



GIG
CYMRU
NHS
WALES

Iechyd Cyhoeddus
Cymru
Public Health
Wales

Name of Meeting
Quality, Safety and
Improvement Committee

Date of Meeting
18/07/23

Agenda item:
5.1

Update on Duties of Candour and Quality

Executive leads:	Rhiannon Beaumont-Wood, Executive Director of Quality, Nursing and Allied Health Professionals Prof John Boulton, National Director of NHS Quality Improvement and Patient Safety / Director Improvement Cymru
Authors:	Francesca Thomas, Head of Putting Things Right, Quality, Nursing and Allied Health Professionals; Felicity Hamer, Head of Strategy and Innovation, Improvement Cymru; and Karen Field, Strategy Lead, Improvement Cymru

Approval/Scrutiny route:	Rhiannon Beaumont-Wood, Executive Director of Quality, Nursing and Allied Health Professionals Prof John Boulton, National Director of NHS Quality Improvement and Patient Safety / Director Improvement Cymru Business Executive Team (circulated Electronically 5 July 2023)
---------------------------------	--

Purpose
This paper provides an update on progress to meet the requirements of the Duties of Candour and Quality in Public Health Wales.

Recommendation:				
APPROVE <input type="checkbox"/>	CONSIDER <input type="checkbox"/>	RECOMMEND <input type="checkbox"/>	ADOPT <input type="checkbox"/>	ASSURANCE <input checked="" type="checkbox"/>
The Committee is asked to: <ul style="list-style-type: none"> Take assurance from the update on progress to meet the requirements of the Duties of Candour and Quality in Public Health Wales. 				

Date: 10.07.23	Version: 1	Page: 1 of 13
-----------------------	-------------------	----------------------

- **Note** that the Business Executive Team approved the recommendation that the national Duty of Quality e-learning module becomes statutory training for all Public Health Wales staff when it is launched in Summer 2023.

Link to Public Health Wales [Strategic Plan](#)

Public Health Wales has an agreed strategic plan, which has identified seven strategic priorities and well-being objectives.

This report contributes to the following:

Strategic Priority/Well-being Objective	All Strategic Priorities/Well-being Objectives
--	--

Summary impact analysis

Equality and Health Impact Assessment	Not required
Risk and Assurance	None identified
Health and Care Standards	This report supports and/or takes into account the Health and Care Standards for NHS Wales Quality Themes Governance, Leadership and Accountability Theme 2 - Safe Care Theme 3 - Effective Care
Financial implications	None identified
People implications	None identified

1. Purpose / situation

This paper provides an update on progress to meet the requirements of the Duties of Candour and Quality in Public Health Wales (PHW).

2. Background

The Health and Social Care (Quality and Engagement) (Wales) Act 2020 became law on 1 June 2020 and came into force 1 April 2023. The Act covers four principal areas:

- Duty of quality on NHS bodies
- Duty of candour on NHS bodies and primary care
- Establishment of a new Citizen Voice Body for health and social care
- Provision for statutory Vice Chairs of NHS Trusts

It is a lever for improving and protecting the health, care and well-being of the current and future population of Wales.

3. Description

3.1. Duty of Candour (DOC)

Key elements of the Duty of Candour have been implemented in Public Health Wales since 1 April 2023.

3.1.1. Progress since last update

Progress on the implementation of all the domains of the Duty of Candour are well progressed with only a few areas to be fully completed for example in the areas of hosting and commissioned services. Progress reports have been provided to the Welsh Government programme Board demonstrating successful implementation across all key domains as identified through the Welsh Government highlight reports (see Appendix 1).

Key areas to note for this month are:

- An internal Duty of Candour training package was developed and has been rolled out on a weekly basis since the last update with good uptake from across the organisation. Duty of Candour training remains ongoing on a monthly basis and any new starters who join the organisation are being invited for training if applicable for their role.
- Public Health Wales has one confirmed Duty of Candour case currently, details of which is set out in the Quarter 1 Claims & Redress report and the systems and processes that have been put in place appear to be working well.
- A learning reflection exercise will be completed following completion of the Duty of Candour case to review the process and identify any areas of improvement for the organisation with applying the Duty of Candour.

Date: 10.07.23	Version: 1	Page: 3 of 13
-----------------------	-------------------	----------------------

3.2. Duty of Quality (DOQ)

The Duty of Quality SRO group in PHW provides governance and oversight for all work supporting implementation of the duty in Public Health Wales to ensure compliance, delivery of projected outcomes and realisation of the required benefits. The Duty of Quality risk, controls and key actions are noted on the Corporate Risk Register. Progress since the last meeting against actions on the Duty of Quality Implementation Roadmap/Welsh Government Monthly Highlight report is noted in the following table.

