

**PWYLLGOR IECHYD A DIOGELWCH
HEALTH & SAFETY COMMITTEE**

DYDDIAD Y CYFARFOD: DATE OF MEETING:	12 November 2024
TEITL YR ADRODDIAD: TITLE OF REPORT:	Estates and Facilities Welsh Health Technical Memorandum's (WHTM's) – Governance Arrangements
CYFARWYDDWR ARWEINIOL: LEAD DIRECTOR:	Andrew Carruthers, Chief Operating Officer
SWYDDOG ADRODD: REPORTING OFFICER:	Simon Chiffi, Head of Operational Services

**Pwrpas yr Adroddiad (dewiswch fel yn addas)
Purpose of the Report (select as appropriate)**

Er Sicrwydd/For Assurance

**ADRODDIAD SCAA
SBAR REPORT**

Sefyllfa / Situation

This report is presented to the Health and Safety Committee (HSC) to provide ongoing assurances that appropriate management arrangements and governance systems have been implemented within the Estates and Facilities department to manage and track the requirements of the Welsh Health Technical Memorandums (WHTM's).

The purpose of this paper is to:

1. Explain what specialist Areas/Disciplines are within the WHTM's and the benefits of adhering to the guidance.
2. Highlight the key roles and appointments identified in the WHTM's.
3. Update our current compliance progress and share some of the challenges.
4. Explain the systems we have in place to track and manage all WHTM recommendations including the changes we propose.
5. Provide high level compliance tracker (Appendix 1).

Cefndir / Background and Asesiad / Assessment

1. The Specialist Areas/Disciplines within the WHTM's & the benefits of adhering to the guidance.

Within the overall WHTM guidance structure, there are eight specialist subject areas, as detailed below. The WHTM 00 is a generic overview document covering the complete range of WHTM's.

In addition to the core WHTM documents listed below there will also be other related sub sections. For example, WHTM 02-01 for medical gasses, contains Part A – Design and

Installation and WHTM 02-01 and Part B Operational Management. A number of documents make up the entire suite of the WHTM publication library.

Generic overview document:

Welsh Health Technical Memorandum 00: Policy and Principles of Healthcare Engineering

Specialist Subject Areas and The Leading Directorates:

Welsh Health Technical Memorandum 01: Decontamination (Central Operations)

Welsh Health Technical Memorandum 02: Medical gases (Estates & Facilities)

Welsh Health Technical Memorandum 03: Heating and ventilation systems (Estates & Facilities)

Welsh Health Technical Memorandum 04: Water systems (Infection Prevention & Control)

Welsh Health Technical Memorandum 05: Firecode – fire safety in the NHS (Estates & Facilities)

Welsh Health Technical Memorandum 06: Electrical services (Estates & Facilities)

Welsh Health Technical Memorandum 07: Environment and sustainability (Estates & Facilities)

Welsh Health Technical Memorandum 08: Specialist services (Estates & Facilities)

There are a number of benefits for following this guidance, this includes most importantly ensuring the critical engineering components within our portfolio of buildings are safe and fit for purpose. That these are being maintained and appropriately managed to maximise efficiency and to sustain asset life. Lastly, that the Health Board is adhering to a structured set of published guidance principles, which subsequently helps to ensure compliance with standards and further associated legislation.

Furthermore, by ensuring this guidance is adhered to as far as reasonably practicable and by embedding systems to monitor, track and escalate any associated non-conformities, this provides Hywel Dda University Health Board (HDdUHB) with the necessary confidence that effective WHTM management is in place.

2. The key roles and appointments in the WHTM's.

NHS Wales Specialist Estates Services (NWSSP-SES) play a significant role in the management of WHTM's for the HDdUHB. For most of the specialist subject areas an Independent Authorising Engineer (AE) is appointed in writing by the HDdUHB to advise and support with technical advice on implementation of the guidance. For many of these specialist areas, the AE's also regularly undertake independent audits for HDdUHB to assess our level of performance and compliance.

