

APPENDIX 4 PLACE DELIVERY ASSURANCE FRAMEWORK AND RISK SUMMARIES

Wirral Place Based Partnership Board Delivery Assurance Framework 2023/24

Overview

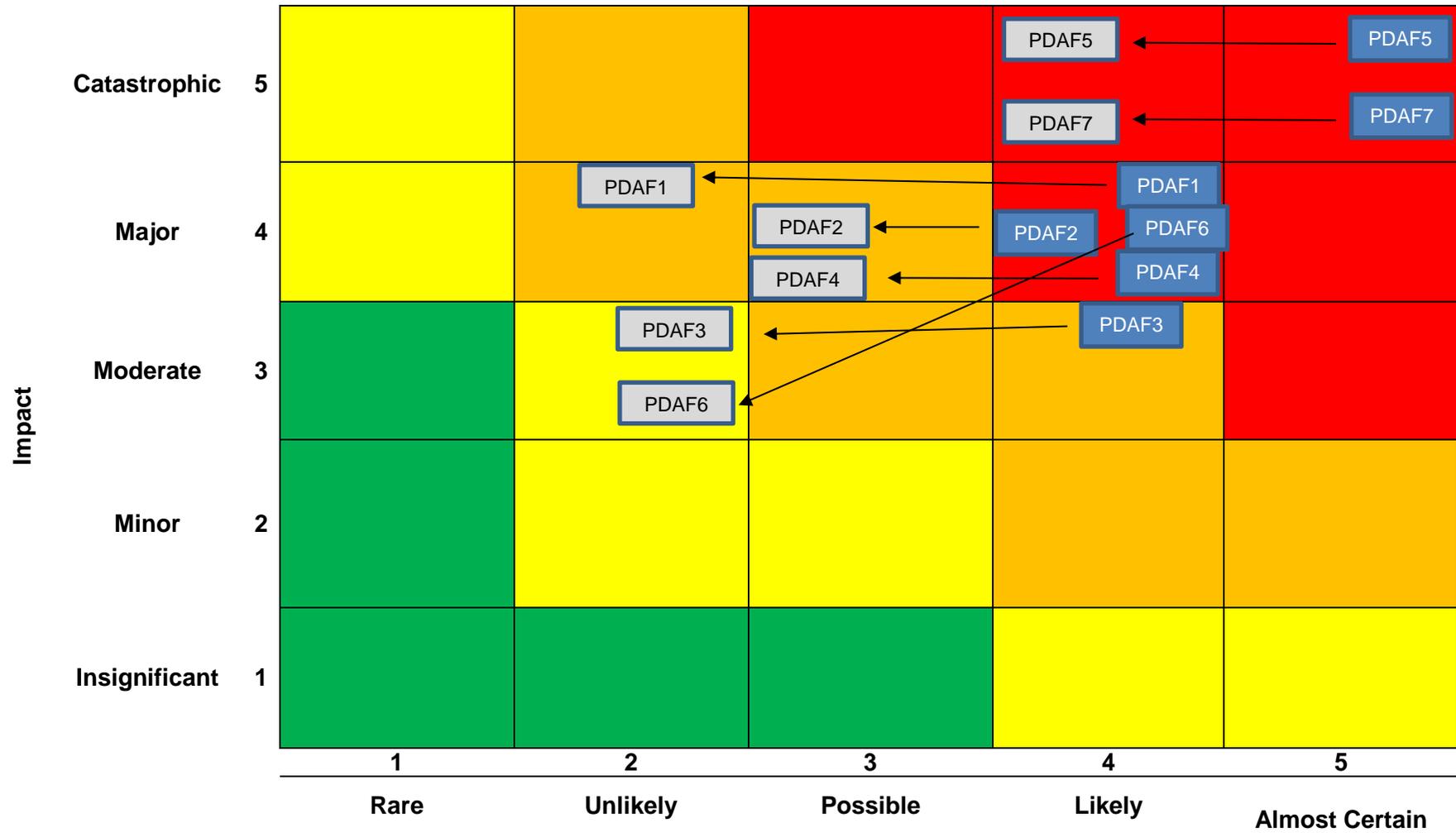
| Risk Identifier | Principal Risks | Responsible Group and SRO | Inherent Risk Score (LxI) | Current Risk Score (LxI) | Change from previous quarter | Target Risk Score | Priority Actions / Assurance Activities |
|---|---|--|---------------------------|--------------------------|------------------------------|-------------------|--|
| 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 | 2x4=8 | Improved | 2x4=8 | Delivery plans in place for 2023/24. Completed full reporting cycle to relevant supporting group and/or 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 | Demand modelling and provision agreement. Action planning for SEND reinspection and delivery of WSOA action plan. Development of care pathways |

