

*Promoting quality for
better health services*



Regulation of Clinical Audit Master Class

*Promoting quality for
better health services*



Regulation of Clinical Audit

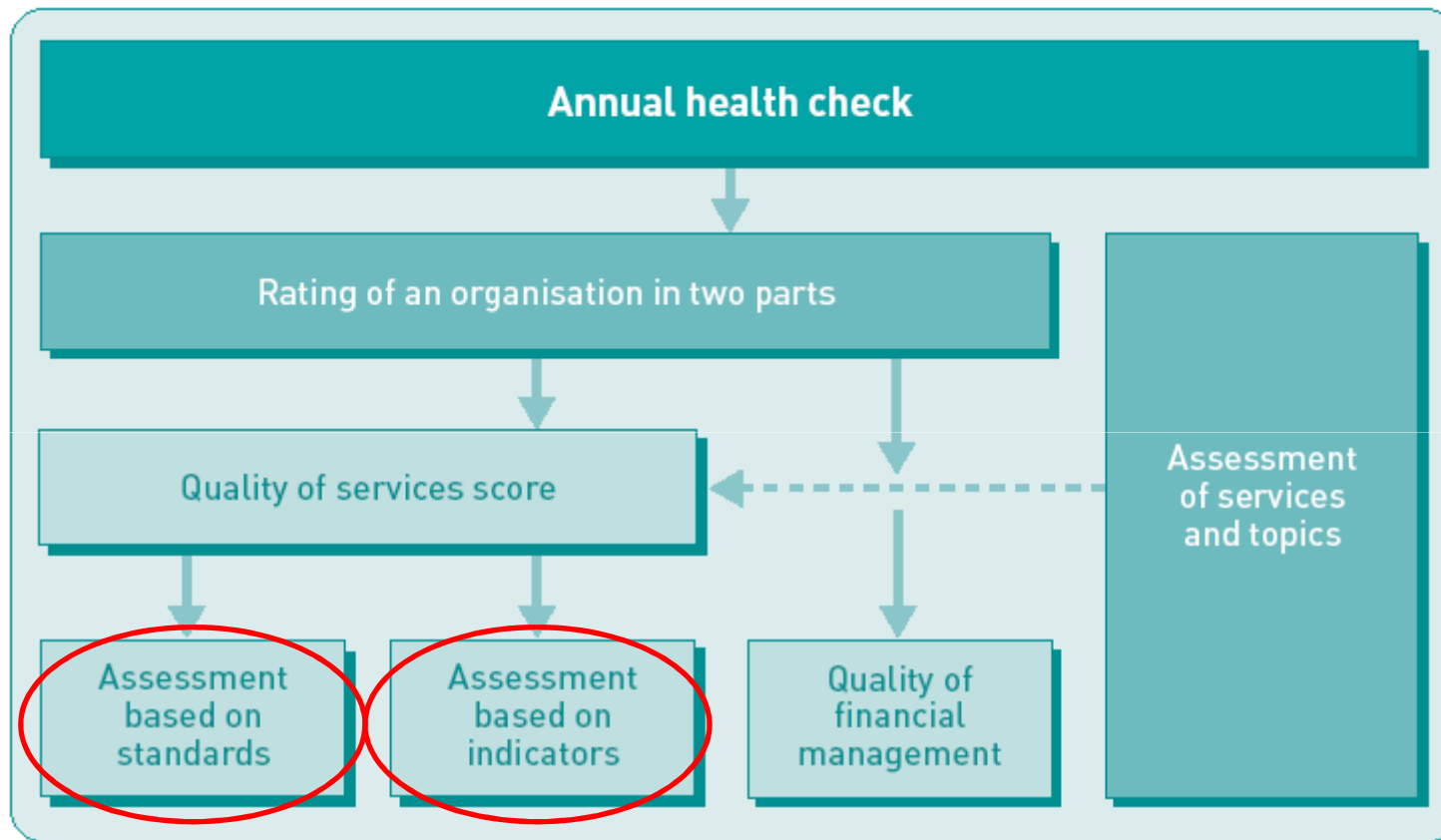
**Darren Thorne, National Lead for
Local Quality Improvement**

