

Executive Director Lead: Nicola Johnson Commissioning Lead: Luke Archard

Commissioning Team: Cancer and Blood

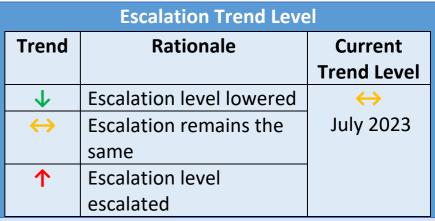
Date of Escalation Meetings: 27/09/22, 01/12/2022, 03/03/2023, 03/05/2023

Date Last Reviewed by Quality & Patient Safety

Committee: 14/06/2023

Service in Escalation: Burns

Current **Escalation Level 3**



Escalation History:

| Date | Escalation Level |
|-----------------------|------------------|
| November 2021 – | 4 |
| South West Burns | |
| Network escalation | |
| February 2022 – WHSSC | 3 |
| escalation | |
| August 2022 – WHSSC | 3 |
| escalation | |
| September 2022 – | 3 |
| WHSSC escalation | |
| December 2022 – | 3 |
| WHSSC escalation | |

Rationale for Escalation Status:

Remains at level 3.

The current timeline for completion of the capital works to enable relocation of burns ITU to general ITU at Morriston Hospital is the end of 2023.

The capital case may be delayed to the initial intended timeline as the case goes through the scrutiny process.

Escalation Trajectory:



Background Information:

At the time of initial escalation, the burns service at SBUHB was unable to provide major burns level care due to staffing issues in burns ITU. An interim model was put in place allowing the service to reopen in February 2022. The current escalation concerns the progress of the capital case for the long term solution and sustainability of the interim model.

Actions:

| Action | Lead | Action Due Date | Completion Date |
|--|-----------------------|--------------------|-----------------|
| To escalate and liaise with SBUHB at CEO and MD level with regard to the immediate actions needed to provide continued access to burns care for patients in Wales and the Network. | MD/ CEO | | Completed |
| To work with NHS England south west commissioners and the SWW Burns Network to support clear pathways and ensure continued access to burns care for patients in Wales and the Network. | MD/Exec Lead WHSSC | | Completed |

Summary of Services in Escalation

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Joint Committee 19 September 2023 Agenda Item

| | | 1 | |
|---|-----------------|---------|------------|
| To monitor the SBUHB action plan through formal escalation meetings. | MD/ Exec Lead | | Ongoing |
| The many resistance and the WILICCC and discussed at the Reman | WHSSC | | Camandatad |
| The peer review report was received by WHSSC and discussed at the Burns | Senior Planner | | Completed |
| Network meeting on the 16 th December 21. The interim mitigations are still in | | | |
| place at present. | | | |
| SBUHB are to provide a plan based on the recent peer review by the end of | Senior Planner | | Completed |
| January 22. | | | |
| A series of monitoring meetings are being put in place and LA to ask SBUHB if | Senior Planner | | Completed |
| they are confident as to whether 2 beds meets their requirements. | WHSSC/ | | |
| The unit has reopened with reduced capacity, i.e. 2 ITU beds instead of 3. Full | Service Manager | | |
| capacity will return in the longer term. WHSSC has responsibility for | SBUHB | | |
| monitoring implementation rather than the burns network. It was agreed | | | |
| that the risk score could be reduced to 9 (3 x 3) and considered for further | | | |
| reduction when assurance as to whether the service considered the reduced | | | |
| capacity to be sufficient for their needs. | | | |
| Interim arrangements to sustain burns service are in place while the business | Senior | Ongoing | |
| case is developed to collocate burns intensive care with the general intensive | Manager/ | | |
| care unit. | Senior | | |
| Interim arrangements appear to have taken effect. Risk may be reduced once | Planner | | |
| escalation meetings can be confirmed. | WHSSC | | |
| WHSSC to look at the business continuity plan in the event of potential loss of | Senior | Ongoing | |
| staff. | Planner | | |
| | WHSSC | | |
| Since the last escalation meeting, there has been a degree of delay relating to the | Senior Team | Ongoing | |
| process of Welsh Government scrutiny of the case which went to their Investment in | SBUHB/ | | |
| Infrastructure Board on 22 nd June; it had been hoped that the works would | Senior Planner | | |
| commence in May. There may, therefore, be a 2 month or so departure from | WHSSC | | |
| original timelines. At the SLA with Swansea on 5 th June, it was confirmed that this | | | |
| message had been conveyed to the staff supporting the interim rota arrangements | | | |
| (one of the concerns has been to ensure the resilience of this rota which in turn is | | | |
| felt to depend in part on there being demonstrable progress with the business case | | | |
| so they can see the finish line). | | | |

