

Strategic Risk Register

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| Risk 3 | There is a risk that we will not manage organisational change well, caused by multiple change programmes being implemented simultaneously, but in isolation, and insufficient time to effectively engage an exhausted workforce, resulting in high levels of sickness absence, vacancies, staff turnover and stress. |
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| Sponsor and Assurance Group | |
|-----------------------------|---|
| Executive Sponsor | Director of People and Organisational Development |
| Assuring Group | People and Organisational Development Committee |

| Inherent Risk | | | | | | | |
|---------------|------------|--------------------|---|----------------|---|---------------|----|
| Date | 28/02/2023 | Likelihood: | 5 | Impact: | 5 | Score: | 25 |

| Risk Score | | | Risk Decision | | | Delivery Confidence Assessment | | | |
|---------------------|---------------|----|--------------------|---------------|---|--------------------------------|--------------|--|--|
| Current Risk | | | Target risk | | | Treat | Amber | | |
| Likelihood | Impact | | Likelihood | Impact | | | | | |
| 3 | 5 | 15 | 3 | 3 | 9 | | | | |

| DCA RAG | DCA Description |
|--------------|---|
| Green | High degree of confidence exists that the controls and actions identified will mitigate the risk to the required level. |
| Amber | It is feasible that the controls and actions identified will mitigate the risk to the required level but issues remain outstanding that require addressing. |
| Red | There is little confidence that the controls and actions identified will mitigate the risk to the required level. |

Risk Owner's Overview Assessment Status

A number of functions play a material role in the effective management of change. People & OD have a key role, together with Strategy & Planning; in addition to the critical role of line managers in leading and handling change effectively.

There are a large number of change programmes currently planned and already underway within the organisation.

Although there are many measures already in place in relation to managing sickness, staff well-being, as well as the OCP process, it is recognised that until we move to a more controlled system for the commissioning and monitoring of change programmes, there will continue to be some risk that we will not be able to manage organisational change as well as we would like, due to over commitment.

Strategic Risk Register

| EXISTING CONTROLS | | | SOURCES OF ASSURANCE | Level at which the Assurance is provided to | | | | |
|-------------------|--|---|--|---|------------------------------|---------------------------------|-----------------------|-------|
| No. | Control | Exec Owner | | Team / Division / Project / Programme | Directorate Team / Exec Lead | Business Exec Team / Sub Groups | Committee / Sub group | Board |
| SR 3.1 | Partnership working with Trade Union's to engage at informal and formal stages of change and working with change leads to support initiatives | Director of People and Organisational Development | Appointment of 2 dedicated change Trade Union representatives to support change initiatives | X | | | | |
| | | | Organisational Change Policy provides a framework to undertake change including staff engagement | X | X | | | |
| | | | Papers and Minutes to demonstrate the provision of updates to Local Partnership Forum, Joint Medical & Dental Negotiating Committee, Business Executive Team and People & Organisational Development Committee | | | X | X | |
| SR 3.2 | Strategic Priorities in relation to planned change have been identified in the Integrated Medium-Term Plan (IMTP) | All Executive Directors | Papers and Minutes to demonstrate regular review via Project Boards to monitor progress and impact on workforce | X | X | X | X | |
| | | Deputy Chief Executive and Director of Operations & Finance | Minutes of monthly meetings to review IMTP progress | | X | | | |
| SR 3.3 | A People & Organisational Development Organisational Change Policy change tracker in place to identify changes as they are initially discussed in order to identify planning and resourcing implications | Director of People and Organisational Development | Monthly meeting to demonstrate change initiatives discussed and monitored regularly with Partners and Trade Union Change Leads | | X | | | |
| | | | Local Partnership Forum quarterly | | | | X | |
| SR 3.4 | Provision of change master classes to managers by external provider | All Executive Directors | Provision of change master classes to managers | X | X | | | |
| | | | Change toolkit available to support managers | X | X | | | |
| SR 3.5 | Managing Attendance at Work proactively supported by People & Organisational Development Advisor team | All Executive Directors | Managing Attendance at Work Policy provides framework to support sickness absence management | X | X | | | |
| | | | Mandated manager training delivered locally | X | X | | | |
| | | | Directorate and Divisional Assurance Dashboards provide key insights to be acted upon by line managers with advice and support from People & Organisational Development. | X | X | X | | |
| SR 3.6 | Wellbeing provision in support of staff experiencing anxiety of change | Director of People and Organisational Development | Employee Assistance Programme | X | X | | | |
| | | | Occupational Health Provision | X | X | | | |
| | | | Minutes demonstrating directorate action plans monitored at Health & Safety Meetings | X | X | | | |
| | | | Staff wellbeing survey | X | X | X | X | |

