

<p><b>Executive Director Lead:</b> Nicola Johnson and Carole Bell <b>Commissioning Lead:</b> Vacancy <b>Commissioning Team:</b> Women and Children</p> <p><b>Date of Escalation Meetings:</b> Most recent - 16/05/24 <b>Date Last Reviewed by Quality &amp; Patient Safety Committee:</b> 19/02/2024</p>	<p><b>Service in Escalation:</b> Paediatric Surgery</p> <p><b>Current Escalation Level 3</b></p>	<p><b>Escalation Trend Level</b></p> <table border="1"> <thead> <tr> <th>Trend</th> <th>Rationale</th> <th>Current Trend Level</th> </tr> </thead> <tbody> <tr> <td>↓</td> <td>Escalation level lowered</td> <td rowspan="3">↔ May 2024</td> </tr> <tr> <td>↔</td> <td>Escalation remains the same</td> </tr> <tr> <td>↑</td> <td>Escalation level escalated</td> </tr> </tbody> </table>	Trend	Rationale	Current Trend Level	↓	Escalation level lowered	↔ May 2024	↔	Escalation remains the same	↑	Escalation level escalated					
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<p><b>Escalation Trajectory:</b></p>		<p><b>Escalation History:</b></p> <table border="1"> <thead> <tr> <th>Date</th> <th>Escalation Level</th> </tr> </thead> <tbody> <tr> <td>May 2023 – WHSSC escalation</td> <td>3</td> </tr> </tbody> </table> <p><b>Rationale for Escalation Status :</b> As a result of the service failing to engage fully with WHSSC regarding contract delivery and waiting time profiles, it was agreed that the service should be further escalated from Level 1 to Level 3 of the WHSSC Escalation Framework. A target of 52 weeks was set by the WHSSC Joint Committee.</p>	Date	Escalation Level	May 2023 – WHSSC escalation	3											
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<p><b>Background Information:</b></p> <ul style="list-style-type: none"> <li>The WHSSC Joint Committee committed to a target of 52 weeks and to maintaining this in the ICP 2024/25. There has been operational improvement in the service.</li> </ul> <p><b>WHSSC assurance and confidence level in developments:</b></p> <p><b>High</b> – Action plan developed and positive progress made in delivering service improvements and securing additional capacity. The target was not met by the end of March due to the effects of industrial action but assurance has been given on achieving it by the end of June 2024. This has been reported to Management Group and JCC with acknowledgement that de-escalation is to be considered at the Commissioning Team meeting in June 2024.</p>	<p><b>Actions:</b></p> <table border="1"> <thead> <tr> <th>Action</th> <th>WHSSC Lead</th> <th>Action Due Date</th> <th>Completion Date</th> </tr> </thead> <tbody> <tr> <td>Monthly escalation meetings with CVUHB to review progress against the improvement plan.</td> <td>Senior Planning Manager</td> <td>Monthly</td> <td></td> </tr> <tr> <td>Action plan to be monitored through the monthly escalation meetings and when data shows improvement consideration will be given to de-escalation.</td> <td>Senior Planning Manager</td> <td>Monthly</td> <td></td> </tr> <tr> <td>Triple escalation meetings established to monitor progress of all three paediatric services in escalation against overarching objectives.</td> <td>Director of Planning &amp; Performance / Director of Nursing and Quality</td> <td>16 May 2024</td> <td></td> </tr> </tbody> </table>	Action	WHSSC Lead	Action Due Date	Completion Date	Monthly escalation meetings with CVUHB to review progress against the improvement plan.	Senior Planning Manager	Monthly		Action plan to be monitored through the monthly escalation meetings and when data shows improvement consideration will be given to de-escalation.	Senior Planning Manager	Monthly		Triple escalation meetings established to monitor progress of all three paediatric services in escalation against overarching objectives.	Director of Planning & Performance / Director of Nursing and Quality	16 May 2024	
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<p><b>Issues/Risks:</b> May 2024 – Escalation status being considered at Commissioning Team meeting in June 2024.</p>																	

