                           | Progress Update                         |
|--|-------|-------------------------------------|---|
| Individual delivery plans to be finalised by programme Senior Responsible Officers and shared with relevant supporting group/ Place Based Partnership Board. | SROs  | 19 <sup>th</sup><br>October<br>2023 | In progress                             |
| Common approach to reporting on delivery using SmartSheets (will require Place Based Partnership Board agreement).   | WIT   | 19 <sup>th</sup><br>October<br>2023 | In progress on agenda for October PBPB. |

|  |  |  |  |
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| <b>Assurances</b>  |  |                                 |  |
|--|--|---------------------------------|--|
| <b>Planned</b>   | <b>Actual</b>  |                                 | <b>Rating</b>  |
| Place Based Partnership Board approval of Wirral Health and Care Plan.   | Approved by Wirral Place Based Partnership Board in June 2023 (reasonable) |                                 | <b>Reasonable</b>  |
| Common approach to reporting on delivery using SmartSheets to be agreed by Place Based Partnership Board (planned September)   |  |                                 |  |
| Regular reporting to relevant supporting group and/or Wirral Place Based Partnership Board (planned to commence September)   |  |                                 |  |
| <b>Gaps in assurance</b>   |  |                                 |  |
| <i>[areas where controls are not in place or are not effective, or where we cannot be assured of their effectiveness]</i>  |  |                                 |  |
| Common approach to reporting on delivery using SmartSheets needs to be agreed by Place Based Partnership Board.<br>Regular reporting to relevant supporting group and/or Wirral Place Based Partnership Board needs to be established. |  |                                 |  |
| <b>Actions planned</b>   | <b>Owner</b>   | <b>Timescale</b>                | <b>Progress Update</b>   |
| Common approach to reporting on delivery using SmartSheets needs to be agreed by Place Based Partnership Board.  | Place Director   | 28 <sup>th</sup> September 2023 | Work in progress with Programme Delivery Unit and Strategy and Transformation Group. |
| Regular reporting to relevant supporting group and/or Wirral Place Based Partnership Board needs to be established.  | Place Director   | 28 <sup>th</sup> September 2023 | Work in progress with Programme Delivery Unit and Strategy and Transformation Group. |

ID No: PDAF 2

**Risk Title: The Wirral health and care system is unable to meet the needs of children and young people with complex and/or additional needs leading to long term health issues, increased inequalities and demands on services.**

|   | Likelihood  | Impact | Risk Score | Trend |
|---|---|--------|------------|-------|
| Inherent Risk Score <i>[assess on 5x5 scale, this is the score before any controls are applied]</i> | 4   | 4      | 16         |       |
| Current Risk Score  | 3   | 4      | 12         |       |
| Target Risk Score   | 2   | 4      | 8          |       |
| Risk Appetite   | NHS Cheshire and Merseyside are still working on guidance on Risk Appetite. |        |            |       |

| Senior Responsible Lead                     | Operational Lead   | Directorate                               | Responsible Committee                |
|---|--|---|--------------------------------------|
| Place Director, NHS Cheshire and Merseyside | Joint Commissioning Lead for CYP, Wirral Council and NHS C&M | NHS Cheshire and Merseyside, Wirral Place | Wirral Place Based Partnership Board |

| Strategic Objective  | Function                                  | Risk Proximity           | Risk Type | Risk Response |
|--|---|--------------------------|-----------|---------------|
| Strategic Objective 1: Tackling Health Inequalities in Outcomes, Access and Experience | Quality, transformation and commissioning | C- Beyond financial year | Place     | Manage        |

| Date Raised                  | Last Updated                   | Next Update Due               |
|------------------------------|--------------------------------|-------------------------------|
| 25 <sup>th</sup> August 2023 | 7 <sup>th</sup> September 2023 | 31 <sup>st</sup> October 2023 |

**Risk Description**

Increased demand and complexity of children and young people which has increased since the pandemic which is now compounded by cost of living crisis which is leading to more children living in poverty and neglect and a reduction in support to CYP.

