

## Board of Directors – 29 January 2014

### Monitor Quarter 3 Return

#### Action requested/recommendation

To approve the proposed submission to Monitor.

#### Summary

On 1 October 2013, Monitor introduced the Risk Assessment Framework. This replaced the Compliance Framework.

From quarter 3, this quarter Monitor is now reviewing the Continuity of Services Risk Rating (COSRR) and a Governance rating.

The COSRR is on a 1-4 rating based on liquidity and capital service capacity, 4 being the best rating and 1 being the worst. A rating of 3 will result in some additional information being requested by Monitor. A rating of 4 will generally mean that no action will be taken beyond continuing to monitor the Trust. For quarter 2 the Trust will report on a dual basis – on the FRR and the COSRR.

In terms of the Governance rating, Monitor will take a number of key aspects into account, including performance, CQC judgements and third party information, quality governance information and the degree of risk to COSRR.

Monitor will assign 'green' governance rating where there are no concerns. Where potential material concerns are identified the governance rating will be replaced by a description of the concerns. If Monitor takes regulatory action a 'red' rating will be assigned.

Monitor advised the Trust that at Q2, there was a 'narrative' attached to the governance rating. This related to the performance of the 4 hour target and the level of C-Diff reported.

The papers attached are the submission for quarter 3.

#### **Strategic Aims**

**Please cross as appropriate**

- |   |                                     |
|---|-------------------------------------|
| 1. Improve quality and safety                         | <input checked="" type="checkbox"/> |
| 2. Create a culture of continuous improvement         | <input checked="" type="checkbox"/> |
| 3. Develop and enable strong partnerships             | <input checked="" type="checkbox"/> |
| 4. Improve our facilities and protect the environment | <input checked="" type="checkbox"/> |

Implications for equality and diversity

None directly identified.

Reference to CQC outcomes

No reference to CQC outcomes.

Progress of report      Prepared for presentation to the Board of Directors.

Risk                      There are performance risks identified in the paper.

Resource implications      Not directly identified.

Owner                      Patrick Crowley, Chief Executive

Author                      Anna Pridmore, Foundation Trust Secretary

Date of paper              January 2014

Version number            Version 1

# Worksheet "Summary"

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## High level summary of financial plan of YORKHOSPITAL