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

Service in Escalation: Paediatric Intensive Care

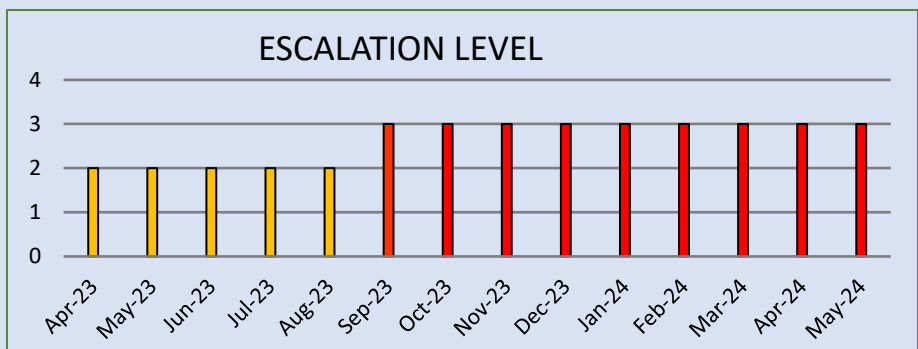
**Current Escalation Level 3**

Escalation Trend Level

Trend	Rationale	Current Trend Level
↓	Escalation level lowered	↔ May 2024
↔	Escalation remains the same	
↑	Escalation level escalated	

Date of Escalation Meetings: 10/10/23, 19/12/23, 16/05/24  
 Date Last Reviewed by Quality & Patient Safety Committee: 19/02/2024

Escalation Trajectory:



**Escalation History:**

Date	Escalation Level
<b>April 2023</b>	<b>2</b>
<b>September 2023 – Increased level from 2 to 3</b>	<b>3</b>

**Rationale for Escalation Status :**

Following concerns regarding bed availability due to workforce shortages, refusal rates and pressure sore incidents the service was escalated to level 2. There was limited progress over a 3 month period against the objectives therefore the decision was taken to further escalate to level 3.

**Background Information:**

There is a risk that a Paediatric intensive care bed, in the Children’s Hospital for Wales, will not be available when required due to constraints within the service. There is a consequence that Paediatric patients requiring intensive care will be cared for in, inappropriate areas where the necessary skills or equipment is not available or the patient being transferred out of Wales. The availability of a bed and staffing constraints have been brought to the attention of WHSSC through various routes including HiW and the daily SITREP.

**WHSSC assurance and confidence level in developments:**

Low – HB have submitted draft action plan, a final version has been requested. The escalation is predominantly linked to workforce and the lead in time for mitigations is medium term, in particular the recruitment of International Nurses. New streamliners have begun in the HB and although supernumerary at present and will not directly fill PIC vacancies it will support the wider workforce challenges across the Children’s Hospital. **WHSSC are still awaiting detailed demand and capacity in order to develop a sustainable contracting framework for Paediatric Intensive Care and High Dependency. Escalation status being discussed at executive level within the JCC.**

**Actions:**

Action	WHSSC Lead	Action Due Date	Completion Date
Requested demand and capacity plan from HB to develop sustainable contracting framework for PIC and HD	Senior Planning Manager	30 June 2024	
Requested sight of the Pressure Sore report presented to the HB Quality and Patients Safety Committee.	Senior Planning Manager	Ongoing	
Triple Escalation meeting to discuss detail and progress against action plan (monthly)	Senior Planning Manager	16/05/24	

**Issues/Risks:**

**Executive Director Lead: Nicola Johnson**  
**Commissioning Lead:**  
**Commissioning Team: Women and Children**

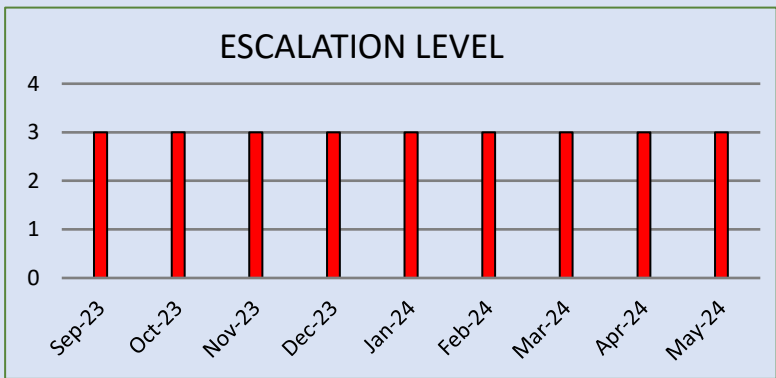
**Date of Escalation Meetings: 10/10/23, 19/12/23, 16/05/24**  
**Date Last Reviewed by Quality & Patient Safety Committee: 19/02/2024**

