

Executive Director Lead: Adrian Clarke
Commissioning Lead: Joanna Dainton
Commissioning Team: MHLDVG

Service in Escalation: Caswell Clinic Medium Secure Unit

Date of Escalation Meetings:

JCC/Caswell SLT- 16/10/25, 21/11/25

JCC/SBUHB Exec- 03/10/25, 07/11/25, 20/11/25, 5/12/25

Date Last Reviewed by Quality Safety

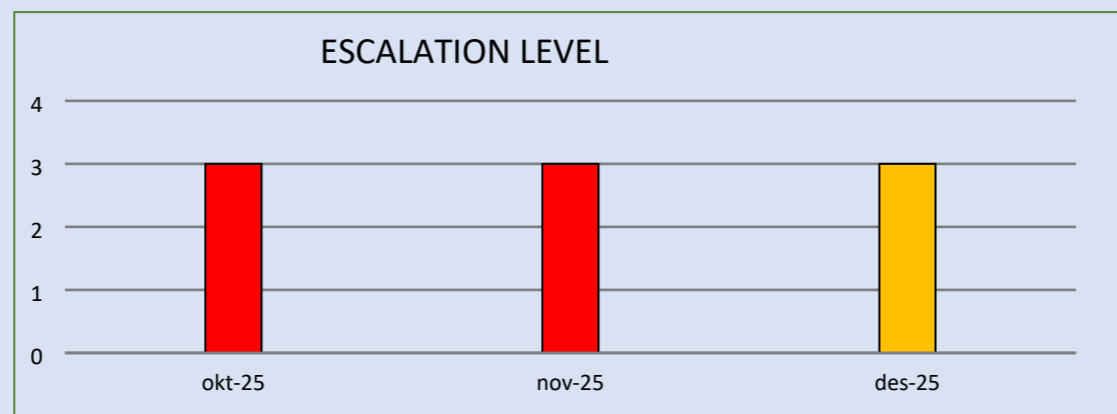
Outcome Committee: N/A

**Current
 Escalation
 Level 3**

Escalation Trend Level

Trend	Rationale	Current Trend Level
↓	Escalation level lowered	↔ December 2025
↔	Escalation remains the same	
↑	Escalation level escalated	

Escalation Trajectory:



Escalation History:

Date	Escalation Level
October 2025	3

Rationale for Escalation Status: Staff and Patient safety issues. Further Quality issues.

A site visit of the facility by NWJCC members in July 2025 identified significant concerns with safety and quality issues. This was reported to the JCC in September 2025 and it was agreed a full service review would be undertaken. The service review took place between 15th September and 3rd October 2025, assessing service delivery against the recognised quality standards for Medium Secure Units and reviewing individual patients. The NWJCC review has identified a number of significant safety and quality issues requiring urgent action. Similar issues were identified within a NCCU service review undertaken in November 2022 (1). The NWJCC findings also echo concerns raised within a report produced by an external consultant on the wider Swansea Bay University Health Board Mental Health and Learning Disability Service provision in June 2025 (2) that found provision of safe, effective, respectful, patient centred care was compromised and that performance and leadership structures were not supporting proper oversight of service delivery.

Background Information:

Initial visit to service by Director of Commissioning for MHLDVG and JCC Lay Members raised a number of concerns. Further in-depth review undertaken by JCC MHLDVG review team. Further concerns raised regarding the safety and quality of the service provided at that time. Admissions suspended in order to minimise risk.

Actions:

Action	NWJCC Lead	Action Due Date	Completion Date
Work with SBUHB executive team & Caswell Clinic SLT to develop an action plan to implement mitigating	Director of	8 th December	Finalised action plan agreed on 5 th

Full report drafted and disseminated to SBUHB Executive team along with Caswell SLT. Service placed in Level 3 Escalation in October 2025 following endorsement by JCC SLT.