Strategic Risk Register

| Action Plan No. | Gaps in controls | Action Plan | Exec Director | Due Date | Progress |
|-----------------|--|---|---|------------|--|
| AP 3.1 | No clear picture or process of measuring / controlling the amount of change planned across the wider organisation and the impact this has for People &OD | Work being undertaken by Strategic Planning and Performance teams will allow greater understanding of planned changes and its impact | Deputy CEO and Director of Operations and Finance | Completed | September 2022 – Action completed |
| | | Oversight and informed decision making on proposed future change programmes | All Executive Directors | 30/06/2023 | Update 23/02/23 - A discussion paper aligned to the LTS and IMTP is being developed by Strategic Planning colleagues that will cover commissioning and resourcing processes to inform how as an organisation we intend to undertake change in the future. The due date for this action has been amended to reflect the associated work that will be required to enable informed decision making on future change initiatives as outlined in the IMTP Update 31/01/2023 - Further workshops for enablers to discuss the future scoping and commissioning of change programmes TBA by Strategic Planning, confirmed to be following the LTS refresh |
| | | Ensure the People & OD section of the IMTP fully reflects the change priorities for the period of the IMPT | Director of People and OD | 31/03/2023 | Update 28/02/23 - The IMTP has been reviewed to identify initiatives that have people implications as part of the enabler assessment and feedback provided for BET discussion regarding feasibility, scheduled for consideration today. Update 31/01/2023 – IMTP activity underway and on track Update 01/12/2022 -Workforce planning and IMTP activity currently underway in Directorates and on track |
| AP 3.2 | Expertise and understanding of how to lead change, whilst minimising the negative impact on staff | Development and delivery of a ‘Managing Change Effectively’ programme, targeting People Managers to increase their capability in change management skills in support of organisational change | Director of People and OD | 31/03/2023 | Update 23/02/23 The future learning and development offer is currently being developed aligned to new resources that are being designed to support improving managers capability in leading change. A pilot and launch date are TBD as part of the new leadership and management |

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| | | | | | development provision, scheduled for the new financial year. Update 31/01/23 Improving capability is part of the task and finish group activity that is on track Update 23/12/22 - Linked to IMTPM-317 and on track |
| | Incomplete Directorate workforce plans | Develop and deliver training and support to build the skills of managers in planning, predicting and identifying workforce supply and demand. | Director of People and OD | Completed | Update 23/12/2022 - Linked to IMTPM_320. Initial sessions delivered to Directorate SMT's by Strategic Workforce Planning and Resourcing Manager. All Directorates have now completed the first phase of workforce planning. |
| AP 3.3 | | Integration of change management requirements in Directorate and Divisional Workforce Plans | All Executive Directors | 31/03/2023 | Update 28/02/23 Workforce requirements to support change are aligned to the update AP3.1 above Update 31/01/2023 –Directorate workforce information submitted and received and analysis being undertaken of these initial returns Update 23/12/2022 - Linked to above action as well as Long Term Strategy refresh and Quality as a Strategy work, which is on track. |
| AP 3.4 | Lack of agreed organisation design principles and process for commissioning and resourcing of organisational change work | Develop an agreed approach to organisation design, commissioning and resourcing of organisational change work for subsequent implementation | Director of People and OD | 30/09/2023 | Update 28/02/23 Following as assessment of the work required to enable appropriate commissioning, the deliverable has been agreed and moved to the new financial year. Update 31/01/2023 Outputs from both workshops being analysed and commissioning approach work is on track Update 23/12/2022 - The organisational design part of this deliverable has been agreed and moved into the new financial year, aligned to the LTS refresh. Update 01/12/2022 - First workshop held during November 2022 to co-create a common understanding & approach in POD to commissioning (internal and external), that will also support our planning and resourcing for initiatives as a Directorate going forward. Second workshop scheduled for January 2023. |