**Linked operational risks** The operational Risk Registers are to be developed.

| Current Controls |  | Rating |
|------------------|--|--------|
| <b>Policies</b>  | HR Policies. Operational policies and SEND. CHC national framework. Safeguarding. Mental Health Act. Children's Act.   | Green  |
| <b>Processes</b> | CYP mental health escalation framework. DSD data base. Neurodevelopmental pathway. AACHC Children's framework  | Amber  |
| <b>Plans</b>     | SEND Written Statement of Action (WSOA) - Action Plan. CYP mental health transformation.   | Amber  |
| <b>Contracts</b> | NHS Standard Contract. Local Authority contract  | Green  |
| <b>Reporting</b> | Children, Young People and Education Committee. SEND Transformation Board. Health and Wellbeing Board. JHECCG. Wirral Place Based Partnership Board. Children Safeguarding Partnership. Quality and Performance Group. Contract meetings. Strategy and Transformation Group. | Green  |

#### Gaps in control

Knowledge of future needs of population. Preparation for re-inspection of SEND with a view to removal of Written Statement of Action (WSOA). Pathways and services for CYP with complex needs that provide alternatives to care, custody or inpatient admission through anticipatory care.

| Actions planned   | Owner  | Timescale     | Progress Update |
|---|--|---------------|-----------------|
| Demand modelling – delivering Better Value for Send and review of JSNA  | Assistant Director: Education (Wirral Council) Joint Commissioning Lead for CYP (Wirral Council and NHS C&M) | December 2023 | In progress     |
| Action planning for SEND reinspection and delivery of WSOA action plan. | Director, Children's Services (Wirral Council) and Associate Director,                                       | January 2024  | In progress     |

|   |  |    |    |
|---|--|----|----|
|   | Quality and Patient Safety (Wirral), NHS C&M |    |    |
| Development of alternative care pathways and provision. | ??   | ?? | ?? |

| Assurances   |  |            |
|--|--|------------|
| Planned  | Actual   | Rating     |
| Joint Strategic Needs Assessment for CYP to be agreed by Wirral Health and Wellbeing Board.  | On forward plan for Wirral Health and Wellbeing Board 2023/24 Work Programme.  | Reasonable |
| Evidence of progress against WSOA to Wirral Council Children, Young People and Education Committee and other governance arrangements in Wirral Place.            | Progress being reported regularly into local governance and needs to continue. |            |
| Progress on CYP transformation agenda monitored through programme reporting to Strategy and Transformation Group and subsequently Place Based Partnership Board. | Programme reporting to Strategy and Transformation Group.                      |            |
|  |  |            |

**Gaps in assurance**

Agreed JSNA. Removal of WSOA by Office for Standards in Education, Children's Services and Skills (OFSTED). Establish reporting on delivery of transformation programme.

| Actions planned  | Owner   | Timescale              | Progress Update  |
|--|---|------------------------|--|
| Health and Wellbeing Board agree JSNA.                       | Assistant Director: Education (Wirral Council)<br>Joint Commissioning Lead for CYP (Wirral Council and NHS C&M) | February 2024          | In progress, dependent on Health and Wellbeing Board scheduling.     |
| System meeting requirements to enable OFSTED to remove WSOA. | Director, Children's Services   | Timescale dependent on | Director, Children's Services (Wirral Council) liaising with OFSTED. |

|   |   |              |  |
|---|---|--------------|--|
|   | (Wirral Council) and Associate Director, Quality and Patient Safety (Wirral), NHS C&M | OFSTED       |  |
| Quarterly programme reporting to Strategy and Transformation Group. | CYP Programme SRO   | October 2023 | In progress, first report due 19 <sup>th</sup> October 2023. |

|                      |  |
|----------------------|--|
| <b>ID No: PDAF 3</b> | <b>Risk Title: Leaders and organisations in the Wirral health and care system may not work together effectively to improve population health and healthcare.</b> |
|----------------------|--|

|   | Likelihood  | Impact | Risk Score | Trend |
|---|---|--------|------------|-------|
| Inherent Risk Score <i>[assess on 5x5 scale, this is the score before any controls are applied]</i> | 4   | 3      | 12         |       |
| Current Risk Score  | 3   | 3      | 9          |       |
| Target Risk Score   | 1   | 3      | 3          |       |
| Risk Appetite   | NHS Cheshire and Merseyside are still working on guidance on Risk Appetite. |        |            |       |

