

**PWYLLGOR ARCHWILIO A SICRWYDD RISG  
AUDIT AND RISK ASSURANCE COMMITTEE**

<b>DYDDIAD Y CYFARFOD: DATE OF MEETING:</b>	19 April 2022
<b>TEITL YR ADRODDIAD: TITLE OF REPORT:</b>	Escalation and Intervention Arrangements
<b>CYFARWYDDWR ARWEINIOL: LEAD DIRECTOR:</b>	Steve Moore, Chief Executive
<b>SWYDDOG ADRODD: REPORTING OFFICER:</b>	Sian-Marie James, Assistant Director of Corporate Legal Services & Public Affairs

**Pwrpas yr Adroddiad (dewiswch fel yn addas)**

**Purpose of the Report (select as appropriate)**

Er Gwybodaeth/For Information

**ADRODDIAD SCAA  
SBAR REPORT**

**Sefyllfa / Situation**

The purpose of this report is to update Audit & Risk Assurance Committee (ARAC) members on the University Health Board's (UHB) current monitoring status with Welsh Government (WG).

**Cefndir / Background**

In September 2016, as part of the Welsh Government's Escalation and Intervention Arrangements, the former Minister for Health and Social Services (the Minister) moved the UHB from Enhanced Monitoring to Targeted Intervention.

In October 2020, I advised Members that the former Director General Health and Social Services/NHS Wales Chief Executive and the former Minister had confirmed that the UHB's escalation status was reduced from Targeted Intervention to Enhanced Monitoring.

**Asesiad / Assessment**

Members are advised that on 3<sup>rd</sup> March 2022, the Director General Health and Social Services/NHS Wales Chief Executive confirmed that she will be recommending to the Minister that the UHB's escalation status remains unchanged at Enhanced Monitoring (**Appendix 1**).

This follows a recent tripartite meeting with Welsh Government, Audit Wales and Healthcare Inspectorate Wales, where the UHB's good leadership was acknowledged. The group asked the UHB to consider the need to address its current financial position and financial strategy linked to future service and workforce plans, and to focus on urgent and emergency care and its continued workforce challenges.

The UHB is committed to reducing the delays our population is facing at times when trying to access our local Urgent and Emergency Care services, and has submitted its Improvement Plan to Welsh Government officials. The plan reflects actions across the whole system and our plan to further strengthen management processes to facilitate these improvements.

A copy of my response to the Director General Health and Social Services/NHS Wales Chief Executive, dated 24<sup>th</sup> March 2022, is attached (**Appendix 2**).

**Argymhelliad / Recommendation**

The Audit & Risk Assurance Committee is asked to note the UHB's continued escalation status of Enhanced Monitoring.

<b>Amcanion: (rhaid cwblhau) Objectives: (must be completed)</b>	
Committee ToR Reference Cyfeirnod Cylch Gorchwyl y Pwyllgor	3.24 The Committee shall request and review reports and positive assurances from directors and managers on the overall arrangements for governance, risk management and internal control.
Cyfeirnod Cofrestr Risg Datix a Sgôr Cyfredol: Datix Risk Register Reference and Score:	Not Applicable
Safon(au) Gofal ac Iechyd: Health and Care Standard(s):	Governance, Leadership and Accountability
Amcanion Strategol y BIP: UHB Strategic Objectives:	All Strategic Objectives are applicable
Amcanion Llesiant BIP: UHB Well-being Objectives: <a href="#">Hyperlink to HDdUHB Well-being Objectives Annual Report 2018-2019</a>	9. All HDdUHB Well-being Objectives apply

<b>Gwybodaeth Ychwanegol: Further Information:</b>	
Ar sail tystiolaeth: Evidence Base:	Copy of the letter from the Chief Executive NHS Wales dated 3 <sup>rd</sup> March 2022 is attached at <b>Appendix 1</b> .  Copy of the letter in response dated 24 <sup>th</sup> March 2022 is attached at <b>Appendix 2</b> .
Rhestr Termiau: Glossary of Terms:	Included within the body of the report
Partion / Pwyllgorau â ymgynhorwyd ymlaen llaw y Pwyllgor Archwilio a Sicrwydd Risg: Parties / Committees consulted prior to Audit and Risk Assurance Committee:	Not applicable

