



**University Hospitals
of North Midlands**
NHS Trust

Ref: FOIA Reference 2019/20-028

Royal Stoke University Hospital
Quality, Safety and Compliance Department
Newcastle Road
Stoke-on-Trent
Staffordshire
ST4 6QG

Date: 15th May 2019

Email foi@uhnm.nhs.uk

Dear

I am writing in response to your email dated 12th April 2019 (received into our office 15th April) requesting information under the Freedom of Information Act (2000) regarding staffing and stats.

I can neither confirm nor deny whether some of the information you have requested is held by the Trust in its entirety. This is because some of the information requested in question 4 is not held centrally, but may be recorded in individual departmental records. In order to confirm whether this information is held we would therefore have to individually access all departmental records within the Trust and extract the information where it is present. We therefore estimate that complying with your request is exempt under section 12 of the FOI Act: *cost of compliance is excessive*. The section 12 exemption applies when it is estimated a request will take in excess of 18 hours to complete. We estimate that accessing and reviewing all departmental records and then extracting relevant information would take longer than the 18 hours allowed for.

Under section 16 of the FOI Act we are required to provide requestors with advice and assistance where possible. We would therefore like to advise you that your request is shortened to just the questions that we are able to comply within the 18 hour time frame. In order to avoid delay to your response we have provided this below.

On the same day we contacted you as we required clarification on Corporate Governance and Compliance, please could you provide your definition of what you meant here.

On 6th April 2019 you replied via email the following:

"This is the staff that is responsible for corporate policies, procedures, risk registers, declarations of interest and supporting Trust Board."

On 26th April 2019 we contacted you via email as we required further clarification on the following:

	2017/18	2018/19
Health & Safety Breaches		

1. Are you only asking for material breaches in health and safety legislation enforced by the Health and Safety Executive, or detected by them and other enforcing authorities e.g. Care Quality Commission, Police or Driver and Vehicle Standards Agency (DVSA) or Department for Transport?
2. Are you asking for breaches that resulted in Enforcement Action, and/or are you asking us to identify breaches which resulted in a notice of contravention,
3. Are you asking for breaches in health and safety detected by the Trust?



4. Are you asking for breaches only within the Trust’s “undertaking” and excluding those occurring under contractor’s “undertaking” e.g. breaches by those working in partnership, such as Sodexo etc., or both?
5. Are you asking for this information covering calendar or tax years?

On 29th April 2019 you replied via email the following:

“All the Health and Safety breaches detected by the Trust which are reported on Datix under that category and all supporting category regarding Health & Safety. Please include all types e.g. Patients/Staff/Location”

As of 1st November 2014 University Hospitals of North Midlands NHS Trust (UHNM) manages two hospital sites – Royal Stoke University Hospital, and County Hospital (Stafford). Therefore the response below is for the two sites combined from that date where appropriate.

Q1 How many staff (whole time equivalent - WTE) do you have supporting each of the following areas within your organisation?

Information Governance (WTE)	Freedom of Information and Subject Access (WTE)	Equality and Inclusion (WTE)	Complaints (& PALS – if you have this service) (WTE)	Health & Safety (WTE)	Estates (WTE)	Corporate Governance & Compliance (WTE)

A1 Please see below:

Information Governance (WTE)	Freedom of Information and Subject Access (WTE)	Equality and Inclusion (WTE)	Complaints (& PALS – if you have this service) (WTE)	Health & Safety (WTE)	Estates (WTE)	Corporate Governance & Compliance (WTE)
5.6 (includes Registration Authority/ Information Security/ Privacy Officer /	1 WTE for FOI 0.2 WTE subject access which sits outside staff subject access and patient access to health records Both of	0.73WTE for workforce equality manager (combined post with Freedom to Speak Up)	Complaints team 10.96 WTE PALS Team 5.79 WTE	3 WTE	Refer to the spread sheet	Refer to the spread sheet