| Senior Responsible Lead                     | Operational Lead                            | Directorate                               | Responsible Committee                |
|---|---|---|--------------------------------------|
| Place Director, NHS Cheshire and Merseyside | Place Director, NHS Cheshire and Merseyside | NHS Cheshire and Merseyside, Wirral Place | Wirral Place Based Partnership Board |

| Strategic Objective   | Function  | Risk Proximity                | Risk Type | Risk Response |
|---|---|-------------------------------|-----------|---------------|
| Strategic Objective 2: Improving Population Health and Healthcare | Quality, performance, transformation, commissioning, finance, workforce and governance. | B – within the financial year | Place     | Manage        |

| Date Raised                  | Last Updated                   | Next Update Due               |
|------------------------------|--------------------------------|-------------------------------|
| 22 <sup>nd</sup> August 2023 | 7 <sup>th</sup> September 2023 | 31 <sup>st</sup> October 2023 |

|                         |
|-------------------------|
| <b>Risk Description</b> |
|-------------------------|

Collaborative working across system partners in Wirral is essential to the successful provision of quality services and delivery within budget.

Good working relationships improve communication, save time, reduce duplication of effort, and provide a better experience for people who use health and social care services.

NHS Wirral Place has a strong relationship with partners across the borough and this has only been strengthened with the maturing Wirral Place Based Partnership Board and the reciprocal cross inclusion of senior staff at leadership forums at Wirral Council and NHS Wirral.

**Linked operational risks** The operational Risk Registers are to be developed.

| Current Controls   |   |              | Rating          |
|--|---|--------------|-----------------|
| <b>Policies</b>  | Wirral Place Governance Manual. Target Operating Model.   |              | Green           |
| <b>Processes</b>   | Place Based Partnership Board (PBPB) and supporting groups established with cross sector representation. Business meetings outside of these groups. |              | Amber           |
| <b>Plans</b>   | Wirral Health and Care Plan and supporting programme delivery.  |              | Amber           |
| <b>Contracts</b>   | Contracts in place with providers in the system which include duty to collaborate.  |              | Green           |
| <b>Reporting</b>   | Reporting to PBPB.  |              | Amber           |
| Gaps in control  |   |              |                 |
| Reporting that demonstrates impact of actions by Wirral partners – finance, quality, performance and programme delivery. |   |              |                 |
| Actions planned  | Owner   | Timescale    | Progress Update |
| Place Finance Report for PBPB  | Associate Director – Finance and Performance  | October 2023 | In progress     |
| Place Quality and Performance Report for PBPB  | Associate Director – Quality and Safety   | October 2023 | In progress     |
| Place Programme Delivery Report for PBPB   | Programme Director, Wirral Improvement Team   | October 2023 | In progress     |
|  |   |              |                 |
|  |   |              |                 |

| Assurances  |  |                                 |                        |
|---|--|---------------------------------|------------------------|
| Planned   | Actual   |                                 | Rating                 |
| Place Review Meetings   | Held quarterly, next meeting scheduled for 29 <sup>th</sup> September 2023. Positive feedback from meeting held in May 2023. |                                 | Reasonable             |
| PBPB receives regular reports on finance, quality, performance and risk.  | Reports in these areas due to commence at October 2023 meeting.  |                                 |                        |
| PBPB receives regular reports on programme delivery.  | Reporting due to commence at October 2023 meeting.   |                                 |                        |
|   |  |                                 |                        |
| <b>Gaps in assurance</b>  |  |                                 |                        |
| Outcome of September Place Review Meeting.<br>Reports received on finance, quality, performance, programme delivery and risk. |  |                                 |                        |
| Actions planned   | Owner  | Timescale                       | Progress Update        |
| Place Review Meeting  | Place Director   | 29 <sup>th</sup> September 2023 | Preparations underway. |
| Finance report for PBPB.  | Associate Director of Finance and Performance (Wirral)   | 19 <sup>th</sup> October 2023   | In progress.           |
| Quality and Performance report for PBPB.  | Associate Director of Quality and Patient Safety (Wirral)  | 19 <sup>th</sup> October 2023   | In progress.           |
| Risk Management Framework for PBPB.   | Place Director (Wirral)  | 19 <sup>th</sup> October 2023   | In progress.           |
| Programme reporting for PBPB.   | Programme Director, Wirral   | 19 <sup>th</sup> October 2023   | In progress.           |

|  |                     |  |  |
|--|---------------------|--|--|
|  | Improvement<br>Team |  |  |
|--|---------------------|--|--|

