



WALES AUDIT OFFICE
SWYDDFA ARCHWILIO CYMRU

Performance Committee

February 2011

Authors: Anne Beegan

Performance Committee update Cardiff and Vale University Local Health Board

Contents

About this document	3
Performance audit update	4
National Value for Money Examinations	11

Status of this document

This document has been prepared for the internal use of Cardiff and Vale University Local Health Board as part of work performed in accordance with statutory functions, the Code of Audit and Inspection Practice and the 'Statement of Responsibilities' issued by the Auditor General for Wales.

No responsibility is taken by the Wales Audit Office (the Auditor General and her staff) in relation to any director, officer or other employee in their individual capacity, or to any third party.

In the event of receiving a request for information to which this document may be relevant, attention is drawn to the Code of Practice issued under section 45 of the Freedom of Information Act 2000. The section 45 Code sets out the practice in the handling of requests that is expected of public authorities, including consultation with relevant third parties. In relation to this document, the Auditor General for Wales (and, where applicable, his appointed auditor) is a relevant third party.

Any enquiries regarding disclosure or re-use of this document should be sent to the Wales Audit Office at infoofficer@wao.gov.uk.



About this document

- 1 This document provides the Performance Committee of the Cardiff and Vale University Local Health Board (the UHB) with an update on current and planned Wales Audit Office performance work as reported to the Audit Committee on 25 January 2011.

Performance audit update

Work recently completed

Topic	Focus on the work	Conclusions	Date finalised	Executive Lead	Considered by Relevant Committee	Action Plan status
Hospital Catering	<p>The work has revisited the issues originally examined by the Audit Commission in Wales in 2002, and assessed whether the catering services at the UHB's main hospital sites are providing efficient catering services that meet good practice?' This question is being answered by reviewing;</p> <ul style="list-style-type: none"> the UHB's strategic planning arrangements for hospital catering and nutrition; how food is produced and delivered to the ward and patient; the ward arrangements in meeting a patient's nutritional needs and supporting their recovery; and the way patients are consulted about the catering service they receive. 	<p>We concluded that although Cardiff and Vale University Health Board's catering arrangements demonstrate many aspects of good practice, these are not consistently applied within and across hospitals. This inconsistency is the result of poor communication between the different staff groups involved in the service, which can affect the quality of the service provided.</p>	November 2010	Ruth Walker	To be considered by the Quality and Safety Committee, date to be confirmed.	Action plan not yet developed by the UHB.

Work nearing completion or currently underway

Topic	Focus on the work	Status	Executive Lead (or nominated lead)	Expected final report date	Links with other work	Committee to consider the report
Structured Assessment	This work will examine a number of the UHB's corporate arrangements to ensure that they are supporting efficient, effective and economical use of resources. This will be linked to a closer examination of service performance to help test whether the UHB's arrangements are helping it translate strategy into action. The aim of the work in 2010 will be to assist the UHB in developing firm foundations by focusing on arrangements for securing effective governance, financial management, and performance management.	Fieldwork completed. Headline conclusions discussed and agreed with Chief Executive on 5th January 2011. Summary findings included in the Annual Audit Report. Draft report outlining the detailed findings of the review to be issued to the Health Board week commencing 17th January 2011.	Andrew Lewis/ Alison Gerrard	January 2011	Healthcare Standards (Healthcare Inspectorate Wales)	Chairs Advisory Group prior to submission to the Board
Ward Staffing	The WAO is collaborating with the Audit Commission in England to produce benchmarking comparisons of ward staffing across England and Wales that will provide analyses of costs, staffing resources, absence levels and use of agency staff.	Data analysis currently being undertaken in partnership with the Audit Commission.	Ruth Walker	March 2011	Internal Review of Ward Establishments	TBC

Topic	Focus on the work	Status	Executive Lead (or nominated lead)	Expected final report date	Links with other work	Committee to consider the report
Efficiency focus: Operating theatres and day-case surgery	This review will initially provide benchmark comparisons on theatre utilisation and day case rates within the UHB, across Wales and with Trusts in England. Work will then be undertaken to identify the barriers that may be preventing the UHB from meeting day surgery rate targets and securing more efficient use of theatre capacity.	Detailed fieldwork completed. Internal drawing conclusions session arranged for January 24th 2011 following extension to the closing date for staff surveys across all Health Boards.	David Scott-Coombs	March 2011	National Delivery Board for Acute Productivity (Delivery & Support Unit) / Transforming Theatres (NLIAH)	TBC
Securing the benefits from the new consultant contract	The review will examine the extent to which the intended benefits from the new consultant contract are being realised. It will include an assessment of how well the job planning process is being used to support the required service modernisations in the health community.	Detailed fieldwork completed. Headline findings discussed with the Executive Lead in November 2010. Draft report to be issued week commencing 17th January 2011.	Peter Durning	February 2011	Internal job planning review	TBC
Follow up of previous audit findings (European Working Time Directive)	This follow up review will examine the extent to which the UHB is well placed to sustain and, where necessary, improve compliance with the EWTD for junior doctors.	Additional fieldwork currently being organised.	Peter Durning	March 2011	-	TBC