NWJCC assurance and confidence level in developments:

Members of the NWJCC met with Swansea Bay Executive Team in early October to share initial concerns, pending production of a full report. In line with the nature of the concerns and NWJCC quality and governance process, the Caswell Service was placed in escalation Level 3. Weekly service improvement meetings will now be held with Caswell Clinic Senior Leadership Team and that monthly meetings will be held with Swansea Bay Health Board Executive Team.

To support the review findings and service improvement, a detailed plan highlighting specific actions required against recognised standards has been produced. Some of these actions require immediate attention and others will be developed over time. It is recommended that admissions to the unit are paused until the NWJCC and Swansea Bay Executive Board has received reassurance that the urgent safety issues have been resolved.

December 2025-

Final draft of an action plan received; however further detail has been requested. The mitigations required to support a safe service and in order to reopen the service to new admissions has been received from SBUHB via the action plan. Initial focus is on immediate safety concerns with other mitigations for less serious issues following. Escalation level 3 agreed at executive level within the JCC.

actions in order to minimise risks to staff and patients at the service.	Commissioning		December 2025
Weekly escalation meeting with Caswell SLT & JCC DoC and SBUHB Exec lead every fortnight, to discuss and agree progress against actions/objectives	Asst. DoC/DoC	Ongoing	On completion of all actions
Immediate concerns to be addressed by 8 th December 2025 followed by review of completed actions by JCC.	Head of Commissioning	8 th December 2025	
Suspension for new admissions to the clinic	JCC	Ongoing	Ongoing

Issues/Risks:

October 25-

Service review raised a number of significant issues that could possibly lead to patient and/or staff safety issues. Following this review, new admissions have been suspended and the service placed in Level 3 escalation.

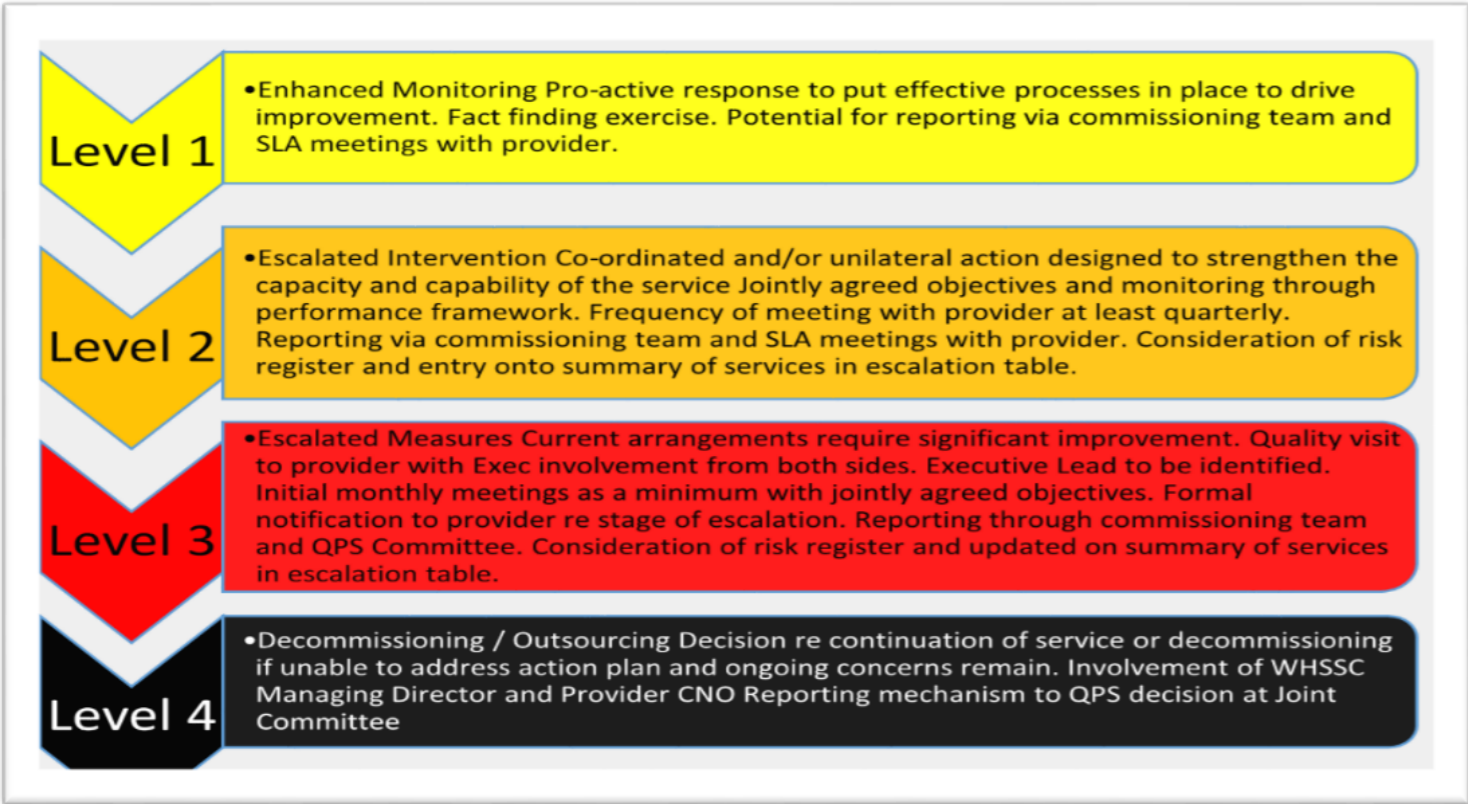
A number of meetings have been held with JCC and the Service SLT in order to clarify details within the JCC written report and to enable both organisations to come to an agreement on a final action plan which will address immediate, mid- and longer-term issues.