ID No: PDAF 4

**Risk Title: The Wirral health and care system is unable to recruit, develop and retain staff to create a diverse health and care workforce with the skills and experience required to deliver the strategic objectives.**

|   | Likelihood  | Impact | Risk Score | Trend |
|---|---|--------|------------|-------|
| Inherent Risk Score <i>[assess on 5x5 scale, this is the score before any controls are applied]</i> | 4   | 4      | 16         |       |
| Current Risk Score  | 3   | 4      | 12         |       |
| Target Risk Score   | 3   | 3      | 9          |       |
| Risk Appetite   | NHS Cheshire and Merseyside are still working on guidance on Risk Appetite. |        |            |       |

| Senior Responsible Lead                     | Operational Lead                                | Directorate                               | Responsible Committee                |
|---|---|---|--------------------------------------|
| Place Director, NHS Cheshire and Merseyside | Senior Responsible Officer, Workforce Programme | NHS Cheshire and Merseyside, Wirral Place | Wirral Place Based Partnership Board |

| Strategic Objective  | Function  | Risk Proximity           | Risk Type | Risk Response |
|--|-----------|--------------------------|-----------|---------------|
| Strategic Objective 3: Enhancing Quality, Productivity & Value for Money | Workforce | C- Beyond financial year | Place     | Manage        |

| Date Raised                  | Last Updated                   | Next Update Due               |
|------------------------------|--------------------------------|-------------------------------|
| 10 <sup>th</sup> August 2023 | 7 <sup>th</sup> September 2023 | 31 <sup>st</sup> October 2023 |

**Risk Description**

Ensuring that we have a diverse workforce with the necessary skills and experience, is essential to the delivery of our strategic objectives. It is also essential in realising the benefits of increased employment across our population. The Wirral system has significant workforce challenges including recruitment, retention and sickness absence. Our health and care workforce includes providers of care in the voluntary, community, faith and social enterprise (VCFSE) sector and independent sector as well as the NHS and statutory social care. The potential impact of this risk includes provider inability to meet demand for care, leading to quality and safety impacts through delays in care provision, absence of specific clinical skills and financial impacts of mitigation through temporary workforce solutions.

**Linked operational risks** The operational Risk Registers are to be developed.

| Current Controls   |   | Rating         |  |
|--|---|----------------|--|
| <b>Policies</b>  | Provider Recruitment & Selection, Widening Participation, Wellbeing, Development, Retention Strategies.   | <b>Amber</b>   |  |
| <b>Processes</b>   | Organisational development, workforce planning, PDR, training & development, communication & engagement, recruitment, demographic profiling, international recruitment, apprenticeship levy, Partnership approaches through Wirral Place Level Workforce Strategy Programme Group | <b>Amber</b>   |  |
| <b>Plans</b>   | C&M People Plan, NHS People Promise, provider workforce plans, care sector workforce recruitment and retention work plan  | <b>Amber</b>   |  |
| <b>Contracts</b>   | Employment contracts, terms and conditions  | <b>Green</b>   |  |
| <b>Reporting</b>   | Wirral Workforce Group reporting to Wirral Place Based Partnership Board  | <b>Amber</b>   |  |
| Gaps in control  |   |                |  |
| No current System Workforce dashboard<br>Maturity of collaborative working at Place level<br>Inconsistent workforce planning process/methodology across Wirral Place<br>Links to educational institutions in place but require further development |   |                |  |
| Actions planned  | Owner   | Timescale      | Progress Update  |
| Mapping and engagement exercise with Wirral Health & Care Plan programme SROs and Workforce leads to identify key Wirral Place workforce issues  | Senior Responsible Officer, Workforce Programme and Programme Director, Wirral Improvement Team (WIT)   | September 2023 | Date set for engagement workshop<br>Mapping exercise under development as part of wider enabling programme mapping |
| Mapping of available data with Place Organisations   | Senior  | October        | Engagement with system HR Directors and workforce leads  |

