

# Intelligent Monitoring Report

Report on

**Hull and East Yorkshire Hospitals NHS Trust**

13 March 2014

CQC has developed a new model for monitoring a range of key indicators about NHS acute and specialist hospitals. These indicators relate to the five key questions we will ask of all services – are they safe, effective, caring, responsive and well-led? The indicators will be used to raise questions about the quality of care. They will not be used on their own to make judgements. Our judgements will always be based on the result of an inspection, which will take into account our Intelligent Monitoring analysis alongside local information from the public, the trust and other organisations.

### **What does this report contain?**

This report presents CQC's analysis of the key indicators (which we call 'tier one indicators') for Hull and East Yorkshire Hospitals NHS Trust. We have analysed each indicator to identify two possible levels of risk.

We have used a number of statistical tests to determine where the thresholds of "risk" and "elevated risk" sit for each indicator, based on our judgement of which statistical tests are most appropriate. These tests include CUSUM and z-scoring techniques. Where an indicator has 'no evidence of risk' this refers to where our statistical analysis has not deemed there to be a "risk" or "elevated risk". For some data sources these thresholds are determined by a rules-based approach - for example concerns raised by staff to CQC (and validated by CQC) are always flagged in the model.

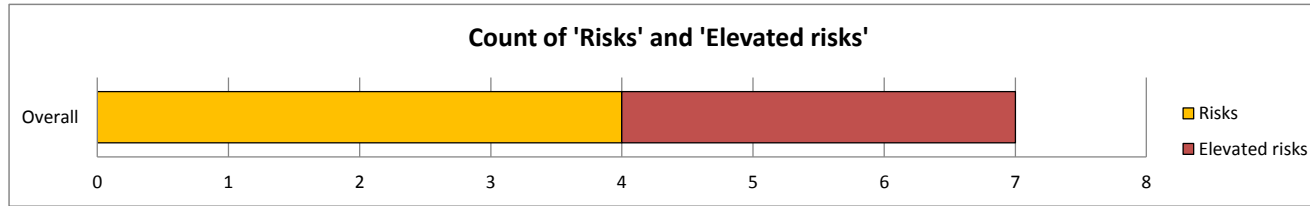
NHS Trusts that have had an inspection at the time of producing this update of Intelligent Monitoring have not been assigned a banding; all other indicator analysis results are shown in their report. "Recently inspected" is stated for these trusts. This is to reflect the fact that CQC's new comprehensive inspections will provide its definitive judgements for each organisation.

Further details of the analysis applied are explained in the accompanying guidance document.

### **What guidance is available?**

We have published a document setting out the definition and full methodology for each indicator. If you have any queries or need more information, please email [enquiries@cqc.org.uk](mailto:enquiries@cqc.org.uk) or use the contact details at [www.cqc.org.uk/contact-us](http://www.cqc.org.uk/contact-us)

Trust Summary



| Priority banding for inspection | Recently inspected |
|---------------------------------|--------------------|
| Number of 'Risks'               | 4                  |
| Number of 'Elevated risks'      | 3                  |
| Overall Risk Score              | 10                 |
| Number of Applicable Indicators | 92                 |
| Proportional Score              | 5.43%              |
| Maximum Possible Risk Score     | 184                |

- Elevated risk** Composite indicator: In-hospital mortality - Infectious diseases
- Elevated risk** Maternity Survey 2013 C1 "At the very start of your labour, did you feel that you were given appropriate advice and support when you contacted a midwife or the hospital?" (Score out of 10)
- Elevated risk** Whistleblowing alerts
- Risk** PROMs EQ-5D score: Hip Replacement (PRIMARY)
- Risk** Maternity Survey 2013 D3 "Thinking about the care you received in hospital after the birth of your baby, were you given the information or explanations you needed?" (Score out of 10)
- Risk** TDA - Escalation score
- Risk** GMC - Enhanced monitoring