Information Governance (WTE)	Freedom of Information and Subject Access (WTE)	Equality and Inclusion (WTE)	Complaints (& PALS – if you have this service) (WTE)	Health & Safety (WTE)	Estates (WTE)	Corporate Governance & Compliance (WTE)
	<p>these posts are included in the total WTE IG function (previous column)</p> <p>In addition: 3.23 SARs within Health Records</p>					

**Q2 Please can you provide me with copies of the organisational structures for the above areas please including the banding of the posts?
N.B I would like the salary range for the post and not the exact salary of individuals within those posts.**

A2 Please see attached zip files for organisational structures.
I can confirm that the Trust holds information regarding pay banding/salary, but feel this information is exempt under section 21: *information reasonably accessible by other means*. This is because the information is available via the NHS public website at the following link: <https://www.nhsemployers.org/your-workforce/pay-and-reward/agenda-for-change/pay-scales/annual>

Q3 Please could you provide me with copies of the job descriptions for the posts identified above, across the requested service areas?

A3 Please see attached zip files.

Q4 For the years 2017/18 and 2018/19 can please provide me with the total number of each of the below:

	2017/18	2018/19
FOI Requests		
Subject Access Requests (Include Access to Health Records)		
Data/IG Breaches		
Equality Impact		

Assessments		
Health & Safety Breaches		
Data Protection Impact Assessments		
Complaints		
Patient Contacts (where a PALs service is provided)		

A4 Please see below:

	2017/18	2018/19
FOI Requests	756 requests = 10,587 questions within the requests	782 requests = 11,885 questions within the requests
Subject Access Requests (Include Access to Health Records)	5 (Staff SARs) 4705 (Health records)	5 (Staff SARs) 4897(Health records)
Data/IG Breaches	2	3
Equality Impact Assessments	Section 12 exemption as detailed above, however: Managers and Supervisors across the Trust ensure that Equality Impact Assessments are undertaken on services, organisation change and on appropriate policies/procedures that they have responsibility for	
Health & Safety Breaches	3555 Incidents (financial year) As per your clarification. Please note that UHNM code Datix's as incidents and not breaches	3375 Incidents (financial year) As per your clarification. Please note that UHNM code Datix's as incidents and not breaches
Data Protection Impact Assessments	Information not held	I can confirm that the Trust holds information regarding Data Protection Impact Assessments, but feel this information is exempt under section 21: information reasonably accessible by other means. This is because the information is available via the following link:

		http://www.uhnm.nhs.uk/aboutus/Pages/Privacy-notice.aspx
Complaints	775	713
Patient Contacts (where a PALs service is provided)	4,017	5,091

*Please note that any individuals identified do not give consent for their personal data to be processed for the purposes of direct marketing.

UHNM NHS Trust is a public sector body and governed by EU law. FOI requestors should note that any new Trust requirements over the EU threshold will be subject to these regulations and will be advertised for open competition accordingly.

Where the Trust owns the copyright in information provided, you may re-use the information in line with the conditions set out in the Open Government Licence v3 which is available at <http://www.nationalarchives.gov.uk/doc/open-government-licence/version/3/>. Where information was created by third parties, you should contact them directly for permission to re-use the information.

An anonymised copy of this request can be found on the Trust's disclosure log, please note that all requests can be found at the following link: <http://www.uhnm.nhs.uk/aboutus/Statutory-Policies-and-Procedures/Pages/Freedom-of-Information-Disclosure-Log.aspx>

This letter confirms the completion of this request. A log of this request and a copy of this letter will be held by the Trust.

If you have any queries related to the response provided please in the first instance contact my office.

Should you have a complaint about the response or the handling of your request, please also contact my office to request a review of this. If having exhausted the Trust's FOIA complaints process you are still not satisfied, you are entitled to approach the Information Commissioner's Office (ICO) and request an assessment of the manner in which the Trust has managed your request.

The Information Commissioner may be contacted at:

Information Commissioner's Office, Wycliffe House, Water Lane, Wilmslow, Cheshire SK9 5AF or via www.ico.org.uk.

If following review of the responses I can be of any further assistance please contact my secretary on 01782 676474.

Yours,



**University Hospitals
of North Midlands**
NHS Trust

Jean Lehnert
Information Governance Manager