Content

- Standards for Better Health
 - Learning from 07/08
 - Providers 08/09
 - Commissioning & Contracting 08/09
- New National Priority



Clinical Audit & AHC



HQIP

Healthcare Quality
Improvement Partnership

Standards for Better Health

C5d

- Healthcare organisations ensure that clinicians participate in regular clinical audit and reviews of clinical services



HQIP

Healthcare Quality
Improvement Partnership

Standards for Better Health

Learning from 07/08 Inspections

Trusts might consider having:

- Clinical audit strategy & policy (disseminated)
- Guidance for staff on how to participate
- Support and encouragement to clinical staff undertaking audits
- Clinical audit training programme
 - % of staff (profession and grade) undertaken clinical audit training



HQIP

Healthcare Quality
Improvement Partnership

Standards for Better Health

- Identified resource to support clinical audit
- Prioritisation process
- Comprehensive (across all services) and prioritised audit programme
- Good governance of audit meetings (job titles of members and attendees)
- Review process for clinical audit reports
- Process for ensuring independent contractors & commissioned services are compliant



HQIP

Healthcare Quality
Improvement Partnership

Assessing Core Standards

Core standard C5d

Healthcare organisations ensure that clinicians participate in regular clinical audit and reviews of clinical services.

Elements

Element one

The healthcare organisation ensures that clinicians⁶ are involved in prioritising, conducting, reporting and acting on regular clinical audits⁷.

Element two

The healthcare organisation ensures that clinicians participate in regular reviews of the effectiveness of clinical services through evaluation, audit or research.

Rationale

Elements one and two

The wording of the elements have been amended to better reflect the standard and to clarify that the responsibility being assessed is that of the organisation and not that of individual clinicians.

Extract from Healthcare Commission Assessing Core Standards 2008/09, Acute, Ambulance and Mental Health and Learning Disabilities



HQIP

Healthcare Quality
Improvement Partnership

Standards for Better Health

- **Definitions**

- Clinicians

- Professionally qualified staff providing clinical care to patients



HQIP

Healthcare Quality
Improvement Partnership

Standards for Better Health

- **Definitions**

- Clinical Audit

- a **quality improvement process** that seeks to **improve patient care and outcomes** through **systematic review** of care against **explicit criteria** and the **implementation of change**. Aspects of the structure, processes, and outcomes of care are selected and systematically evaluated against specific criteria. Where indicated, changes are implemented at an individual, team, or service level and further monitoring is used to confirm improvement in health care delivery.



HQIP

Healthcare Quality
Improvement Partnership

Changes from 07/08

- Clarification on organisational responsibilities to enable activity
- Prioritised clinical audit programme connected to organisational priorities



Standards for Better Health

Inspecting **Informing** Improving



Draft criteria for assessing core standards for PCTs as commissioning bodies

Annual health check 2008/09

September 2008



HQIP

Healthcare Quality
Improvement Partnership

PCT Commissioners

- PCT as commissioning body not applicable for C5d
- Commissioned services test is applicable
- Independent Contract test is applicable



HQIP

Healthcare Quality
Improvement Partnership

Standards for Better Health

08/09 Declaration PCT Commissioners

- For all commissioned services, the PCT has appropriate mechanisms through which they could identify and, where appropriate, respond to any significant concerns arising from their commissioned services with regard to the overall standard.



HQIP

Healthcare Quality
Improvement Partnership

Reasonable steps

- Provider contract monitoring:
 - Where applicable, using the standard contract and mechanisms within it
 - Other mechanisms, where standard contract apply



HQIP

Healthcare Quality
Improvement Partnership

Standards for Better Health

08/09 Declaration Independent Contractors

- For independent contractors, the PCT should have taken reasonable steps to ensure that the services provided by independent contractors (general practitioners, dentists, community pharmacists and optometrists) to be consistent with the relevant aspects of the element.



HQIP

Healthcare Quality
Improvement Partnership

Reasonable steps

- Reasonable steps may include contract monitoring mechanisms that monitor contractual requirements:
 - Monitor requirements of contracts
 - GDS – 15 Hours
 - Pharmacy – 1 practice audit, 1 PCT led audit
 - Embedded into Clinical Governance Framework (GPs)
 - Monitoring of QOF achievements



HQIP

Healthcare Quality
Improvement Partnership

Standards for Better Health

Using Cross Match Data

- Indicative of which audits the HC measure you against
- HC use publicly available data to assess the risk of undeclared non-compliance
- Ensure you know what the HC know about you!