In addition to the role of the AE, the HDdUHB is also expected to appoint lead officers, for many of the specialist areas, these are called Authorised Persons or AP's (for Water systems this is called the RP - Responsible Person). This will be an official appointment

made in writing by the designated person (DP - the Chief Operating Officer) following an independent assessment and recommendation by the AE.

There are AP's and RP's based at each of the acute hospital sites across the organisation, specifically for Decontamination, Medical Gas Services, Ventilation Systems, Water Systems and Electrical Services. We are also in the process of considering the implementation of AP's for Lifts (08) and for Fire (05) as per NWSSP-SES recommendations. This is contained in our operational workforce structure paper.

The AP has the key operational responsibility for their specialist service. This person will be qualified and sufficiently experienced and skilled to fully operate their specialist service. They will be able to demonstrate:

- Understanding through familiarisation with the system and attendance at an appropriate professional course.
- Competency.
- Level of experience.
- Evidence of knowledge and skills.

The AP will also be responsible for establishing and maintaining the validation of Competent Persons (CPs), who may be employees of the organisation or appointed contractors.

CP Appointment

This person provides skilled installation and/or maintenance of the specialist service. The CP will be appointed, or authorised to work (if a contractor), by the AP. They will demonstrate a sound trade background and specific skill in the specialist service. They will work under the direction of the AP and in accordance with operating procedures, policies, and standards of the service. The HDdUHB has a range of available CP's across many of the WHTM disciplines direction of the AP and in accordance with operating procedures, policies, and standards of the service. The HDdUHB has a range of available CP's across many of the WHTM disciplines.

3. Update on compliance progress and challenges .

Since the previous update the Compliance Team has made some significant progress with WHTM compliance. However, the team encountered some delays in training compliance progress due to increased scrutiny from the Financial Control Group regarding all requests. The Compliance Team are now working with Learning & Development and Workforce planning to ensure that the Health Board meets compliance expectations for statutory & mandatory training.

During the past two years, the Compliance Team has been diligently working to enhance the Estates Departments statutory and mandatory training, along with ensuring they have the correct persons appointed (AP & CP) to the relevant positions. The establishment of the Compliance Team has marked a significant turning point in how training is managed within the department. The focus has shifted towards a proactive approach, and thus ensuring that staff are adequately trained to perform their duties safely and competently.

The primary WHTM governance challenge experienced since the previous update has been the stringent review process imposed by the Financial Control Group. Whilst the importance

of financial responsibility and the need for transparency in all budget requests is recognised; the extended review times and rigorous questioning of proposals has resulted in delays in implementing the training plan.

To mitigate these delays, the Compliance Team has taken forward measures to streamline communication with the Financial Control Group. In addition to enhancing the clarity of requests and providing detailed justifications for each request, thereby facilitating a more efficient review process. The goal is to ensure that future requests are processed more swiftly, allowing the Compliance Team to get back on track with training compliance efforts.

The Compliance Team has recently implemented a structured training plan that not only identifies the mandatory and statutory training requirements, but also tracks training completions and competencies across all staff members. This plan has allowed the Compliance Team to create a comprehensive overview of training. It also enables the Compliance Team to identify specific areas that require urgent attention, and the additional funding required.

With a clear understanding of training needs, the Compliance Team has strategically allocated the training budget to focus on the most critical areas. However, due to budget limitations there has been a need to carefully prioritise high-risk roles and the most essential competencies. This ensures investment in training translates directly into improved compliance, safety and operational efficiency. In addition to recently adopting a new approach with a blend of in-house and external training, allowing the Compliance Team to maximise the value of budget while addressing the needs the department.

However, it has become increasingly evident that the current training budget is insufficient to meet the demands of the department. Factors such as the sheer volume of training needs, inflation increases, staff retention and the rising cost of living have further impacted this issue. As the department continues to expand, the necessity for comprehensive training programmes becomes even more pressing.