Tier One Indicators

| Section                             | ID          | Indicators  | Observed                                | Expected | Risk?               |
|-------------------------------------|-------------|---|---|----------|---------------------|
| Never Events                        | STEISNE     | Never Event incidence   | 0                                       | -        | No evidence of risk |
| Avoidable infections                | CDIFF       | Incidence of Clostridium difficile (C.difficile)  | 58                                      | 57.22    | No evidence of risk |
|                                     | MRSA        | Incidence of Meticillin-resistant Staphylococcus aureus (MRSA)  | 2                                       | 2.82     | No evidence of risk |
| Deaths in low risk diagnosis groups | MORTLOWR    | Dr Foster Intelligence: Mortality rates for conditions normally associated with a very low rate of mortality. | 33                                      | -        | No evidence of risk |
| Patient safety incidents            | NRLSL03     | Proportion of reported patient safety incidents that are harmful  | 0.23                                    | 0.29     | No evidence of risk |
|                                     | NRLSL04     | Potential under-reporting of patient safety incidents resulting in death or severe harm                       | 28                                      | 66.55    | No evidence of risk |
|                                     | NRLSL05     | Potential under-reporting of patient safety incidents   | 11128                                   | 11058.2  | No evidence of risk |
| Venous Thromboembolism              | VTERA03     | Proportion of patients risk assessed for Venous Thromboembolism (VTE)   | 0.96                                    | 0.95     | No evidence of risk |
| Mortality: Trust Level              | SHMI01      | Summary Hospital-level Mortality Indicator  | Trust's mortality rate is 'As Expected' | -        | No evidence of risk |
|                                     | COM_HSMR    | Dr Foster Intelligence: Composite of Hospital Standardised Mortality Ratio indicators                         | -                                       | -        | No evidence of risk |
|                                     | HSMR        | Dr Foster Intelligence: Hospital Standardised Mortality Ratio   | 2073                                    | 2264.34  | No evidence of risk |
|                                     | HSMRWKDAY   | Dr Foster Intelligence: Hospital Standardised Mortality Ratio (Weekday)                                       | 1386                                    | 1465.03  | No evidence of risk |
|                                     | HSMRWKEND   | Dr Foster Intelligence: Hospital Standardised Mortality Ratio (Weekend)                                       | 490                                     | 495.06   | No evidence of risk |
|                                     | COM_CARDI   | Composite indicator: In-hospital mortality - Cardiological conditions and procedures                          | -                                       | -        | No evidence of risk |
|                                     | HESMORT24CU | In-hospital mortality: Cardiological conditions   | -                                       | -        | No evidence of risk |
|                                     | MORTAMI     | Mortality outlier alert: Acute myocardial infarction  | -                                       | -        | No evidence of risk |
|                                     | MORTARRES   | Mortality outlier alert: Cardiac arrest and ventricular fibrillation  | -                                       | -        | No evidence of risk |
|                                     | MORTCABGI   | Mortality outlier alert: CABG (isolated first time)   | -                                       | -        | No evidence of risk |
|                                     | MORTCABGO   | Mortality outlier alert: CABG (other)   | -                                       | -        | No evidence of risk |
|                                     | MORTCASUR   | Mortality outlier alert: Adult cardiac surgery  | -                                       | -        | No evidence of risk |
|                                     | MORTCATH    | Mortality outlier alert: Coronary atherosclerosis and other heart disease                                     | -                                       | -        | No evidence of risk |
|                                     | MORTCHF     | Mortality outlier alert: Congestive heart failure; nonhypertensive  | -                                       | -        | No evidence of risk |
|                                     | MORTDYSRH   | Mortality outlier alert: Cardiac dysrhythmias   | -                                       | -        | No evidence of risk |
|                                     | MORTHVD     | Mortality outlier alert: Heart valve disorders  | -                                       | -        | No evidence of risk |
|                                     | MORTPHD     | Mortality outlier alert: Pulmonary heart disease  | -                                       | -        | No evidence of risk |
|                                     | COM_CEREB   | Composite indicator: In-hospital mortality - Cerebrovascular conditions                                       | -                                       | -        | No evidence of risk |
|                                     | HESMORT21CU | In-hospital mortality: Cerebrovascular conditions   | -                                       | -        | No evidence of risk |
|                                     | MORTACD     | Mortality outlier alert: Acute cerebrovascular disease  | -                                       | -        | No evidence of risk |