HQIP

Healthcare Quality
Improvement Partnership

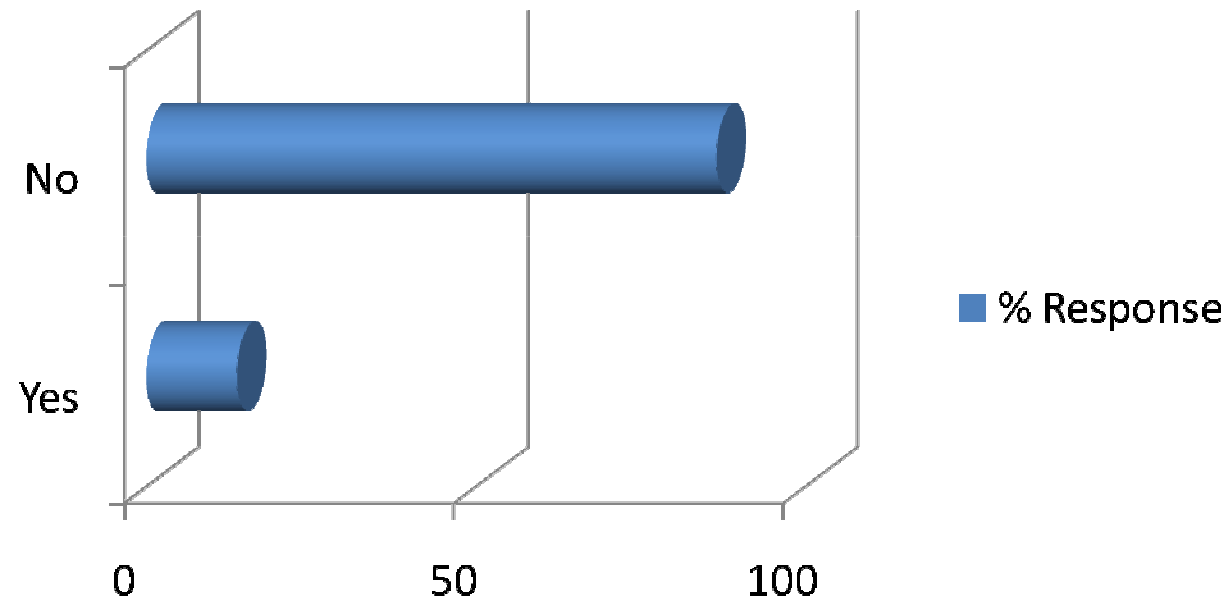
Our survey said....

- 109 Responses



Our survey said.....

Have you seen or used the Healthcare Commission Cross Match Data?