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| AP 3.5 | Varied levels of staff engagement and involvement in change processes | Proactively involve staff in informal engagement and co-creation of change as an essential part of OCP activity for all new change initiatives | All Executive Directors | Ongoing | Update 28/02/23 The people aspects of change are being incorporated into the resources that are currently being developed in partnership with TU colleagues to support managers capability in leading change |
| AP 3.6 | Varied levels of engagement with TU colleagues at national level | Continue to strengthen relationships with national TUs to improve the culture of partnership working in PHW | Director of People and OD | Ongoing | Update 28/02/23 Work in progress through LPF and JMDNC |

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| Risk 4 | There is a risk that we are unable to attract and retain the required professional workforce caused by skill shortages and increased pressures on staff, which has been exacerbated by the Covid-19 pandemic, resulting in there being insufficient capability and capacity to deliver our plans |
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| Assuring Group | People and Organisational Development Committee |

| Inherent Risk | | | | | | | |
|---------------|----------|--------------------|----------|----------------|----------|---------------|-----------|
| Date | 11/05/22 | Likelihood: | 5 | Impact: | 5 | Score: | 25 |

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Risk Owner's Overview Assessment Status

The implementation of our People Strategy as well as our Strategic Equality Plan remain crucial to our ability to manage this strategic risk. With data insights taken from recruiting, leavers (exiting), movers (internal) and promotions, etc. there will be a continuous view of the current position.

Our divisional / directorate workforce plans must be robust ensuring we understand our current talent, i.e. those in place to deliver now and what our future internal talent looks like. Where future talent does not exist within the organisation, there will need to be strategies to ensure gaps do not open up and leave the organisation vulnerable to failing to deliver.

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| SR 4.1 | People Strategy | Director of People and Organisational Development | Bi annual progress reports to BET and PODCOM | | | X | X | |
| SR 4.2 | Directorate and Divisional Workforce Plans supported by P&OD BPs | All Executives | Workforce challenges and related workforce plans to address workforce issues are set out in IMTP narrative and workforce planning returns | X | X | X | | |
| | | | Regular reporting and review, e.g. quarterly, is encouraged via Senior Management Team / Directorate Leadership Team / directorate performance reviews | X | X | | | |
| | | | Annual update via IMTP cycle | | | X | X | |
| SR 4.3 | My Contribution/ Career development and Performance Check-ins | All Executives | Quarterly and monthly organisational and directorate level reporting and Performance Assurance Dashboard | | X | X | X | |
| SR 4.4 | Directorate and Divisional Assurance Dashboards providing key insights to be acted upon linked to workforce plans | All Executives | Directorate performance reviews | X | X | | | |
| | | | Active use of recruitment data | X | X | | | |
| | | | Analysis of Starter and Leaver data | X | X | | | |

