



# **Understanding Practice in Clinical Audit and Registries tool: UPCARE-tool**

A protocol to describe the key features of clinical audits and registries

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**FAQ****Who should complete the tool?**

This tool is designed to be completed by individuals and organisations planning and implementing clinical audits and registries. It has been specifically designed for national clinical audits and registries commissioned by the Healthcare Quality Improvement Programme (HQIP; Part of the National Health Service in England) as part of the National Clinical Audit and Patient Outcome Programme (NCAPOP) but can be adapted and used by audits and registries in other settings.

**What is the tool for?**

The tool is a protocol for audits and registries. It has been designed to provide a “one-stop” summary of the key information about how clinical audits and registries have been designed and carried out. It is expected that this will be published openly for anyone to view and help users of audit/registry data and audit/registry participants understand the methods, evaluate the quality and robustness of the data, and find information and data that is most relevant to them. For national clinical audits and registries commissioned by HQIP, the intention is that publishing this information openly will reduce the requirement for reporting ad hoc and contract monitoring data and information to HQIP and other national agencies.

**What type of information is contained within UPCARE?**

It is intended that the responses to the tool are factual and written concisely. Where possible, documents can be embedded and hyperlinks provided if information is published elsewhere. This document is intended to be a complete account of the information for the audit or registry. Please be vigilant about keeping any links included in the document up to date so readers can access full information about the audit or registry.

This tool is not intended to be used to formally “score” the quality of the responses. The design of this tool has been inspired by reporting checklists used for clinical guidelines (e.g. AGREE<sup>1</sup>) and in reporting research studies (e.g. STROBE<sup>2</sup>, SQUIRE<sup>3</sup>).

**Who is the intended audience for the tool?**

The information contained within the UPCARE tool will enable audit and registry stakeholders to access in one place and in a standard format key information about the audit/registry and evaluate the integrity and robustness of the audit.

Examples of audit/registry stakeholders include:

- Patients / Carers / Public / Patient representative organisations
- Clinicians / Allied health professionals / Healthcare providers / Multi-disciplinary teams / Primary, secondary and tertiary care providers
- National agencies
- Commissioners
- Healthcare regulators

<sup>1</sup> AGREE stands for the Appraisal of Guidelines for Research & Evaluation. See <https://www.agreetrust.org/about-the-agree-enterprise/introduction-to-agree-ii/>, last accessed 24 April 2018.

<sup>2</sup> STROBE stands for Strengthening the Reporting of Observational Studies in Epidemiology. See <https://www.strobe-statement.org/index.php?id=strobe-home>, last accessed 24 April 2018.

<sup>3</sup> SQUIRE stands for Standards for Quality Improvement Reporting Excellence. See <http://www.squire-statement.org/>, last accessed 24 April 2018.

**FAQ (cont'd)**

**How should the responses be written?**

Please try and write responses clearly as this will help to make the tool accessible and useful. Some tips and suggestions for writing clearly include:

- avoiding technical jargon where possible
- using short paragraphs and bullet points
- using the “active” voice rather than passive
- keeping sentences short

Where information is published openly elsewhere please provide links and references rather than duplicating information that is already available

**When and how often should I complete the tool?**

The tool is intended to provide accurate and up to date information about the audit/registry, and so can be updated whenever and however frequently it is relevant to do so. For national clinical audits and registries commissioned by HQIP it is intended that the tool is updated annually, although audits can update the tool more frequently if they wish to.

Each version of the tool should include a date of publication and version number.

**Where should the completed UPCARE report be published?**

The completed tool should be published online e.g. on the website for the audit or registry.

**How was UPCARE designed?**

HQIP commission, manage and develop the NCAPOP (National Clinical Audit and Patient Outcomes Programme) under contract from NHS England and devolved nations. The work was led by HQIP who set up a Methodological Advisory Group (MAG) consisting of methodological, statistical and quality improvement experts. Meetings were held on a six monthly basis and the structure and content of the eight quality domains and their key items were agreed by the MAG. The tool was piloted by 5 programmes within the NCAPOP and re-edited in light of comments received. Other comments received by MAG members was also considered as part of the re-editing process. The final version of the UPCARE tool was signed off by the HQIP MAG and will be reviewed annually.