| Section   | ID  | Indicators   | Observed | Expected            | Risk?               |
|-----------|---|--|----------|---------------------|---------------------|
| Mortality | COM_DERMA   | Composite indicator: In-hospital mortality - Dermatological conditions                                       | -        | -                   | No evidence of risk |
|           | HESMORT35CU   | <i>In-hospital mortality: Dermatological conditions</i>  | -        | -                   | No evidence of risk |
|           | MORTSKINF   | <i>Mortality outlier alert: Skin and subcutaneous tissue infections</i>                                      | -        | -                   | No evidence of risk |
|           | MORTSKULC   | <i>Mortality outlier alert: Chronic ulcer of skin</i>  | -        | -                   | No evidence of risk |
|           | COM_ENDOC   | Composite indicator: In-hospital mortality - Endocrinological conditions                                     | -        | -                   | No evidence of risk |
|           | HESMORT29CU   | <i>In-hospital mortality: Endocrinological conditions</i>  | -        | -                   | No evidence of risk |
|           | MORTDIABWC  | <i>Mortality outlier alert: Diabetes mellitus with complications</i>   | -        | -                   | No evidence of risk |
|           | MORTDIABWOC   | <i>Mortality outlier alert: Diabetes mellitus without complications</i>                                      | -        | -                   | No evidence of risk |
|           | MORTFLUID   | <i>Mortality outlier alert: Fluid and electrolyte disorders</i>  | -        | -                   | No evidence of risk |
|           | COM_GASTR   | Composite indicator: In-hospital mortality - Gastroenterological and hepatological conditions and procedures | -        | -                   | No evidence of risk |
|           | HESMORT27CU   | <i>In-hospital mortality: Gastroenterological and hepatological conditions</i>                               | -        | -                   | No evidence of risk |
|           | MORTALCLIV  | <i>Mortality outlier alert: Liver disease, alcohol-related</i>   | -        | -                   | No evidence of risk |
|           | MORTBILIA   | <i>Mortality outlier alert: Biliary tract disease</i>  | -        | -                   | No evidence of risk |
|           | MORTGASHAE  | <i>Mortality outlier alert: Gastrointestinal haemorrhage</i>   | -        | -                   | No evidence of risk |
|           | MORTGASN  | <i>Mortality outlier alert: Noninfectious gastroenteritis</i>  | -        | -                   | No evidence of risk |
|           | MORTINTOBS  | <i>Mortality outlier alert: Intestinal obstruction without hernia</i>  | -        | -                   | No evidence of risk |
|           | MORTOGAS  | <i>Mortality outlier alert: Other gastrointestinal disorders</i>   | -        | -                   | No evidence of risk |
|           | MORTOLIV  | <i>Mortality outlier alert: Other liver diseases</i>   | -        | -                   | No evidence of risk |
|           | MORTOPJEJ   | <i>Mortality outlier alert: Operations on jejunum</i>  | -        | -                   | No evidence of risk |
|           | MORTPERI  | <i>Mortality outlier alert: Peritonitis and intestinal abscess</i>   | -        | -                   | No evidence of risk |
|           | MORTTEPBI   | <i>Mortality outlier alert: Therapeutic endoscopic procedures on biliary tract</i>                           | -        | -                   | No evidence of risk |
|           | MORTTEPLGI  | <i>Mortality outlier alert: Therapeutic endoscopic procedures on lower GI tract</i>                          | -        | -                   | No evidence of risk |
|           | MORTTEPUGI  | <i>Mortality outlier alert: Therapeutic endoscopic procedures on upper GI tract</i>                          | -        | -                   | No evidence of risk |
|           | MORTTOJI  | <i>Mortality outlier alert: Therapeutic operations on jejunum and ileum</i>                                  | -        | -                   | No evidence of risk |
|           | COM_GENIT   | Composite indicator: In-hospital mortality - Genito-urinary conditions                                       | -        | -                   | No evidence of risk |
|           | HESMORT31CU   | <i>In-hospital mortality: Genito-urinary conditions</i>  | -        | -                   | No evidence of risk |
|           | MORTUTI   | <i>Mortality outlier alert: Urinary tract infections</i>   | -        | -                   | No evidence of risk |
|           | COM_HAEMA   | Composite indicator: In-hospital mortality - Haematological conditions                                       | -        | -                   | No evidence of risk |
|           | HESMORT28CU   | <i>In-hospital mortality: Haematological conditions</i>  | -        | -                   | No evidence of risk |
|           | MORTDEFI  | <i>Mortality outlier alert: Deficiency and other anaemia</i>   | -        | -                   | No evidence of risk |
|           | COM_INFEC   | Composite indicator: In-hospital mortality - Infectious diseases   | -        | -                   | Elevated risk       |
|           | HESMORT26CU   | <i>In-hospital mortality: Infectious diseases</i>  | -        | -                   | Elevated risk       |
|           | MORTSEPT  | <i>Mortality outlier alert: Septicaemia (except in labour)</i>   | -        | -                   | No evidence of risk |
|           | COM_MENTA   | Composite indicator: In-hospital mortality - Conditions associated with Mental health                        | -        | -                   | No evidence of risk |
|           | HESMORT33CU   | <i>In-hospital mortality: Conditions associated with Mental health</i>                                       | -        | -                   | No evidence of risk |
|           | MORTSENI  | <i>Mortality outlier alert: Senility and organic mental disorders</i>  | -        | -                   | No evidence of risk |
|           | COM_MUSCU   | Composite indicator: In-hospital mortality - Musculoskeletal conditions                                      | -        | -                   | No evidence of risk |
|           | HESMORT36CU   | <i>In-hospital mortality: Musculoskeletal conditions</i>   | -        | -                   | No evidence of risk |
|           | MORTPATH  | <i>Mortality outlier alert: Pathological fracture</i>  | -        | -                   | No evidence of risk |
|           | COM_NEPHR   | Composite indicator: In-hospital mortality - Nephrological conditions  | -        | -                   | No evidence of risk |
|           | HESMORT30CU   | <i>In-hospital mortality: Nephrological conditions</i>   | -        | -                   | No evidence of risk |
|           | MORTRENA  | <i>Mortality outlier alert: Acute and unspecified renal failure</i>  | -        | -                   | No evidence of risk |
| MORTRENC  | <i>Mortality outlier alert: Chronic renal failure</i> | -  | -        | No evidence of risk |                     |