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|---------------|---|---|----|----|-----------|----|--|
| | | | | | | | <p>and provision and commissioning activity.</p> <p>Governance of quality, safety performance and risk of children and young people</p> |
| PDAF 7 | <p>Unscheduled Care: There is a risk that a lack of Urgent and Emergency Care capacity and restricted flow across all sectors in Wirral (primary care, community, mental health, acute hospitals and social care) results in patient harm and poor patient experience.</p> | <p>Wirral Place Based Partnership Board, Place Director</p> | 25 | 20 | No change | 15 | <p>EPRR processes to mitigate impact of industrial action.</p> <p>Demand and capacity plan for Wirral Place.</p> <p>Cheshire and Merseyside target to hit the 76% 4-hour wait target in March 2024. The expectation is that this will be delivered by the Wirral system.</p> <p>Winter Plans to be agreed by PBPB (not presented for 2023/24, will</p> |

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|---|---|--|--------|--------|-----------|--------|--|
| | | | | | | | rectify for 2024/25). |
| 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 | No change | 1x3=3 | Continued development of performance 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. |
| 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 |

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|--|--|--|---------------|--------------|-----------------|--------------|---|
| | | | | | | | 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 | 2x3=6 | Improved | 2x3=6 | Established 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. | 8 | G | G | G | G | G | 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 place.</i> | Reporting to Place Based Partnership Board – <i>In place.</i> | Significant |
| 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 |
| PDAF 7 | Unscheduled Care: There is a risk that a lack of Urgent and Emergency Care capacity and restricted flow across all sectors in Wirral (primary care, community, mental health, acute hospitals | 20 | G | A | A | G | A | 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 | | | | |
| | and social care) results in patient harm and poor patient experience. | | | | | | | | | | |
| 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 | G | 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 place.</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 retain staff to create a diverse health and care workforce with the skills and experience required | 12 | A | A | A | G | G | Day to day management oversight and leadership – <i>In place.</i> | Workforce Supporting Group and associated work programme – <i>In place.</i> | Reporting to PBPB – <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 | | | | |
| | to deliver the strategic objectives. | | | | | | | | | | |
| 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 place.</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 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. | 6 | G | G | G | G | G | 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> | Significant |

Risk Summaries

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| 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 | <table border="1"> <caption>Risk Score Trend Data</caption> <thead> <tr> <th>Month</th> <th>Risk Score</th> </tr> </thead> <tbody> <tr><td>Jul</td><td>12</td></tr> <tr><td>Aug</td><td>12</td></tr> <tr><td>Sep</td><td>12</td></tr> <tr><td>Oct</td><td>12</td></tr> <tr><td>Nov</td><td>12</td></tr> <tr><td>Dec</td><td>12</td></tr> <tr><td>Jan</td><td>12</td></tr> <tr><td>Feb</td><td>8</td></tr> </tbody> </table> | Month | Risk Score | Jul | 12 | Aug | 12 | Sep | 12 | Oct | 12 | Nov | 12 | Dec | 12 | Jan | 12 | Feb | 8 |
| Month | Risk Score | | | | | | | | | | | | | | | | | | | | | |
| Jul | 12 | | | | | | | | | | | | | | | | | | | | | |
| Aug | 12 | | | | | | | | | | | | | | | | | | | | | |
| Sep | 12 | | | | | | | | | | | | | | | | | | | | | |
| Oct | 12 | | | | | | | | | | | | | | | | | | | | | |
| Nov | 12 | | | | | | | | | | | | | | | | | | | | | |
| Dec | 12 | | | | | | | | | | | | | | | | | | | | | |
| Jan | 12 | | | | | | | | | | | | | | | | | | | | | |
| Feb | 8 | | | | | | | | | | | | | | | | | | | | | |
| Current Risk Score | 3 | 4 | 8 | | | | | | | | | | | | | | | | | | | |
| 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 (Wirral), NHS Cheshire and Merseyside | Currently being overseen by Place Director (Wirral) | | 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 th July 2023 | 20 th February 2024 | 15 th April 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> |
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Inclusive economy: Working for a prosperous, *inclusive economy* - helping businesses to thrive and creating jobs and opportunities for all.

