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Bwrdd Iechyd Prifysgol
Abertawe Bro Morgannwg
University Health Board



Meeting Date	31 July 2018		Agenda Item	6b
Report Title	Healthcare Inspectorate Wales Operational Plan 2018-19			
Report Author	Liz Stauber, Committee Services Manager			
Report Sponsor	Pam Wenger, Director of Corporate Governance			
Presented by	Pam Wenger, Director of Corporate Governance			
Freedom of Information	Open			
Purpose of the Report	The purpose of the report is to submit to the Audit Committee Healthcare Inspectorate Wales's (HIW) operational plan for 2018-19.			
Key Issues	There are no significant issues to bring to the committee's attention.			
Specific Action Required (please ✓ one only)	Information	Discussion	Assurance	Approval
	✓			
Recommendations	Members are asked to : <ul style="list-style-type: none"> • Note the report and the appended operational plan. 			

HEALTHCARE INSPECTORATE WALES OPERATIONAL PLAN FOR 2018-19

1. INTRODUCTION

The purpose of the report is to submit to the Audit Committee Healthcare Inspectorate Wales's (HIW) operational plan for 2018-19.

2. BACKGROUND

HIW is the independent inspectorate and regulator of healthcare in Wales. In addition to the inspections, reviews, regulatory activities and statutory responsibilities, the operational plan also sets out how HIW will work towards its strategic aims during the year.

3. GOVERNANCE AND RISK ISSUES

There are no significant governance or risk issues highlighted within the operational plan; these will be considered by the relevant board committee on a case-by-case basis as and when one arises.

4. FINANCIAL IMPLICATIONS

There are no financial implications for the committee to consider.

5. RECOMMENDATION

Members are asked to:

- **Note** the report and the appended operational plan.

Governance and Assurance					
Link to corporate objectives <i>(please ✓)</i>	Promoting and enabling healthier communities	Delivering excellent patient outcomes, experience and access	Demonstrating value and sustainability	Securing a fully engaged skilled workforce	Embedding effective governance and partnerships
					✓
Quality, Safety and Patient Experience					
HIW is the independent inspectorate and regulator of healthcare in Wales and strives to ensure good quality and safety of services, along with patient experience, is provided.					
Financial Implications					
No financial implications for the committee to be aware of.					
Legal Implications (including equality and diversity assessment)					
No legal implications for the committee to be aware of.					
Staffing Implications					
No staffing implications for the committee to be aware of.					
Long Term Implications (including the impact of the Well-being of Future Generations (Wales) Act 2015)					
No implications for the committee to be aware of.					
Report History	No report history.				
Appendices	Appendix one – HIW operational plan 2018-19.				

HEALTHCARE INSPECTORATE WALES

Operational Plan 2018 - 2019

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In Writing

Communications Manager
Healthcare Inspectorate Wales
Welsh Government
Rhydycar Business Park
Merthyr Tydfil
CF48 1UZ

Or Via

Phone: 0300 062 8163
Email: hiw@gov.wales
Fax: 0300 062 8387
Website: www.hiw.org.uk

Operational Plan

2018 - 2019

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Healthcare Inspectorate Wales (HIW) is the independent inspectorate and regulator of healthcare in Wales

Our purpose

To check that people in Wales receive good quality healthcare.

Our values

We place patients at the heart of what we do.

We are:

- Independent
- Objective
- Caring
- Collaborative
- Authoritative

Through our work we aim to:

Provide assurance:

Provide an independent view on the quality of care.

Promote improvement:

Encourage improvement through the reporting and sharing of good practice

Influence policy and standards:

Use what we find to influence policy, standards and practice



Foreword

I am pleased to introduce our Operational Plan for 2018 -19.

This is an exciting year for healthcare in Wales. In January 2018, the Parliamentary Review of Health and Social Care was published outlining a new vision for health and care in Wales. In February 2018 the Welsh Government published its summary response to the White Paper on governance and quality in the NHS in Wales 'Services fit for the Future'. This year is also an exciting year for HIW as it marks the first year of our new three year strategy 'Making a Difference' which runs from 2018 – 2021.

Our goal is to encourage improvement in healthcare by doing the right work at the right time in the right place; ensuring what we do is communicated well and makes a difference.