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## Domain 1: Organisational information

### 1.1. The name of the programme

National Clinical Audit of Psychosis (NCAP) – EIP spotlight audit and EIP audit 2019/2020

### 1.2. The name of the organisation carrying out the programme

Royal College of Psychiatrists

### 1.3. Main website for the programme

[www.rcpsych.ac.uk/NCAP](http://www.rcpsych.ac.uk/NCAP)

### 1.4. Date of publication and version number of the tool on your website

HQIP\_UPCARE-tool\_v3\_July2019 and UPCARE tool - core audit 2017/2018.

## Domain 2: Aims and objectives

### 2.1. Overall aim

Note:

A short description of the overall aim(s) of the programme

The National Clinical Audit of Psychosis (NCAP) is a three-year improvement programme which aims to increase the quality of care that NHS Mental Health Trusts in England and Health Boards in Wales provide to people with psychosis. Commissioned by the Healthcare Quality Improvement Partnership on behalf of NHS England, NCAP is the next phase in the development of the **National Audit of Schizophrenia**. The scope of the audit has been extended to include both inpatient and community care provided for people with a broader group of severe mental health problems. In years two and three of the audit, the focus has changed to Early Intervention in Psychosis services. Key areas of performance include the assessment and treatment of physical health, health promotion, prescribing practice, use of evidence-based psychological treatments and access to services at times of crisis.

### 2.2. Quality improvement objectives

Note:

A list or description of the key quality improvement (QI) objectives of the programme. A brief rationale for how the QI objectives were chosen. Please take into consideration evidence to support the QI objectives, including the COMET (Core Outcome Measures in Effectiveness Trials) initiative<sup>4</sup>.

The quality improvement objectives of the programme in 2018 - 2020 are to:

1. Increase the proportion of people on the caseload of EIP teams who receive treatment in accordance with the Early Intervention in Psychosis Access and Waiting Times standard. This includes both the timescale for commencing treatment in a specialist EIP service from referral, and treatment with a NICE-approved care package.

<sup>4</sup> The COMET initiative, established through funding from the Medical Research Council (MRC) North West Hub for Trials Methodology brings together people who are interested in developing and applying agreed standardised sets of outcomes known as core outcome sets (COS). The COMET website states that 'These [COS] sets should represent the minimum that should be measured and reported in all clinical trials, audits of practice or other forms of research for a specific condition.' (<http://www.comet-initiative.org/about/overview>, accessed 24 April 2018). COMET has an online database of projects, trials, research etc., which can be searched to identify COS in a particular health area or population. The use of COMET and COS is endorsed by organisations such as the Health Research Authority (HRA), the National Institute for Health Research (NIHR), Cochrane Collaboration and other national and international organisations. See <http://www.comet-initiative.org/> for full information (last accessed 24 April 2018)

## Domain 3: Governance and programme delivery

### 3.1. Organogram

[NCAP organogram](#) (link updated June 2019)

### 3.2. Organisations involved in delivering the programme

Note:

A list of organisations with a formal role in delivering the programme. This includes organisations which:

- Are contracted to carry out elements of the programme
- Have a formal role in governing or steering the programme

For each organisation list:

- Name
- Website URL if available
- A description of its role in the programme

- British Psychological Society (BPS)
  - [www.bps.org.uk](http://www.bps.org.uk)
  - “The British Psychological Society is a registered charity which acts as the representative body for psychology and psychologists in the UK and is responsible for the promotion of excellence and ethical practice in the science, education, and application of the discipline.”
  - The BPS is represented on the project steering group and provides input into the programme design and outputs.
- Care Quality Commission (CQC)
  - [www.cqc.org.uk](http://www.cqc.org.uk)
  - “We're the independent regulator of health and adult social care in England. We make sure health and social care services provide people with safe, effective, compassionate, high-quality care and we encourage care services to improve. The CQC is represented on the project steering group and provides input into the programme design and outputs.”
- NHS England
  - [www.england.nhs.uk](http://www.england.nhs.uk)
  - “NHS England leads the National Health Service (NHS) in England. We set the priorities and direction of the NHS and encourage and inform the national debate to improve health and care.”
  - NHS England is represented on the project steering group and provides input into the programme design and outputs.
- Welsh Government
  - <https://gov.wales>
  - The Welsh Government is the devolved Government for Wales, providing oversight, direction and guidance on mental health policies and services within Wales.