4. The Estates Compliance Team and the WHTM high level tracker system/AE individual audit tracker system.

The Compliance Team are taking steps to further enhance our WHTM audit management processes. Following the development of the AE individual audit tracker, this will directly extract the recommendations received from each of the AE reports into a tracker spreadsheet system.

In response to some of the challenges experienced in tracking the AE audit actions, the Compliance Team are in the process now of transitioning all new audits onto the AMAT system. This platform will enable the Compliance Team to manage audit-related actions and ensure accountability among team members. Each action identified during audits will be assigned to the appointed Authorised Person (AP), who is tasked with resolving the issue within a specified timeframe.

The AMAT system will provide us with several benefits, including:

1. Enhanced Accountability: Each action will have a designated owner (AP), ensuring that responsibilities are clear and that follow-ups can be easily tracked.

2. Improved Monitoring: The system will allow for real-time monitoring of progress against deadlines, helping to prevent delays and ensure timely resolutions.

3. Data-Driven Insights: By consolidating our audit data in one platform, we will be better equipped to analyse the tracker, identify recurring issues, and implement preventive measures.

During implementation of the AMAT system, clear deadlines for each action item will also be established. This will help create a more focused and transparent approach on compliance.

Current Audit Status: Governance and Infrastructure Categories

The recent WHTM audits have predominantly resulted in Amber ratings with the dial slightly improving towards the Green, indicating that while meeting a number of compliance standards, there is room for improvement. However, a recent deeper analysis of these audit results has revealed a more realistic picture when you differentiate the performance achievements of each category.

1. HDdUHB WHTM Governance Arrangements:

The WHTM governance arrangements are very robust and performing well, demonstrating compliance with established protocols and best practices. This is evidenced through the establishment of WHTM Safety Groups, training, appointment processes, policies, permit to work & signage.

In addition, processes for WHTM risk management and WHTM policy adherence are also robust, ensuring they are in line with regulatory expectations and industry standards. As a result, governance arrangements have been rated in the green category, indicating a strong and effective process in place.

A high level compliance tracker dashboard is provided in Appendix 1, evidencing this position, including supporting comments and any outstanding actions.

2. Infrastructure Challenges:

In contrast, the infrastructure presents significant challenges that are impacting overall WHTM audit performance. These challenges are clearly articulated in Corporate Risk 1745 explaining that a number of the engineering systems are ageing and require substantial investment to update and modernise. The lack of continual investment has led to inefficiencies and vulnerabilities that hinder ability to achieve full compliance across areas of WHTM.

The disparity between governance and infrastructure ratings highlight the clear need for targeted investment in the engineering infrastructure. Failure to do so will further jeopardise overall WHTM performance. Despite this, the Health Board has developed and submitted a detailed infrastructure improvement programme to Welsh Government (WG). This is in addition to the funding and investment received from the WG Estates Facilities Advisory Board (EFAB), and infrastructure and statutory capital bids for emergency work. All infrastructure site risks are clearly articulated in Datix and managed by the operational site leads.

To help support this work, the Compliance Team has implemented monthly WHTM subgroups, in addition to the main quarterly WHTM safety groups. These act as formal technical discussion groups (or feeder groups) to ensure all actions are sighted and are being managed in line with objectives.

In summary, despite a number of challenges, good progress across all of WHTM disciplines is being achieved. Moving forward, the Compliance Team remain committed to addressing these challenges and enhancing compliance.

The team has expressed an interest with NWSSP-SES for HDdUHB (to be the first Health Board in Wales) to pilot a new approach to managing AE audits and their subsequent recommendations. This will involve working closely with NWSSP-SES to implement a standardised AE audit compliance framework that will ultimately help Health Boards improve how they manage WHTM audits and recommendations. This issue was recently featured in the September 2024 edition of the Health Estate Journal.