Topic	Focus on the work	Status	Executive Lead (or nominated lead)	Expected final report date	Links with other work	Committee to consider the report
Community Services	As part of our 2009 plan we identified a review of local community services to support wider developments associated with the NHS reorganisation, in partnership with the neighbouring local authorities. This work was deferred from 2009 following discussion with the Chief Executive and the Director of Primary, Community and Mental Health Services.	Initial scoping meeting held with the UHB Executive Lead. Joint meeting with the UHB, Cardiff CC and Vale of Glamorgan CC currently trying to be arranged to provide more detail around the scope of the review.	Katie Norton	TBC	-	TBC

Work planned but not yet started

Topic	Focus on the work	Status	Executive Lead (or nominated lead)	Expected final report date	Links with other work
Follow up of previous audit findings	An element of the performance audit programme will be devoted to following up previous audit reports to ensure that the necessary action is being taken. The following topics will be examined: <ul style="list-style-type: none"> • Maternity Services; and • Child & Adolescent Mental Health Services. 	Scope of the work is still under development within WAO.	TBC	TBC	-
Continuing Healthcare (CHC)	The scope of this review is currently being developed and is likely to focus on providing a high level position across Wales on: <ul style="list-style-type: none"> • progress being made by Health Boards in dealing with backdated claims for CHC; and • how effectively the new CHC framework is being implemented by Health Boards. 	Scope of the work is still under development within WAO with close liaison with the National Programme Board.	TBC	TBC	National Programme Board
ICT resilience arrangements	The resilience of the ICT systems inherited from predecessor bodies represents a significant challenge to the UHB. Audit work will be undertaken to obtain the necessary assurances that robust plans are in place in relation to ICT Disaster Recovery and Business Continuity Arrangements.	Internal preparations in place and set up meeting about to be arranged with the Executive Lead or nominated officer.	Paul Hollard	TBC	-

Work under discussion

- 2 There are a number of areas of work which are under discussion either in relation to its relevance to the UHB or as a result of WAO central direction. These areas of work are outlined in the following table.

Topic	Background to the work	Status	Executive Lead
Unscheduled Care	In 2009, the Auditor General for Wales reported a suite of reports which outlined the findings of our work undertaken on unscheduled care arrangements to the Public Accounts Committee. As part of our follow up work it is likely that we will revisit the recommendations in these reports and examine the extent to which Health Boards have addressed these at a local level.	Discussions are being held with external reference partners as to the relevance of a follow up of Unscheduled Care at this point in time. Further discussions around the potential scope of the review are ongoing.	N/a

Relevant work planned in other health boards and NHS Trusts

- 3 There are a number of reviews which are currently underway or planned in other health boards and/or NHS trusts in Wales which have some relevance to the UHB. Details of these reviews are outlined in the following table.

Topic	Background to the work	Status	Executive Lead	Expected date of final report
Health Solutions Wales (HSW) Service Delivery	<p>The review will examine whether the services delivered by HSW are effective and supporting the delivery of value for money and patient focussed IT services nationally. The audit will answer the question: 'Does HSW provide effective services to stakeholders in Wales?'</p> <p>This question will be answered by reviewing:</p> <ul style="list-style-type: none"> • planning arrangements that inform and support the services HSW deliver; • the effectiveness of the arrangements in place to deliver HSW services; and • the performance management arrangements for HSW services. 	Open Space Events across Wales now completed. Additional fieldwork now being organised in discussion with NWIS.	Paul Hollard	March 2011
Public Health Resource	<p>This review will quantify and compare the public health resources across Health Boards and NHS Trusts in Wales. This review will provide information on how resources are deployed and managed locally and whether there are any resource constraints or barriers that may compromise the delivery of the planned public health programme.</p>	Scoping ongoing with Public Health Wales NHS Trust.	TBC	TBC

National Value for Money Examinations

- 4 During the year, the WAO on behalf of the Auditor General for Wales publishes national value for money examinations on a range of service and thematic areas across the public sector. These reports are then laid in front of the Public Accounts Committee.
- 5 Since the last Audit Committee, the Auditor General for Wales has published his forward work programme update¹. This update outlines the Auditor General for Wales' proposals for forthcoming value for money studies, two of which are applicable to the health bodies in Wales. Details of these proposed studies are outlined below.