Our strategic priorities are:

1. To maximise the impact of our work to support improvement in healthcare
2. To take action when standards are not met
3. To be more visible
4. To develop our people and organisation to do the best possible job.

This plan contains the detail of the work we plan to do during 2018/19 towards achieving our strategic priorities. It also provides information on the broad areas we plan to review, and reflects the way we manage our work programme. The plan ensures we meet our statutory requirements and that we review areas of concern identified by our intelligence. It also builds on our approach to investigate and publish national thematic reviews. The specific detail of what we plan to do is listed in our Commitment Matrix (Annex A).

The Parliamentary Review of Health and Social Care makes recommendations for HIW to consider more explicitly the engagement and wellbeing of the health care workforce, and this year we will begin to develop our approach in this area. We will also build on the foundations of previous joint reviews with the Care Inspectorate Wales (CIW) in learning disabilities and community mental health, to develop a standardised approach to joint inspections.

If you have any comments on our work, your experience, or on healthcare services in general, please contact us – we would love to hear from you.

Dr Kate Chamberlain, Chief Executive

A summary of our 2018 - 2019 Plan

In addition to the inspections, reviews, regulatory activities and statutory responsibilities outlined in our commitment matrix at Annex A, this is how HIW plans to work towards its strategic aims during 2018-19:

Strategic Priorities

1. To maximise the impact of our work to support improvement in healthcare

Actions

Improve our approach to the analysis, use and sharing of intelligence

Work closely with other inspectorates, especially Care Inspectorate Wales

Make sure our work is easy to understand

Key deliverables during 2018-19

Further develop and mature our approaches to gathering and analysing intelligence to make sure our inspections focus on the areas of greatest risk to the safety and wellbeing of patients.

Continue to work with the Care Inspectorate Wales (CIW), Estyn and the Wales Audit Office through Inspection Wales to consider how our collective work can add most value.

Review our reporting style to ensure our inspection reports give people the information they need in the way they need it.

Hold the first in a series of learning events for stakeholders and partners following the publication of our national thematic reviews.

2. To take action when standards are not met

Actions

Monitor our approach to inspections and reviews to ensure they remain relevant and effective

Improve our communication with current and prospective independent healthcare providers

Work with the Welsh Government to future-proof the underpinning legal framework to enable more seamless inspection and regulation

Key deliverables during 2018-19

Consider how best to review staff wellbeing and engagement in the NHS

Review our approach to NHS inspection, developing proposals to work on a more thematic basis, perhaps by considering patients' journeys through the health and care system and including community and preventative services

Review and improve the way we follow up on the recommendations we make; to make sure our work is making a difference to patients.

Improve the way we communicate with independent healthcare providers by reviewing our website to ensure it provides clear information for prospective registrants on what we expect of them

Review the impact of the legal powers available to HIW on patients.



3. To be more visible

Actions

Develop and enhance the way we listen to the public

Improve the way we inform the public about what we do

Develop the way we involve the public in our work

Key deliverables during 2018-19

Engage with the public to find out how they would like HIW to communicate with them, and where they look for news

Increase the range of approaches we use to listen to the experiences of patients and their families

Develop links with other organisations, particularly in the third sector, to develop ways for groups of people to tell us about their experiences.

Publish a new style annual report that makes increased use of digital options and social media

4. To develop our people and organisation to do the best possible job

Actions

Implement a change programme to enhance HIW's ways of working

Invest in developing the skills and knowledge of our people

Develop a workforce strategy that includes consideration of succession planning and career pathways

Key deliverables during 2018-19

Begin a change programme, which will deliver improved ICT arrangements and a review of internal quality assurance

Begin the development of a new learning and development strategy for HIW.

Review the performance management and support arrangements we provide to our clinical peer reviewers.

Our work

Our work is guided by the Wellbeing of Future Generations (Wales) Act 2015. In making decisions about the work we do, we balance the short term and long term needs of patients, working collaboratively with partners, patients and the community to support improvement.

We check that people in Wales receive good quality health care. To do this, we check that services provide safe and effective care which meets recognised standards.