Financial Summary	Previous YE		Current Quarter		YTD	FY		FY
	Actual	Plan	Actual	Variance		Plan	Actual	
<b>£m</b>								
<b>Operating Revenue for EBITDA</b>	403.7	109.5	113.9	4.4	320.1	329.7	9.7	428.0
Employee Expenses	(262.5)	(71.7)	(72.3)	(0.6)	(212.2)	(216.1)	(3.9)	(284.3)
Drugs	(30.5)	(7.8)	(8.9)	(1.1)	(23.0)	(25.8)	(2.8)	(30.8)
PFI operating expenses	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Other costs	(91.7)	(24.1)	(27.3)	(3.2)	(70.1)	(73.7)	(3.6)	(94.0)
<i>Clinical supplies</i>	(40.4)	(11.4)	(11.6)	(0.2)	(33.6)	(33.9)	(0.3)	(45.1)
<i>Decrease (increase) in inventories of finished goods &amp; WIP</i>	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<i>Vehicle Fuel costs (ambulance trusts)</i>	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<i>Non-clinical supplies</i>	(6.4)	(1.7)	(2.0)	(0.3)	(5.1)	(5.7)	(0.5)	(6.9)
<i>Cost of Secondary Commissioning of mandatory services</i>	(3.3)	(1.2)	(0.8)	0.4	(3.5)	(2.2)	1.2	(4.6)
<i>Research &amp; Development expense</i>	(4.4)	(1.2)	(1.2)	0.1	(3.7)	(3.3)	0.4	(4.9)
<i>Education and training expense</i>	(1.0)	(0.3)	(0.3)	(0.0)	(1.0)	(0.7)	0.3	(1.3)
<i>Misc. other Operating expenses</i>	(34.9)	(8.0)	(8.9)	(0.9)	(22.5)	(25.3)	(2.8)	(30.3)
<b>EBITDA</b>	19.1	5.9	5.5	(0.5)	14.8	14.1	(0.6)	18.9
Donations of PPE & intangible assets	0.5	0.1	0.0	(0.1)	0.4	0.0	(0.4)	0.5
Depreciation and amortisation	(8.8)	(2.7)	(2.7)	(0.0)	(8.1)	(8.1)	(0.0)	(10.9)
Impairment Losses (Reversals) net (on non-PFI assets)	(3.5)	0.0	0.0	0.0	0.0	0.0	0.0	(0.3)
Impairment Losses (Reversals) net on PFI assets	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Restructuring Costs	(0.8)	0.0	(0.1)	(0.1)	0.0	(0.7)	(0.7)	0.0
<b>Operating Surplus</b>	6.5	3.3	2.6	(0.7)	7.0	5.3	(1.7)	8.2
Net interest	(0.1)	(0.1)	(0.0)	0.0	(0.1)	(0.1)	0.0	(0.2)
<i>Interest Income</i>	0.2	0.0	0.0	0.0	0.0	0.1	0.0	0.1
<i>Interest Expense on Overdrafts and Working Capital Facilities</i>	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<i>Interest Expense on Bridging loans</i>	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<i>Interest Expense on Non-commercial borrowings</i>	(0.2)	(0.1)	(0.1)	0.0	(0.2)	(0.2)	0.0	(0.3)
<i>Interest Expense on Commercial borrowings</i>	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<i>Interest Expense on Finance leases (non-PFI)</i>	(0.0)	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<i>Interest Expense on PFI leases &amp; liabilities</i>	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Other Non-Operating items	<b>63.9</b>	<b>(1.4)</b>	<b>(1.5)</b>	<b>(0.1)</b>	<b>(4.2)</b>	<b>(4.3)</b>	<b>(0.1)</b>	<b>(5.6)</b>
<i>Gain (Loss) on Financial Instruments Designated as Cash Flow Hedges</i>	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<i>Gain (Loss) on Derecognition of Available-for-Sale Financial Assets</i>	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<i>Gain (Loss) on Derecognition of Non-Current Assets Not Held for Sale, Total</i>	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<i>Gain (Loss) from investments</i>	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<i>Dividend Income</i>	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<i>Share of profit (loss) from equity accounted Associates, Joint Ventures, Total</i>	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<i>Other Non-Operating income, Total</i>	69.0	0.0	0.0	0.0	0.0	(0.0)	(0.0)	0.0
<i>Other Finance Costs</i>	(0.0)	0.0	(0.1)	(0.1)	0.0	(0.1)	(0.1)	0.0
<i>PDC dividend expense</i>	(5.0)	(1.4)	(1.4)	(0.0)	(4.2)	(4.2)	(0.0)	(5.6)
<i>PFI Contingent Rent</i>	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<i>Other Non-Operating expenses (incl. Misc)</i>	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<i>Income Tax (expense)/ income</i>	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<b>Net Surplus / (Deficit)</b>	<b>70.4</b>	<b>1.9</b>	<b>1.1</b>	<b>(0.8)</b>	<b>2.7</b>	<b>1.0</b>	<b>(1.7)</b>	<b>2.4</b>
<i>EBITDA % Income</i>	4.7%	5.4%	4.8%	-0.6%	4.6%	4.3%	-0.3%	4.4%
<i>CIP% of Op.Exp. less PFI Exp.</i>	5.7%	5.3%	6.4%	1.0%	5.4%	5.0%	-0.5%	5.4%
<i>Pay CIPs as % Pay Costs</i>	-5.8%	-6.1%	-8.1%	-1.9%	-6.2%	-5.5%	0.7%	-6.2%