HQIP

Healthcare Quality
Improvement Partnership

Standards for Better Health

- **Using Cross Match Data**

A Live Example

www.healthcarecommision.org.uk



HQIP

Healthcare Quality
Improvement Partnership

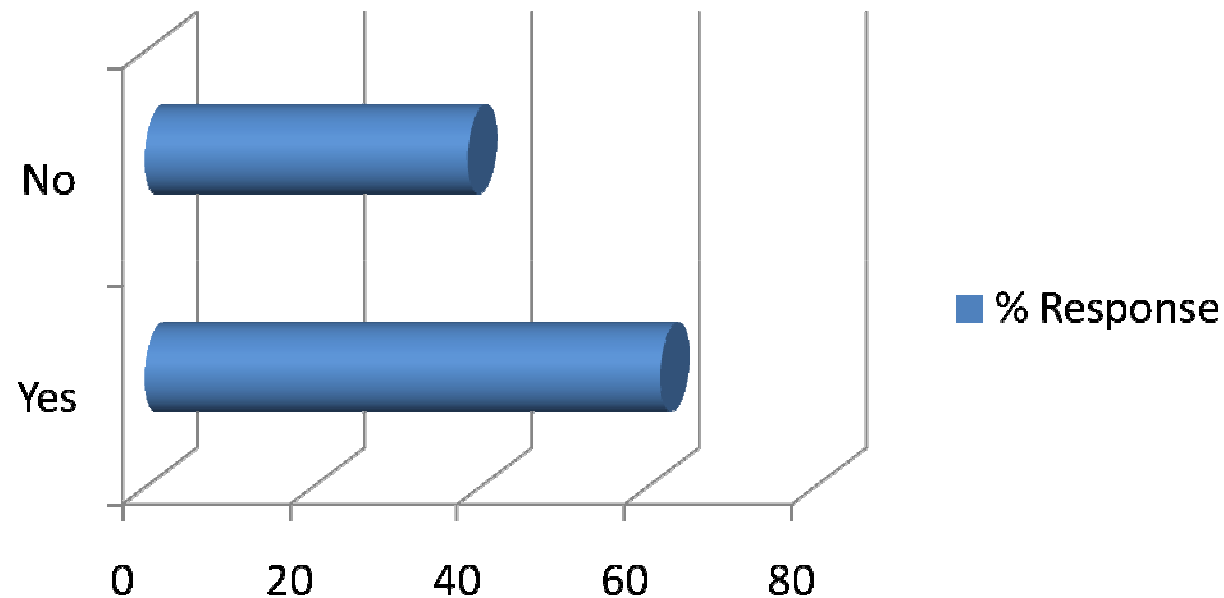
National Priorities

- National priorities 2008/2009
- ‘Engagement in Clinical Audits’ performance indicator
- Acute & Specialist Trusts
- Healthcare Commission Special Data Collection (as at 31st March 2009)



Our survey said.....

Prior to receiving information about this seminar were you aware of National Priority of Engagement in Clinical Audit?



HQIP

Healthcare Quality
Improvement Partnership

National Priorities

- **Rationale**
- Clinical audit is a **professionally led** exercise, which is an **essential component** in clinical governance and the delivery of high quality clinical care. **Professional engagement** in clinical audit and **enabling the local environment** for **participation in audit activity** are necessary to ensure that organisations are embracing the full potential of these methods in informing service delivery.



HQIP

Healthcare Quality
Improvement Partnership

National Priorities

- **Key Documents**
- National Standards, Local Action (2005/06 - 2007/08)
- 'Trust, Assurance and Safety' (February 2007)
- 'Principles of Best Practice in Clinical Audit' (NICE, 2002)



HQIP

Healthcare Quality
Improvement Partnership

National Priorities

- **Definitions**
- Directorate = Directorate or division (first clinical tier) based on organisational structure
- Clinicians = professionally qualified staff providing care to patients



National Priorities

- **Scoring**
- The overall indicator score will be the responses to the questions 1 to 6.
- **Achieve** = 'Yes' for Question 1, and 4 out of 5 'Yes' responses to Questions 2 to 6.
- **Underachieve** = 'Yes' for Question 1, and 3 out of 5 'Yes' responses to Questions 2 to 6.
- **Failed** = 'No' for Question 1, and/or less than 3 out of 5 'Yes' responses to Questions 2 to 6.



HQIP

Healthcare Quality
Improvement Partnership

National Priorities

- 1) Between 01 April 2008 and 31 March 2009, did the trust participate in local and/or national audits of the treatment and outcomes for patients in each clinical directorate covered by the trust? (Yes/No)

To respond yes to this question.....



HQIP

Healthcare Quality
Improvement Partnership

National Priorities

- each clinical directorate should only be defined as participating in audit if all five stages of clinical audit have been completed at least once in each directorate in the last 12 months in line with the principles of best practice in clinical audit (NICE, 2002) with all the five stages outlined as:
 1. preparing for audit
 2. selecting criteria
 3. measuring performance
 4. making improvements and
 5. sustaining improvements



HQIP

Healthcare Quality
Improvement Partnership

National Priorities

- In considering national audits, please exclude the following audits (which are assessed by another performance indicator in the 2008/2009 annual health check):
 - Adult Cardiac Surgery Audit
 - British Cardiovascular Intervention Society National Audit
 - Cardiac Rhythm Management Audit
 - Congenital Heart Disease Audit
 - Myocardial Ischaemia National Audit Project
 - National Sentinel Audit of Stroke



HQIP

Healthcare Quality
Improvement Partnership

National Priorities

2) By 31 March 2009, did the trust have a clinical audit strategy and programme related to both local and national priorities with the overall main aim of improving patient outcomes?