- Welsh Government is represented on the project steering group and provides input into the programme design and outputs.
- Rethink Mental Illness
  - [www.rethink.org](http://www.rethink.org)
  - “We provide expert, accredited advice and information to everyone affected by mental health problems. We campaign nationally for policy change, and locally for the support people need.”
  - Rethink Mental Illness is represented on the project steering group and provides input into the programme design and outputs. In addition, Rethink Mental Illness is subcontracted to design lay reports, facilitate patient reference groups and help with the design and dissemination of the service user survey.
- Royal College of General Practitioners (RCGP)
  - [www.rcgp.org.uk](http://www.rcgp.org.uk)
  - “We are the professional membership body for GPs in the UK. Our purpose is to encourage, foster and maintain the highest possible standards in general medical practice.”
  - The RCGP is represented on the project steering group and provides input into the programme design and outputs.
- Royal College of Nursing (RCN)
  - [www.rcn.org.uk](http://www.rcn.org.uk)
  - “The RCN is a membership organisation of more than 435,000 registered nurses, midwives, health care assistants and nursing students. We are both a professional body, carrying out work on nursing standards, education and practice, and a trade union.”
  - The RCN is represented on the project steering group and provides input into the programme design and outputs.

### 3.3. Governance arrangements

Note:

Governance of the project should include representatives from all key stakeholders. Please describe the governance arrangements including:

- A list of individuals within each governance group described in the organogram (or the URL of where this information is available on the programme website)
- The process used for sign-off indicating that the audit or registry data/feedback/reports have been quality assured and are ready for release
- If available, the URL to publicly published meeting/Board minutes (e.g. by a board or steering group)

The audit is governed by a Steering Group which meets twice a year.

Steering Group co-Chairs (and joint clinical advisors to the audit): Dr Paul French and Professor Jo Smith

The Steering Group provides advice and guidance on:

- Final formulation of the audit standards, taken from the NICE and other relevant, evidence-based guidelines.
- Measurement tools and approaches that are most appropriate for measuring practice and outcomes against the audit standards.

- Marketing and promotion to ensure maximum sign-up to the audit and dissemination of the findings.
- Amendments and development of audit methodology.
- Interpretation and reporting of the audit data and findings.
- Recommendations from the audit to improve practice.
- Follow-up work between iterations of the audit.

An Implementation Group is responsible for ensuring the quality and accuracy of the data and project outputs and that the audit programme is delivered. The Implementation Group comprises: Director of the CCQI\* Senior Programme Manager\*

NCAP project team members\*

NCAP clinical advisors (Dr Paul French and Professor Jo Smith)

Service user advisor (Veenu Gupta)

\*details provided in the NCAP organogram under section 3.1 of this document

Ultimate responsibility for the NCAP resides with the Clinical Lead, Professor Mike Crawford, Director of CCQI at the Royal College of Psychiatrists.

### **3.4. Declarations and Conflicts of interest**

Note:

Evidence that declarations and conflicts of interest have been considered, declared and where appropriate, mitigated appropriately:

- DOI / COI process and policy outlining how DOI and potential conflicts of interest are identified and managed
- A web URL to the publicly published DOI/COI register for all individuals involved in the programme and where appropriate, information about how these have been mitigated

The Royal College of Psychiatrists (RCPsych) has a COI policy which applies to members of all committees and steering groups, including the NCAP Steering Group and Implementation Group. A copy of this policy is available from the RCPsych on request.

DOI/COI is a standard agenda item at each meeting of the NCAP Steering Group.

## **Domain 4: Information security, governance and ethics**

### **4.1. The legal basis of the data collection**

Note:

A description of the legal basis for the data collection, specific to each country where the data are collected. Examples include:

- Informed consent
- Section 251 (NHS Health and Social Care Act 2006) approval

- Other types of patient-controlled data permission

This could include links to:

- Consent forms
- Information provided to patients about participation and usage of data
- Further information about how patients can control the use of their data
- Information about ethical committee review

NCAP process data under Article 6(1)(e) of the General Data Protection Regulation (GDPR) which allows for the processing of data where this is carried out in the public interest or in the exercise of official authority vested in our data controller, HQIP.