Safe and pleasant communities: Working for *safe and pleasant communities* where our residents feel safe and are proud to live and raise their families.

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

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 being developed.

| 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. | Green | |
| Gaps in control | | | |
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| Actions planned | Owner | Timescale | Progress Update |
| Refresh of Wirral Health and Care Plan 2023/24 for 2024/25 planning year. | SROs | June 2024 | In progress |

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| Assurances | | | | |
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| Planned | | Actual | | Rating |
| Refresh reporting arrangements when Wirral Health and Care Plan 2024/25 agreed. | | Regular reporting to relevant supporting group and/or Wirral Place Based Partnership Board in place. | | Significant |
| Gaps in assurance | | | | |
| | | | | |
| Actions planned | Owner | Timescale | Progress Update | |
| | | | | |

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| 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 |

| Date Raised | Last Updated | Next Update Due |
|------------------------------|--------------------------------|-----------------------------|
| 25 th August 2023 | 21 st February 2024 | 15 th April 2024 |

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| 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</p> |
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to live and raise their families.

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 and provision agreement | Head of Quality & Safety Improvement (Wirral Place) Joint Commissioning Lead for CYP (Wirral Council and NHS C&M) | June 2024 | DBV and JSNA have given a better understanding of data. Review of service specifications to identify gaps in provision. Review of services – SALT, OT, ND pathway & EHWP – new models in development with new data sets to inform revised dashboard. |

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| 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 | Sept 2024 | QA process for WSoA – moving into Inspection preparation and readiness review against new framework. Ensuring collection of evidence that demonstrates positive outcomes and impact. |
| <p>Development of care pathways and provision and commissioning activity.</p> <ol style="list-style-type: none"> 1. Creation of central point of access (CPA) for emotional health & wellbeing needs CYP branded 'Branch' 2. Neuro-Development model redesign and offer 3. Establishment of balanced system model for speech and language 4. Development of alternative health delivery models in universal settings (DBV) 5. Available provision for high-risk complex young people and associated integrated care planning 6. Transition pathways | Joint Commissioning Lead for CYP | <p>April 2024</p> <p>June 2024</p> <p>March 2024</p> <p>Feb 2024</p> <p>May 2024</p> | <ol style="list-style-type: none"> 1. Alliance contract awarded start date April 2024. Digital Platform in development with digital agency Kaleidoscope. Soft launch planned April with full implementation Sept 2024. Branding 'Branch' coproduced with CYP. 2. New model proposed and widely consulted. Simplified public facing model in draft. Business cases prepared and submitted for new model including an MD Team and consideration of a support offer (both commissioned and coordinated VCFS). 3. Funding bid submitted to DFE to develop an early intervention health delivery model which will increase early support in mainstream settings and promote inclusivity. 4. Review and visibility of DSD and MH gateway - combine to mitigate risks of duplication and gaps. To proactively manage risks and jointly care plan. Proposed development of provision to support high risk cases. 5. Transition steering group with draft transition protocol. All age disability strategy in development and all age disability post in place. |
| Governance of quality, safety | Director, Children's Services (Wirral Council) | Sept 2024 | Review of children and young people's governance |