Within the next 2 years, the intention is that all future AE audits will be standardised and as such support improvements year on year. It is anticipated that this approach should result in reasonable assurance levels as a minimum standard across **all** WHTM disciplines.

A significant amount of work is underway as described above to improve the HDdUHB's status of compliance across all WHTM's.

Argymhelliad / Recommendation

The Health and Safety Committee is requested to **RECEIVE ASSURANCE** from the Estates and Facilities Welsh Health Technical Memorandum's (WHTM's) – Governance Arrangements Report, noting the challenges and the improvements across the WHTM audit recommendations.

Amcanion: (rhaid cwblhau)

Objectives: (must be completed)

Committee ToR Reference: Cyfeirnod Cylch Gorchwyl y Pwyllgor:	2.1 Provide assurance around the UHB arrangements for ensuring the health, safety, welfare and security of all employees and of those who may be affected by work-related activities, such as patients, members of the public, volunteers contractors etc.
Cyfeirnod Cofrestr Risg Datix a Sgôr Cyfredol: Datix Risk Register Reference and Score:	1745 (15) linked to WHTM
Safon(au) Gofal ac Iechyd: Health and Care Standard(s):	1. Staying Healthy 2. Safe Care 2.1 Managing Risk and Promoting Health and Safety 2.4 Infection Prevention and Control (IPC) and Decontamination

Nodau Gwella Ansawdd: Quality Improvement Goal(s):	All Quality Improvement Goals Apply Protect Patients From Avoidable Harm From Care Reduce Duplication and Eliminate Waste
Amcanion Strategol y BIP: UHB Strategic Objectives:	2. Living and working well.
Amcanion Llesiant BIP: UHB Well-being Objectives: Hyperlink to HDdUHB Well-being Objectives Annual Report 2018-2019	2. Develop a skilled and flexible workforce to meet the changing needs of the modern NHS

Gwybodaeth Ychwanegol: Further Information:	
Ar sail tystiolaeth: Evidence Base:	Contained within the body of the report.
Rhestr Termau: Glossary of Terms:	Contained within the body of the report.
Partïon / Pwyllgorau â ymgynhorwyd ymlaen llaw y Pwyllgor Ansawdd Iechyd a Diogelwch: Parties / Committees consulted prior to Health and Safety Assurance Committee:	No consultation to date but will be shared with Quality and Safety/Governance meetings as well as County Partnership Forums.

Effaith: (rhaid cwblhau) Impact: (must be completed)	
Ariannol / Gwerth am Arian: Financial / Service:	There may be financial implications if the issues identified require monetary rectification.
Ansawdd / Gofal Claf: Quality / Patient Care:	There is a positive impact on staff safety, health and wellbeing through compliance with the Workplace (Health, Safety and Welfare) Regulations 1992.
Gweithlu: Workforce:	Potential for adverse future staffing impacts if this legislation is not complied with as it relates to employee safety.
Risg: Risk:	Risk to health and safety management.
Cyfreithiol: Legal:	Potential for enforcement action including Improvement Notices/Prosecutions and claims due to breaches in legislation.
Enw Da: Reputational:	Potential for enforcement action including Improvement Notices/Prosecutions and claims due to breaches in legislation.

Gyfrinachedd: Privacy:	Not Applicable
Cydraddoldeb: Equality:	<p>No evidence gathered to indicate a negative impact on any protected group/s.</p> <p>Evidence gathered indicates a positive impact on the protected characteristics of human rights and pregnancy / maternity by providing a safer workplace.</p>

5 - Appendix 1

Compliance Tracker:

Ensuring that the Hywel Dda University Health Board (HDUHB) fulfils its obligation to comply with the Welsh Health Technical Memorandum (WHTM).

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1.0 Compliance Tracker – WHTM01 Decontamination

Discipline											Supporting Comments Actions Outstanding
WHTM 01 Decontamination	✓	✓	✓	✓	✓	✓	✓	✓	⊘	✓	<ul style="list-style-type: none"> Trained not appointed.