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| Action Plan No. | Gaps in controls | | Action Plan | Exec Director | Due Date | Progress |
|-----------------|--------------------------------|--|---|-------------------------|------------|--|
| AP 4.1 | Develop robust workforce plans | | Establish succession plans throughout the organisation for key roles | Director of People & OD | 30/12/2022 | <p>Updated 1.3.23 A review of data submitted from directorates as part of the initial phase of workforce planning has been completed. A dashboard has been developed and will summarise where are our critical posts are. From this we will work with directorates to build succession plans for critical roles identified and identify key interventions required. (Data quality needs further attention)</p> <p>24/1/23 The update remains the same as last month</p> <p>Updated 1/12/22 The update remains the same as last month</p> <p>Updated 17/11/2022 - Whilst this objective will not be met by the 30/12/2020 as part of the workforce planning process, key roles for succession planning will be identified by mid Q4. By the end of Q4 we will be developing targeted interventions from the analysed data to ensure robust succession plans are in place for critical roles.</p> |
| | | | Establish more detail of the workforce required to deliver our refreshed long-term strategic plan, including role mix, grade mix, skill mix, and placement of roles in the wider Public Health system | Director of People & OD | 30/12/2022 | <p>Updated 1/3/23 Baseline data to support this action has now been established. The data is currently being reviewed with Directorates and skill /role mix requirement will continue to be considered in line with LTS which is yet to be finalised.</p> <p>21/1/23 The update remains the same as last month</p> <p>Updated 1/12/22 Data is currently being gathered as part of the Workforce Planning exercise and the LTS is moving closer to being finalised.</p> |

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| | | | | | Updated 17/11/2022 with the refreshed LTS not yet complete, an element of this risk will continue. |
| | | Develop clear plans for addressing scarce and emerging skills in line with local and national shortage specialities and forecast gaps between skills supply and demand | Director of People & OD | 31/03/2023 | <p>Updated 1/3/23 This is ongoing as part of the workforce planning discussions being help with Directorates.</p> <p>21/1/23 The update remains the same as last month</p> <p>Updated 1/12/22 The update remains the same as last month</p> <p>Updated 17/11/2022 By the end of Q4 plans will have commenced with directorates as part of the current approach to WFP to discuss how each will develop interventions from the analysed data and then develop plans to meet the supply issues</p> |
| | | Work with our partners to raise awareness of and widen access to careers in Public Health, e.g. through advanced apprenticeships or other non-graduate routes (to expand our supply of suitably experienced candidates and increase participation and progression from under-represented groups). | Director of People & OD | 31/03/2023 | <p>Updated 1/3/23 February BET cancelled the paper will now go on the 7th of March</p> <p>21/1/23 A paper will be presented to BET on the 20th Feb to seek provision of funding to support entry level roles which support longer term succession planning</p> <p>Updated 1/12/22 - Work continues in line with November update</p> <p>Updated 17/11/2022 work will continue, but the approach will fall out from the workforce planning work as opposed to being achieved in isolation</p> |
| | | Increase the number of placements, secondments, honorary contracts and joint posts spanning organisation boundaries, increasing skills transfer in both directions | Director of People & OD | 31/03/2022 | <p>Updated 1/3/23 Remains unchanged</p> <p>21/1/23 This needs to be targeted and will be shaped by information provided via the workforce planning process.</p> <p>Updated 1/12/22 - As Above</p> <p>Updated 17/11/2022 - As above</p> |
| AP 4.2 | Ensure PHW's employment offer helps retain top | Develop a compelling employee value proposition and employer brand for | Director of People & OD | 31/03/2023 | |

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| | performers and attract the best external talent. | | social media and recruitment advertising whilst ensuring the lived experience matches the promise. | | | <p>Updated 1/3/23 Joint Leadership and Exec Team workshop held and feedback from data gathering phase shared. Project delivery is on plan. 21/1/23 Project aims and objectives presented to PODCOM in Jan 23. Positive feedback received. Focus group sessions taking place throughout January. Plan is on track.</p> <p>Updated 1/12/22 High level of engagement achieved with key stakeholders. The project is on plan and progressing well.</p> <p>Updated 17/11/2022 the project has commenced</p> |
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