<b>Effaith: (rhaid cwblhau) Impact: (must be completed)</b>	
<b>Ariannol / Gwerth am Arian: Financial / Service:</b>	Any issues are identified in the report.
<b>Ansawdd / Gofal Claf: Quality / Patient Care:</b>	Any issues are identified in the report.
<b>Gweithlu: Workforce:</b>	Any issues are identified in the report.
<b>Risg: Risk:</b>	This report provides evidence of current key issues at both a local and national level, which reflect national and local objectives and development of the partnership agenda at national, regional and local levels. Ensuring that ARAC is sighted on key areas of its business, and on national strategic priorities and issues, is essential to assurance processes and related risks.
<b>Cyfreithiol: Legal:</b>	Any issues are identified in the report.
<b>Enw Da: Reputational:</b>	Any issues are identified in the report.
<b>Gyfrinachedd: Privacy:</b>	Not Applicable
<b>Cydraddoldeb: Equality:</b>	<ul style="list-style-type: none"> <li>• Has EqIA screening been undertaken? Not on the Report</li> <li>• Has a full EqIA been undertaken? Not on the Report</li> </ul>

Cyfarwyddwr Cyffredinol Iechyd a Gwasanaethau Cymdeithasol/  
Prif Weithredwr GIG Cymru  
Grŵp Iechyd a Gwasanaethau Cymdeithasol

Director General Health and Social Services/  
NHS Wales Chief Executive  
Health and Social Services Group



Llywodraeth Cymru  
Welsh Government

Mr Steve Moore  
Chief Executive  
Hywel Dda University Health Board  
Corporate Offices  
Ystwyth Building  
Hafen Derwen  
St David's Park  
Job's Well Road  
Carmarthen  
SA31 3BB

Our Ref: JP/MR/SB

3 March 2022

Dear Steve

### **Joint Escalation and Intervention Arrangements**

Under the Joint Escalation and Intervention Arrangements, the Welsh Government meets with Audit Wales and Healthcare Inspectorate Wales twice a year to discuss the overall assessment of each Health Board, Trust and Special Health Authority in relation to the arrangements.

A tripartite meeting has recently taken place and I write now to let you know your health board's status.

On the basis of the tripartite group discussion, Welsh Government officials will be recommending to the Minister that the escalation status of Hywel Dda University Health Board remains at 'enhanced monitoring'.

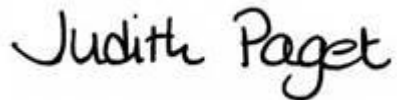
The group acknowledged the good leadership within the organisation. Whilst the escalation level remains unchanged since the last meeting, an issue was raised by the group for you to consider, namely:

- There is a need to address the current financial position and financial strategy linked to future service and workforce plans;

- There is concern around the urgent and emergency care position across the health board, with all four acute sites often at high levels of escalation every day;
- The continued workforce challenges within the health board.

In the meantime, Welsh Government colleagues will continue to provide the necessary specialised support and advice to address issues raised. We will continue to have regular JET and IQPD meetings with subject specific discussions as and when considered necessary.

Yours sincerely

A handwritten signature in black ink that reads "Judith Paget". The signature is written in a cursive, slightly slanted style.

**Judith Paget CBE**



GIG  
CYMRU  
NHS  
WALES

Bwrdd Iechyd Prifysgol  
Hywel Dda  
University Health Board

Ein cyf/Our ref: CEO

Gofynnwch am/Please ask for: Alex Harries

Rhif Ffôn /Telephone: 01267 239588

Dyddiad/Date: 24<sup>th</sup> March 2022

Swyddfeydd Corfforaethol, Adeilad Ystwyth  
Hafan Derwen, Parc Dewi Sant, Heol Ffynnon Job  
Caerfyrddin, Sir Gaerfyrddin, SA31 3BB

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Judith Paget  
Director General Health & Social Services /  
NHS Wales Chief Executive  
Health and Social Services Group  
Welsh Government  
Cathays Park  
Cardiff  
CF10 3NQ

By email to [judith.paget001@gov.wales](mailto:judith.paget001@gov.wales)

Dear Judith

## RE: Joint Escalation and Intervention Arrangements

I write in response to your letter of 3<sup>rd</sup> March 2022 confirming the escalation status for Hywel Dda Health Board. Our ambition is to return to routine monitoring status, recognising that this will depend on delivering an approvable Integrated Medium Term Plan. It is, however, encouraging to see that despite the unprecedented challenges we have faced in the last 2 years – exacerbated by our hospital configuration and relatively poor infrastructure – we have been able to consolidate our de-escalation from targeted intervention status.