The Royal College of Psychiatrists' Information Governance Policy (v2 June2019) includes named individuals with key information governance and data protection responsibilities, including a Senior Information Risk Owner (SIRO).

Patient consent is not required for data collection as part of the NCAP EIP spotlight audit as pseudonymised data are collected the purposes of service improvement and aggregate data are reported. NCAP operates under the ethical guidelines for clinical audit which can be found on the following web page:

<https://www.rcpsych.ac.uk/workinpsychiatry/qualityimprovement/nationalclinicalaudits.aspx>

For the 2019/2020 audit, an application for Section 251 approval has been submitted and we are awaiting confirmation of approval.

Our privacy notice can be found on the following web page:

<https://www.rcpsych.ac.uk/aboutthecollege/dataprotection/privacynoticenationalaudits.aspx>

A separate privacy notice for NCAP 2019/2020 will be made available once confirmation of Section 251 approval has been received.

#### **4.2. Information governance and information security**

Note:

Include:

- The Information Governance Toolkit score and URL to the organisation's Information Governance Toolkit Assessment Report
- If the IG toolkit score is less than satisfactory, indicate how the organisation is improving its security processes to achieve a satisfactory score and when the programme will be re-assessed
- Details of any other information governance and security accreditations achieved by the registry (e.g. ISO 27001)

The Data Security and Protection (DSP) Toolkit was submitted in March 2019 and we are currently awaiting a score.

## Domain 5: Stakeholder engagement

### 5.1. Approaches to involving stakeholders

Note:

A description of how stakeholders are involved in designing and carrying out the programme

Examples of types of involvement that might be listed here include:

- Designing the programme
- Selecting quality metrics
- Defining aims and objectives
- Setting priorities
- Collecting data
- Contributing to data analysis and interpretation
- Governance
- Disseminating feedback and communications

We ensure patients and carers are involved in the audit by:

- Contracting a service user advisor to provide input into all aspects of the audit including methodology and design, reports and dissemination at key events.
- Ensuring carer input into the Steering Group via a member who is also a carer of a person with psychosis.
- Contracting Rethink Mental Illness as part of the audit, to hold service user reference groups in 2019/2020 to review the findings and feed into the lay report and case studies.
- Asking Rethink Mental Illness to develop a patient-friendly lay report in 2019/2020 which will include infographics of data from the audit.

We ensure clinicians are involved in the audit by:

- Deriving key metrics from evidence-based standards for the care of people with psychosis.
- Being involved in the design of the audit tool and audit methodology.
- Interpreting the data from the audit from a clinical perspective.
- Presenting key findings from the audit at the professional annual conference.
- Assisting with the audit report write-up.
- Sites are invited via email to register and provide contact details for the audit. Sites are provided with information, and involved in the audit by:
  - Providing lists of patients who meet the eligibility criteria, to enable the NCAP team to generate random samples.
  - Collecting data for the audit.
  - Answering data cleaning queries generated by the NCAP team.
  - Distributing service user surveys and packs to service users.
  - Reviewing data in response to communications about outliers in line with the NCAP outlier policy.

Clinical networks are involved in the audit by:

- Holding regional workshops for teams taking part in the audit. These may involve dissemination of results.