December 25-

Final report and action plan agreed. SBUHB have stated that all immediate concerns that led to admissions being suspended, will have been addressed by 8th December. JCC review team plan to meet with SLT at Caswell clinic on 10th December in order to verify that all mitigating actions are sufficient to reduce identified risks, so that the service can re-open to admissions and escalation level can be reconsidered.

Level 1 ENHANCED MONITORING	<p>Any quality or performance concern will be reviewed by the Commissioning Team. Enhanced monitoring is a pro-active response to put effective processes in place to drive improvement. It is an initial fact finding exercise which should ideally be led by the provider and closely monitored and reviewed by the commissioning team. The enquiry will lead to one of the following possible outcomes:</p> <ul style="list-style-type: none"> • No further action is required routine monitoring will continue. The concern which raised the indication for inquiry will be logged and referred to during the routine monitoring process to ensure this has not developed any further. • Continued intervention is required at level 1 and a review date agreed. • Escalation to Level 2 if further intervention is required <p>There is the potential for reporting via commissioning team report to Quality Patient Safety Committee and through SLA meetings with provider</p>
Level 2 ESCALATED INTERVENTION	<p>Escalated intervention will be initiated if Level I Enhanced Monitoring identifies the need for further investigation/intervention. There should be a Co-ordinated and/or unilateral action designed to strengthen the capacity and capability of the service. At this stage there should be jointly agreed objectives between the provider and commissioner and monitored through the relevant commissioning team. Frequency of meeting with provider should be at least quarterly and possible interventions will include</p> <ul style="list-style-type: none"> • Provider performance meetings • Triangulation of data with other quality indicators • Advice from external advisors • Monitoring of any action plans <p>A risk assessment should be undertaken, and logged on the Commissioning Team Risk Register. Where appropriate the risk will be included on the JCC Risk Management Framework. Reporting is via commissioning team report to Quality Patient Safety Committee report and SLA meetings with provider. The investigation will lead to on to the following possible outcomes:</p> <ul style="list-style-type: none"> • Action plan and monitoring are completed within the allocated timeframe, evidence of progress and assurance the concern has been addressed. De-escalation to Level 1 for ongoing monitoring. • If the action plan is not adhered to and further concerns are raised by the Commissioning team or by the provider team or further concerns are identified it may be necessary to move to Level 3 Escalated Measures
Level 3 ESCALATED MEASURES	<p>Where there is evidence that the Action Plan developed following Level 2 has failed to meet the required outcomes or a serious concern is identified a service will be placed in escalated Level 3. At this stage the quality of the service requires significant action/improvement and will require Executive input. In addition to routine reporting through QPS a formal paper will be considered by the JCC Corporate Directors Group (CDG) and an Executive Lead nominated. Formal notification will be sent to the provider re the Level of escalation and a request made for an Executive lead from the provider to be identified. An initial meeting will be set up as soon as possible dependant on the severity of the concern. Meetings should take place at least monthly thereafter or more frequently if determined necessary with jointly agreed objectives.