Issues/Risks:

- July 2023 The Welsh Government Infrastructure Investment Board considered the burns case on June 22 2023 the outcome is not confirmed as yet.
- There may be delay to the initial intended timeline as the case goes through the scrutiny process. Once the outcome of the WG process is known, the timeline can be confirmed.

Executive Director Lead: David Roberts

Commissioning Lead: Emma King

Commissioning Team: Mental Health & Vulnerable

Groups

Date of Escalation Meetings: 12/07/21, 10/08/21, 14/09/21, 12/10/21, 09/11/21, 14/12/21, 11/01/22, 08/02/22, 08/03/22, 12/04/22, 03/05/22, 14/06/22, 20/07/22, 09/08/22, 13/09/22, 14/10/22, 05/12/22, 10/01/23, 12/06/23

Date Last Reviewed by Quality & Patient Safety

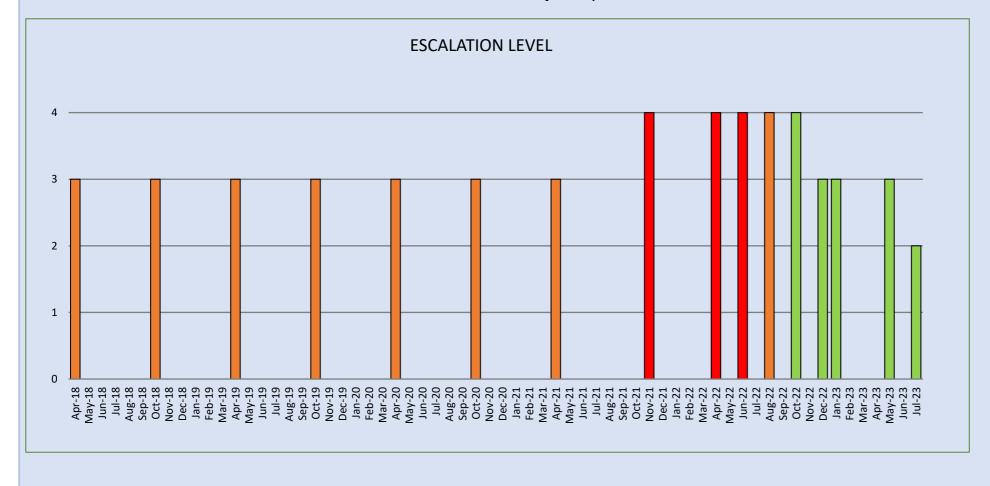
Committee: 14/06/2023

Service in Escalation: Ty Llidiard

Current Escalation Level 2

| Escalation Trend Level | | | |
|------------------------|-----------------------------|----------|--|
| Trend | Current | | |
| | | Trend | |
| | | Level | |
| \ | Escalation level lowered | \ | |
| \leftrightarrow | Escalation remains the same | July | |
| 1 | Escalation level escalated | 2023 | |

Escalation Trajectory:



Escalation History:

| Date | Escalation Level |
|-------------------|---------------------------------------|
| Mar 2018 – WHSSC | 3 |
| escalation | |
| Sept 2020 - WHSSC | 3 |
| escalation | |
| Nov 2021 - WHSSC | Escalation level increased to level 4 |
| escalation | |
| December 2022 - | De-escalated to level 3 |
| WHSSC escalation | |
| July 2023 - WHSSC | De-escalated to level 2 |
| escalation | |

Rationale for Escalation Status:

De-escalated to level 2.

