



Non-Emergency Patient Transport Service - Follow-up of Baseline Position Review

Final Report

2018/19

Emergency Ambulance Services Committee

Private and Confidential

NHS Wales Shared Services Partnership

Audit and Assurance Services

CONTENTS	Page
1. Introduction and Background	4
2. Scope and Objectives	5
3. Associated Risks	5
<u>Key findings</u>	
4. Executive Summary	6
5. Detailed Findings	8
6. Conclusion	10

Appendix A

Dashboard Assessment

Review reference:	CT1819.44
Report status:	Final
Fieldwork commencement:	12 September 2018
Fieldwork completion:	13 November 2018
Draft report issued:	21 November 2018
Management response received:	22 November 2018
Final report issued:	26 November 2018

Reviewers: Paul Dalton, Emma Samways, Ken Hughes

Executive sign off: Stephen Harray, Chief Ambulance Service Commissioner

Distribution: Julian Baker, National Collaborative Commissioning Lead

James Rodaway, Head of Commissioning & Programme Management

Committee: Audit Committee

ACKNOWLEDGEMENT

NHS Wales Audit & Assurance Services would like to acknowledge the time and co-operation given by management and staff during the course of this review.

Please note:

This report has been prepared for internal use only. Audit & Assurance Services reports are prepared, in accordance with the Service Strategy and Terms of Reference, approved by the Audit Committee.

Reports are prepared by the staff of the NHS Wales Shared Services Partnership - Audit & Assurance Services, and addressed to Independent Members or officers including those designated as Accountable Officer. They are prepared for the sole use of Emergency Ambulance Services Committee and no responsibility is taken by the Audit & Assurance Services Internal Auditors to any director or officer in their individual capacity, or to any third party.

1. Introduction and Background

A baseline position review for the provision of Non-Emergency Patient Transport Services (NEPTS) across NHS Wales was undertaken by Internal Audit in January 2016. This follow-up review was requested by the Chief Ambulance Service Commissioner (CASC) who is the lead Executive Director for the review.

Following the 2013 strategic review of Welsh Ambulance Services (McClelland) a business case was produced by the project board that considered the future of NEPTS in Wales.

One of the recommendations of the business case was that the existing NEPTS commissioning arrangements and responsibilities were transferred from the nine commissioning organisations to a single body, this being the Emergency Ambulance Service Committee (EASC). EASC, who on behalf of NHS Wales, will hold the Welsh Ambulance Services NHS Trust (WAST) accountable to deliver against the standards, requirements, performance and quality indicators contained within a new Service Level Agreement.

To clearly set out the expectations on health organisations, and to provide assurance to EASC for the commissioning and delivery of NEPTS, a Quality and Delivery Framework ('the framework') has been developed.

To help facilitate the transfer arrangements and the development of the framework, in 2016/17 EASC requested a range of information from the nine transferring organisations plus WAST to provide a baseline of the NEPTS activity position across Wales at that time.

Our 2016/17 review of the progress with the transfer of responsibilities for NEPTS from health boards and other health bodies to WAST found that there was still much work to do to clarify robust spend and activity figures for NEPTS.

The transfers from health bodies is being undertaken on a phased approach. Health boards and trusts have been prioritised in terms of the number of providers they currently use, and whether these are already covered by formal contracts. In July 2018 Cardiff & Vale University Health Board (C&VUHB), who use a small number of providers and who currently have contracts in place to cover this activity, were the first to transfer their commissioning arrangements with the other health boards and trusts due to transfer in the subsequent 18 months.

WAST have produced an action plan and progress against agreed actions is monitored by the EASC Delivery Assurance Group.

2. Scope and Objectives

The overall objective of our review was to provide EASC with an updated position of the information received from the ten organisations at the time of our audit fieldwork as at October 2018, to ensure that this was being provided in line with the agreed action plan so that the phased transfers can be delivered.

The areas that we intended to cover in our review were:

- variations in approach across current activity;
- gaps in current practice; and
- opportunities for improvements to current arrangements.

However, as there has not been further gathering of baseline data, we were unable to assess the variations in approach across current activity or gaps in current practice. Therefore, our review has focussed on the progress towards completion of the framework for NEPTS, and the associated schedules. To do this we reviewed the latest version of the draft framework document and analysed of the information submitted to EASC. The review did not involve any interviews with health board or trust staff, or any testing or validation of current procedures.