<b>Net Surplus / (Deficit)</b>	70.4	1.9	1.1	(0.8)	2.7	1.0	(1.7)	2.4
Change in working capital	1.8	(3.0)	(15.4)	(12.4)	(1.0)	(10.5)	(9.5)	(1.0)
(Increase)/decrease in inventories	(3.5)	0.0	(0.1)	(0.1)	0.0	(0.4)	(0.4)	0.0
(Increase)/decrease in tax receivable	0.0	0.0	0.2	0.2	0.0	0.1	0.1	0.0
(Increase)/decrease in NHS Trade Receivables	(4.0)	(3.0)	(5.0)	(2.0)	2.0	3.6	1.6	(1.0)
(Increase)/decrease in Non NHS Trade Receivables	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
(Increase)/decrease in other related party receivables	(0.8)	0.0	0.9	0.9	0.0	0.9	0.9	0.0
(Increase)/decrease in other receivables	(0.5)	0.0	(1.2)	(1.2)	0.0	(1.6)	(1.6)	0.0
(Increase)/decrease in accrued income	0.4	0.0	(4.4)	(4.4)	0.0	(11.3)	(11.3)	0.0
(Increase)/decrease in other financial assets	0.0	0.0	0.0	0.0	(3.0)	0.0	3.0	0.0
(Increase)/decrease in prepayments	(0.3)	0.0	(0.9)	(0.9)	0.0	(2.2)	(2.2)	0.0
(Increase)/decrease in Other assets	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Increase/(decrease) in Deferred Income (excl. Donated Assets)	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Increase/(decrease) in Deferred Income (Donated Assets)	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Increase/(decrease) in Current provisions	0.0	0.0	0.0	0.0	0.0	(0.0)	(0.0)	0.0
Increase/(decrease) in post-employment benefit obligations	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Increase/(decrease) in tax payable	0.0	0.0	0.1	0.1	0.0	(0.2)	(0.2)	0.0
Increase/(decrease) in Trade Creditors	4.4	0.0	(0.5)	(0.5)	0.0	(2.7)	(2.7)	0.0
Increase/(decrease) in Other Creditors	3.8	0.0	(0.0)	(0.0)	0.0	0.5	0.5	0.0
Increase/(decrease) in accruals	2.3	0.0	(2.0)	(2.0)	0.0	(1.0)	(1.0)	0.0
Increase/(decrease) in other Financial liabilities	0.0	0.0	(2.4)	(2.4)	0.0	3.6	3.6	0.0
Increase/(decrease) in Other liabilities	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Increase/(decrease) in Non Current provisions	0.4	0.0	0.0	0.0	0.0	(0.0)	(0.0)	0.0
Non cash I&E items	(51.5)	4.2	6.7	2.4	12.3	14.9	2.6	16.7
Tax expense/(refund)	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Finance (income)/charges	0.1	0.0	0.0	0.0	0.0	0.1	0.1	0.0
Share of (profit)/loss from equity accounted investments net of cash distributions received	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Donations & Grants received of PPE & intangible assets (non cash)	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Other operating non-cash (revenues)/expenses	0.1	0.1	2.5	2.4	0.0	2.5	2.5	(0.1)
Depreciation and amortisation, total	8.8	2.7	2.7	0.0	8.1	8.1	0.0	10.9
Impairment losses/(reversals)	3.5	0.0	0.0	0.0	0.0	0.0	0.0	0.3
Unrealised (gains)/losses on foreign currency exchange	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
(Gain)/loss on disposal of property plant and equipment	(0.0)	0.0	0.0	0.0	0.0	0.0	0.0	0.0
(Gain)/loss on disposal of intangible assets	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Share of (profit)/loss from investments	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
PDC dividend expense	5.0	1.4	1.4	0.0	4.2	4.2	0.0	5.6
Other increases/(decreases) to reconcile to profit/(loss) from operations	(59.9)	0.0	(0.0)	(0.0)	0.0	(0.0)	(0.0)	0.0
<b>Cashflow from operations</b>	<b>21.1</b>	<b>3.1</b>	<b>(7.6)</b>	<b>(10.7)</b>	<b>14.0</b>	<b>5.3</b>	<b>(6.4)</b>	<b>18.1</b>
<b>Cashflow from investing activities</b>	<b>(17.5)</b>	<b>(6.6)</b>	<b>(3.3)</b>	<b>3.3</b>	<b>(13.7)</b>	<b>(8.6)</b>	<b>5.1</b>	<b>(22.3)</b>
Property, plant and equipment - maintenance expenditure	(6.7)	(2.5)	(2.0)	0.5	(5.0)	(4.8)	0.2	(8.2)
Property, plant and equipment - non-maintenance expenditure	0.0	(1.0)	0.0	1.0	(1.5)	0.0	1.5	(3.2)
Plant and equipment - Information Technology	(2.9)	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Plant and equipment - Other	(1.8)	(2.6)	(1.1)	1.5	(4.4)	(1.4)	3.0	(7.6)
Property, plant and equipment - other expenditure	0.0	(0.5)	(0.3)	0.2	(2.8)	(2.5)	0.3	(3.3)
Proceeds on disposal of property, plant and equipment	0.1	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Purchase of investment property	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Proceeds on disposal of investment property	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Purchase of intangible assets	(0.0)	0.0	(0.2)	(0.2)	0.0	(0.2)	(0.2)	0.0
Proceeds on disposal of intangible assets	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Expenditure on capitalised development	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Increase/(decrease) in Capital Creditors	(0.4)	0.0	0.3	0.3	0.0	0.3	0.3	0.0