</p> <p>Provider representation will depend on the nature of the issue but the meetings should ideally comprise of the following personnel as a minimum:</p> <ul style="list-style-type: none"> • Chair (JCC Executive Lead) • Associate Medical Director - Commissioning Team • Senior Planning Lead – Commissioning Team • JCC Head of Quality • Executive Lead from provider Health Board/Trust • Clinical representative from provider Health Board/Trust • Management representative from provider Health Board/Trust <p>An agreed agenda should be shared prior to the meeting with a request for evidence as necessary.</p> <p>At the conclusion of the meeting a clear timeline for agreed actions will be identified for future monitoring and confirmed in writing if appropriate. Reporting will be through commissioning team to QPS Committee. Consideration of entry on the risk register and summary of services in escalation table for Chairs report to Joint Committee. Consideration to involve and have a discussion with Welsh Government may be considered appropriate at this stage. If there is ongoing concern relating patient care and safety with no clear progress then further escalation will be required to Level 4. On the other hand if progress is made through the escalation Level 3 evidence of this should be presented to CDG/QPS and a formal decision made with the provider to de-escalate to Level 2.</p>

<p>Level 4 DECOMMISSIONING/OUTSOURCING</p>	<p>Where services have been unable to meet specific targets or demonstrate evidence of improvement a number of actions need to be considered at this stage. This stage will require notification and involvement of the JCC Managing Director and CEO from the provider organisation. Both Quality Patient Safety Committee and Joint Committee should be cited on the level of escalation.</p> <p>The following areas will need to be considered and the most appropriate sanction applied to help resolve the issue:</p> <ol style="list-style-type: none"> 1. De-commissioning of the service 2. Outsourcing from an alternative provider. This may be permanent or temporary 3. Contractual realignment to take into account the potential need to maintain and agree an alternative provider. <p>Involvement with Welsh Government and the Community Health Council is critical at this stage as often there are political drivers and levers that need to be considered and articulated as part of the decision making. Moving in and out of escalation and between Levels In addition to the Levels described above the process has introduced a traffic light guide within each level. The purpose of this is to help demonstrate the direction of travel within the level. It sets out an approach to help identify progress within the level and lays out the steps required for movement either upwards (escalation) or downwards (de-escalation) through the level.</p> <p>At every stage a red, amber or green colour will be applied to the level to illustrate whether more or less intervention is in place. Red being a higher level of intervention moving down to green. It will also help determine the easing of the escalated measures described and inform movement within the stages of escalation. As the evidence and understanding of the risks from a provider and commissioner become evident decisions can be made to reduce the level of intervention or there may be a need to reintroduce intervention should conditions worsen and trigger the re-introduction of measures if progress is unacceptable. In this way organisations will be able to understand what is being asked of them, progress will be easily identified and it will help avoid any confusion. It will also help in the reporting to provide assurance that action is being taken to meet the agreed timescales.</p>
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SERVICES IN ESCALATION