Topic	Details
Public sector procurement	<p>The Welsh public sector spends some £5 billion each year on goods and services. This work would assess the procurement behaviour of individual organisations and the savings that are being achieved through improved procurement practices. The review would also consider the effectiveness of the Assembly Government's Value Wales division in helping organisations achieve sustainable improvements in procurement. The Auditor General for Wales is also keen for this review to consider whether procurement processes across the Welsh public sector are easily accessible to the private sector compared with similar processes elsewhere in the UK.</p> <p>There are opportunities to draw on similar work undertaken by Audit Scotland and the National Audit Office and to take into account the issues raised by Sir Philip Green's recent review of UK Government spending. Wales Audit Office staff have already been discussing the potential scope of this work with Value Wales and the Efficiency and Innovation Programme – Procurement Board.</p>
Medicines management	<p>General practitioners alone prescribed (and in some cases also dispensed) over half a billion pounds worth of prescription items, including medicines, in 2008-09. Our consultation paper identified that ensuring the safe, effective and financially prudent use of medicines would be a key challenge for the new health boards.</p> <p>This examination would identify the scope to secure cost and quality improvements in NHS medicines management, taking into account the factors that influence prescribing rates in Wales.</p> <p>This study would build on local audit work already undertaken at Hywel Dda Health Board which is also being used to support the national programme board that has been established to develop the NHS's approach to medicines management.</p>

¹ The Auditor General for Wales forward work programme can be found at http://www.wao.gov.uk/assets/englishdocuments/forward_prog_English.pdf



Wales Audit Office
24 Cathedral Road
Cardiff CF1 9LJ
Tel : 029 2032 0500

E-Mail: info@wao.gov.uk
Website: www.wao.gov.uk

WAO Recommendations

Performance audit

The performance audit action log includes all performance reports that have been reported to the Health Board's Audit Committee in 2010. The recommendations of some previous performance reports for the predecessor NHS bodies will be followed up by the Wales Audit Office as part of the follow up work planned for 2011. The Audit Committee may wish to include the recommendations of those reports which WAO will not be routinely following up in the action log in future.

Ref	Recommendation	Management Response	Responsibility	Due date	Position at January 2011	Status
Accuracy of waiting list data – follow-up, June 2010						
R1	<p>The Health Board should review the amount of resources that are currently used in the management of waiting lists and the recording and reporting of waiting list data. The review should consider the sustainability of current practices and the differences in processes and approach across the organisation. It should focus, in particular, on the following issues:</p> <ul style="list-style-type: none"> • clarify the lines of reporting and overall accountability for the Patient Pathway Project group to the Health Board and directors; • increase the reporting of improvements needed and errors identified from validating waiting list data so these are acted upon; and • set out clear plans and timescale, for the implementation of direct booking systems. 					

WAO Recommendations

Ref	Recommendation	Management Response	Responsibility	Due date	Position at January 2011	Status
R2	The Health Board should take advantage of the NHS reorganisation to work closely with GP practices to encourage the timely submission of GP referrals so that patient pathways can start as soon as practically possible after GP appointments.					
R3	Ensure the updated Referral to Treatment Time (RTT) policy sets out clearly the new RTT guidance and overall responsibility and accountability for systems management, waiting list performance management, operational management and performance reporting and that the policy is formally agreed and accessible in an electronic format by all those who may need it.					
R4	Improve consultants' engagement and awareness in waiting list management to help ensure their responsibilities towards this are fully understood. Engage consultants more prominently in efforts to change the Health Board's working practices and pathway processes, for example, in the improved management of patient pathways.					
R5	Ensure Clinical Outcome Forms are completed correctly by consultants and input to the performance management system on a timely basis.					

WAO Recommendations

Ref	Recommendation	Management Response	Responsibility	Due date	Position at January 2011	Status
R6	The Health Board should perform assessment of those staff involved in waiting list management to assess their understanding and application of the RTT rules. This will provide assurance that staff understand and can apply the rules effectively. The assessment tool associated with the e-learning package would provide a suitable method to assess staff.					
Follow-up review of adult mental health services, October 2010						
R1	<p>Strengthen planning arrangements to better support the development of comprehensive and equitable services across the Cardiff and Vale Health Community. Suggested actions to take forward in improvement plans are:</p> <ul style="list-style-type: none"> • Developing and implementing: <ul style="list-style-type: none"> - appropriately joined-up and comprehensive action plans, with clear lines of accountability for directing actions and strategies; - robust arrangements for monitoring and evaluating progress; and - strategies to respond to service user views on services. 					