Payments for other capitalised costs	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Purchase of subsidiaries net of cash acquired	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Net bank balance acquired with subsidiaries	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Proceeds from disposal of subsidiaries net of cash disposed	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Net bank balance disposed with subsidiaries	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Purchase of associates net of cash acquired	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Net bank balance acquired with associates	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Proceeds from disposal of associates net of cash disposed	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Net bank balance disposed with associates	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Purchase of joint ventures net of cash acquired	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Net bank balance acquired with associates	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Proceeds from disposal of joint ventures net of cash disposed	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Net bank balance disposed with joint venture	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Government grants received	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Deposits and investments made	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Deposits and investments liquidated	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Other cash flows from investing activities	(5.7)	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<b>Cashflow before financing</b>	<b>3.6</b>	<b>(3.5)</b>	<b>(10.9)</b>	<b>(7.4)</b>	<b>0.3</b>	<b>(3.3)</b>	<b>(3.6)</b>	<b>(4.2)</b>
<b>Cashflow from financing activities</b>	<b>1.6</b>	<b>3.0</b>	<b>15.1</b>	<b>12.1</b>	<b>19.1</b>	<b>15.0</b>	<b>(4.1)</b>	<b>19.1</b>
Public Dividend Capital received	7.1	0.0	12.0	12.0	15.0	12.0	(3.0)	15.0
Public Dividend Capital repaid	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
PDC Dividends paid	(4.9)	0.0	0.0	0.0	(2.8)	(2.9)	(0.1)	(5.6)
Interest (paid) on bridging loans	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Interest (paid) on commercial loans	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Interest (paid) on non-commercial loans	(0.2)	(0.2)	(0.1)	0.1	(0.3)	(0.2)	0.1	(0.3)
Interest (paid) on overdraft and working capital facility	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Interest element of finance lease rental payments - other	(0.0)	0.0	(0.0)	(0.0)	0.0	(0.0)	(0.0)	0.0
Interest element of finance lease rental payments - On-balance sheet PFI	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Capital element of finance lease rental payments - other	(0.1)	0.0	(0.0)	(0.0)	0.0	(0.1)	(0.1)	0.0
Capital element of finance lease rental payments - On-balance sheet PFI	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Interest received on cash and cash equivalents	0.2	0.0	0.0	0.0	0.0	0.1	0.0	0.1
Movement in Other grants/Capital received	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Donations received in cash	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Drawdown of bridging loans	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Repayment of bridging loans	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Drawdown of non-commercial loans	0.0	3.4	3.5	0.1	7.6	6.7	(0.9)	10.4
Repayment of non-commercial loans	(0.5)	(0.2)	(0.2)	0.0	(0.5)	(0.5)	(0.5)	(0.5)
Drawdown of commercial loans	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Repayment of commercial loans	(0.0)	(0.0)	0.0	0.0	(0.0)	(0.0)	0.0	(0.0)
(Increase)/decrease in non-current receivables	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Increase/(decrease) in non-current payables	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Other cash flows from financing activities	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<b>Net increase/(decrease) in cash</b>	<b>5.2</b>	<b>(0.5)</b>	<b>4.2</b>	<b>4.7</b>	<b>19.4</b>	<b>11.7</b>	<b>(7.6)</b>	<b>14.9</b>
<b>Cash at period end</b>	<b>12.8</b>	<b>32.1</b>	<b>24.5</b>	<b>(7.6)</b>	<b>32.1</b>	<b>24.5</b>	<b>(7.6)</b>	<b>27.7</b>
<b>Cash and Cash equivalents at period end</b>	<b>12.8</b>	<b>32.1</b>	<b>24.5</b>	<b>(7.6)</b>	<b>32.1</b>	<b>24.5</b>	<b>(7.6)</b>	<b>27.7</b>