To respond yes to this question the Trust should have the following in place.....



National Priorities

- programme of work which gives direction and focus on how and which clinical audit activity will be supported in the organisation. This may be part of a wider strategy within the organisation.
- appropriate processes for reviewing the need for a clinical audit as a direct result of adverse clinical events, critical incidents, and breaches in patient safety. This may be part of a specific clinical audit strategy or any other strategy within the organisation.

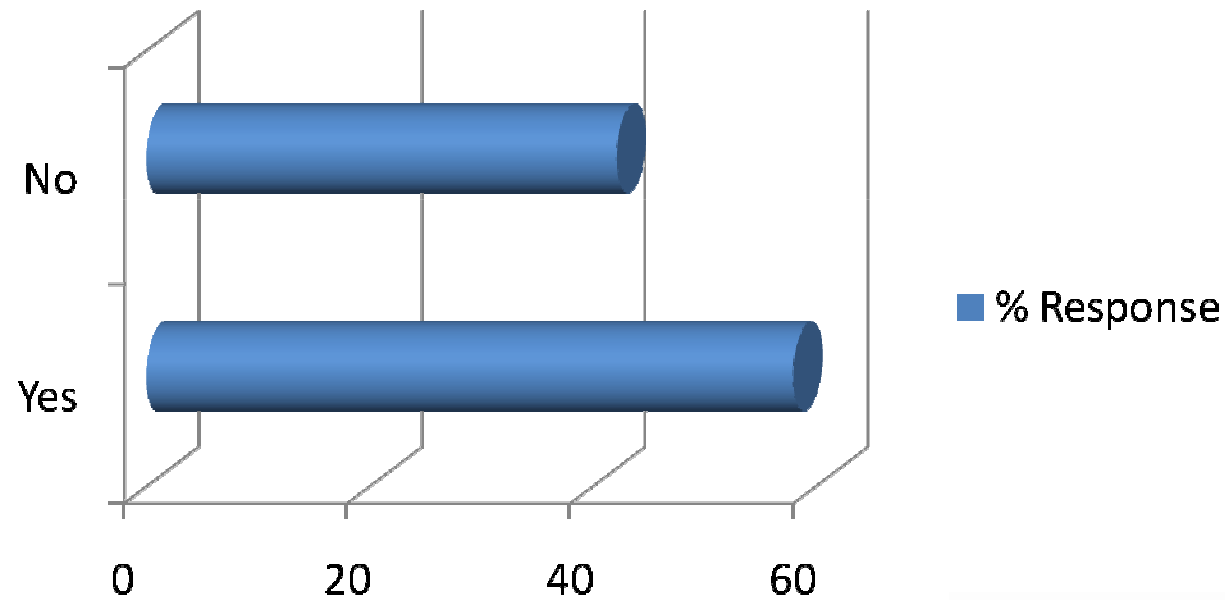


HQIP

Healthcare Quality
Improvement Partnership

Our survey said.....

Does the Trust have a documented prioritisation process to review local and national audit projects against?