## Domain 6: Methods

### 6.1. Data flow diagrams

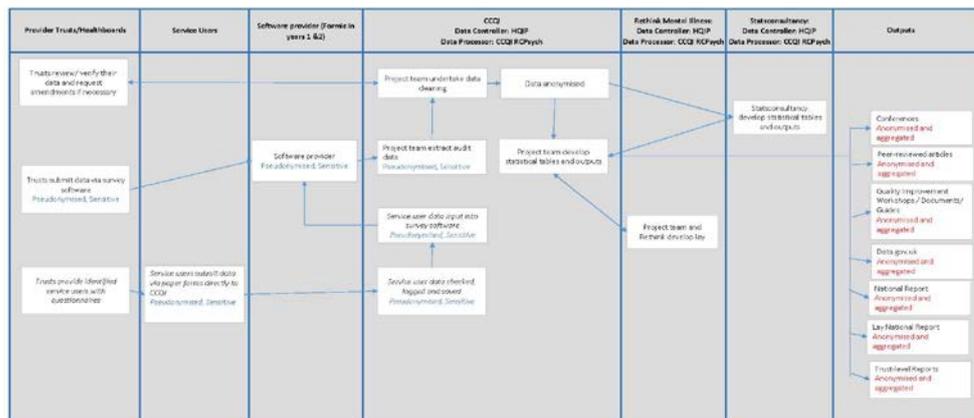
Note:

A data flow diagram showing each data flow into and out of the audit/registry. The diagram should indicate:

- What organisations are flowing data in/out of the programme
- What data items are within each data flow in/out of the programme
- The legal basis for each data flow, e.g. section 251, consent

Example:

National Clinical Audit of Psychosis  
Data flow chart for Years 1-2 (May 2017- April 2019)



A revised data flow chart for NCAP 2019-20 activity will be uploaded once NCAP's Section 251 approval has been confirmed (expected summer 2019).

Ref: Accessing National Clinical Audit and Patient Outcomes Programme (NCAPOP) data: Guidance for applicants and data providers (v2). Healthcare Quality Improvement Partnership (HQIP), March 2017, <https://www.hqip.org.uk/wp-content/uploads/2018/03/hqip-accessing-ncapop-data-guidance-for-applicants-and-data-providers-v2.pdf>, last accessed 4 May 2018.

## 6.2. The population sampled for data collection

Eligibility criteria for patients:

### For the EIP spotlight audit 2018-19

- Patients aged 14-65 years, who are on the caseload of the EIP team.
  - If the service is part of a larger team (integrated into a CMHT, for example) please only count those on the EIP caseload.
  - The person has:
    - First Episode Psychosis (FEP)
  - On the team's caseload for 6 months or more at the census date (**1 February 2018**) and still on the caseload in **September 2018** when the list of patients is submitted to the NCAP team for sampling.
  - Patients who are experiencing psychotic symptoms due to an organic cause, for example, brain diseases such as Huntington's and Parkinson's disease, HIV or syphilis, dementia, or brain tumours or cysts should **not** be included in the sample.

### For the EIP audit 2019-20

- Patients aged 14-65 years, who are on the caseload of the EIP team.
- If the service is part of a larger team (integrated into a CMHT, for example) please only count those on the EIP caseload.
- The person has:
  - First Episode Psychosis (FEP)
- On the team's caseload for 6 months or more at the census date 1 April 2019 and still on the caseload in **June 2019** when the list of patients is submitted to the NCAP team for sampling.
- Patients who are experiencing psychotic symptoms due to an organic cause, for example, brain diseases such as Huntington's and Parkinson's disease, HIV or syphilis, dementia, or brain tumours or cysts should **not** be included in the sample.

\* There are no EIP teams in some Health Boards. Where this was the case, Health Boards were asked to identify patients meeting all other eligibility criteria.

### **6.3. Geographical coverage of data collection**

Note:

A description of the geographical coverage of the data collection. Include details of both:

- geographical areas eligible for inclusion
- geographical areas that actually participated in data collection

This could include:

- A text description of coverage
- An illustration or map to visualise the coverage
- Summary data
- Links to data files containing geographical identifiers

All EIP teams in England and all Health Boards in Wales are expected to submit data for the EIP spotlight audit and EIP audit 2019/2020.

### **6.4. Dataset for data collection**

Note:

A list (or web URL to online documentation such as a data dictionary) of the items included in the data collection

State how the dataset chosen aligns with the QI objectives and COMET Core Outcome Sets (COS) as described in section 2.2.

A list of the standards for which data will be collected in the EIP spotlight audit and in 2019/2020 can be found on the RCPsych website:

<https://www.rcpsych.ac.uk/workinpsychiatry/qualityimprovement/nationalclinicalaudits/nationalauditofpsychosis/resourcesforaudit.aspx>

### **6.5. Methods of data collection and sources of data**

Note:

A description (or web URL to online documentation) of how the data were collected and the sources of data.