Worksheet "CoSRR"

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Continuity of Service Shadow Risk Ratings (pilot indicators for 2013/14)

		Historic Year to 31-Mar-13	Reported Quarter to 30-Jun-13	Reported YTD to 30-Jun-13	Reported Quarter to 30-Sep-13	Reported YTD to 30-Sep-13	Reported Quarter to 31-Dec-13	Reported YTD to 31-Dec-13	Reported Quarter to 31-Mar-14	Reported YTD to 31-Mar-14
<b>Capital Service Cover</b>										
IS04400	PDC dividend expense	from SoCl	(5.005)	(1.391)	(1.391)	(1.392)	(2.783)	(1.392)	(4.175)	(4.175)
IS04100	Interest Expense on Overdrafts and Working Capital Facilities	from SoCl	-	-	-	-	-	-	-	-
IS04110	Interest Expense on Bridging loans	from SoCl	-	-	-	-	-	-	-	-
IS04120	Interest Expense on Non-commercial borrowings	from SoCl	(0.210)	(0.053)	(0.053)	(0.051)	(0.104)	(0.066)	(0.170)	(0.170)
IS04130	Interest Expense on Commercial borrowings	from SoCl	-	-	-	-	-	-	-	-
IS04140	Interest Expense on Finance leases (non-PFI)	from SoCl	(0.021)	-	-	-	-	-	-	-
IS04150	Interest Expense on PFI leases & liabilities	from SoCl	-	-	-	-	-	-	-	-
IS04200	Other Finance Costs	from SoCl	(0.035)	-	-	-	-	(0.081)	(0.081)	(0.081)
IS04610	Non-Operating PFI costs (eg contingent rent)	from SoCl	-	-	-	-	-	-	-	-
CF07150	Public Dividend Capital repaid	from SoCF	-	-	-	-	-	-	-	-
CF07610	Repayment of bridging loans	from SoCF	-	-	-	-	-	-	-	-
CF07710	Repayment of non-commercial loans	from SoCF	(0.493)	(0.248)	(0.248)	-	(0.248)	(0.247)	(0.495)	(0.495)
CF07810	Repayment of commercial loans	from SoCF	(0.024)	-	-	(0.019)	(0.019)	-	(0.019)	(0.019)
CF07360	Capital element of finance lease rental payments - On-balance sheet PFI	from SoCF	-	-	-	-	-	-	-	-
CF07350	Capital element of finance lease rental payments - other	from SoCF	(0.107)	(0.050)	(0.050)	-	(0.050)	(0.030)	(0.080)	(0.080)
MEM0180	Revenue available for Debt Service		19.307	4.527	4.527	4.151	8.678	5.503	14.181	0.000
	Capital Service		-5.895	-1.742	-1.742	-1.462	-3.204	-1.816	-5.020	0.000
	Capital Service Cover metric		3.28x	2.60x	2.60x	2.84x	2.71x	3.03x	2.82x	0.00x
	Capital Service Cover rating		4	4	4	4	4	4	1	4
<b>Liquidity</b>										
IS02000	Cash for CoS liquidity purposes	from SoFP	0.339	2.541	2.541	2.947	2.947	18.188	18.188	0.000
	Operating Expenses within EBITDA, Total	from SoCl	-384.602	-102.579	-102.579	-104.618	-207.197	-108.444	-315.641	0.000
	Liquidity metric		0.3	2.2	2.2	2.5	2.6	15.1	15.6	0.0
	Liquidity rating		4	4	4	4	4	4	4	4
<b>Continuity of Service Risk Rating</b>										
			4	4	4	4	4	4	3	4

key to scoring

Capital Service Cov	50%			
4	3	2	1	
2.5	1.75	1.25	<1.25	

key to scoring

Liquidity	50%			
4	3	2	1	
0	-7	-14	<-14	

**Worksheet "Targets and Indicators"**

**Declaration of risks against healthcare targets and indicators for 2013-14 by York Teaching Hospital**

These targets and indicators are set out in the Risk Assessment Framework  
 Definitions can be found in **Appendix A of the Risk Assessment Framework**  
 NOTE: If a particular indicator does not apply to your FT then please enter "Not relevant" for those lines