| Section                      | ID  | Indicators   | Observed | Expected            | Risk?               |
|------------------------------|---|--|----------|---------------------|---------------------|
|                              | COM_NEURO   | Composite indicator: In-hospital mortality - Neurological conditions                                     | -        | -                   | No evidence of risk |
|                              | HESMORT34CU   | <i>In-hospital mortality: Neurological conditions</i>  | -        | -                   | No evidence of risk |
|                              | MORTEPIL  | <i>Mortality outlier alert: Epilepsy, convulsions</i>  | -        | -                   | No evidence of risk |
|                              | COM_PAEDI   | Composite indicator: In-hospital mortality - Paediatric and congenital disorders and perinatal mortality | -        | -                   | No evidence of risk |
|                              | HESMORT32CU   | <i>In-hospital mortality: Paediatric and congenital disorders</i>  | -        | -                   | No evidence of risk |
|                              | MATPERIMOR  | <i>Maternity outlier alert: Perinatal mortality</i>  | -        | -                   | No evidence of risk |
|                              | COM_RESPI   | Composite indicator: In-hospital mortality - Respiratory conditions and procedures                       | -        | -                   | No evidence of risk |
|                              | HESMORT25CU   | <i>In-hospital mortality: Respiratory conditions</i>   | -        | -                   | No evidence of risk |
|                              | MORTASTHM   | <i>Mortality outlier alert: Asthma</i>   | -        | -                   | No evidence of risk |
|                              | MORTBRONC   | <i>Mortality outlier alert: Acute bronchitis</i>   | -        | -                   | No evidence of risk |
|                              | MORTCOPD  | <i>Mortality outlier alert: Chronic obstructive pulmonary disease and bronchiectasis</i>                 | -        | -                   | No evidence of risk |
|                              | MORTPLEU  | <i>Mortality outlier alert: Pleurisy, pneumothorax, pulmonary collapse</i>                               | -        | -                   | No evidence of risk |
|                              | MORTPNEU  | <i>Mortality outlier alert: Pneumonia</i>  | -        | -                   | No evidence of risk |
|                              | COM_TRAUM   | Composite indicator: In-hospital mortality - Trauma and orthopaedic conditions and procedures            | -        | -                   | No evidence of risk |
|                              | HESMORT37CU   | <i>In-hospital mortality: Trauma and orthopaedic conditions</i>  | -        | -                   | No evidence of risk |
|                              | MORTCRAN  | <i>Mortality outlier alert: Craniotomy for trauma</i>  | -        | -                   | No evidence of risk |
|                              | MORTFNOF  | <i>Mortality outlier alert: Fracture of neck of femur (hip)</i>  | -        | -                   | No evidence of risk |
|                              | MORTHFREP   | <i>Mortality outlier alert: Head of femur replacement</i>  | -        | -                   | No evidence of risk |
|                              | MORTHIPREP  | <i>Mortality outlier alert: Hip replacement</i>  | -        | -                   | No evidence of risk |
|                              | MORTINTINJ  | <i>Mortality outlier alert: Intracranial injury</i>  | -        | -                   | No evidence of risk |
|                              | MORTOFRA  | <i>Mortality outlier alert: Other fractures</i>  | -        | -                   | No evidence of risk |
|                              | MORTREDFB   | <i>Mortality outlier alert: Reduction of fracture of bone</i>  | -        | -                   | No evidence of risk |
|                              | MORTREDFBL  | <i>Mortality outlier alert: Reduction of fracture of bone (upper/lower limb)</i>                         | -        | -                   | No evidence of risk |
|                              | MORTREDFNOF   | <i>Mortality outlier alert: Reduction of fracture of neck of femur</i>                                   | -        | -                   | No evidence of risk |
|                              | MORTSHUN  | <i>Mortality outlier alert: Shunting for hydrocephalus</i>   | -        | -                   | No evidence of risk |
|                              | COM_VASCU   | Composite indicator: In-hospital mortality - Vascular conditions and procedures                          | -        | -                   | No evidence of risk |
|                              | HESMORT23CU   | <i>In-hospital mortality: Vascular conditions</i>  | -        | -                   | No evidence of risk |
|                              | MORTAMPUT   | <i>Mortality outlier alert: Amputation of leg</i>  | -        | -                   | No evidence of risk |
|                              | MORTANEUR   | <i>Mortality outlier alert: Aortic, peripheral, and visceral artery aneurysms</i>                        | -        | -                   | No evidence of risk |
|                              | MORTCLIP  | <i>Mortality outlier alert: Clip and coil aneurysms</i>  | -        | -                   | No evidence of risk |
| MORTOFB                      | <i>Mortality outlier alert: Other femoral bypass</i>                          | -  | -        | No evidence of risk |                     |
| MORTPVA                      | <i>Mortality outlier alert: Peripheral and visceral atherosclerosis</i>       | -  | -        | No evidence of risk |                     |
| MORTREPAAA                   | <i>Mortality outlier alert: Repair of abdominal aortic aneurysm (AAA)</i>     | -  | -        | No evidence of risk |                     |
| MORTTOFA                     | <i>Mortality outlier alert: Transluminal operations on the femoral artery</i> | -  | -        | No evidence of risk |                     |
| Maternity and women's health | MATELECCS   | Maternity outlier alert: Elective Caesarean section  | -        | -                   | No evidence of risk |
|                              | MATEMERCs   | Maternity outlier alert: Emergency Caesarean section   | -        | -                   | No evidence of risk |
|                              | MATSEPSIS   | Maternity outlier alert: Puerperal sepsis and other puerperal infections                                 | -        | -                   | No evidence of risk |