2.0 Compliance Tracker – HTM02-01 Medical Gases

Discipline	(a) Policy Drafted	(b) Policy Approved	(c) Governance group established	(d) AE Appointed	(e) AP's Appointed	(f) AP's Trained	(g) AP's Officially Appointed in writing	(h) Annual Capital Allocation for High Risk Reduction	(i) CP's (Staff) Appointed	(j) CP's (Staff) Trained	Supporting Comments Actions Outstanding
HTM 02 Medical Gasses	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	

3.0 Compliance Tracker – HTM03-01 Heating and Ventilation

Discipline	(a) Policy Drafted	(b) Policy Approved	(c) Governance group established	(d) AE Appointed	(e) AP's Appointed	(f) AP's Trained	(g) AP's Officially Appointed in writing	(h) Annual Capital Allocation for High Risk Reduction	(i) CP's (Staff) Appointed	(j) CP's (Staff) Trained	Supporting Comments Actions Outstanding
HTM 03 Heating and Ventilation	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	

4.0 Compliance Tracker – WHTM04-01 Water Systems

Discipline	(a) Policy Drafted	(b) Policy Approved	(c) Governance group established	(d) AE Appointed	(e) RP' s Appointed	(f) RP's Trained	(g) RP's Officially Appointed in writing	(h) Annual Capital Allocation for High Risk Reduction	(i) DRP's (Staff) Appointed	(j) DRP's (Staff) Trained	Supporting Comments Actions Outstanding
WHTM 04 Water Systems	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	

5.0 Compliance Tracker – HTM05-01 Fire Safety

Discipline	(a) Policy Drafted	(b) Policy Approved	(c) Governance group established	(d) AE Appointed	(e) AP's Appointed	(f) AP's Trained	(g) AP's Officially Appointed in writing	(h) Annual Capital Allocation for High Risk Reduction	(i) CP's (Staff) Appointed	(j) CP's (Staff) Trained	Supporting Comments Actions Outstanding
HTM 05 Fire Safety	✓	✓	✓	✓	N/A	✓	N/A	✓	N/A	N/A	<ul style="list-style-type: none"> Significant progress is evidenced on fire safety compliance. This is through our commitments to address Enforcement Notices served on the HB, as well as Letters of Fire Safety Matters. AP appointment for fire is currently being considered.

6.0 Compliance Tracker – HTM06-01 Electrical Services – HV & LV

Discipline	(a) Policy Drafted	(b) Policy Approved	(c) Governance group established	(d) AE Appointed	(e) AP's Appointed	(f) AP's Trained	(g) AP's Officially Appointed in writing	(h) Annual Capital Allocation for High Risk Reduction	(i) CP's (Staff) Appointed	(j) CP's (Staff) Trained	Supporting Comments Actions Outstanding
HTM 06 Electrical Services (HV)	✓		✓	✓		✓		✓	N/A	N/A	<ul style="list-style-type: none"> • HV policy currently in development. • We do not have APs but rather HV managers which have been trained but not formally appointed, National grid have authority over the HV incoming supply.
HTM 06 Electrical Services (LV)	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	