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| performance and risk of children and young people | and Associate Director, Quality and Patient Safety (Wirral), NHS C&M | | arrangements – bringing together performance, quality, risks and improvements from Public Health, ICB (Wirral Place) and LA Children’s Services |
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| Assurances | | | |
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| Planned | | Actual | Rating |
| New SEND Performance Reporting framework and revised dashboard and SEND Strategic Board replacing Transformation Board | | Will be in place March 2024 | Reasonable |
| SEND Strategy and Outcomes Framework | | In progress – planned delivery Sept 2024 | |
| Progress on CYP priorities from Health and Care Plan monitored through programme reporting to Strategy and Transformation Group | | Programme reporting to Strategy and Transformation Group. | |
| Development of EHWB model and ND model | | In progress | |
| Governance arrangements | | In plan | |
| Gaps in assurance | | | |
| Removal of WSOA by Office for Standards in Education, Children’s Services and Skills (OFSTED). | | | |
| Actions planned | Owner | Timescale | Progress Update |
| Business cases to be agreed | Commissioning Lead for CYP (Wirral Council and NHS C&M) | February 2024 | In progress, dependent on NHS Commissioning rounds and Schools Forum |
| SEND Strategy and Outcomes Framework | Head of Quality & Safety Improvement (Wirral Place) Joint Commissioning Lead for CYP (Wirral Council and NHS C&M) | Sept 2024 | Initial meeting and draft framework. Workshop with key stakeholders to take place. |
| 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. |

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| 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 |

| Date Raised | Last Updated | Next Update Due |
|------------------------------|--------------------------------|-----------------------------|
| 22 nd August 2023 | 20 th February 2024 | 15 th April 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> |
|--------------------------------------|--|

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|--|---|
| | <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 |
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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.

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| Linked operational risks | The operational Risk Registers are being developed. |
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|-------------------------|--|---------------|
| Current Controls | | Rating |
|-------------------------|--|---------------|

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|------------------|---|--------------|
| 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. | Green |
| Contracts | Contracts in place with providers in the system which include duty to collaborate. | Green |
| Reporting | Reporting to PBPB. | Amber |

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|------------------------|
| Gaps in control |
|------------------------|

Performance reporting framework needs to be agreed and established.

| Actions planned | Owner | Timescale | Progress Update |
|---|---|-----------|-----------------|
| Continued development of Place Performance Reporting for PBPB | Associate Director – Quality and Safety | May 2024 | In progress |

| Assurances | | | |
|--|--|------------|--|
| Planned | Actual | | Rating |
| Place Review Meetings | Held quarterly, last meeting held on 11 th January 2024, next scheduled for 4 th April 2024. | | Reasonable |
| Establish performance reporting framework. | Regular reporting in place on finance, quality and programme delivery. | | |
| Gaps in assurance | | | |
| Established performance reporting framework. | | | |
| Actions planned | Owner | Timescale | Progress Update |
| Place Review Meeting | Place Director | April 2024 | Awaiting agenda at time of review of this PDAF risk. |
| Establish performance reporting framework. | Associate Director – Quality and Safety | May 2024 | In progress. |

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| 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. |
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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 | 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 | 20 th February 2024 | 20 th April 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 | | |
|--|---|--------------|
| <p>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.</p> | | |
| Linked operational risks | The operational Risk Registers are being developed. | |
| Current Controls | | Rating |
| Policies | Provider Recruitment & Selection, Widening Participation, Wellbeing, Development, Retention Strategies. | Amber |
| 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 | Amber |
| Plans | C&M People Plan, NHS People Promise, provider workforce plans, care sector workforce recruitment and retention work plan | Amber |
| Contracts | Employment contracts, terms and conditions | Green |
| Reporting | Wirral Workforce Group reporting to Wirral Place Based Partnership Board | Green |
| 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. Key Workforce Priorities Identified. Action Closed. |
| Mapping of available data with Place Organisations to understand current baseline workforce including: <ul style="list-style-type: none"> • Vacancy profile • Demographics • Recruitment 'hotspots' | Senior Responsible Officer, Workforce Programme and Programme Director, WIT | April 2024 | Engagement with system HR Directors and workforce leads underway. Profiling work has commenced and Project Initiation Document agreed by Programme Board. Task and Finish Group established to review and establish how best to present the data to map current workforce trends |
| Development of comprehensive place workforce dashboard. | Senior Responsible Officer, Workforce Programme and Programme Director, WIT | August 2024 | Task and Finish Group to review and establish how best to present the data to include future workforce trends and social value metrics |

| 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 | January 2024 | Workforce dashboard in development. Workforce Programme 'Deep Dive' to WPBPB February |

| | | | |
|--|---|--|--|
| | Officer, Workforce Programme and Programme Director, WIT | | 2024. Workforce Steering Group in place from December 2023 will oversee progress and ensure regular reporting to PBPB. Action Closed |
|--|---|--|--|