3. Associated Risks

The potential risk to WAST considered in this review is as follows:

- That the transfer of commissioning arrangements and responsibilities fails to happen within agreed timescales and / or fails to deliver the perceived benefits identified in the business case.

KEY FINDINGS

4. Executive Summary

Responsibility for commissioning NEPTS formally transferred to EASC in April 2016. A key part of the work to facilitate the transfer was to establish a baseline position of existing NEPTS activity across Wales. Consequently EASC requested a range of information from the nine transferring organisations and WAST. The initial request for information was made by EASC in April 2016, and this was followed up by a second request towards the end of 2016/17.

Once the baseline data had been received, the next step in the process was to develop a Quality and Delivery Framework for NEPTS using the NEPTS Workbook ('the workbook'). The workbook is structured around the CAREMORE® approach for collaborative commissioning and focuses on Care standards, Activity, Resource Envelope, Model of care, Operational arrangements, Review of performance and Evaluation.

The framework includes, in the form of schedules under each of the seven CAREMORE® components, details of local operational arrangements for each organisation. The schedules are drawn up based on various sources of information such as that provided in the baseline assessment returns, the NEPTS business case, NEPTS Ministerial Statement and WAST's existing plans and IMTP.

In the table below we have provided a summary of the current position in developing the schedules against the identified goal in each of the CAREMORE® areas of the framework. This shows that while the desired goals have largely been achieved, not all of the required workbook schedules have yet been completed. A more detailed analysis of each area is provided in section 5 of this report.

We note that whilst a number of schedules remain incomplete, the transfer of some organisations has gone ahead. The original planned 'Go Live' date for the framework was April 2017, but there has been slippage in the timetable, and the first organisation (Cardiff & Vale UHB) did not transfer its commissioning arrangements until July 2018. This was followed by Velindre NHST in September 2018. The most recent timetable will see the next organisation, Betsi Cadwaladr UHB, due to transfer by the end of December 2018, and the last organisation (Cwm Taf UHB) by the end of September 2019.

Summary assessment of current position

CAREMORE® AREA	GOAL	CURRENT POSITION (October 2018)
Care Standards	Define care standards for NEPTS to meet.	Care Standards for NEPTS have now been defined for WAST, or any agent appointed to deliver services by WAST.
Activity	Know and understand demand and capacity requirements.	A Baseline Assessment was undertaken to record NEPTS activity by WAST and the transferring organisations. Activity descriptors have been developed for each of the five steps contained within the patient care pathway for NEPTS.
Resource Envelope	Identify total resources which might be utilised and affected.	Resource Management Descriptors have been documented for each step of the patient care pathway. The cost of providing the service has also been mapped against the 5 step model and a WAST capital plan for the 5 year period 2018/19 to 2022/23 has been drawn up.
Model of Care	Define model(s) of care across a NEPTS patient care pathway.	A 'Model of Care' has now been produced based on the five step patient care pathway.
Operational Arrangements	Mechanisms are established to ensure effective delivery of the framework.	A schedule has been prepared that outlines how the NEPTS Quality & Delivery Framework links into the IMTP process through Commissioning Intentions.
Review of Performance	Detail the on-going performance metrics, management and improvements.	The desired outcomes and measures for the five steps of the patient care pathway within the the NEPTS Quality and Delivery Framework have been documented.

CAREMORE® AREA	GOAL	CURRENT POSITION (October 2018)
		A NEPTS Activity and Performance Report has also been prepared for the period April to June 2018.
Evaluate	Define methods and outcomes as criteria for judging benefits from the framework.	The schedules previously developed for evaluation have been superseded by three new schedules that are not yet complete.

5. Detailed Findings

We have reviewed each of the seven elements of CAREMORE® and the progress against the production of Schedules under each key component, which are being used to develop the Quality and Delivery Framework for NEPTS. Our assessment is based on discussions with, and documentation provided by, the National Collaborative Commissioning Unit as at September and November 2018.

