

APPENDIX 4 PLACE DELIVERY ASSURANCE FRAMEWORK AND RISK SUMMARIES

Wirral Place Based Partnership Board Delivery Assurance Framework 2023/24

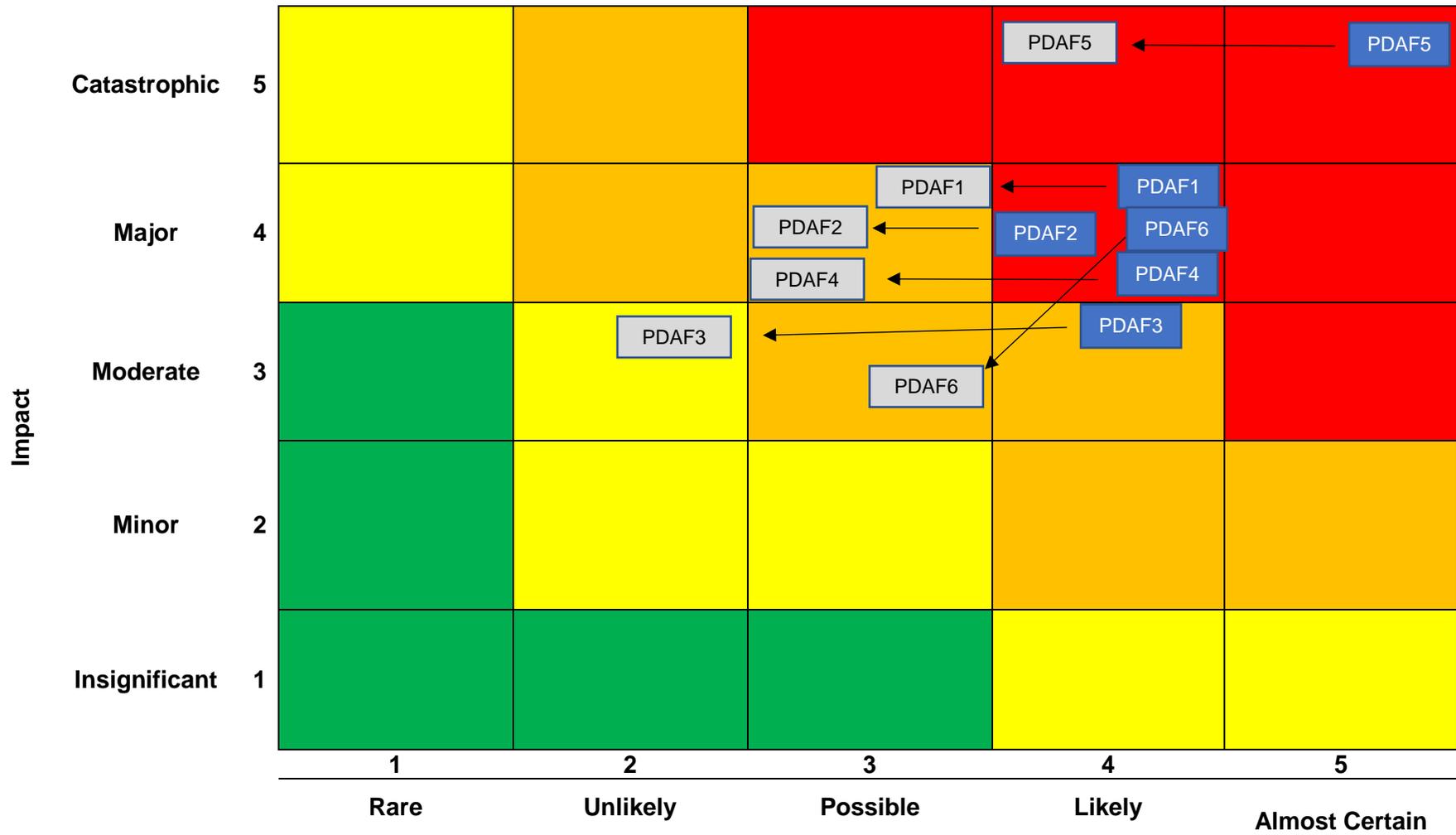
Risk Identifier	Principal Risks	Responsible Group and SRO	Inherent Risk Score (LxI)	Current Risk Score (LxI)	Change from previous quarter	Target Risk Score	Priority Actions / Assurance Activities
Strategic Objective 1: Tackling Health Inequalities in Outcomes, Access and Experience							
PDAF 1	Service Delivery: 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	4x4=16	3x4=12	No change	2x4=8	<p>Outstanding individual delivery plans to be finalised by programme Senior Responsible Officers and shared with relevant supporting group/ Place Based Partnership Board.</p> <p>Completion of full reporting cycle to relevant supporting group and/or</p>