|   |  |                     |  |
|---|--|---------------------|--|
| <p>to understand current baseline workforce including</p> <ul style="list-style-type: none"> <li>• Vacancy profile</li> <li>• Demographics</li> <li>• Recruitment 'hotspots'</li> </ul> <p>This will lead to the creation of a workforce dashboard.</p> | <p>Responsible Officer,<br/>Workforce Programme and Programme Director,<br/>WIT</p>        | <p>2023</p>         | <p>underway</p>  |
| <p>Establishment of Wirral Place workforce strategy group to oversee the development of Wirral Place Workforce Strategy and prioritised Work Programme</p>  | <p>Senior Responsible Officer,<br/>Workforce Programme and Programme Director,<br/>WIT</p> | <p>October 2023</p> | <p>Draft Terms of Reference Produced, and group membership established</p> |
|   |  |                     |  |
|   |  |                     |  |

| Assurances   |   |          |                 |
|--|---|----------|-----------------|
| Planned  | Actual  |          | Rating          |
| Wirral Place Workforce Strategy Group  | Draft terms of Reference circulated 14/08/23<br>Governance manual incorporating assurance structures agreed at Wirral Place Based Partnership Board (PBPB) 27/07/23 |          | Reasonable      |
| Quarterly Assurance reviews on work plan at Wirral Place Based Partnership Board | Included in the PBPB Workplan   |          |                 |
|  |   |          |                 |
|  |   |          |                 |
| Gaps in assurance  |   |          |                 |
| No current System Workforce dashboard  |   |          |                 |
| Actions planned  | Owner   | Timescal | Progress Update |

|  |   | e            |                                     |
|--|---|--------------|-------------------------------------|
| Establish regular workforce reporting to PBPB. | Senior Responsible Officer, Workforce Programme and Programme Director, WIT | January 2024 | Workforce dashboard in development. |
|  |   |              |                                     |

**ID No: PDAF 5**    **Risk Title: Poor financial performance in the Wirral health and care system leads to a negative impact and increased monitoring and regulation.**

|   | Likelihood  | Impact | Risk Score | Trend |
|---|---|--------|------------|-------|
| Inherent Risk Score <i>[assess on 5x5 scale, this is the score before any controls are applied]</i> | 5   | 5      | 25         |       |
| Current Risk Score  | 4   | 5      | 20         |       |
| Target Risk Score   | 3   | 5      | 15         |       |
| Risk Appetite   | NHS Cheshire and Merseyside are still working on guidance on Risk Appetite. |        |            |       |

| Senior Responsible Lead                     | Operational Lead   | Directorate                               | Responsible Group             |
|---|--|---|-------------------------------|
| Place Director, NHS Cheshire and Merseyside | Associate Director of Finance and Performance, NHS Cheshire and Merseyside | NHS Cheshire and Merseyside, Wirral Place | Place Based Partnership Board |

| Strategic Objective  | Function | Risk Proximity                | Risk Type | Risk Response |
|--|----------|-------------------------------|-----------|---------------|
| Strategic Objective 3: Enhancing Quality, Productivity & Value for Money | Finance  | B – within the financial year | Place     | Manage        |

| Date Raised                  | Last Updated                   | Next Update Due               |
|------------------------------|--------------------------------|-------------------------------|
| 25 <sup>th</sup> August 2023 | 7 <sup>th</sup> September 2023 | 31 <sup>st</sup> October 2023 |

**Risk Description**

The Wirral Place is unable to deliver its financial target due to overspending against allocated budgets or non-delivery of its savings plan.