Service in Escalation:  
 Neonatal Intensive Care Unit

**Current Escalation Level 3**

Escalation Trend Level		
Trend	Rationale	Current Trend Level
↓	Escalation level lowered	↔ May 2024
↔	Escalation remains the same	
↑	Escalation level escalated	

Escalation Trajectory:



**Escalation History:**

Date	Escalation Level
<b>September 2023</b>	<b>3</b>

**Rationale for Escalation Status :**

High levels of cot closures reported across all three levels of care, blood stream infection rates and progress implementing the new cot configuration.

**Background Information:**

There are currently two risks on the CRAF relating to Neonatal services at Cardiff and Vale UHB, lack of cot availability due to workforce and the service being a negative outlier status for blood stream infections, on the National Neonatal Audit Programme (NNAP). Limited progress has also been made against implementing the workforce required to support the cot configuration.

**WHSSC assurance and confidence level in developments:**

Low / Medium – First draft of an action plan has been received however further detail has been requested. The mitigations required to support safe staffing levels and improvements against infection rates requires a robust workforce plan which has a medium to long term lead time for completion. Escalation status being discussed at executive level within the JCC.

**Actions:**

Action	WHSSC Lead	Action Due Date	Completion Date
Working with C&V UHB executive team to develop a plan to implement new baseline as all other HBs are in a position to go live	Director of Planning	16/05/24	

**Issues/Risks:**

**March 24 - The service have not submitted an action plan despite being in escalation since Sept 23, they are unable to increase their cot numbers based on the new cot configuration and reported that they cannot safely deliver on the cots that they are currently commissioned, no progress made with exec to exec meeting, possibility that outsourcing from the service may be required, the service remains at escalation level 3 but if there are no improvements increasing the escalation will be considered.**

May 24 - Through quarterly assurance meetings with all neonatal units in the South & West of Wales it has been reported that there has been increased pressure across the network for cot availability

**Executive Director Lead: Iolo Doull**  
**Commissioning Lead: Dominique Gray-Williams**  
**Commissioning Team: Women and Children**

**Date of Escalation Meetings: 07/08/23, 19/09/23, 10/10/23, 07/12/23, 15/02/24, 14/03/24, 11/04/24, 08/05/24**  
**Date Last Reviewed by Quality & Patient Safety Committee: 19/02/2024**

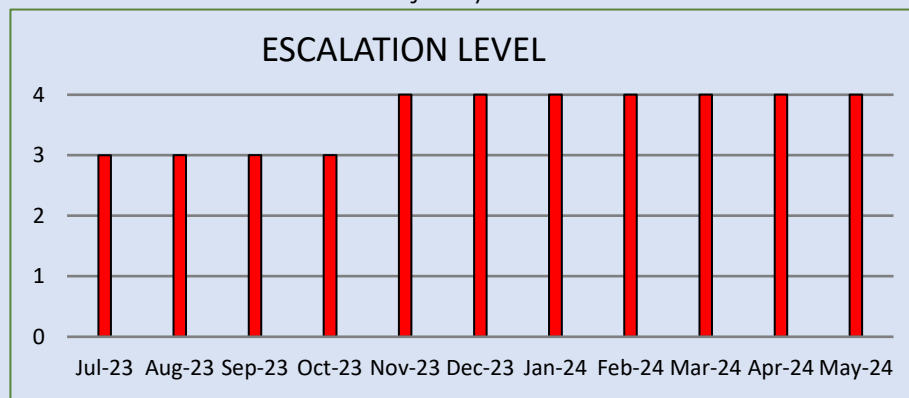
Service in Escalation: Wales Fertility Institute

**Current Escalation Level 4**

Escalation Trend Level

Trend	Rationale	Current Trend Level
↓	Escalation level lowered	↔ May 2024
↔	Escalation remains the same	
↑	Escalation level escalated	

Escalation Trajectory:



Escalation History:

Date	Escalation Level
July 2023 – WHSSC escalation	3
November 2023 – WHSSC escalation	4

**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.

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.