WAO Recommendations

Ref	Recommendation	Management Response	Responsibility	Due date	Position at January 2011	Status
R1 cont'd	<ul style="list-style-type: none"> confirming that audit of NICE guidelines and technical appraisals are in place for all areas and that an incremental implementation plan has been developed and is being progressed; and strengthening work force planning by ensuring that all multi-agency staff groups are included; and identifying the potential for realigning or protecting the proportion of Health Board and Social Service expenditure that is allocated to adult mental health services. 					
R2	<p>Further develop primary care services so that national requirements and user needs are more consistently met. Suggested actions to take forward in improvement plans are:</p> <ul style="list-style-type: none"> developing the training and support provided to GPs and primary care staff, including the availability of specialist advice and support; ensuring that all GP practices have access to a 'gateway' worker, providing screening, assessment, gate keeping and signposting to other services; 					

WAO Recommendations

Ref	Recommendation	Management Response	Responsibility	Due date	Position at January 2011	Status
R2 cont'd	<ul style="list-style-type: none"> establishing the number of GPs with a Special Interest (GPwSIs) in the health community, and how the role supports the model of care within Cardiff and the Vale; identifying the need and opportunity to increase the number of Section 12 doctors; improving the use by GPs of standardised tools, particularly to aid the assessment of the risk of suicide or self harm; and encourage the uptake of mental health enhanced medical services, ensuring such services are audited across the health community and their impact on care assessed. 					
R3	<p>Develop community services across Cardiff and the Vale to meet national guidelines, address current gaps and variations in key services, and improve service user experiences. Suggested actions to take forward in improvement plans are:</p> <ul style="list-style-type: none"> reviewing inpatient capacity and configuration and identifying scope for realignment of beds to underpin a community focussed model of care; reducing reliance on out-of area care provision; 					

WAO Recommendations

Ref	Recommendation	Management Response	Responsibility	Due date	Position at January 2011	Status
R3 cont'd	<ul style="list-style-type: none"> • addressing skill mix and staffing level imbalances across professional disciplines and community teams; • reducing the inconsistencies and operational variation between Community Mental Health Teams (CMHTs) and seeking to better integrate management arrangements; • taking steps to meet the AOF targets for CRHT gate keeping assessments for service users admitted to hospital are uniformly met across the health community; • introducing assertive outreach and early intervention in psychosis services; • improving effective joint-working between community teams, specialist mental health services and with other relevant services, by: <ul style="list-style-type: none"> - developing care pathways for adults with a mental health problem that cover all agencies and care settings; - reducing variability in GP referral practice; 					

WAO Recommendations

Ref	Recommendation	Management Response	Responsibility	Due date	Position at January 2011	Status
R3 cont'd	<ul style="list-style-type: none"> - extending referral guidelines to include access to out-of-hours services and in-patient units, and to cover all relevant public services such as police access to out-of-hours specialist advice; - developing discharge and follow-up protocols that cover all services; - reviewing processes and information systems to ensure these support continuity and safety of care and seamless transition of care between community and hospital services; - identifying the scope to introduce link workers across all community teams eg, for criminal justice, housing and drug and alcohol services; and - addressing the inconsistent use of electronic data systems and shared health and social service files (which include medical notes). 					

WAO Recommendations

Ref	Recommendation	Management Response	Responsibility	Due date	Position at January 2011	Status
R4	<p>Secure timely and appropriate access to psychological therapies. Suggested actions to take forward in improvement plans are:</p> <ul style="list-style-type: none"> • developing a plan for implementing a stepped model of care; • extending the availability of counselling to cover all primary care practices; • expanding the numbers of trained staff in community teams able to deliver therapies; and • assessing psychological therapy staffing levels. 					
R5	<p>Refocus housing policies and practices so that people with mental health problems are effectively supported and NSF housing targets are delivered. Suggested actions to take forward in improvement plans are:</p> <ul style="list-style-type: none"> • improving the quality and application of needs data and information used to inform commissioning and strategic planning; • securing better and more consistent engagement and participation of partners in multi-agency forums, which contribute to planning processes; 					

WAO Recommendations

Ref	Recommendation	Management Response	Responsibility	Due date	Position at January 2011	Status
R5 cont'd	<ul style="list-style-type: none"> • formalising risk assessment approaches and policies, which: <ul style="list-style-type: none"> - ensure that vulnerable people can access services and exercise their rights; and - in the Vale, support consistent, informed and safe placements. • progressing repatriation plans to reduce reliance on out-of-area placements; • take steps to improve operational joint working and information sharing across agencies and between housing and homelessness staff; and • identifying and implementing the necessary actions for meeting NSF commitments, including working with housing staff and housing associations to address low awareness of the targets and NSF requirements. 					

WAO Recommendations

Ref	Recommendation	Management Response	Responsibility	Due date	Position at January 2011	Status
R6	<p>Strengthen arrangements for involving service users in planning and managing their care. Suggested actions to take forward in improvement plans are:</p> <ul style="list-style-type: none"> • increasing service user awareness of how to access support from the CALL helpline and from mental health services out of hours; • ensuring that advocacy services are available and accessible in the community; and • revising practices to ensure that service users are fully involved in care planning, decision making, and care reviews. 					