7.0 Compliance Tracker – HTM 07-02 Environment and Sustainability (Draft)

Discipline	(a) Policy Drafted	(b) Policy Approved	(c) Strategy Approved	(d) Champion Identified	(e) Governance group established	(f) Supporting Groups Attended	(g) Contracts in place	(h) Covered by ISO 14001 Certification	(i) Annual Capital Allocation	(j) Legal Compliance	(k) Risk Management	Supporting Comments Actions Outstanding
WHTM 07-01 & 07-05 Waste	✓	✓	✓	✓	✓	✓	✓	✓	∅	✓	✓	<ul style="list-style-type: none"> Request capital allocation when required.
HTM 07-02 Energy	✓	✓	✓	✓	✓	✓	✓	✓	∅	✓	✓	<ul style="list-style-type: none"> Request capital allocation when required.
WHTM 07-03 Transport	✓	✓	✓	✓	✓	✓	✓	✓	∅	✓	✓	<ul style="list-style-type: none"> Request capital allocation when required.
HTM 07-04 Water	✓	✓	✓	✓	✓	✓	✓	✓	∅	✓	✓	<ul style="list-style-type: none"> Request capital allocation when required.
HTM 07-06 Community Pharmacies	✓	✓	✓	✓	✓	✓	✓	✓	∅	✓	✓	<ul style="list-style-type: none"> Request capital allocation when required.
HTM 07-07 Sustainable Buildings	✓	✓	✓	✓	✓	✓	✓	✓	∅	✓	✓	<ul style="list-style-type: none"> Request capital allocation when required.

8.0 Compliance Tracker – HTM08 Specialist Services

Discipline	(a) Policy Drafted	(b) Policy Approved	(c) Governance group established	(d) AE Appointed	(e) AP's Appointed	(f) AP's Trained	(g) AP's Officially Appointed in writing	(h) Annual Capital Allocation for High Risk Reduction	(i) CP's (Staff) Appointed	(j) CP's (Staff) Trained	Supporting Comments Actions Outstanding
HTM 08-01 Acoustic Services	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	
HTM 08-02 Lifts	⊘	⊘	N/A	N/A	N/A	N/A	N/A	✓	N/A	N/A	(a,b) no policy in place for lifts Otis contract in place and full 5 year life cycle costs are available also covered under Zurich inspections 1 AP received training on lifts not officially appointed – a review of AP requirements and appointment for lifts will be discussed with NWSSP-SES.
HTM 08-03 Bed Head Services	⊘	⊘	N/A	N/A	N/A	N/A	N/A	✓	N/A	N/A	(a,b) no policy in place for lifts

W.H.T.M - nominated designated persons & W.H.T.M professional structure

Engineering Service	Name and Title of Designated Person	Designated Person Address	Designated Person E-mail	Designated Person Telephone Contact
Decontamination	Mr Andrew Carruthers – Chief Operating Officer	Hywel Dda University Health Parc Dewi Sant, Jobswell Rd,Carmarthen, SA313BB	andrew.carruthers2@wales.nhs.uk	Tel Nr: 01267 239699
Medical Gases	Mr Andrew Carruthers – Chief Operating Officer	Hywel Dda University Health Parc Dewi Sant, Jobswell Rd,Carmarthen, SA313BB	andrew.carruthers2@wales.nhs.uk	Tel Nr: 01267 239699
Heating and Ventilation Systems	Mr Andrew Carruthers – Chief Operating Officer	Hywel Dda University Health Parc Dewi Sant, Jobswell Rd,Carmarthen, SA313BB	andrew.carruthers2@wales.nhs.uk	Tel Nr: 01267 239699
Water Systems	Mr Andrew Carruthers – Chief Operating Officer	Hywel Dda University Health Parc Dewi Sant, Jobswell Rd,Carmarthen, SA313BB	andrew.carruthers2@wales.nhs.uk	Tel Nr: 01267 239699
Fire Safety	Mr Andrew Carruthers – Chief Operating Officer	Hywel Dda University Health Parc Dewi Sant, Jobswell Rd,Carmarthen, SA313BB	andrew.carruthers2@wales.nhs.uk	Tel Nr: 01267 239699

Electrical Safety	Mr Andrew Carruthers – Chief Operating Officer	Hywel Dda University Health Parc Dewi Sant, Jobswell Rd, Carmarthen, SA313BB	andrew.carruthers2@wales.nhs.uk	Tel Nr: 01267 239699
Environmental and Sustainability	Mr Andrew Carruthers – Chief Operating Officer	Hywel Dda University Health Parc Dewi Sant, Jobswell Rd, Carmarthen, SA313BB	andrew.carruthers2@wales.nhs.uk	Tel Nr: 01267 239699