|                                 |  |
|---------------------------------|--|
| <b>Linked operational risks</b> | Key system performance measures, (e.g. Non Criteria to Reside (NCtR), CHC assessments, Out of Area Mental Health Placements) |
|---------------------------------|--|

| <b>Current Controls</b> | <b>Rating</b>  |
|-------------------------|--|
| <b>Policies</b>         | NHS Planning guidance 2023/24. Local CM ICB approach across key areas (e.g. All Age Continuing Care and Prescribing budget setting). <span style="background-color: #ffc107; color: black;"><b>Amber</b></span>  |
| <b>Processes</b>        | CMICB SORD governing approval limits for Place based leaders. Budget books published to Place for agreement. Further work to streamline approval processes underway. Total control environment. <span style="background-color: #ffc107; color: black;"><b>Amber</b></span>   |
| <b>Plans</b>            | Financial Plan approved by CM ICB, with commentary covering corresponding risks in system. Financial plans shared with all partner organisations in Wirral to ensure consistency in terms of approach to savings and avoid unintended consequences. <span style="background-color: #ffc107; color: black;"><b>Amber</b></span> |
| <b>Contracts</b>        | Local contracts agreed with main NHS Providers. Further work to agree contracts in other key areas notably in relation to package of care related budgets. Total control environment. <span style="background-color: #ffc107; color: black;"><b>Amber</b></span>   |
| <b>Reporting</b>        | Financial Position reported monthly to CM ICB Board. Place based financial position reported monthly to Wirral Place Leadership Team. The overall financial report to the Wirral Place Based Partnership Board is in development. <span style="background-color: #ffc107; color: black;"><b>Amber</b></span>                   |

### Gaps in control

Wirral Financial Recovery Plan.

| <b>Actions planned</b>   | <b>Owner</b>   | <b>Timescale</b> | <b>Progress Update</b>  |
|--|--|------------------|---|
| Publish Wirral Place based financial recovery plan                                     | Associate Director of Finance and Performance, NHS Cheshire and Merseyside | October 2023     | Wirral Financial Recovery Plan under development with finance leads from partner organisations. |
| Review of all expenditure to determine whether any “discretionary” expenditure exists. | Associate Director of Finance and Performance, NHS                         | October 2023     | All organisations reviewing this as part of total control environment,                          |

|  |                         |  |  |
|--|-------------------------|--|--|
|  | Cheshire and Merseyside |  |  |
|  |                         |  |  |

| Assurances  |  |   |                 |
|---|--|---|-----------------|
| Planned   |  | Actual  | Rating          |
| Reporting arrangements to be established.   |  | Overall Wirral system financial report in development and will be shared with Place Based Partnership Board in October. | Reasonable      |
| Financial Recovery Plan agreed by system partners.  |  | As above.   |                 |
| Gaps in assurance   |  |   |                 |
| Further assurances required to understand the basis of reports generated from third party organisations and ICB central team. |  |   |                 |
| Actions planned   | Owner  | Timescale   | Progress Update |
| Report to be taken to Wirral Place Based Partnership Board  | Associate Director of Finance and Performance, NHS Cheshire and Merseyside | October 2023  |                 |
|   |  |   |                 |

|   |   |               |                   |              |
|---|---|---------------|-------------------|--------------|
| <b>ID No: PDAF 6</b>  | <b>Risk Title: The focus on responding to current service priorities and demands diverts resource and attention from delivery of longer-term initiatives in our strategies that support the broader social and economic development of the borough.</b> |               |                   |              |
|   | <b>Likelihood</b>   | <b>Impact</b> | <b>Risk Score</b> | <b>Trend</b> |
| Inherent Risk Score <i>[assess on 5x5 scale, this is the score before any controls are applied]</i> | 4   | 4             | <b>16</b>         |              |
| Current Risk Score  | 3   | 3             | <b>9</b>          |              |
| Target Risk Score   | 2   | 3             | <b>6</b>          |              |
| Risk Appetite   | NHS Cheshire and Merseyside are still working on guidance on Risk Appetite.   |               |                   |              |

|   |  |   |                               |                               |
|---|--|---|-------------------------------|-------------------------------|
| <b>Senior Responsible Lead</b>  | <b>Operational Lead</b>  | <b>Directorate</b>                        |                               | <b>Responsible Committee</b>  |
| Place Director, NHS Cheshire and Merseyside   | Associate Director, Transformation and Partnerships, NHS Cheshire and Merseyside | NHS Cheshire and Merseyside, Wirral Place |                               | Place Based Partnership Board |
| <b>Strategic Objective</b>  | <b>Function</b>  | <b>Risk Proximity</b>                     | <b>Risk Type</b>              | <b>Risk Response</b>          |
| Strategic Objective 4: Helping the NHS to support broader social & economic development | Transformation   | C – beyond financial year                 | Principal                     | Manage                        |
| <b>Date Raised</b>  | <b>Last Updated</b>  |   | <b>Next Update Due</b>        |                               |
| 13 <sup>th</sup> September 2023   | 13 <sup>th</sup> September 2023  |   | 31 <sup>st</sup> October 2023 |                               |