Key:

must complete  
 may need to complete

Target or Indicator (per Risk Assessment Framework)	Threshold or target YTD	scoring under Compliance Framework	scoring under Risk Assessment Framework	Risk declared at Annual Plan	scoring under Compliance Framework	Quarter 1 Actual		Quarter 2 Actual		scoring under Compliance Framework	Quarter 3 Actual		Any comments or explanations	scoring under Risk Assessment Framework
						Performance	Achieved/Not Met	Performance	Achieved/Not Met		Performance	Achieved/Not Met		
Referral to treatment time, 18 weeks in aggregate, admitted patients	90%	1.0	1.0	No		90.17%	Achieved	90.41%	Achieved		90.8%	Achieved		
Referral to treatment time, 18 weeks in aggregate, non-admitted patients	95%	1.0	1.0	No		95.40%	Achieved	95.34%	Achieved		95.7%	Achieved		
Referral to treatment time, 18 weeks in aggregate, incomplete pathways	92%	1.0	1.0	No	0	92.01%	Achieved	91.50%	Not met	1	92.0%	Achieved		0
A&E Clinical Quality- Total Time in A&E under 4 hours	95%	1.0	1.0	No	0	96.28%	Achieved	94.05%	Not met	1	93.4%	Not met		1
Cancer 62 Day Waits for first treatment (from urgent GP referral)	85%	1.0	1.0	No		0.00%	Achieved	89.40%	Achieved		0.0%	Achieved	The Trust believes this target has been achieved. Final performance will not be	
Cancer 62 Day Waits for first treatment (from NHS Cancer Screening Service referral)	90%	1.0	1.0	No	0	0.00%	Achieved	90.50%	Achieved	0	0.0%	Achieved	The Trust believes this target has been achieved. Final performance will not be	0
Cancer 31 day wait for second or subsequent treatment - surgery	94%	1.0	1.0	No		0.00%	Achieved	97.80%	Achieved		0.0%	Achieved	The Trust believes this target has been achieved. Final performance will not be	
Cancer 31 day wait for second or subsequent treatment - drug treatments	98%	1.0	1.0	No		0.00%	Achieved	99.50%	Achieved		0.0%	Achieved	The Trust believes this target has been achieved. Final performance will not be	
Cancer 31 day wait for second or subsequent treatment - radiotherapy	94%	1.0	1.0	No	0	0.00%	Not relevant	0.00%	Not relevant	0	0.0%	Not relevant		0
Cancer 31 day wait from diagnosis to first treatment	96%	0.5	1.0	No	0	0.00%	Achieved	99.30%	Achieved	0	0.0%	Achieved	The Trust believes this target has been achieved. Final performance will not be	0
Cancer 2 week (all cancers)	93%	0.5	1.0	No		0.00%	Achieved	94.10%	Achieved		0.0%	Achieved	The Trust believes this target has been achieved. Final performance will not be	
Cancer 2 week (breast symptoms)	93%	0.5	1.0	No	0	0.00%	Achieved	93.10%	Achieved	0	0.0%	Not met	The Trust believes there is a risk so delivery of this target. Final performance data will not be	1
Care Programme Approach (CPA) follow up within 7 days of discharge	95%	1.0	1.0	No		0.00%	Not relevant	0.00%	Not relevant	0	0.0%	Not relevant		0
Care Programme Approach (CPA) formal review within 12 months	95%	1.0	1.0	No	0	0.00%	Not relevant	0.00%	Not relevant	0	0.0%	Not relevant		0
Admissions had access to crisis resolution / home treatment teams	95%	1.0	1.0	No	0	0.00%	Not relevant	0.00%	Not relevant	0	0.0%	Not relevant		0
Meeting commitment to serve new psychosis cases by early intervention teams	95%	0.5	1.0	No	0	0.00%	Not relevant	0.00%	Not relevant	0	0.0%	Not relevant		0
Ambulance Category A 8 Minute Response Time - Red 1 Calls	75%	0.5	1.0	No	0	0.00%	Not relevant	0.00%	Not relevant	0	0.0%	Not relevant		0
Ambulance Category A 8 Minute Response Time - Red 2 Calls	75%	0.5	1.0	No	0	0.00%	Not relevant	0.00%	Not relevant	0	0.0%	Not relevant		0
Ambulance Category A 19 Minute Transportation Time	95%	1.0	1.0	No	0	0.00%	Not relevant	0.00%	Not relevant	0	0.0%	Not relevant		0
Clostridium Difficile -meeting the C.Diff objective	32	1.0	1.0	No	0	21	Not met	33	Not met	1	54	Not met		1
MRSA - meeting the MRSA objective	0	1.0	N/A	No	0	1	Achieved	2	Achieved	0	N/A	Not relevant	No longer applicable under RAF	
Minimising MH delayed transfers of care	<=7.5%	1.0	1.0	No	0	0.00%	Not relevant	0.00%	Not relevant	0	0.0%	Not relevant		0
Data completeness, MH: identifiers	97%	0.5	1.0	No	0	0.00%	Not relevant	0.00%	Not relevant	0	0.0%	Not relevant		0
Data completeness, MH: outcomes	50%	0.5	1.0	No	0	0.00%	Not relevant	0.00%	Not relevant	0	0.0%	Not relevant		0
Compliance with requirements regarding access to healthcare for people with a learning disability	N/A	0.5	1.0	No	0	0.00%	Not relevant	0.00%	Not relevant	0	N/A	Not relevant		0
Community care - referral to treatment information completeness	50%	1.0	1.0	No		100.00%	Achieved	100.00%	Achieved		100.0%	Achieved		
Community care - referral information completeness	50%	1.0	1.0	No		87.60%	Achieved	73.50%	Achieved		73.3%	Achieved		
Community care - activity information completeness	50%	1.0	1.0	No	0	72.00%	Achieved	99.80%	Achieved	0	99.7%	Achieved		0
Risk of, or actual, failure to deliver Commissioner Requested Services	N/A	4.0	Report by Exception	No	0		No		No	0		No		
CQC compliance action outstanding (as at 31 Dec 2013)	N/A	special	Report by Exception	No			No		Yes			No		
CQC enforcement action within last 12 months (as at 31 Dec 2013)	N/A	special	Report by Exception	No			No		No			No		
CQC enforcement action (including notices) currently in effect (as at 31 Dec 2013)	N/A	4.0	Report by Exception	No			No		No			No		
Moderate CQC concerns or impacts regarding the safety of healthcare provision (as at 31 Dec 2013)	N/A	special	Report by Exception	No			No		No			No		
Major CQC concerns or impacts regarding the safety of healthcare provision (as at 31 Dec 2013)	N/A	2.0	Report by Exception	No	0		No		No	0		No		
Trust unable to declare ongoing compliance with minimum standards of CQC registration	N/A	special	Report by Exception	No			No		No			No		
Results left to complete				0		0		0		0		0		
Total Score				0		0		1		3		3		
Override Rating (if any)														
Compliance Framework Indicative Governance Risk Rating				GREEN				AMBER-GREEN						