I note the issues you have raised that require resolution if we are to realise our ambition to return to routine monitoring. In relation to our financial position and financial strategy, we are working closely with colleagues in the Finance Delivery Unit as well as with our operational and corporate teams to finalise our financial route map to recovery. This will set out our trajectory to achieve financial balance, linked ultimately to the hospital reconfiguration and wider aims of *A Healthier Mid & West Wales (AHMWW)* and, with Welsh Government support will enable us to deliver an approvable 3 year plan setting out the detailed steps we will be taking in the short to medium term. Securing this support and delivering our strategy will put West Wales on a stable and sustainable financial footing for the first time in Hywel Dda health Boards history.

In relation to urgent and emergency care, we share your concerns and have been actively addressing the wide range of challenging issues that underlie this. Prior to the pandemic, Hywel Dda achieved levels of performance in both Planned and Unplanned Care that were

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Cadeirydd /Chair  
**Miss Maria Battle**  
Prif Weithredwr/Chief Executive  
**Mr Steve Moore**

Bwrdd Iechyd Prifysgol Hywel Dda yw enw gweithredol Bwrdd Iechyd Lleol Prifysgol Hywel Dda  
Hywel Dda University Health Board is the operational name of Hywel Dda University Local Health Board

Mae Bwrdd Iechyd Prifysgol Hywel Dda yn amgylchedd di-fwg Hywel Dda University Health Board operates a smoke free environment

amongst the best in Wales (although, I acknowledge in the case of emergency care, this still fell short of Welsh Government targets for waiting times). The pandemic has left us with a difficult legacy relating to the impact of lockdowns, staff exhaustion and demand backlogs which will take us time to address but this Health Board has had a strong track record in sustained waiting time performance and I am confident that we will return to this as we work through the consequences of the last two, unprecedented years.

On your final point, I recognise that as a Health Board we have some of the biggest challenges regarding workforce vacancies and rota gaps. Indeed, a recent analysis by the Workforce and OD Directors Peer Group showed that Hywel Dda Health Board has the highest overall vacancy rate of any health organisation running acute hospitals in Wales. There are a range of factors contributing to this and we are taking innovative, often ground breaking action to address them. We have one of the largest, most successful apprenticeship schemes (which continues to grow), are quickly developing our “team around the patient” model (learning from the very positive experiences of patients and staff in our Field Hospitals) and have the most developed workforce modelling tool in NHS Wales. This tool is now being adopted nationally and we are working closely with both the peer group and HEIW to offer our expertise in this area. Whilst our workforce challenges are largely not of our making, I am confident that these efforts, plus developments such as the Aberystwyth School of Nursing opening this year, will provide a clear workforce route map, linked to finances and our AHMWW Strategy to create a sustainable and stable NHS workforce for West Wales.

We continue to work closely with our regulators who, I am aware, form part of the decision making process that determines Health Board escalation levels in Wales. I believe their confidence in us continues to grow, with the last 2 Structured Assessments for Hywel Dda from Audit Wales of particular note as they complemented our approach and achievements, making no recommendations for improvement. We also regularly discuss our escalation levels with our Audit and Risk Assurance Committee as well as including details in my report to our public Board meetings. This provides assurance to Board on the actions we are taking and transparency for the public we serve.

I hope the above provides reassurance that we are clear about the challenges we face and have been actively addressing them over the last year, despite the on-going challenges of managing the pandemic. We will continue to work closely with Welsh Government colleagues to share our work and build confidence that we can be sustainably returned to routine monitoring status and would welcome a discussion on the criteria you require us to achieve in order to meet this aim.

Yours Sincerely



Steve Moore  
Chief Executive

Cc

Maria Battle, Chair, Hywel Dda University Health Board  
Dr Phil Kloer, Deputy Chief Executive, Hywel Dda University Health Board  
Andrew Carruthers, Director of Operations, Hywel Dda University Health Board  
Huw Thomas, Director of Finance, Hywel Dda University Health Board  
Mandy Rayani, Director of Nursing, Quality and Patient Experience, Hywel Dda University Health Board

Lisa Gostling, Director of Workforce & Organisational Development, Hywel Dda University Health Board

Alison Shakeshaft, Director of Therapies & Health Science, Hywel Dda University Health Board

Jill Paterson, Director of Primary Care, Community and Long-Term Care, Hywel Dda University Health Board

Joanne Wilson, Board Secretary, Hywel Dda University Health Board

Lee Davies, Director of Strategic Development and Operational Planning, Hywel Dda University Health Board