Background Information:

March 2018 - Unexpected Patient death and frequent SUI's revealed patient safety concerns due to environmental shortfalls and poor governance. September 2020 - SUI reported to Welsh Government.

September 2022 - Recruitment plan underway with all vacancies out to advert; interview dates arranged.

December 2022 - This service has been de-escalated to Level 3 as agreed by CDGB on 14th December.

July 2023 – The Service has been de-escalated to Level 2 in June 2023

Actions:

| Action | Lead | Action Due Date | Completion Date |
|--|-------------------------------------|--------------------|--|
| Escalation meetings held monthly, however these have been escalated to Executive level discussions following the report on a visit from NCCU into the unit. | Senior Planner | | Completed March 22 |
| Service specification action plan agreed. | Senior Planner | | Completed March 22 |
| Implementation of Medical Emergency Response SOP by CTM took place on 03/05/22. | Senior Planner | | Completed May 22 |
| Recruitment of all staff to be in place. | Senior Planner / Service Leads | | Completed |
| Estates issues being addressed and meeting to map these and plan a timeline. | Senior Planner / Service Manager | Ongoing | |
| Executive lead for CTMUHB leading on the current escalation and development plan alongside WHSSC Executive lead with regular updates in between Escalation meetings. | Senior Planner | Ongoing | |
| NCCU CAMHS review to provide the driver for the CAMHS work stream of the mental health strategy. | Senior Planning Manager | | Completed |
| Reviewed service specification. | Senior Planning Manager | | Completed |
| Monitor training status of the staff by QAIS. | Shane Mills | | Completed |
| Submission of a discussion papers followed by a business plan for Clinical Director Dr Krishna Menon for a Physician Associate. | Dr Krishna Menon | | Completed |
| Confirm funding arrangements on staffing position for Nursing, Therapies, Medical Staff and Service Business Manager. | Director of Finance | | Completed |
| Action plan developed following QAIS review conducted in March 2022 and managed under escalation process. | NCCU Director | March 2023 | Actions outstanding to be completed by Sept 23 |
| Review of patient referrals admissions refusals and outcomes from March 2022 being undertaken. | NCCU Director and Team | April 2023 | Completed June 23 |

Issues/Risks:

This is a significant risk and is captured on WHSSC CRAF ref: MH/21/02 There is a risk that tier 4 providers for CAMHS cannot meet the service specification due to environmental and workforce issues, with a consequence that children could abscond/come to harm.

July 21- The commissioning team reviewed the risk scores and agreed to lower the target score from 12 to 8 as it was originally scored too high

April 22 – Score to remain as it is subject to impact of completed actions

June 22 – Risk remains at current level as risk of absconding is still prevalent

December 22 – Service de-escalated to Level 3 however work continues to consider referral processes and assessments

May 23 - There has been no change to the Ty Llidiard escalation status and no meetings have been held pending a report from NCCU next meeting planned for June 12th.

July 23 – Report received from NCCU and resulted in de-escalation Level 2 in June 2023. 6 Actions outstanding to be completed by September 2023. Further escalation meeting scheduled for 7th August 2023.

Executive Director Lead: Nicola Johnson
Commissioning Lead: Kimberley Meringolo
Commissioning Team: Women and Children

Service in Escalation: Paediatric Surgery

Current Escalation Level 3

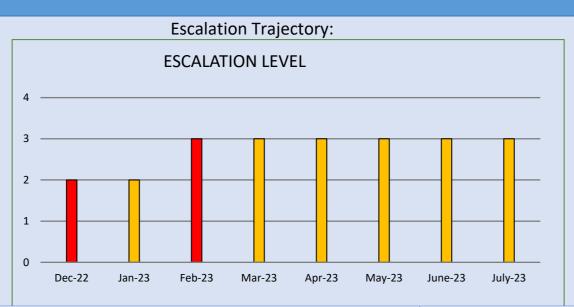
| Escalation Trend Level | | | |
|------------------------|-----------------------------|-------------------|--|
| Trend Rationale | | Current | |
| | | Trend | |
| | | Level | |
| 4 | Escalation level lowered | \leftrightarrow | |
| \leftrightarrow | Escalation remains the same | July | |
| 1 | Escalation level escalated | 2023 | |