Date: 10.07.23	Version: 1	Page: 4 of 13
-----------------------	-------------------	----------------------

3.2.1. Progress since last meeting against actions on the Duty of Quality Implementation Roadmap/Welsh Government Monthly Highlight report

Themes	NHS organisation - minimum requirements to be completed BY APRIL 2023	Update July 2023	NHS organisation – subsequent actions (varied completion dates)	Update July 2023
Leadership and culture	<p>Senior responsible leadership in place and driving implementation work</p> <p>All staff recognise and understand the organisation’s Quality vision, and their roles within it</p> <p>Commitment, resources and infrastructure in place to implement Duty effectively</p>	<p>COMPLETED</p> <p>COMPLETED through the PHW Long Term Strategy refresh. To be enhanced when DOQ e-learning is available nationally.</p> <p>COMPLETED</p>	No specific actions	n/a
Decision-making	Processes and systems in place to provide demonstrable evidence that Board decisions have been made through Quality lens	COMPLETED: Work plans for the Committee are approved for next year and each TOR for the Committees has been reviewed and updated to ensure quality is reflected. These are complete and were reported to Board in May 2023 for final approval.	Sept 2023 - Demonstrable evidence that all strategic decisions and plans have been made through Quality lens	A national tool for assisting in applying the DOQ within decision making is being considered to assess whether it would be a suitable tool as part of our quality management process. PHW is reviewing the

Date: 10.07.23	Version: 1	Page: 5 of 13
-----------------------	-------------------	----------------------

Themes	NHS organisation - minimum requirements to be completed BY APRIL 2023	Update July 2023	NHS organisation – subsequent actions (varied completion dates)	Update July 2023
				suitability of the tool and feeding back to WG.
Governance and accountability structures	<p>Board are assured that DoQ is being considered across system</p> <p>Routine governance documentation is DoQ-ready</p>	<p>COMPLETED</p> <p>Work in progress to update the governance documentation. Report template will be completed in July / August, with the further work on the Board Assurance Framework to follow by September 2023.</p>	No specific actions	n/a
Reporting and information (data to knowledge)	<p>Mechanism and publication schedule / plan in place for sharing DoQ progress information externally</p> <p>Quality-related information escalation mechanisms in place, with plans for review and consideration at appropriate level</p>	<p>Draft plan in place for delivery. Further work being progressed on ownership of actions, particularly those around development and ongoing maintenance of DOQ web page and identification and consideration of additional internally reported quality information for potential external reporting via DOQ web page.</p> <p>Work continues to be progressed to ensure that the DOQ is integrated into existing corporate governance frameworks, processes and procedures. This includes ensuring that quality-</p>	Post March 2024 - First DoQ Annual report published	DOQ SRO Group assessing mechanisms for drafting and structuring annual report. Awaiting guidance from Welsh Government/National DOQ Team setting out detailed expectations and timelines.

Date: 10.07.23	Version: 1	Page: 6 of 13
-----------------------	-------------------	----------------------

Themes	NHS organisation - minimum requirements to be completed BY APRIL 2023	Update July 2023	NHS organisation – subsequent actions (varied completion dates)	Update July 2023
		related reporting is escalated through our internal structures at the appropriate level and that Boards and sub-committees understand their roles in considering escalated quality-related information to inform decision making.		
Commissioning	A clear and corporately agreed understanding of changes required to incorporate DoQ requirements into all commissioning arrangements	The National DOQ Team are exploring DoQ wording in relation to commissioning, hosting, contract issues and the Wales Commissioning Framework.	Sept 2023 - All commissioning arrangements incorporate DoQ requirements	See previous column
Hosting	A clear and corporately agreed understanding of changes required to incorporate DoQ requirements into hosting arrangements	The National DOQ Team are exploring DoQ wording in relation to commissioning, hosting, contract issues and the Wales Commissioning Framework. PHW will implement this once available.	Sept 2023 - All hosting arrangements incorporate DoQ requirements	Liaising with the NHS Transitional Lead to ensure the correct framework for assurance reporting into our Audit and Corporate Governance Committee and Board is in place. As the second phase of the NHS Executive Hosting programme comes into being, we will seek to amend our hosting agreement and assurance reporting requirements to formalise the governance for delivery of DOQ.

Date: 10.07.23	Version: 1	Page: 7 of 13
-----------------------	-------------------	----------------------