**WHSSC assurance and confidence level in developments:**

Medium – The Health Board have instigated regular Gold Command and operational service improvement meeting with positive progress made in addressing HFEA concerns. The Action plan has been agreed and progress has been made with regards to WHSSC data submissions, however, the service need to ensure time is given both internally and to WHSSC to allow for review and consideration of documentation.

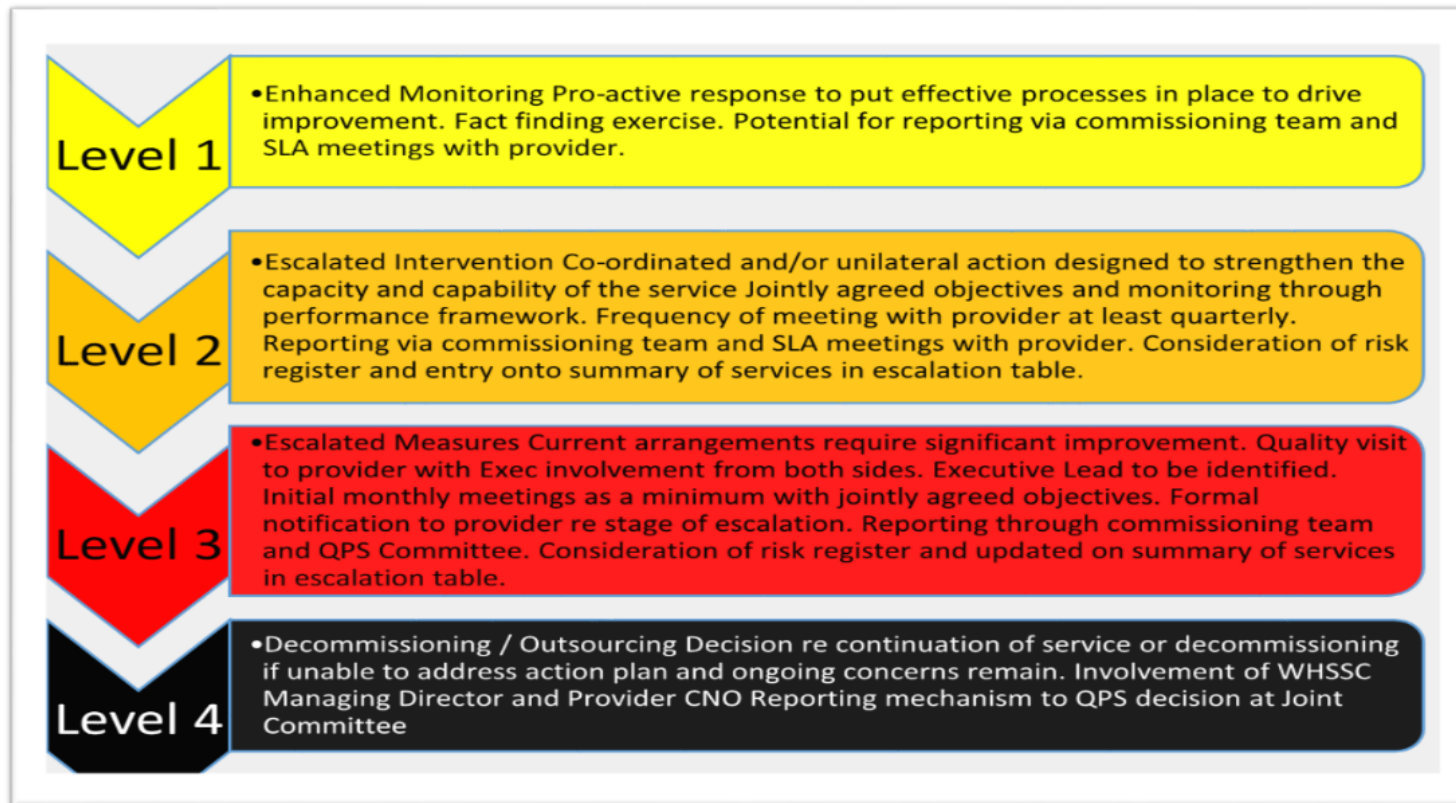
**Actions:**

Action	Lead	Action Due Date	Completion Date
Monthly escalation meeting to review progress against Action Plan Escalation meeting 19 <sup>th</sup> September 2023 10 <sup>th</sup> October 2023 7 <sup>th</sup> December 2023 15 <sup>th</sup> February 2024 14 <sup>th</sup> March 2024 9 <sup>th</sup> April 2024 8 <sup>th</sup> May 2024	Assistant Specialised Planner	Monthly	13 June 2024