							Wirral Place Based Partnership Board.
PDAF 2	Children and Young People: 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	No change	2x4=8	<p>Development of a JSNA for children and young people.</p> <p>Implementation of actions to address SEND Written Statement of Action.</p> <p>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.</p>

Strategic Objective 2: Improving Population Health and Healthcare							
PDAF 3	Collaboration: 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	2x3=6	Improved	1x3=3	Continued development of reporting frameworks.
Strategic Objective 3: Enhancing Quality, Productivity and Value for Money							
PDAF 4	Workforce: 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.	Wirral Place Based Partnership Board, Place Director	4x4=16	3x4=12	No change	3x3=9	Develop Workforce Strategy Establish reporting mechanisms to Place Based Partnership Board.
PDAF 5	Finance: 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	No change	3x5=15	Review of all expenditure to determine whether any "discretionary" expenditure exists. Publish Wirral Place based financial recovery plan. Reflect above

							in reporting mechanisms to Place Based Partnership Board through Finance and Investment group.
Strategic Objective 4: Helping the NHS to support broader social and economic development							
PDAF 6	Community Wealth Building: 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	No change	2x3=6	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 st line of defence	2 nd line of defence	3 rd line of defence	Assurance Rating
			Policies	Processes	Plans	Contracts	Reporting				
Strategic Objective 1: Tackling Health Inequalities in Outcomes, Access and Experience											
PDAF 1	Service Delivery: 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	G	G	A	Senior Responsible Officer and management control of each priority programme – <i>In place.</i>	Programme reporting to Strategy and Transformation Group (majority of programmes) – <i>In progress.</i>	Reporting to Place Based Partnership Board – <i>In progress.</i>	Reasonable
PDAF 2	Children and Young People: 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 – <i>In place.</i>	Escalation to senior leadership - <i>In place.</i>	Escalation to Wirral system CEOs and Place Director – <i>In place.</i>	Reasonable

Risk Identifier	Principal Risks	Current Risk Score	Controls					1 st line of defence	2 nd line of defence	3 rd line of defence	Assurance Rating
			Policies	Processes	Plans	Contracts	Reporting				
Strategic Objective 2: Improving Population Health and Healthcare											
PDAF 3	Collaboration: Leaders and organisations in the Wirral health and care system may not work together effectively to improve population health and healthcare.	6	G	G	A	G	A	Day to day management oversight and leadership – <i>In place.</i>	Alignment of programmes of work around Wirral Health and Care Plan – <i>In place.</i> Working groups to deliver system priorities – <i>In place.</i> Reporting to supporting groups – <i>In progress.</i>	Place Director and Wirral System CEOs meeting – <i>In place.</i> Reporting to PBPB – <i>In progress.</i> Place Review Meetings – <i>In place.</i>	Reasonable
Strategic Objective 3: Enhancing Quality, Productivity and Value for Money											
PDAF 4	Workforce: The Wirral health and care system is unable to recruit, develop and	12	A	A	A	G	A	Day to day management oversight and	Workforce Supporting Group and associated	Reporting to PBPB – <i>Planned.</i>	Reasonable

Risk Identifier	Principal Risks	Current Risk Score	Controls					1 st line of defence	2 nd line of defence	3 rd line of defence	Assurance Rating
			Policies	Processes	Plans	Contracts	Reporting				
	retain staff to create a diverse health and care workforce with the skills and experience required to deliver the strategic objectives.							leadership – <i>In place.</i>	work programme – <i>In progress.</i>		
PDAF 5	Finance: Poor financial performance in the Wirral health and care system leads to a negative impact and increased monitoring and regulation.	20	A	A	A	A	A	Day to day management oversight and leadership – <i>In place.</i>	Internal organisational controls – <i>In place.</i> Financial Recovery Plan – <i>Planned.</i> Monitoring and interventions through Finance and Investment Group – <i>In place.</i>	Reporting to PBPB – <i>In progress.</i>	Reasonable
Strategic Objective 4: Helping the NHS to support broader social and economic development											
PDAF 6	Community Wealth Building: The focus on responding to	9						Day to day management oversight	Reporting to Health and Wellbeing	Review and approval of	Reasonable

Risk Identifier	Principal Risks	Current Risk Score	Controls					1 st line of defence	2 nd line of defence	3 rd line of defence	Assurance Rating
			Policies	Processes	Plans	Contracts	Reporting				
	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.		G	G	G	G	A	and leadership – <i>In place.</i>	Board and Place Based Partnership Board - <i>Planned</i>	Wirral Health and Wellbeing Strategy by Wirral Health and Wellbeing Board – <i>In place.</i>	