Date of Escalation Meetings: 26/04/23, 23/05/23,

20/06/2023 & 26/07/23

Date Last Reviewed by Quality & Patient Safety

Committee: 14/06/2023



Escalation History:

| Date | Escalation Level |
|--------------------|------------------|
| March 2023 – WHSSC | 3 |
| escalation | |

Rationale for Escalation Status:

As a result of the service failing to engage fully with WHSSC regarding the weekly submission of contract delivery and waiting time profiles, it was agreed that the C&VUHB Paediatric Surgery service should be further escalated from Level 1 to Level 3 of the WHSSC Escalation Framework.

Background Information:

There is a risk that Paediatric patients waiting for surgery in the Children's Hospital of Wales are waiting in excess of 36 weeks due to COVID-19. The consequence is the condition of the patient could worsen and that the current infrastructure is insufficient to meet the backlog.

- Original recovery plan trajectories have reflected a nominal improvement on the waiting list position, and clarity is required on zero waits > 104 weeks,
- The original plan does not deliver contracted volume,
- Timely assurance on delivery against the baseline for future recovery, via weekly reports, as opposed to monthly reporting suggested by the UHB.

WHSSC assurance and confidence level in developments:

Medium – Action plan developed and positive progress made in implementing a number of new pilot schemes and securing additional capacity. Service is on-track to meet contracted volumes by December 2023. Reprofiling the waiting times projections is being undertaken by the HB for sharing in August.

Actions:

| Action | WHSSC | Action | Completion |
|---|----------|----------|------------|
| | Lead | Due Date | Date |
| Monthly escalation meetings with CVUHB to review progress against | Senior | Monthly | |
| the improvement plan. | Planning | | |
| | Manager | | |
| Action plan to be monitored through the monthly escalation meetings | Senior | Monthly | |
| and when data shows improvement consideration will be given to de- | Planning | | |
| escalation. | Manager | | |
| Requested revised trajectories to be issued to WHSSC by the end of | Senior | 30 June | Completed |
| June 2023. | Planning | 2023 | 20/06/23 |
| | Manager | | |
| Further reprofiling of waiting times being undertaken by the HB in line | Senior | August | |
| with meeting contract volumes by December 2023. | Planning | 2023 | |
| | Manager | | |

Issues/Risks:

April 2023 – Action plan presented by HB and actions agreed to progress in time for next meeting.

May 2023 – a number of actions within the action plan are in progress, action at meeting to update trajectories in time for the July meeting in order to allow measurement of improvement.

Executive Director Lead: Nicola Johnson Commissioning Lead: Kimberley Meringolo Commissioning Team: Women and Children

Service in Escalation: Wales Fertility Institute

Current
Escalation Level 3

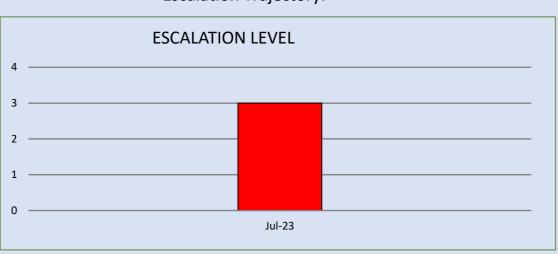
| Escalation Trend Level | | | |
|------------------------|-----------------------------|---------|--|
| Trend Rationale | | Current | |
| | | Trend | |
| | | Level | |
| V | Escalation level lowered | | |
| \leftrightarrow | Escalation remains the same | | |
| 1 | Escalation level escalated | | |

Date of Escalation Meetings:

Date Last Reviewed by Quality & Patient Safety

Committee:

Escalation Trajectory:



Escalation History:

| Date | Escalation Level |
|------------------------------|------------------|
| July 2023 – WHSSC escalation | 3 |

Rationale for Escalation Status:

Concerns from a number of routes with regards to the service including the WHSSC contract monitoring data submission; adherence to WHSSC policies and HFEA performance outcomes below National average.