| Section                            | ID           | Indicators  | Observed               | Expected     | Risk?               |
|------------------------------------|--------------|---|------------------------|--------------|---------------------|
| Re-admissions                      | MATMATRE     | Maternity outlier alert: Maternal readmissions  | -                      | -            | No evidence of risk |
|                                    | MATNEORE     | Maternity outlier alert: Neonatal readmissions  | -                      | -            | No evidence of risk |
|                                    | COM_HESELRE  | Composite indicator: Emergency readmissions following an elective admission   | -                      | -            | No evidence of risk |
|                                    | HESELRE      | Emergency readmissions following an elective admission (Cross sectional)  | 1272                   | 1344.63      | No evidence of risk |
|                                    | HESELRECU    | Emergency readmissions following an elective admission (CUSUM)  | -                      | -            | No evidence of risk |
|                                    | COM_HESEMRE  | Composite indicator: Emergency readmissions following an emergency admission  | -                      | -            | No evidence of risk |
|                                    | HESEMRE      | Emergency readmissions following an emergency admission (Cross sectional)   | 5589                   | 5904.53      | No evidence of risk |
|                                    | HESEMRECU    | Emergency readmissions following an emergency admission (CUSUM)   | -                      | -            | No evidence of risk |
| PROMs                              | PROMS41      | PROMs EQ-5D score: Groin Hernia Surgery   | No risk identified     | -            | No evidence of risk |
|                                    | PROMS42      | PROMs EQ-5D score: Hip Replacement (PRIMARY)  | Lower 95% significance | -            | Risk                |
|                                    | PROMS44      | PROMs EQ-5D score: Knee Replacement (PRIMARY)   | No risk identified     | -            | No evidence of risk |
| Audit                              | MINAP22      | Proportion of patients who received all the secondary prevention medications for which they were eligible                                     | 0.73                   | 0.90         | No evidence of risk |
|                                    | NHFD01       | The proportion of cases assessed as achieving compliance with all nine standards of care measured within the National Hip Fracture Database.  | 0.59                   | 0.6          | No evidence of risk |
|                                    | SSNAP14      | Proportion of patients scanned within 1 hour of clock start (SSNAP Pilot Report 2 - trust level)  | Not included           | Not included | Not included        |
| Compassionate care                 | IPSurTalkWor | Inpatient Survey 2012 Q34 "Did you find someone on the hospital staff to talk to about your worries and fears?" (Score out of 10)             | 6.2                    | -            | No evidence of risk |
|                                    | IPSurSupEmot | Inpatient Survey 2012 Q35 "Do you feel you got enough emotional support from hospital staff during your stay?" (Score out of 10)              | 7.19                   | -            | No evidence of risk |
| Meeting physical needs             | IPSurHelpEat | Inpatient Survey 2012 Q23 "Did you get enough help from staff to eat your meals?" (Score out of 10)   | 7.31                   | -            | No evidence of risk |
|                                    | IPSurInvDeci | Inpatient Survey 2012 Q32 "Were you involved as much as you wanted to be in decisions about your care and treatment?" (Score out of 10)       | 7.29                   | -            | No evidence of risk |
|                                    | IPSurCntPain | Inpatient Survey 2012 Q39 "Do you think the hospital staff did everything they could to help control your pain?" (Score out of 10)            | 8.27                   | -            | No evidence of risk |
| Overall experience                 | IPSurOverall | Inpatient Survey 2012 Q68 "Overall..." (I had a very poor/good experience) (Score out of 10)  | 7.96                   | -            | No evidence of risk |
|                                    | FFTNHSEscore | NHS England inpatients score from Friends and Family Test (Score out of 100)  | 79.18                  | -            | No evidence of risk |
| Treatment with dignity and respect | IPSurRspDign | Inpatient Survey 2012 Q67 "Overall, did you feel you were treated with respect and dignity while you were in the hospital?" (Score out of 10) | 8.93                   | -            | No evidence of risk |