Risk Summaries

ID No: PDAF1	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.
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	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	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: Reducing Health Inequalities in Outcomes, Access and Experience	Transformation	C - beyond financial year	Place	Manage

Raised	Last Updated	Next Update Due
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12 th July 2023	13 th November 2023	14 th February 2024
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Linked Wirral Plan 2026 objective(s)	<p>Sustainable environment: Working towards a clean-energy, <i>sustainable borough</i> that leads the way in its response to the climate emergency and is environmentally friendly.</p> <p>Brighter Futures: Working together for <i>brighter futures</i> for our children, young people and their families by breaking the cycle of poor outcomes for all regardless of their background.</p> <p>Inclusive economy: Working for a prosperous, <i>inclusive economy</i> - helping businesses to thrive and creating jobs and opportunities for all.</p> <p>Safe and pleasant communities: Working for <i>safe and pleasant communities</i> where our residents feel safe and are proud to live and raise their families.</p> <p>Active and healthy lives: Working to provide happy, <i>active and healthy lives</i> for all, with the right care, at the right time to enable residents to live longer and healthier lives.</p>
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Risk Description	
<p>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.</p>	

Linked operational risks	<p>The operational Risk Registers are being developed.</p>
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Current Controls		Rating
Policies	NHS Operational Planning Guidance 2023/24	Green
Processes	Health and Care Plan developed collaboratively. Programme Management, Contract Management	Green
Plans	Wirral Health and Care Plan 2023/24 developed with and approved by partners.	Green
Contracts	Wirral Health and Care Plan 2023/24 included in contracts with providers.	Green
Reporting	Governance and reporting routes agreed.	Amber

Gaps in control

Outstanding individual programme delivery plans.
Full cycle of reporting to appropriate supporting group or Place Based Partnership Board needs to be completed.

Actions planned	Owner	Timescale	Progress Update
Outstanding individual delivery plans to be finalised by programme Senior Responsible Officers and shared with relevant supporting group/ Place Based Partnership Board.	SROs	5 th January 2024	In progress
Complete full reporting cycle.	Place Director/Wirral Improvement Team (WIT)	26 th January 2024	In progress.

Assurances

Planned	Actual	Rating
Completion of full reporting cycle to relevant supporting group and/or Wirral Place Based Partnership Board.	Regular reporting to relevant supporting group and/or Wirral Place Based Partnership Board commenced in October 2023	Reasonable

Gaps in assurance

Regular reporting to relevant supporting group and/or Wirral Place Based Partnership Board needs to be completed.

Actions planned	Owner	Timescale	Progress Update
Regular reporting cycle planned and delivered.	Place Director/WIT	26 th January 2024	Work in progress with Wirral Improvement Team 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.
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	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

Raised	Last Updated	Next Update Due
August 2023	13 th November 2023	14 th February 2024

Linked Wirral Plan 2026 objective(s)	<p>Brighter Futures: Working together for <i>brighter futures</i> for our children, young people and their families by breaking the cycle of poor outcomes for all regardless of their background.</p> <p>Safe and pleasant communities: Working for <i>safe and pleasant communities</i> where our residents feel safe and are proud to live and raise their families.</p>
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Active and healthy lives: Working to provide happy, *active and healthy lives* for all, with the right care, at the right time to enable residents to live longer and healthier lives.

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 being developed.

Current Controls		Rating
Policies	HR Policies. Operational policies and SEND. CHC national framework. Safeguarding. Mental Health Act. Children's Act.	Green
Processes	CYP mental health escalation framework. DSD data base. Neurodevelopmental pathway. AACHC Children's framework	Amber
Plans	SEND Written Statement of Action (WSOA) - Action Plan. CYP mental health transformation.	Amber
Contracts	NHS Standard Contract. Local Authority contract	Green
Reporting	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. DBV Programme nearing completion – data analysis, case studies and deep dives complete. Wide numbers of stakeholders across partnership engaged.
Action planning for SEND reinspection and delivery of WSOA action plan.	Director, Children’s Services (Wirral Council) and Associate Director, Quality and Patient Safety (Wirral), NHS C&M	January 2024	In progress. 65 measures in WSoA – 84.6% complete. Workstream leads meetings held monthly and Ofsted preparation meetings underway.
Development of care pathways and provision. <ul style="list-style-type: none"> • Creation of single point of access (SPA) for emotional health & wellbeing needs CYP • Neuro-Development pathway review and redesign • Establishment of balanced system model for speech and language 	Joint Commissioning Lead for CYP	April 2024	In progress. Action plans in place with timescales for all areas.