Background Information:

A number of concerns regarding the safety and quality of service had been raised through different routes, including HFEA re-inspection report January 2023, WHSSC quality and assurance meetings and WFI IPFR requests regarding Wales Fertility Institute leading to the escalation of the service.

Actions:

| Action | Lead | Action Due | Completion |
|---|-------------|------------------------|------------|
| | | Date | Date |
| Initial escalation planning meeting Exec to exec | Assistant | 7 th August | |
| | Specialised | 2023 | |
| | Planner | | |
| Monthly escalation meeting | Assistant | Monthly | |
| | Specialised | | |
| | Planner | | |
| Quality visit | Assistant | September | |
| | Specialised | 2023 | |
| | Planner | | |
| SMART Action plan from WFI, action plan has been requested in order | Assistant | 7 th August | |
| that it can be agreed with WHSSC colleagues | Specialised | 2023 | |
| | Planner/ | | |
| | Service | | |
| | Manager | | |

Issues/Risks: There is a risk the Wales Fertility Institute (WFI) in Neath & Port Talbot Hospital is not providing a safe and effective service due to 7 major concerns identified during a relicensing inspection by HFEA in January 2023. There is a consequence that families who have treatment at this centre are not receiving the quality of care expected from the service and in turn impacting outcomes.

Level 1 ENHANCED MONITORING

Any quality or performance concern will be reviewed by the Commissioning Team. Enhanced monitoring is a pro-active response to put effective processes in place to drive improvement. It is an initial fact finding exercise which should ideally be led by the provider and closely monitored and reviewed by the commissioning team. The enquiry will lead to one of the following possible outcomes:

- No further action is required routine monitoring will continue. The concern which raised the indication for inquiry will be logged and referred to during the routine monitoring process to ensure this has not developed any further.
- Continued intervention is required at level 1 and a review date agreed.
- Escalation to Level 2 if further intervention is required

Level 2 ESCALATED INTERVENTION

There is the potential for reporting via commissioning team report to Quality Patient Safety Committee and through SLA meetings with provider

Escalated intervention will be initiated if Level I Enhanced Monitoring identifies the need for further investigation/intervention. There should be a Co-ordinated and/or unilateral action designed to strengthen the capacity and capability of the service. At this stage there should be jointly agreed objectives between the provider and commissioner and monitored through the relevant commissioning team. Frequency of meeting with provider should be at least quarterly and possible interventions will include

- Provider performance meetings
- Triangulation of data with other quality indicators
- Advice from external advisors
- Monitoring of any action plans

A risk assessment should be undertaken, and logged on the Commissioning Team Risk Register. Where appropriate the risk will be included on the WHSSC Risk Management Framework. Reporting is via commissioning team report to Quality Patient Safety Committee report and SLA meetings with provider. The investigation will lead to on to the following possible outcomes:

- Action plan and monitoring are completed within the allocated timeframe, evidence of progress and assurance the concern has been addressed. Deescalation to Level 1 for ongoing monitoring.
- If the action plan is not adhered to and further concerns are raised by the Commissioning team or by the provider team or further concerns are identified it may be necessary to move to Level 3 Escalated Measures

Level 3 ESCALATED MEASURES

Where there is evidence that the Action Plan developed following Level 2 has failed to meet the required outcomes or a serious concern is identified a service will be placed in escalated Level 3. At this stage the quality of the service requires significant action/improvement and will require Executive input. In addition to routine reporting through QPS a formal paper will be considered by the WHSSC Corporate Directors Group (CDG) and an Executive Lead nominated. Formal notification will be sent to the provider re the Level of escalation and a request made for an Executive lead from the provider to be identified. An initial meeting will be set up as soon as possible dependant on the severity of the concern. Meetings should take place at least monthly thereafter or more frequently if determined necessary with jointly agreed objectives.