Examples include:

- Online, e.g. webtool or portal
- Retrospective case record review
- Linkage to existing data sources
- Extracts of administrative data
- Surveys
- Extractions from electronic health records

Clinical data are collected by audit staff and clinical personnel within participating organisations and Health Boards. The data are entered into a secure online webtool designed specifically for the audit. Data are collected from patient case notes, alongside other patient information available to the clinical team.

A PDF of the EIP spotlight data collection tools will be available to download from the NCAP website when the report is published in summer 2019. A pdf of the EIP 2019/2020 data collection tools will be available to download from the NCAP website following publication of the report in Summer 2020.

A survey of EIP service users is also being carried out in 2019, asking people about aspects of the care they have received. Survey tools are being distributed by Trusts to participating service users during July 2019 with the option to complete the data collection tool either online or on paper.

When data collection has closed for the case-note audit, NCAP will provide NHS Digital with the patient identifiers (NHS number, Postcode, Date of Birth, gender and NCAP ID) and NHS Digital will provide the Mental Health Services Dataset (MHSDS) for this cohort. More information about the MHSDS is available on the [NHS Digital website](#).

#### **6.6. Time period of data collection**

Note:

The time period for data collection, using a start date (DD/MM/YYYY) and end date as applicable. For a continuous prospective data collection then this may only be a start date.

Data collection for the EIP spotlight audit ran 1 – 31 October 2018, and the online data entry period ran 1 – 30 November 2018.

In 2019/2020, data collection for the case note audit takes place 1 – 31 October 2019, with online data entry open from 1 – 29 November 2019.

In 2019/2020, the service user survey was made available online 8 July 2019, and will remain open until 31 October 2019.

#### **6.7. Time lag between data collection and feedback**

Note:

A description of the time lag between data collection and feedback to participants in the programme – try and be as specific as possible

If 'real time' please describe exactly what this means, e.g. monthly, daily, minute-by-minute

This could also include details about time intervals for the various steps between data collection and feedback/publication such as waiting for linked data to be supplied or for sign off

The EIP spotlight audit report is expected to be published in Summer 2019. A breakdown of steps can be found below:

1 – 31 October 2018: data collection

1 – 30 November 2018: sites submit data

1 – 31 December 2018: NCAP identifies data cleaning queries

4 January 2019: NCAP team contact sites with data cleaning queries

1 February 2019: deadline for sites to respond to data cleaning queries

February – March 2019: NCAP team finalise dataset  
March-May 2019: NCAP team write report  
–May-July 2019: HQIP process for report sign off  
Summer 2019: report published

The EIP 2019/2020 audit report is expected to be published in Summer 2020. A breakdown of steps for the case-note audit and service user survey can be found below.

Case-note audit:

1 – 31 October 2019: data collection  
1 – 29 November 2019: sites submit data  
1 – 17 December 2019: NCAP identifies data cleaning queries  
18 December 2019: NCAP team contact sites with data cleaning queries  
24 January 2020: deadline for sites to respond to data cleaning queries  
January - February 2020: NCAP team finalise dataset  
February – April 2020: NCAP team write report  
April – July: HQIP process for report sign off  
Summer 2020: report published

Service user survey:

8 July – 31 October 2019: data collection and submission

## **6.8. Quality measures included in feedback**

Note:

A list (or web URL to online documentation) of the quality measures reported by the programme  
Provide a mapping to classify these as:

- Process metrics
- Outcome metrics
- Organisational/structure metrics

Please state what metrics are provided at trust level and how often this trust level information is made available, e.g. quarterly, 6-monthly. If 'real time' please describe exactly what this means, e.g. monthly, daily.