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).

Actions planned	Owner	Timescale	Progress Update
Health and Wellbeing Board agree JSNA.	Assistant Director: Education (Wirral Council) 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 (Wirral Council) and Associate Director, Quality and Patient Safety (Wirral), NHS C&M	Timescale dependent on OFSTED	Director, Children’s Services (Wirral Council) liaising with OFSTED.

ID No: PDAF 3	Risk Title: Leaders and organisations in the Wirral health and care system may not work together effectively to improve population health and healthcare.
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	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	2	3	6	
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

Raised	Last Updated	Next Update Due
August 2023	13 th November 2023	14 th February 2024

Linked Wirral Plan 2026 objective(s)	<p>Sustainable environment: Working towards a clean-energy, <i>sustainable borough</i> that leads the way in its response to the climate emergency and is environmentally friendly.</p> <p>Brighter Futures: Working together for <i>brighter futures</i> for our children, young people and their families by breaking the cycle of poor outcomes for all regardless of their background.</p> <p>Inclusive economy: Working for a prosperous, <i>inclusive economy</i> - helping businesses to thrive and creating jobs and opportunities for all.</p> <p>Safe and pleasant communities: Working for <i>safe and pleasant communities</i> where our residents feel safe and are proud to live and raise their families.</p> <p>Active and healthy lives: Working to provide happy, <i>active and healthy lives</i> for all, with the right care, at the right time to enable residents to live longer and healthier lives.</p>
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Risk Description	
<p>Collaborative working across system partners in Wirral is essential to the successful provision of quality services and delivery within budget.</p> <p>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.</p> <p>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.</p>	
Linked operational risks	The operational Risk Registers are being developed.

Current Controls		Rating
Policies	Wirral Place Governance Manual. Target Operating Model.	Green
Processes	Place Based Partnership Board (PBPB) and supporting groups established with cross sector representation. Business meetings outside of these groups.	Green
Plans	Wirral Health and Care Plan and supporting programme delivery.	Amber

Contracts	Contracts in place with providers in the system which include duty to collaborate.			Green
Reporting	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	
Continued development of Place Finance Report for PBPB	Associate Director – Finance and Performance	January 2024	In progress	
Continued development of Place Quality and Performance Report for PBPB	Associate Director – Quality and Safety	January 2024	In progress	
Continued development of Place Programme Delivery Report for PBPB	Programme Director, Wirral Improvement Team	January 2024	In progress	

Assurances		
Planned	Actual	Rating
Place Review Meetings	Held quarterly, last meeting held on 29 th September 2023.	Reasonable
PBPB receives regular reports on finance, quality, performance and risk.	Reports in these areas due to commenced at October 2023 meeting, require further work.	
PBPB receives regular reports on programme delivery.	Reporting commenced at October 2023 meeting, needs further development.	
Gaps in assurance		
Outcome of September Place Review Meeting.		

Reports on finance, quality, performance and programme delivery amended and enhanced in response to partner feedback.			
Actions planned	Owner	Timescale	Progress Update
Place Review Meeting	Place Director	November 2023	Feedback awaited.
Finance report for PBPB.	Associate Director of Finance and Performance (Wirral)	January 2024	In progress.
Quality and Performance report for PBPB.	Associate Director of Quality and Patient Safety (Wirral)	January 2024	In progress.
Programme reporting for PBPB.	Programme Director, Wirral Improvement Team	January 2024	In progress.
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 th August 2023	13 th November 2023	14 th February 2024

Linked Wirral Plan 2026 objective(s)	Inclusive economy: Working for a prosperous, <i>inclusive economy</i> - helping businesses to thrive and creating jobs and opportunities for all.

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 being developed.	
Current Controls		
Policies	Provider Recruitment & Selection, Widening Participation, Wellbeing, Development, Retention Strategies.	
Processes	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	
Plans	C&M People Plan, NHS People Promise, provider workforce plans, care sector workforce recruitment and retention work plan	
		Rating
		Amber
		Amber
		Amber

Contracts	Employment contracts, terms and conditions	Green	
Reporting	Wirral Workforce Group reporting to Wirral Place Based Partnership Board	Amber	
Gaps in control			
<p>No current System Workforce dashboard. Maturity of collaborative working at Place level. Inconsistent workforce planning process/methodology across Wirral Place. Links to educational institutions in place but require further development.</p>			
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, WIT	January 2024	Engagement workshop undertaken 13 th September 2023. Mapping exercise established as part of wider enabling programme mapping, and engagement with SRO'. Linkage established with Health and Wellbeing Strategy Employment strand.
Mapping of available data with Place Organisations to understand current baseline workforce including: <ul style="list-style-type: none"> • Vacancy profile • Demographics • Recruitment 'hotspots' This will lead to the creation of a workforce dashboard.	Senior Responsible Officer, Workforce Programme and Programme Director, WIT	December 2023	Engagement with system HR Directors and workforce leads underway.