We regulate and inspect independent healthcare and we inspect the NHS in Wales. Independent healthcare includes a wide range of providers from full private hospitals to beauty salons who use lasers. Our coverage in the NHS ranges from dentistry and general practice to hospitals.

HIW also works with other bodies to examine healthcare in other settings such as the clinical review of deaths in prison settings undertaken with the Prison and Probation Ombudsman, and the reviews of Youth Offending Teams led by Her Majesty's Inspectorate of Probation.

We put the patient at the heart of what we do, and we make sure our work promotes and protects equality and human rights for everyone.

We have a specific responsibility to consider the rights of vulnerable people, such as those who are being cared for under the Mental Health Act or the Mental Capacity Act Deprivation of Liberty Safeguards. Our responsibilities in relation to mental health span both the NHS and the independent sector.

We check that people in Wales receive good quality health care. To do this, we check that services provide safe and effective care which meets recognised standards.



Performance Standards

We are explicit about the standards of service we provide.

- Where immediate assurance is required following an NHS inspection, letters will be issued to the Chief Executive of the organisation within 2 days.
- Where urgent action is required following an inspection in the independent sector, the service will be issued with a non-compliance notice within 2 days.
- We will publish all reports 3 months after an inspection as stated in our publication policy.

We publish our performance against these standards in our Annual Report. Our Annual Report for 2017-18 will be published in July 2018.



Our resources

In line with other public sector organisations, our budget has reduced so we will need to make difficult decisions to ensure that we focus our resources in the areas where they can achieve most.

For 2018/19 we have a reduced budget of approximately £3.5m. This is currently due to reduce by a further £189k in 2019/20.

We have posts equivalent to approximately 68 whole time staff.

We rely on the input of peer and lay reviewers to assist in the delivery of our inspection and review programme. We currently have a panel of over 150 specialist peer reviewers with backgrounds including specialist and general nurses, GPs, dentists, anaesthetists, and GP practice managers. We also have specialists in Mental Health Act Administration and a panel of psychiatrists who provide our second opinion appointed doctor (SOAD) service.

We are also extremely grateful to the nineteen individuals who have volunteered to be on our panel of lay reviewers.

Team	Whole time posts
Senior Executive	3
Inspection, Regulation and Concerns	32
Intelligence, partnership and methods	8
Strategy, Policy and Communication	5
Clinical advice (including SOAD service)	4
Business support (including recruitment, allocation and support of panel reviewers)	16
Total	68

To maximise the impact of our work to support improvement in healthcare

To achieve our goal of encouraging improvement in healthcare by doing the right work at the right time in the right place; we decide where to focus our activities on the basis of risk and intelligence.

We have developed our information sources, systems and processes to ensure our decisions are consistent and based on evidence.

We continue to hold biannual summits with our partners to share intelligence about NHS organisations.

As well as working effectively across Wales, we seek to influence the inspection and regulation environment internationally.

During 2018-19:

We will further develop and mature our approaches to gathering and analysing intelligence to make sure our inspections focus on the areas of greatest risk to the safety and wellbeing of patients.

We will continue to work effectively with complementary organisations to ensure the work we undertake supports improvement in service delivery.

Typically this will include:

- Professional regulators such as the General Medical Council and the Nursing and Midwifery Council
- Patient representative organisations such as the Older People's Commissioner and the Community Health Councils
- UK wide regulators such as the Health and Safety Executive

In order to maximise the impact of our work and develop a more integrated view about the performance of public services, we will continue to work with the Care Inspectorate Wales (CIW), Estyn and the Wales Audit Office through Inspection Wales to consider how our collective work can add most value. We will continue to hold membership of the UK and Ireland Five Nations Group, the UK Heads of Inspectorate Forum and the European Partnership of Statutory Organisations.

To maximise the impact of our work with the public, we will review our reporting style to ensure our inspection reports give people the information they need in the way they need it.

To maximise the impact of our work with services and professions, we will continue to use stakeholder reference groups to test the nature of our work, to share themes and trends for improvement and to share good practice. We will also aim to hold the first in a series of learning events for stakeholders and partners following the publication of our national thematic reviews.



To take action when standards are not met

HIW continues to evolve and improve its approach to inspection and review. For example, over the past few years we have moved from single ward inspections to broader multi-ward hospital inspections. During 2017-18 HIW published information about how it inspects the NHS and the independent sector.