| Section                | ID   | Indicators   | Observed     | Expected            | Risk?               |
|------------------------|--|--|--------------|---------------------|---------------------|
| Trusting relationships | IPSurConfDoc   | Inpatient Survey 2012 Q25 "Did you have confidence and trust in the doctors treating you?" (Score out of 10)   | 8.99         | -                   | No evidence of risk |
|                        | IPSurConfNur   | Inpatient Survey 2012 Q28 "Did you have confidence and trust in the nurses treating you?" (Score out of 10)  | 8.75         | -                   | No evidence of risk |
| Maternity Survey       | MatSvBirAdv  | Maternity Survey 2013 C1 "At the very start of your labour, did you feel that you were given appropriate advice and support when you contacted a midwife or the hospital?" (Score out of 10) | 7.07         | -                   | Elevated risk       |
|                        | MatSvBirCom  | Maternity Survey 2013 C2 "During your labour, were you able to move around and choose the position that made you most comfortable?" (Score out of 10)  | 8.43         | -                   | No evidence of risk |
|                        | MatSvCarBat  | Maternity Survey 2013 D6 "Thinking about your stay in hospital, how clean were the toilets and bathrooms you used?" (Score out of 10)  | 8.59         | -                   | No evidence of risk |
|                        | MatSvCarInf  | Maternity Survey 2013 D3 "Thinking about the care you received in hospital after the birth of your baby, were you given the information or explanations you needed?" (Score out of 10)       | 6.71         | -                   | Risk                |
|                        | MatSvSfInt   | Maternity Survey 2013 C12 "Did the staff treating and examining you introduce themselves?" (Score out of 10)   | 9.11         | -                   | No evidence of risk |
|                        | MatSvStafCon   | Maternity Survey 2013 C14 "If you raised a concern during labour and birth, did you feel that it was taken seriously?" (Score out of 10)   | 7.2          | -                   | No evidence of risk |
|                        | MatSvStfDig  | Maternity Survey 2013 C18 "Thinking about your care during labour and birth, were you treated with respect and dignity?" (Score out of 10)   | 9.08         | -                   | No evidence of risk |
|                        | MatSvStfWor  | Maternity Survey 2013 C13 "Were you and/or your partner or a companion left alone by midwives or doctors at a time when it worried you?" (Score out of 10)                                   | 7.12         | -                   | No evidence of risk |
| Access measures        | COM_AD_A&E   | Composite indicator: A&E waiting times more than 4 hours   | -            | -                   | No evidence of risk |
|                        | AD_A&E13   | Proportion of patients spending more than 4 hours in Type 1 only A&E departments from arrival to discharge, transfer or admission  | 0.05         | 0.05                | No evidence of risk |
|                        | AD_A&E14   | Proportion of patients spending more than 4 hours in Type 2 only A&E departments from arrival to discharge, transfer or admission  | Not included | Not included        | Not included        |
|                        | AD_A&E15   | Proportion of patients spending more than 4 hours in Type 3 only A&E departments from arrival to discharge, transfer or admission  | 0            | 0.05                | No evidence of risk |
|                        | COM_RTT  | Composite indicator: Referral to treatment   | -            | -                   | No evidence of risk |
|                        | RTT_01   | Monthly Referral to Treatment (RTT) waiting times for completed admitted pathways (on an adjusted basis): percentage within 18 weeks   | 91.10%       | 90.00%              | No evidence of risk |
|                        | RTT_02   | Monthly Referral to Treatment (RTT) waiting times for completed non-admitted pathways: percentage within 18 weeks  | 95.03%       | 95.00%              | No evidence of risk |
|                        | RTT_03   | Monthly Referral to Treatment (RTT) waiting times for incomplete pathways: percentage within 18 weeks  | 90.32%       | 92.00%              | No evidence of risk |
|                        | DIAG6WK01  | Diagnostics waiting times: patients waiting over 6 weeks for a diagnostic test   | 0.0025       | 0.0076              | No evidence of risk |
|                        | WT_CAN26   | All cancers: 62 day wait for first treatment from urgent GP referral   | 0.87         | 0.85                | No evidence of risk |
|                        | WT_CAN27   | All cancers: 62 day wait for first treatment from NHS cancer screening referral  | 0.81         | 0.9                 | No evidence of risk |
| WT_CAN22               | All cancers: 31 day wait from diagnosis                  | 0.97   | 0.96         | No evidence of risk |                     |
| CND_OPS02              | The proportion of patients whose operation was cancelled | 0.0086   | 0.0081       | No evidence of risk |                     |