5.1 Care Standards

This section of the workbook requires the production of one schedule (C1) which had been fully completed. Care Standards for NEPTS had been defined for WAST, or for any agent appointed to deliver services on behalf of WAST. These are split between service and core requirements. Compliance with the care standards will be monitored through production of a NEPTS Activity and Performance report.

5.2 Activity

The final framework requires the production of the Activity Descriptors schedule (A1). This details the descriptors which have been developed for each of the five steps contained within the patient care pathway. This schedule is complete.

The R2 (Review of Performance) data repository will contain the metrics to measure activity outlined in schedule A1. This will enable performance reporting by each transferring organisation and will include patient and staff experience measures.

5.3 Resource Envelope

This section of the workbook requires the production of three schedules (RE1 - RE3) which have all been completed.

Resource Management Descriptors for each step of the patient care pathway has been defined in schedule RE1. An Income, Expenditure, Savings and Reinvestment Plan for 2018/19 had been completed in Schedule RE2. Schedule RE3 detailed the WAST Capital Plan for the 5 year period 2017/18 to 2021/22.

5.4 Model of Care

This section of the workbook required the production of two schedules (M1 & M2) both of which had been completed at the time of our review.

Schedule M1 details a standardised 5 step 'Model of Care' based on the patient care pathway.

M2 is a 'wiring diagram' for NEPTS and details the booking process which has been tailored to each health board and trust by region. We understand that this will be updated to an All Wales process once all health boards and trusts have transferred.

5.5 Operational Arrangements

This section of the workbook required the production of four schedules (O1 - O4) of which two had been completed at the time of our review (O1 and O4).

Schedule O1 is a process flowchart that outlines how the framework links into the IMTP process via Commissioning Intentions.

Schedule O4 had also been completed. This is a reference schedule and contains links to the WAST IMTP table 1a and 1b that detail how the framework will be updated to ensure continuous improvement of the service and the framework itself.

However, schedules O2 (Application of the Model of Care) and O3 (Extant Policies, Protocols, Pathways) were still to be completed. These schedules set out the relevant services for each transferring organisation that WAST has responsibility for under the framework.

5.6 Review of Performance

This section of the workbook required the production of two schedules (R1 and R2) of which only R1 had been completed at the time of our review.

Schedule R1 (Performance Measurement Descriptors) describes the performance measures that will give assurance against delivery of the care standards for each step of the patient care pathway.

Schedule R2 is a data repository and sets out the performance reporting mechanisms and frequency that WAST will utilise in support of the Quality and Delivery Framework. It is a reference schedule compiled from data contained in Schedules A1, RE1 and R1, set in the context of the Care

Standards Schedule (C1). This will enable performance reporting on an all Wales or individual organisation level. A draft schedule had been prepared at the time of our review, but it had not been completed.




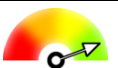



5.7 Evaluate

This section of the workbook requires the production of three schedules (E1 - E3). However, none of these had had been completed at the time of our review.

When completed Schedule E1 will contain the mixed methods that will be used to evaluate service change initiatives; Schedule E2 will be the Evaluation Programme for the CAREMORE® Quality and Delivery Framework and will be delivered by Swansea University; Schedule E3 will reference all the completed evaluation reports for service changes since the NEPTS Quality and Delivery Framework went live.

Conclusion




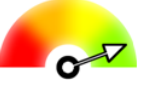
In the table below we provided a subjective assessment of the progress against the production of schedules under each of the key components that are being used to develop the framework for NEPTS.

Care Standards	Activity	Resource Envelope	Model of Care	Operational Arrangements	Review of Performance	Evaluate
						

Good progress has been made in developing the workbook schedules for each of the seven CAREMORE® components, and although some schedules are incomplete the first version of the NEPTS Quality & Delivery Framework has been drafted. This is due to be signed off by the Emergency Ambulance Services Committee and WAST during November 2018.

While the transfer of arrangements from health boards and trusts to WAST has not happened in line with the original timelines, this process has now commenced and work should continue to ensure the completion of all schedules and the transfer of the remaining health bodies in a timely manner.

APPENDIX A
Key to Dashboard Assessment

	There is no progress towards the production of schedules under the components of CAREMORE®.
	There is limited progress against the production of schedules under the components of CAREMORE®.
	There is good progress against the production of schedules under the components of CAREMORE®.
	All schedules have been completed.