<p>The service submitted an audit of notes to the HFEA at the end of December, they are awaiting feedback from this submission.</p> <p>The service have identified a number of suitable staff members to prepare and take on the role of PR. The intention is for all suitable staff to sit the exam, to ensure sustainability of the service with a PR over Cardiff and a PR over Neath Port Talbot. Cardiff inspection took place in March 2024, following the inspection being considered by the HFEA licensing panel who agreed to changing the licence to a storage only facility. The Neath Port Talbot Inspection took place in May 2024.</p> <p>A review of the HB escalation process has been undertaken and reconfigured to form a WFI sustainability group which feeds into the WFI Assurance, Recovery and Accountability Board.</p> <p>A new clinical service manager took up post at the start of May 2024.</p> <p>The HB have agreed to undertake a comprehensive service review to include, performance, finance, complaints, incidents and risks. It was originally intended for the review to be completed by the end of January 2024 however this has been delayed with the review report due to be shared with the HB Board at the end of May 2024.</p>	SMART Action plan reviewed and agreed	Service Manager	19 <sup>th</sup> September 2023	19 <sup>th</sup> September 2023
	<p>Regular Executive to executive meetings</p> <p>16<sup>th</sup> November 2023</p> <p>21<sup>st</sup> November 2023</p> <p>1<sup>st</sup> December 2023</p> <p>7<sup>th</sup> December 2023</p> <p>21<sup>st</sup> December 2023</p>	Executive lead SBUHB/ Medical Director WHSSC	16 <sup>th</sup> November	Ongoing
<p><b>Issues/Risks:</b> There is a risk the Wales Fertility Institute (WFI) in Neath &amp; 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.</p>				

<b>Level 1 ENHANCED MONITORING</b>	<p>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:</p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• Continued intervention is required at level 1 and a review date agreed.</li> <li>• Escalation to Level 2 if further intervention is required</li> </ul> <p>There is the potential for reporting via commissioning team report to Quality Patient Safety Committee and through SLA meetings with provider</p>
<b>Level 2 ESCALATED INTERVENTION</b>	<p>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</p> <ul style="list-style-type: none"> <li>• Provider performance meetings</li> <li>• Triangulation of data with other quality indicators</li> <li>• Advice from external advisors</li> <li>• Monitoring of any action plans</li> </ul> <p>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:</p> <ul style="list-style-type: none"> <li>• Action plan and monitoring are completed within the allocated timeframe, evidence of progress and assurance the concern has been addressed. De-escalation to Level 1 for ongoing monitoring.</li> <li>• 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</li> </ul>
<b>Level 3 ESCALATED MEASURES</b>	<p>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:</p> <ul style="list-style-type: none"> <li>• Chair (WHSSC Executive Lead)</li> <li>• Associate Medical Director - Commissioning Team</li> <li>• Senior Planning Lead – Commissioning Team</li> <li>• WHSSC Head of Quality</li> <li>• Executive Lead from provider Health Board/Trust</li> <li>• Clinical representative from provider Health Board/Trust</li> <li>• Management representative from provider Health Board/Trust</li> </ul> <p>An agreed agenda should be shared prior to the meeting with a request for evidence as necessary.</p> <p>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.</p>

<p><b>Level 4 DECOMISSIONING/O UTSOURCING</b></p>	<p>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.</p> <p>The following areas will need to be considered and the most appropriate sanction applied to help resolve the issue:</p> <ol style="list-style-type: none"> <li>1. De-commissioning of the service</li> <li>2. Outsourcing from an alternative provider. This may be permanent or temporary</li> <li>3. Contractual realignment to take into account the potential need to maintain and agree an alternative provider.</li> </ol> <p>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.</p> <p>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.</p>
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**SERVICES IN ESCALATION**



Level of escalation reducing / improving position

Level of escalation unchanged from previous report/month