| Section                   | ID         | Indicators   | Observed              | Expected     | Risk?               |
|---------------------------|------------|--|-----------------------|--------------|---------------------|
|                           | CND_OPS01  | The number of patients not treated within 28 days of last minute cancellation due to non-clinical reason                   | 0.0105                | 0.0391       | No evidence of risk |
|                           | AMBTURN06  | Proportion of ambulance journeys where the ambulance vehicle remained at hospital for more than 60 minutes                 | 0.0206                | 0.0224       | No evidence of risk |
| Discharge and Integration | DTC40      | Ratio of the total number of days delay in transfer from hospital to the total number of occupied beds                     | 0.0339                | 0.022        | No evidence of risk |
| Reporting culture         | NRLS14     | Consistency of reporting to the National Reporting and Learning System (NRLS)  | 6 months of reporting | -            | No evidence of risk |
|                           | COM_SUSDQ  | Data quality of trust returns to the HSCIC   | -                     | -            | No evidence of risk |
|                           | SUSA&E02   | Percentage of Secondary Uses Service (SUS) records for Accident and Emergency care with valid entries in mandatory fields. | 97.92%                | 97.50%       | No evidence of risk |
|                           | SUSAPC02   | Percentage of Secondary Uses Service (SUS) records for inpatient care with correct entries in mandatory fields.            | 99.95%                | 98.80%       | No evidence of risk |
|                           | SUSOP02    | Percentage of Secondary Uses Service (SUS) records for outpatient care with valid entries in mandatory fields.             | 99.68%                | 98.33%       | No evidence of risk |
|                           | FFTRESP02  | Inpatients response percentage rate from NHS England Friends and Family Test   | 44.95%                | 27.66%       | No evidence of risk |
| Partners                  | MONITOR01  | Monitor - Governance risk rating   | Not included          | Not included | Not included        |
|                           | TDA01      | TDA - Escalation score   | 4. Material issue     | -            | Risk                |
|                           | NTS12      | GMC National Training Survey – trainee's overall satisfaction  | Within Q2/IQR         | -            | No evidence of risk |
| Staff survey              | STASURBG01 | NHS Staff Survey - The proportion of staff who would recommend the trust as a place to work or receive treatment           | 60.19%                | 65.19%       | No evidence of risk |
|                           | NHSSTAFF04 | NHS Staff Survey - KF7. The proportion of staff who were appraised in last 12 months                                       | 85.38%                | 83.13%       | No evidence of risk |
|                           | NHSSTAFF06 | NHS Staff Survey - KF9. The proportion of staff reported receiving support from immediate managers                         | 0.65                  | 0.65         | No evidence of risk |
|                           | NHSSTAFF07 | NHS Staff Survey - KF10. The proportion of staff receiving health and safety training in last 12 months                    | 69.88%                | 75.37%       | No evidence of risk |
|                           | NHSSTAFF11 | NHS Staff Survey - KF15. The proportion of staff who stated that the incident reporting procedure was fair and effective   | 0.62                  | 0.62         | No evidence of risk |
|                           | NHSSTAFF16 | NHS Staff Survey - KF21. The proportion of staff reporting good communication between senior management and staff          | 27.87%                | 28.67%       | No evidence of risk |
|                           | ESRSIC     | Composite risk rating of ESR items relating to staff sickness rates  | -                     | -            | No evidence of risk |
|                           | ESRSIC01   | Proportion of days sick due to back problems in the last 12 months   | 0.0033                | 0.0025       | No evidence of risk |
|                           | ESRSIC02   | Proportion of days sick due to stress in the last 12 months  | 0.0075                | 0.0064       | No evidence of risk |
|                           | ESRSIC03   | Proportion of days sick in the last 12 months for Medical and Dental staff   | 0.0121                | 0.035        | No evidence of risk |
|                           | ESRSIC04   | Proportion of days sick in the last 12 months for Nursing and Midwifery staff  | 0.0507                | 0.0431       | No evidence of risk |
|                           | ESRSIC05   | Proportion of days sick in the last 12 months for other clinical staff   | 0.0506                | 0.0451       | No evidence of risk |
|                           | ESRSIC06   | Proportion of days sick in the last 12 months for non-clinical staff   | 0.0372                | 0.0393       | No evidence of risk |