HIW inspects NHS services in accordance with the Health and Social Care (Community Health and Standards) Act 2003. In addition to our inspection activity, we take a strategic view of services by reviewing clinical governance, primarily through our relationship managers. This high level approach allows us to form a judgement on whether organisations are effectively managing their responsibilities, learning lessons and improving.

HIW regulates the independent healthcare sector in accordance with the Care Standards Act 2000, the Independent Health Care (Wales) Regulations 2011 and the Private Dentistry (Wales) Regulations 2017. We register and inspect independent clinics, hospitals and medical agencies, as well as independent mental health and learning disability establishments, premises operating a class 3B or 4 laser or intense pulse light machine, and private dental practices.

When we find that standards are not met, we make recommendations for improvement. If we do not receive sufficient assurance that action has been taken to address the issues we find in the independent sector, we take enforcement action. The findings from our NHS inspections and reviews feed into the NHS Wales Escalation and Intervention Arrangements.

During 2018-19:

Inspections will continue to focus on our key domains of:

- Quality of Patient Experience
- Delivery of Safe and Effective Care
- Quality of Leadership and Management.

Further to the recommendations in the Parliamentary Review of Health and Social Care, during 2018-19 we will consider how best to review staff wellbeing and engagement in the NHS. We will also review our approach to NHS inspection, developing proposals to work on a more thematic basis, perhaps by considering patients' journeys through the health and care system and including community and preventative services.

During 2018-19 we will review and improve the way we follow up on the recommendations we make; to make sure our work is making a difference to patients.

We will improve the way we communicate with independent healthcare providers by reviewing our website to ensure it provides clear information for prospective registrants on what we expect of them.

During 2018-19 we will continue to work with Welsh Government in reviewing and future-proofing the impact of the legal powers available to HIW.



To be more visible

To achieve our strategic goal, we need to improve understanding of HIW's role and the work we do. We continue to develop our methods of communication to raise our profile and engagement, so that people can tell us about their experiences and we can explain our findings.

HIW works with patients, service users, carers and families, and the general public. Some examples of how we do this are:

- Using members of the public as volunteer lay reviewers within our inspection and review teams
- Seeking views and perspectives from patients directly during inspections
- Public consultation on our plans and work programme

During 2018-19:

We will engage with the public to find out how they would like HIW to communicate with them, and where they look for news.

We will increase the range of approaches we use to listen to the experiences of patients and their families, developing links with other organisations, particularly in the third sector, to develop ways for groups of people to tell us about their experiences.

We will publish a new style annual report that makes increased use of digital options and social media to let people know what work we have done in their area and what we found.

We will continue to present at conferences and seminars to support wider learning from our work.

To develop our people and organisation to do the best possible job

HIW's greatest asset is its people. It is important they are equipped with the right tools and knowledge to deliver HIW's challenging work.



During 2018-19:

We will continue to invest in appropriate training to develop our leadership capability and professional skills.

We will begin the development of a new learning and development strategy for HIW.

We will review the performance management and support arrangements we provide to our clinical peer reviewers.

We will begin a change programme, which will deliver improved ICT arrangements and a review of internal quality assurance.

Annex A – Commitment Matrix

The following table is a list of HIW's specific commitments for 2018-19

Deliverable 1	Measured By
<p>Process applications to register, or changes to registration, in a timely manner.</p> <p>Ensure all applicants can demonstrate they meet relevant regulation and minimum standards.</p>	<ul style="list-style-type: none"> Registration applications determined within 12 weeks of full and complete submission.
Deliverable 2	Measured By
<p>Conduct a programme of visits to suspected unregistered providers - As required</p> <p>Deliver a programme of inspections in independent settings</p> <ul style="list-style-type: none"> Approximately 22 laser Approximately 19 non-laser excluding mental health 	<ul style="list-style-type: none"> Number of visits undertaken Number of inspections undertaken Number of reports published 3 months following inspection
Deliverable 3	Measured By
<ul style="list-style-type: none"> Ensure that concerns and Regulation 30/31 notifications are dealt with in a timely and professional manner 	<ul style="list-style-type: none"> Number of concerns received Number of Reg 30/31 notifications received Analysis of source and action taken
Deliverable 4	Measured By
<p>Support legislative developments including:</p> <ul style="list-style-type: none"> Continue Implementation of the Private Dentistry (Wales) Regulations 2017 Contribute to further policy development on regulation and inspection arising from the 'Services Fit for the Future' White Paper 	<ul style="list-style-type: none"> Delivery of implementation plan following new dental regulations Future decisions on potential changes to the legislation
Deliverable 5	Measured By
<p>Undertake a broad inspection programme in the NHS informed by intelligence and an assessment of risk including approximately</p> <ul style="list-style-type: none"> 15 focussed inspections across the acute sector 5 specific follow-up inspections 28 GP inspections 100 dental inspections 5 IR(ME)R inspections 5 surgical services inspections 	<ul style="list-style-type: none"> Number of inspections undertaken