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|---------------|---|
| 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 th August 2023 | 22 nd February 2024 | 15 th April 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> <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> |
|---|---|

| 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 | November 2023 | All organisations reviewing this as part of total control environment, |

| | | | |
|---|--|----------------------------------|---|
| | Merseyside | | |
| Publish Wirral Place based financial recovery plan and share with partners. Updated Financial Recovery Plan to be developed through the 24/25 operational planning round | Associate Director of Finance and Performance, NHS Cheshire and Merseyside | September 2023 March 2024 | Wirral Financial Recovery Plan to be developed through the 24/25 operational planning round |
| Monthly updates reviewed at the CM Expenditure Controls Group | Associate Director of Finance and Performance, NHS Cheshire and Merseyside | Ongoing | Latest update given to February 2024 Group |

| 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. |
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|---|---|---|-------------------|--------------|--|
| 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 | 6 | | |
| Target Risk Score | 2 | 3 | 6 | | |
| Risk Appetite | NHS Cheshire and Merseyside are still working on guidance on Risk Appetite. | | | | |

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|---|---|---|-------------------------------|----------------------|
| Senior Responsible Lead | Operational Lead | Directorate | Responsible Committee | |
| Place Director (Wirral), NHS Cheshire and Merseyside | Currently being overseen by Place Director (Wirral) | 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 | 20 th February 2024 | | 15 th April 2024 | |

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|---|--|
| 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. |
| | Inclusive economy: Working for a prosperous, <i>inclusive economy</i> - helping businesses to thrive and creating jobs and opportunities for all. |
| | 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.

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

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.

Linked Operational Risks

The operational Risk Registers are in development.

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. | Green |

Gaps in control

| Actions planned | Owner | Timescale | Progress Update |
|------------------------|--------------|------------------|------------------------|
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Assurances

| Planned | Actual | Rating |
|----------------|---------------|---------------|
| | | |

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|--|--|-----------------------------|------------------------|
| Quarterly reporting on delivery of Wirral Health and Wellbeing Strategy. | Next report to Health and Wellbeing Board on 14 th March 2024. | Significant | |
| Engagement of Wirral Health and Wellbeing Board in refresh of HCP Strategy and Joint Forward Plan. | Engagement being established through Health and Care Partnership mechanisms. | | |
| Gaps in assurance | | | |
| | | | |
| Actions planned | Owner | Timescale | Progress Update |
| Quarterly report on delivery of Wirral Health and Wellbeing Strategy. | Director of Public Health, Wirral Council | 21 st March 2024 | In progress. |
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|---|--|---------------|-------------------|--------------|
| ID No: PDAF 7 | Risk Title: There is a risk that a lack of Urgent and Emergency Care capacity and restricted flow across all sectors in Wirral (primary care, community, mental health, acute hospitals and social care) results in patient harm and poor patient experience. | | | |
| | 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 Committee | |
| Place Director (Wirral), NHS Cheshire and Merseyside | Senior Responsible Officer, Unscheduled Care Programme | 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 | A – within the next quarter | Principal | Manage |
| Date Raised | Last Updated | Next Update Due | | |
| 9 th November 2023 | 29 th February 2024 | 15 th April 2024 | | |

| | |
|---|--|
| Linked Wirral Plan 2026 objective(s) | 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. |
|---|--|