Provider representation will depend on the nature of the issue but the meetings should ideally comprise of the following personnel as a minimum:

- Chair (WHSSC Executive Lead)
- Associate Medical Director Commissioning Team
- Senior Planning Lead Commissioning Team
- WHSSC Head of Quality
- Executive Lead from provider Health Board/Trust
- Clinical representative from provider Health Board/Trust
- Management representative from provider Health Board/Trust An agreed agenda should be shared prior to the meeting with a request for evidence as necessary.

At the conclusion of the meeting a clear timeline for agreed actions will be identified for future monitoring and confirmed in writing if appropriate. Reporting will be through commissioning team to QPS Committee. Consideration of entry on the risk register and summary of services in escalation table for Chairs report to Joint Committee. Consideration to involve and have a discussion with Welsh Government may be considered appropriate at this stage. If there is ongoing concern relating patient care and safety with no clear progress then further escalation will be required to Level 4. On the other hand if progress is made through the escalation Level 3 evidence of this should be presented to CDG/QPS and a formal decision made with the provider to de-escalate to Level 2.

Level 4 DECOMISSIONING/OUTSOURCING

Where services have been unable to meet specific targets or demonstrate evidence of improvement a number of actions need to be considered at this stage. This stage will require notification and involvement of the WHSSC Managing Director and CEO from the provider organisation. Both Quality Patient Safety Committee and Joint Committee should be cited on the level of escalation.

The following areas will need to be considered and the most appropriate sanction applied to help resolve the issue:

- 1. De-commissioning of the service
- 2. Outsourcing from an alternative provider. This may be permanent or temporary
- 3. Contractual realignment to take into account the potential need to maintain and agree an alternative provider.

Involvement with Welsh Government and the Community Health Council is critical at this stage as often there are political drivers and levers that need to be considered and articulated as part of the decision making. Moving in and out of escalation and between Levels In addition to the Levels described above the process has introduced a traffic light guide within each level. The purpose of this is to help demonstrate the direction of travel within the level. It sets out an approach to help identify progress within the level and lays out the steps required for movement either upwards (escalation) or downwards (de-escalation) through the level.

At every stage a red, amber or green colour will be applied to the level to illustrate whether more or less intervention is in place. Red being a higher level of intervention moving down to green. It will also help determine the easing of the escalated measures described and inform movement within the stages of escalation. As the evidence and understanding of the risks from a provider and commissioner become evident decisions can be made to reduce the level of intervention or there may be a need to reintroduce intervention should conditions worsen and trigger the re-introduction of measures if progress is unacceptable. In this way organisations will be able to understand what is being asked of them, progress will be easily identified and it will help avoid any confusion. It will also help in the reporting to provide assurance that action is being taken to meet the agreed timescales.



•Enhanced Monitoring Pro-active response to put effective processes in place to drive improvement. Fact finding exercise. Potential for reporting via commissioning team and SLA meetings with provider.



•Escalated Intervention Co-ordinated and/or unilateral action designed to strengthen the capacity and capability of the service Jointly agreed objectives and monitoring through performance framework. Frequency of meeting with provider at least quarterly. Reporting via commissioning team and SLA meetings with provider. Consideration of risk register and entry onto summary of services in escalation table.



Level 4

- •Escalated Measures Current arrangements require significant improvement. Quality visit to provider with Exec involvement from both sides. Executive Lead to be identified. Initial monthly meetings as a minimum with jointly agreed objectives. Formal notification to provider re stage of escalation. Reporting through commissioning team and QPS Committee. Consideration of risk register and updated on summary of services in escalation table.
- Decommissioning / Outsourcing Decision re continuation of service or decommissioning if unable to address action plan and ongoing concerns remain. Involvement of WHSSC Managing Director and Provider CNO Reporting mechanism to QPS decision at Joint Committee

SERVICES IN ESCALATION



Level of escalation reducing / improving position



Level of escalation unchanged from previous report/month



Summary of Services in Escalation

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