Annex A – Commitment Matrix - Continued

Deliverable 6	Measured By
<p>Conclude our programme of ongoing thematic work including</p> <ul style="list-style-type: none"> • Patient Discharge • Community Mental Health • Youth Transition <p>And commence a new thematic review towards the end of 2018</p>	<ul style="list-style-type: none"> • Publication of terms of reference of each project • Publication of thematic review
Deliverable 7	Measured By
<p>Continue our joint inspection work with UK agencies</p> <ul style="list-style-type: none"> • Approximately 16 death in custody reviews with the Prison and Probation Ombudsman • Up to 3 joint reviews with HMI Prisons and HMI Probation 	<ul style="list-style-type: none"> • Number of inspections undertaken
Deliverable 8	Measured By
<p>Conduct a high level review of each NHS body through</p> <ul style="list-style-type: none"> • Further development of the Relationship Management function • Producing an Annual Statement for each Health Board and NHS Trust 	<ul style="list-style-type: none"> • Publication of health board and NHS trust annual statements
Deliverable 9	Measured By
<p>Publish annual reports summarising the themes and issues arising from our work. In particular</p> <ul style="list-style-type: none"> • Hospital Inspections • GP Practices Annual Report • Dental Practices Annual Report • Mental Health Act Annual Monitoring Report • Deprivation of Liberty Safeguards (DOLS) Annual Report • IR(ME)R • Laser Annual Report • HIW Annual Report 	<ul style="list-style-type: none"> • Publication of reports

Annex A – Commitment Matrix - Continued

Deliverable 10	Measured By
<p>Undertake a programme of inspections in NHS and independent mental health settings including approximately</p> <ul style="list-style-type: none"> • 15 NHS mental health units • 19 independent mental health units <p>Mental Health Unit inspections include reviewing the application of the Mental Health Act</p> <ul style="list-style-type: none"> • 7 inspections of Community Mental Health Teams 	<ul style="list-style-type: none"> • Number of inspections undertaken
Deliverable 11	Measured By
<p>Provide a Second Opinion Appointed Doctor service for about 750 SOAD requests</p>	<ul style="list-style-type: none"> • Publication of Key Performance Indicators
Deliverable 12	Measured By
<p>Investigate homicides as commissioned by Welsh Government</p>	<ul style="list-style-type: none"> • Publication of Terms of Reference • Publication of final report
Deliverable 13	Measured By
<p>Hold 2 Healthcare Summits during 2018 -19</p>	<ul style="list-style-type: none"> • Clear audit trail of healthcare summits
Deliverable 14	Measured By
<p>Publish reports from all our inspection and review activity in accordance with our performance standards.</p>	<ul style="list-style-type: none"> • Publication of reports • Publication Schedule • Publication of HIW performance against targets.
Deliverable 15	Measured By
<p>Continue our joint work with other UK and international agencies on joint inspections and influencing best practice</p>	<ul style="list-style-type: none"> • Participation in joint work • Progression of joint thematic on Youth with Inspection Wales
Deliverable 16	Measured By
<p>Evaluate the use of voluntary lay reviewers</p>	<ul style="list-style-type: none"> • Evaluation with recommendations for future action

Healthcare Inspectorate Wales
Welsh Government
Rhydycar Business Park
Merthyr Tydfil
CF48 1UZ

www.hiw.org.uk

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