|   |
|---|
| <b>Risk Description</b>   |
| Delivery of our shared aims, strategy and plans are dependent on collective ownership and collaborative effort by communities and organisations across Wirral. NHS Cheshire and Merseyside has a key role in system leadership and promoting greater collaboration across the NHS and with local partners. This risk relates to the potential that the NHS Cheshire and Merseyside and Wirral system partners are unable to build effective collaboration, shared ownership and delivery of strategies such as the Wirral Plan 2026, Cheshire and Merseyside Health and Care Partnership Interim Strategy, Wirral Health and Wellbeing Strategy and NHS Cheshire and Merseyside Joint Forward Plan on behalf of the population. This is in the context of the changing operating model of NHS England and NHS Cheshire and Merseyside, and current national and local quality, safety, performance and financial pressures. |

|                                 |   |
|---------------------------------|---|
| <b>Linked Operational Risks</b> | The operational Risk Registers are to be developed. |
|---------------------------------|---|

| Current Controls |  | Rating |
|------------------|--|--------|
| <b>Policies</b>  | NHS Operational Planning Guidance 2023/24. Wirral Place Governance Manual. Target Operating Model. Health and Wellbeing Board status as a statutory committee. Wirral Plan 2026.   | G      |
| <b>Processes</b> | Joint strategic and operational planning embedded for health and care in Wirral. Delivery mechanisms agreed for Wirral Health and Wellbeing Strategy.  | G      |
| <b>Plans</b>     | Cheshire and Merseyside Health and Care Partnership Interim Strategy, Joint 5-year Forward Plan, Wirral Plan 2025, Wirral Health and Wellbeing Strategy, Wirral Health and Care Plan, CORE 20+5 work, Anchor Institution approaches. | A      |
| <b>Contracts</b> | Duty to collaborate in NHS contracts. Commitments to social value procurement approaches contracts.  | G      |
| <b>Reporting</b> | Health and Wellbeing Board, Place Based Partnership Board.   | A      |

### Gaps in control

Work is still ongoing to finalise and secure agreement to the Joint Forward Plan from Wirral Health and Wellbeing Board. Reporting on delivery of Wirral Health and Wellbeing Strategy to Wirral Health and Wellbeing Board and Place Based Partnership Board.

| Actions planned   | Owner                                     | Timescale                       | Progress Update   |
|---|---|---------------------------------|---|
| Secure Wirral Health and Wellbeing Board approval for the Joint Forward Plan. | Place Director                            | 21 <sup>st</sup> September 2023 | On agenda for 21 <sup>st</sup> September 2023 meeting of Wirral Health and Wellbeing Board. |
| Reporting arrangements for delivery of Wirral Health and Wellbeing Strategy.  | Director of Public Health, Wirral Council | December 2023                   | In progress   |
|   |   |                                 |   |

### Assurances

| Planned   | Actual   | Rating     |
|---|--|------------|
| Approval of C&M Interim HCP Strategy by Wirral Health and Wellbeing Board.  | Approved July 2023.  | Reasonable |
| Engagement of Wirral Health and Wellbeing Board in refresh of HCP Strategy. | Engagement being established through Health and Care Partnership mechanisms. |            |
| Approval of Joint Forward Plan by Wirral Health and Wellbeing Board.        | Paper prepared for meeting to be held on 21 <sup>st</sup> September 2023.    |            |
|   |  |            |

### Gaps in assurance

Approval of Joint Forward Plan.

| Actions planned                 | Owner          | Timescale      | Progress Update               |
|---------------------------------|----------------|----------------|-------------------------------|
| Approval of JFP by Wirral HWBB. | Place Director | September 2023 | Paper prepared and published. |
|                                 |                |                |                               |