| Section                  | ID                                       | Indicators  | Observed | Expected            | Risk?               |
|--------------------------|--|---|----------|---------------------|---------------------|
| Staffing                 | ESRReg                                   | Composite risk rating of ESR items relating to staff registration                                 | -        | -                   | No evidence of risk |
|                          | ESRREG01                                 | Proportion of Medical and Dental staff that hold an active professional registration              | 1        | 0.99                | No evidence of risk |
|                          | ESRREG02                                 | Proportion of Nursing and Midwifery staff that hold an active professional registration           | 1        | 0.98                | No evidence of risk |
|                          | ESRTO                                    | Composite risk rating of ESR items relating to staff turnover                                     | -        | -                   | No evidence of risk |
|                          | ESRTURO1                                 | Turnover rate (leavers) for Medical and Dental staff  | 0.09     | 0.1                 | No evidence of risk |
|                          | ESRTURO2                                 | Turnover rate (leavers) for Nursing and Midwifery staff   | 0.08     | 0.11                | No evidence of risk |
|                          | ESRTURO3                                 | Turnover rate (leavers) for other clinical staff  | 0.1      | 0.12                | No evidence of risk |
|                          | ESRTURO4                                 | Turnover rate (leavers) for all other staff   | 0.06     | 0.12                | No evidence of risk |
|                          | ESRSTAB                                  | Composite risk rating of ESR items relating to staff stability                                    | -        | -                   | No evidence of risk |
|                          | ESRSTA01                                 | Stability Index for Medical and Dental staff  | 0.93     | 0.94                | No evidence of risk |
|                          | ESRSTA02                                 | Stability Index for Nursing and Midwifery staff   | 0.94     | 0.91                | No evidence of risk |
|                          | ESRSTA03                                 | Stability Index for other clinical staff  | 0.93     | 0.9                 | No evidence of risk |
|                          | ESRSTA04                                 | Stability Index for non clinical staff  | 0.94     | 0.9                 | No evidence of risk |
|                          | ESRSUP                                   | Composite risk rating of ESR items relating to staff support/ supervision                         | -        | -                   | No evidence of risk |
|                          | ESRSUP01                                 | Ratio of Band 6 Nurses to Band 5 Nurses   | 0.26     | 0.42                | Risk                |
|                          | ESRSUP02                                 | Ratio of Charge Nurse/ Ward Sister (Band 7) to Band 5/6 Nurses                                    | 0.18     | 0.19                | No evidence of risk |
|                          | ESRSUP03                                 | Proportion of all ward staff who are registered nurses  | 0.71     | 0.72                | No evidence of risk |
|                          | ESRSUP04                                 | Ratio of consultant doctors to non-consultant doctors   | 0.6      | 0.63                | No evidence of risk |
|                          | ESRSUP05                                 | Ratio of band 7 Midwives to band 5/6 Midwives   | 0.19     | 0.25                | No evidence of risk |
|                          | ESRSTAFF                                 | Composite risk rating of ESR items relating to ratio: Staff vs bed occupancy                      | -        | -                   | No evidence of risk |
|                          | ESRRATO1                                 | Ratio of all medical and dental staff to occupied beds  | 4.54     | 4.3                 | No evidence of risk |
|                          | ESRRATO2                                 | Ratio of all nursing staff to occupied beds   | 2.1      | 1.82                | No evidence of risk |
|                          | ESRRATO3                                 | Ratio of all other clinical staff to occupied beds  | 2.3      | 2.01                | No evidence of risk |
| ESRRATO4                 | Ratio of all midwifery staff to births   | 34.85   | 28.4     | Risk                |                     |
| FLUVAC01                 | Healthcare Worker Flu vaccination uptake | 0.82  | 0.58     | No evidence of risk |                     |
| Qualitative intelligence | WHISTLEBLOW                              | Whistleblowing alerts   | -        | -                   | Elevated risk       |
|                          | GMC                                      | GMC - Enhanced monitoring   | -        | -                   | Risk                |
|                          | Safeguarding                             | Safeguarding concerns   | -        | -                   | No evidence of risk |
|                          | SYE                                      | CQC Share Your Experience - the number of negative comments is high relative to positive comments | 17       | 5.06                | No evidence of risk |
|                          | NHSchoices                               | NHS Choices - the number of negative comments is high relative to positive comments               | 26       | 14.11               | No evidence of risk |
|                          | P_OPINION                                | Patient Opinion - the number of negative comments is high relative to positive comments           | 5        | 4.3                 | No evidence of risk |
|                          | CQC_COM                                  | CQC complaints  | 31       | 34.72               | No evidence of risk |
|                          | PROV_COM                                 | Provider complaints   | 706      | 705.7               | No evidence of risk |