Assurances		
Planned	Actual	Rating
Wirral Place Workforce Strategy Group	Terms of Reference produced, group membership and meetings established.	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	Timescale	Progress Update
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: Increasing Quality, Productivity and Value for Money	Finance	B – within the financial year	Place	Manage

Raised	Last Updated	Next Update Due
August 2023	13 th November 2023	14 th February 2024

Linked Wirral Plan 2026 objective(s)	<p>Brighter Futures: Working together for <i>brighter futures</i> for our children, young people and their families by breaking the cycle of poor outcomes for all regardless of their background.</p> <p>Safe and pleasant communities: Working for <i>safe and pleasant communities</i> where our residents feel safe and</p>
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	<p>are proud to live and raise their families.</p> <p>Active and healthy lives: Working to provide happy, <i>active and healthy lives</i> for all, with the right care, at the right time to enable residents to live longer and healthier lives.</p>
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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.	
Linked operational risks	Key system performance measures, (e.g. Non Criteria to Reside (NCtR), CHC assessments and placements, Out of Area Mental Health Placements), inflationary pressures still impacting upon the cost of delivering services.

Current Controls	Rating
Policies	NHS Planning guidance 2023/24. Local CM ICB approach across key areas (e.g. CHC and Prescribing budget setting). Amber
Processes	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. Amber
Plans	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. Amber
Contracts	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. Amber
Reporting	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. Amber
Gaps in control	
Wirral Financial Recovery Plan.	

Actions planned	Owner	Timescale	Progress Update
Review of all expenditure to determine whether any “discretionary” expenditure exists.	Associate Director of Finance and Performance, NHS Cheshire and Merseyside	November 2023	All organisations reviewing this as part of total control environment,
Publish Wirral Place based financial recovery plan.	Associate Director of Finance and Performance, NHS Cheshire and Merseyside	March 2024	Wirral Financial Recovery Plan to be developed as part of the 24/25 operational planning round

Assurances

Planned	Actual	Rating
Reporting arrangements to be established.	Overall Wirral system financial report in development and is a standing agenda item for discussion at the Wirral Place Based Partnership Board (WPBPB).	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	Monthly Reporting	Initial report taken to the WPBPB and further reports will be received as now a standing item.

ID No: PDAF 6					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.					
			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	3	9					
Target Risk Score			2	3	6					
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 4: Helping the NHS to support broader social & economic development			Transformation		C – beyond financial year		Principal		Manage
Date Raised				Last Updated				Next Update Due	
13 th September 2023				13 th November 2023				14 th February 2023	

Linked Wirral Plan 2026 objective(s)	Sustainable environment: Working towards a clean-energy, <i>sustainable borough</i> that leads the way in its response to the climate emergency and is environmentally friendly.
	Brighter Futures: Working together for <i>brighter futures</i> for our children, young people and their families by breaking the cycle of poor outcomes for all regardless of their background.

	<p>Inclusive economy: Working for a prosperous, <i>inclusive economy</i> - helping businesses to thrive and creating jobs and opportunities for all.</p> <p>Safe and pleasant communities: Working for <i>safe and pleasant communities</i> where our residents feel safe and are proud to live and raise their families.</p> <p>Active and healthy lives: Working to provide happy, <i>active and healthy lives</i> for all, with the right care, at the right time to enable residents to live longer and healthier lives.</p>
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Risk Description
<p>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.</p>

Linked Operational Risks	The operational Risk Registers are in development.
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Current Controls	Rating
Policies	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. Green
Processes	Joint strategic and operational planning embedded for health and care in Wirral. Delivery mechanisms agreed for Wirral Health and Wellbeing Strategy. Green
Plans	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. Green
Contracts	Duty to collaborate in NHS contracts. Commitments to social value procurement approaches contracts. Green

Reporting	Health and Wellbeing Board, Place Based Partnership Board.			Amber
Gaps in control				
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
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.			Approved at meeting to be held on 21 st September 2023.	
Gaps in assurance				
Reporting arrangements for delivery of Wirral Health and Wellbeing Strategy.				
Actions planned		Owner	Timescale	Progress Update
Reporting arrangements for delivery of Wirral Health and Wellbeing Strategy.		Director of Public Health, Wirral Council	December 2023	In progress.