The standards and outcome indicator for the audit can be found on the NCAP webpage:

<https://www.rcpsych.ac.uk/workinpsychiatry/qualityimprovement/nationalclinicalaudits/nationalauditofpsychosis/resourcesforaudit.aspx>

## **6.9. Evidence base for quality measures**

Note:

A list or description of the sources of evidence used to define the quality metrics. Examples include:

- Clinical guidance (e.g. NICE guidance)
- Clinical standards
- Systematic reviews
- Professional society recommendations

- Policy documents
- Clinical trials

The quality measures were defined to measure the Early Intervention in Psychosis Access and Waiting Time Standard (NHS England, the National Collaborating Centre for Mental Health and the National Institute for Health and Care Excellence (NICE) (2016). *Implementing the Early Intervention in Psychosis Access and Waiting Time Standard: Guidance*. London: NHS England.)

### 6.10. Case ascertainment

Note:

Describe the level of case ascertainment achieved. Include links or detail for additional information about methodology

**EIP spotlight audit:** teams were asked to provide data on a random sample of a maximum 100 patients per team, or in the case of Welsh Health Boards with no EIP service, a maximum 100 patients per Health Board. The sample size was determined by power analysis. Information on case ascertainment is included in the national report, to be published in Summer 2019.

#### 2019/2020

**Case-note audit:** teams will be asked to provide data on a random sample of a maximum 100 patients per team, or in the case of Welsh Health Boards with no EIP service, a maximum 100 patients per Health Board. The sample size was determined by power analysis. Information on case ascertainment will be included in the national report, to be published in Summer 2019.

**Service user survey:** teams in England and Wales were asked to distribute a service user survey form and pack to a random sample of a maximum 150 patients per team, or in the case of Welsh Health Boards with no EIP service, a maximum 100 patients per Health Board. Information on response rates will be included in the national report, to be published in Summer 2020.

### 6.11. Data analysis

Note:

A description (or web URL to online documentation) of the methods of data analysis. Important considerations in the analysis of audit and registry data include:

- Missing data, and how these were handled
- Sources of measurement error and bias, and how these were addressed
- Methods and algorithms used for:
  - case mix adjustment
  - benchmarking
  - outlier detection
  - visualising and interpreting time series data
- Algorithms and statistical models used to process data

This might include:

References for peer reviewed publications of methods used in the data analysis

- Links to:
  - analytical code
  - more detailed descriptions of the methods already published elsewhere

Data analysis for the EIP spotlight audit took place during February – March 2019  
[More details can be found on the College website](#) under [Resources for Audit](#).

Data analysis for the 2019/20 audit will take place January – February 2020. The data analysis plan will be made available on the [College website](#).

### 6.12. Data linkage

Note:

A description of any data linkage carried out as part of the audit or registry. Include details of:

- Data sources
- Methods of linkage
- Evaluation of the quality of data linkage

If no data linkage carried out, state “No linkage performed”

This could include details about the impact of patient opt outs where these apply, e.g. the proportion of patients before and after opt-outs are applied; changes in key characteristics of patient group following opt out such as gender, ethnicity

No linkage was performed for the 2018/19 EIP spotlight audit.

In 2019/2020, the MHSDS dataset will be requested for those patients in the case-note audit sample. NCAP will provide NHS Digital with the patient identifiers (NHS number, Postcode, Date of Birth, gender and NCAP ID) and NHS Digital will provide the Mental Health Services Dataset (MHSDS) for this cohort.

### 6.13. Validation and data quality

Note:

A description of how data quality and analyses have been validated. Examples of validation include:

- Piloting and refining data collection methods and dataset changes
- Building in validation processes at the point of data entry
- Validation by clinical teams
- Data cleaning
- Statistical analyses of data quality (e.g. missing data)
- Validation of statistical models and algorithms
- Quality assurance and unit testing of analytical code

The data entry platform for the case-note audit was developed with input from experts in the field, refined following feedback from front-line services, and is tried and tested. It has been used to successfully collect data for previous rounds of NCAP.

We provide guidance notes for Trusts and post answers to ‘Frequently Asked Questions’ on our [website](#). These help ensure that Trusts have the information they need to provide reliable data.

We use a database that is set up to require certain fields to be completed in all instances and has a restricted range of values that are permissible for each field. This helps reduce the amount of missing data and limit the number of data entry errors.

An extensive data cleaning process is implemented for data accuracy. Organisations and Health Boards are sent copies of their final cleaned data sets.

A random number of services were visited in 2019 and will be visited in 2020 for quality assurance of the data submitted.