Themes	NHS organisation - minimum requirements to be completed BY APRIL 2023	Update July 2023	NHS organisation – subsequent actions (varied completion dates)	Update July 2023
Quality Standards	A clear understanding of changes required to existing quality infrastructure and agreed programme of work to align with Quality Standards 2023	Draft Clinical Governance Framework to be presented to QSIC in July which includes how PHW will demonstrate and meet the Quality Standards through this framework.	Sept 2023 - Quality infrastructure clearly aligned to Quality Standards 2023 From Dec 2023 - Routinely monitored, system-wide understanding of what good quality looks like for the broad range of services	Draft Clinical Governance Framework to be presented to QSIC in July which includes how PHW will demonstrate and meet the Quality Standards through this framework. The Draft Clinical Governance Framework includes a proposed definition of the quality domains for use in PHW services which will form the basis of our quality statements.
Quality management system – general	A clear understanding of, and commitment to, a quality management system, with plans in place to identify requirements and current gaps	COMPLETED	Sept 2023 - Quality Management System roadmap agreed and implemented	Delivery of the Quality as an Organisational Strategy programme to be refreshed including an updated implementation plan.
Communication and engagement	All staff are aware of key DoQ messages tailored to their organisation	COMPLETED	No specific actions	n/a
Training and education	At least one member of Board trained, knowledgeable and able	COMPLETED	June 2023 - Board trained, knowledgeable and operationalising DoQ	Board training complete and operationalising underway

Date: 10.07.23

Version: 1

Page: 8 of 13

Themes	NHS organisation - minimum requirements to be completed BY APRIL 2023	Update July 2023	NHS organisation – subsequent actions (varied completion dates)	Update July 2023
	to influence Board in relation to DoQ		<p>requirements (including training needs analysis for all staff)</p> <p>Dec 2023 - All staff trained to determined appropriate level</p>	<p>through governance/decision making channels.</p> <p>Training needs analysis for all staff scoped. Draft TNA reviewed by SRO group on 28 June.</p>

3.2.2. Duty of Quality recommendations

It is recommended that the national Duty of Quality e-learning becomes statutory training for all Public Health Wales staff when it is launched in Summer 2023 as it contributes to the organisation's overall compliance with the Health and Social Care (Quality and Engagement) (Wales) Act 2020.

3.2.3. Duty of Quality risks and issues

There are two risks and one issue that are being actively monitored and mitigated against in relation to this work:

Risks and Issues	Mitigation
There is a risk some of the actions cannot be implemented in a timely manner due to dependency on national information / templates.	Engagement in National Implementation Group, regular review of Roadmap and timeframes, transparent reporting in WG highlight report.
There is a risk that the teams associated with the required actions do not have capacity to take on the actions where there is new work required.	Directorate or divisional monitoring of demand and capacity. Risk register regularly monitored and reviewed at monthly SRO meeting.
There is an issue that accountability and support for the Duty of Quality is impacted by Improvement Cymru's move to the NHS Executive.	This issue has been escalated to BET in a paper outlining the impact of Improvement Cymru's move to the NHS Executive on PHW.

4. Recommendation

The Committee is asked to:

- **Take assurance** from the update on progress to meet the requirements of the Duties of Candour and Quality in Public Health Wales.
- **Note** that the Business Executive Team approved the recommendation that the national Duty of Quality e-learning module becomes statutory training for all Public Health Wales staff when it is launched in Summer 2023.

Date: 10.07.23	Version: 1	Page: 10 of 13
-----------------------	-------------------	-----------------------

Appendix 1: PHW Duty of Candour Highlight Report – June 2023

Overall

Period Ending	RAG Status	Previous RAG Status
June 2023		

Theme	Minimum requirement by April 2023	Baseline @ April 2023	Position @ May 2023	Position @ June 2023	Position @ July 2023	Position @ Aug 2023	Comments for latest update
Leadership and culture	Senior responsible leadership in place and driving implementation work	4	4	4			
	Strategic lead identified and trained (IM or Non-Exec)	4	4	4			
	Operational lead identified (executive officer level)	4	4	4			
	Board awareness training completed	4	4	4			
Governance and accountability structures	Fully developed and signed off Implementation plan for the duty	4	4	4			
	Implementation of the actions in the implementation plan due to enable duty to be enacted in April.	4	4	4			
	Policy-ratified and published	3	4	4			
	Any additional SOP's or policies completed	3	4	4			
Reporting and information	Training Needs analysis for reporting requirements for the duty	3	4	4			

Date: 10.07.23	Version: 1	Page: 11 of 13
-----------------------	-------------------	-----------------------

(data to knowledge)	Candour-related information validation and mechanisms for escalation in place, with plans for review and consideration at appropriate level	4	4	4			
	Facilities for primary care providers in place and functionality tested	4	4	4			
	Mechanism and publication schedule / plan in place for Candour Reporting Requirements.	4	4	4			
Commissioning	A clear and corporately agreed understanding of changes required to incorporate DoC requirements into all commissioning arrangements	3	3	3			
Hosting	A clear and corporately agreed understanding of changes required to incorporate DoC requirements into hosting arrangements	3	3	3			
Communication and engagement	All staff are aware of key DoC messages tailored to their organisation	4	4	4			
	Engagement with workforce and key stakeholders e.g. Service Users	4	4	4			
Training and education	Training Needs analysis for the duty	4	4	4			
	Based on training needs analysis Key and specialist staff training identified and completed	3	4	4			

Date: 10.07.23

Version: 1

Page: 13 of 13