# Worksheet "Governance Statement"

[Click to go to index](#)

## In Year Governance Statement from the Board of York Teaching Hospital

The board are required to respond "Confirmed" or "Not confirmed" to the following statements (see notes below)

### For finance, that:

- 4 The board anticipates that the trust will continue to maintain a Continuity of Service risk rating of at least 3 over the next 12 months.

Board Response

Confirmed

### For governance, that:

- 11 The board is satisfied that plans in place are sufficient to ensure: ongoing compliance with all existing targets (after the application of thresholds) as set out in Appendix A of the Risk Assessment Framework; and a commitment to comply with all known targets going forwards.

Confirmed

### Otherwise

The board confirms that there are no matters arising in the quarter requiring an exception report to Monitor (per the Risk Assessment Framework page 21, Diagram 6) which have not already been reported.

Confirmed

Signed on behalf of the board of directors

Signature



Signature



Name: Alan Rose

Name: Patrick Crowley

Capacity: Chairman

Capacity: Chief Executive

Date: 31 January 2014

Date: 31 January 2014

0

**Notes:** Monitor will accept either 1) electronic signatures pasted into this worksheet or 2) hand written signatures on a paper printout of this declaration posted to Monitor to arrive by the submission deadline.

In the event that an NHS foundation trust is unable to confirm these statements it should NOT select 'Confirmed' in the relevant box. It must provide a response (using the section below) explaining the reasons for the absence of a full certification and the action it proposes to take to address it.

This may include include any significant prospective risks and concerns the foundation trust has in respect of delivering quality services and effective quality governance.

Monitor may adjust the relevant risk rating if there are significant issues arising and this may increase the frequency and intensity of monitoring for the NHS foundation trust.

The board is unable to make one of more of the confirmations in the section above on this page and accordingly responds:

A

B

C