## Domain 7: Outputs

### 7.1. The intended users or audience for the outputs

Note:

A list or description of the intended users or audience of feedback data produced by the programme. Examples include:

- Clinical commissioning groups or Health Boards
- Specialist commissioners
- Trust/hospital boards
- Clinical teams
- Individual clinicians
- General public
- Patients
- Carers
- Policy makers
- Politicians
- Media
- National agencies

The audit designs and produces individual feedback for:

- Patients and carers
- CCGs and Health Boards
- Clinical teams
- The Care Quality Commission

### 7.2. Editorial independence

Note.

A statement about the independence of the programme in regard to the content, e.g. findings, recommendations.

As an independently commissioned programme, the contents of the outputs are written by the NCAP team and quality assured by the advisory group through the governance processes described in previous sections.

### 7.3 The modalities of feedback and outputs

Note:

A description of how data are fed back to participants of the programme

Please also describe how outputs are agreed, i.e. the quality assurance process within the programme such as Board sign off.

Examples of types of feedback commonly used in audits and registries include:

- Summary written reports
- Comprehensive written reports
- Online feedback
- Dashboards
- Slide sets
- Data visualisations
- Infographics
- Data tables
- Interactive tools
- Maps
- Meetings and workshops
- Professional conferences
- Verbal feedback by a national peer
- Verbal feedback by a local peer
- Information resources for patients (e.g. NHS Choices)
- Data that will be adapted and synthesised by other organisations (e.g. CQC) and programmes (e.g. GIRFT)
- Press releases
- Case studies
- Examples of best practice

The audit provides feedback for the following types of participant:

- Clinical teams, quality improvement and governance personnel, CQC, Chief Executives, Medical Directors and CCGs:
  - National report with benchmarking data to see national and local variation.
  - Executive summary
  - Local reports comparing team performance against national performance
  - Quality improvement webinars/workshops will take place in 2019/2020
- Members of the public and patients: in 2019/2020, a lay report will be produced with summary data included in infographic form.
- Presentation of data to clinical audiences at relevant meetings and conferences.

The report is quality assured at team level before submission to the Board for sign off. Sign off is required before submission of the report to commissioners/HQIP.

#### **7.4 Recommendations**

**Note:**

The programme, in making specific recommendations about how to improve the quality or safety of healthcare services should provide a web URL to any documents making recommendations to participants

As a general principal, recommendations should:

- be specific, action oriented, and tailored to the intended audience
- agreed and signed off through an agreed process
- reviewed (e.g. annually)
- be underpinned by evidence and be supported by data collected by the programme
- be designed to have impact

The national report for the EIP spotlight audit is due to be published in Summer 2019.  
The national report for the 2019/2020 audit is expected to be published in Summer 2020.

#### **7.5 Comparators and benchmarking**

**Note:**

A description or list of if/how performance is compared between healthcare providers or areas, and the benchmark against which performance is measured.

This should provide a high-level overview of how comparisons are made using the programme data, not a detailed list of all indicators and how they are individually used to benchmark or compare performance.

Examples of benchmarks include:

- National
- International
- Regional
- Organisational
- Clinical team
- Individual clinician
- Audit/registry standards
- Relative benchmarks (e.g. top 10%)
- Temporal (e.g. changes over time)
- Results from randomised controlled trials

The audit compares the performance of each participating Organisation and Health Board against the national average, and benchmarks each of these services against each other to provide a picture of national variation.

Local reports will provide a breakdown of the results per team, and benchmark these against the national average.

Regional analysis will provide a breakdown of the results per region.

## **7.6 Motivating and planning quality improvement**

Note:

A short description of the approaches the programme uses to motivate and support quality improvement.

Programmes are not expected to provide a bespoke service to support trusts to interpret the findings or recommendations. The programme should, however, provide information in a format that is easy to digest and ready to use for the intended audience.

Examples of approaches include:

- Recommendations for action
- Action plans
- Education and training
- Supporting peer learning
- Providing positive feedback
- Workshops
- Including motivating statements as part of feedback

The audit supports participants in QI by providing quality improvement webinars/workshops in 2020 to introduce QI methodology aimed at stimulating local quality improvement and action plans.