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| Risk Description |
| The wider urgent and emergency care system, spanning primary care, community and mental health care and social care is under significant |

pressure with similar demand, capacity and flow challenges impacting on the ability of patients to access the right urgent or emergency care at the right time in the right place. Wirral, as a Place, is experiencing the same pressures. Within the acute sector, high bed occupancy, driven by excess bed days due to no criteria to reside patients and higher levels of acuity is resulting in reduced flow from emergency departments into the acute bed base, and is in turn impacting on waiting times in the Emergency Department (ED), ambulance handover delays and failure to meet ambulance response time standards. Delays in ambulance response times and delays in ED are associated with patient harm and poor patient experience, and increased health inequalities as people living in more deprived areas are more likely to present at EDs.

| | |
|---------------------------------|---|
| Linked Operational Risks | Place operational risk registers are being developed. A bespoke Risk Register may be required for the Unscheduled Care Programme. |
|---------------------------------|---|

| Current Controls | | Rating |
|-------------------------|--|---------------|
| Policies | NHS Delivery plan for recovering urgent and emergency care services (“the recovery plan”) January 2023, Urgent and Emergency Care (UEC) Tiering, Winter Planning Guidance (Annex A ten high impact interventions and Annex B System Roles and Responsibilities) (August 2023), System Control Centre (SCC) Review of Standards (August 2023), revised OPEL framework (July 2023) | G |
| Processes | System Control Centre (SCC), Cheshire and Merseyside (C&M) level operational plans, provider and Place level plans, performance monitoring, contract management, NHS Oversight Framework, national Urgent and Emergency Care (UEC) Tiering and associated support, 2023/24 Winter Planning process. Wirral Place – Unscheduled Care Programme. | A |
| Plans | C&M Operational Plan, Place Delivery Plans – 2023/24 operational planning round concluded, and plans signed off 04/05/2023. The overall UEC recovery programme of work is in development and includes the 10 high impact interventions running through provider, place and reports into the new UEC Recovery and Improvement Group across C&M. Winter plans developed for 2023/24, including a Wirral Place plan. | A |
| Contracts | NHS Standard Contract – contracting round for 2023/24 concluded. | G |
| Reporting | SCC reporting; Winter Plan reporting; UEC Recovery Programme level reporting via UEC Recovery and improvement Group (sitting under Transformation Committee) at C&M level. UEC operational performance reported via Quality & Performance Committee, NHS C&M Board; regular touch points with regional/national NHSE teams. Wirral Place – Unscheduled Care Programme Board reporting to Wirral PBPB. | A |

| | |
|---|--|
| Gaps in control | |
| Industrial Action. IA to date has had significant impact thus far primarily on elective care, as resource has been redirected to support the UEC pathway. The scale and frequency of IA going forward is unknown. We work to mitigate through EPRR processes on days of IA, and Trusts seek to mitigate impact overall. | |
| Demand exceeds planned capacity levels in a range of sectors, and fuller understanding of demand and capacity across all sectors is required. | |

| Actions planned | Owner | Timescale | Progress Update |
|--|---|------------|-------------------|
| EPRR processes to mitigate impact of industrial action. | NHS Cheshire and Merseyside | Completed | Systems in place. |
| Demand and capacity plan for Wirral Place. | Director of Adults' Care and Health, Wirral Council | May2024 | Work in progress. |
| Cheshire and Merseyside target to hit the 76% 4-hour wait target in March 2024. The expectation is that this will be delivered by the Wirral system. | Unscheduled Care Improvement Programme SRO | March 2024 | Work in progress. |

Assurances

| Planned | Actual | Rating |
|---|---|-------------------|
| Unscheduled Care Programme reports to Wirral Place Based Partnership Board. | Monthly reports to Wirral Place Based Partnership Board in place. | Reasonable |

Gaps in assurance

Wirral Place Winter Plan 2023/24 to be agreed by Wirral PBPB.

| Actions planned | Owner | Timescale | Progress Update |
|---|---------------------------------|---------------|---|
| Wirral Place Winter Plan 2023/24 to be agreed by Wirral PBPB. | SRO, Unscheduled Care Programme | November 2023 | To be included as an agenda item for December Board. <i>(27-Feb-24 update)</i> Wirral Place Winter Plan 2023/24 was completed and agreed by the UEC Chief Officer's Group (COG) in December 23. The 2024/25 winter plan will be taken to Wirral PBPB to be agreed. |