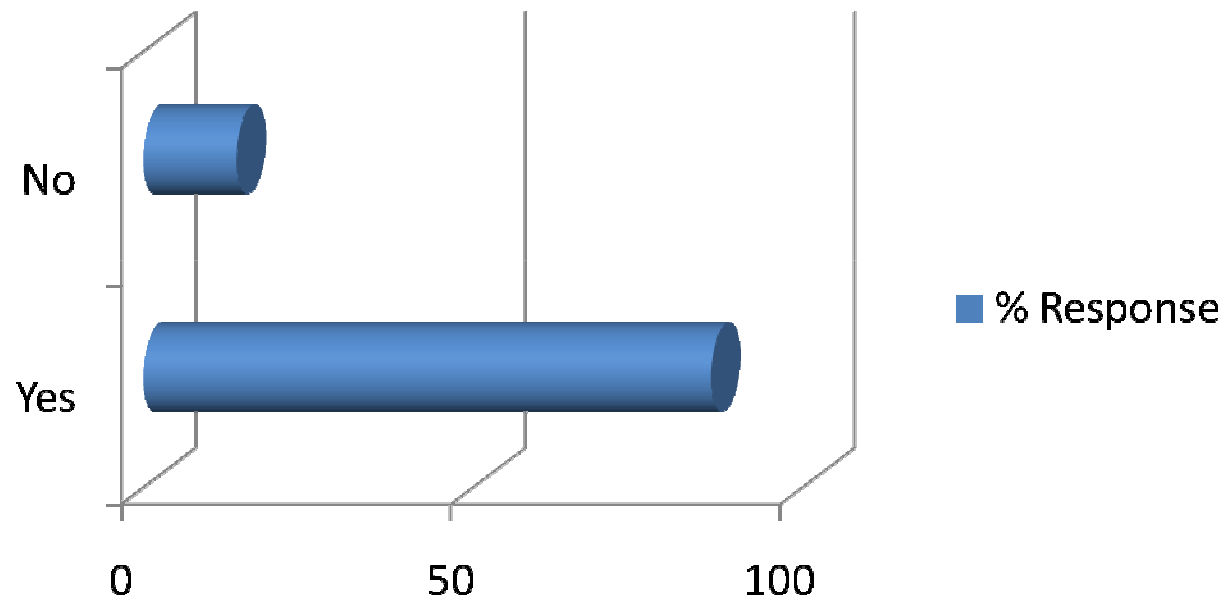


HQIP

Healthcare Quality
Improvement Partnership

Our survey said.....

Does the Trust have an approved strategy for clinical audit?

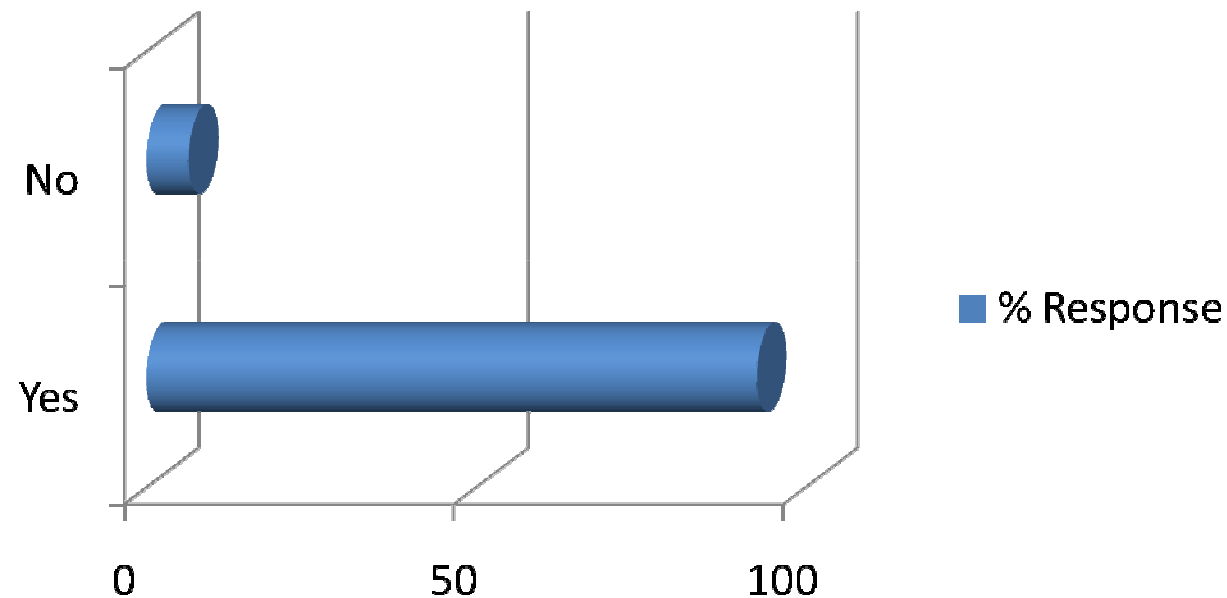


HQIP

Healthcare Quality
Improvement Partnership

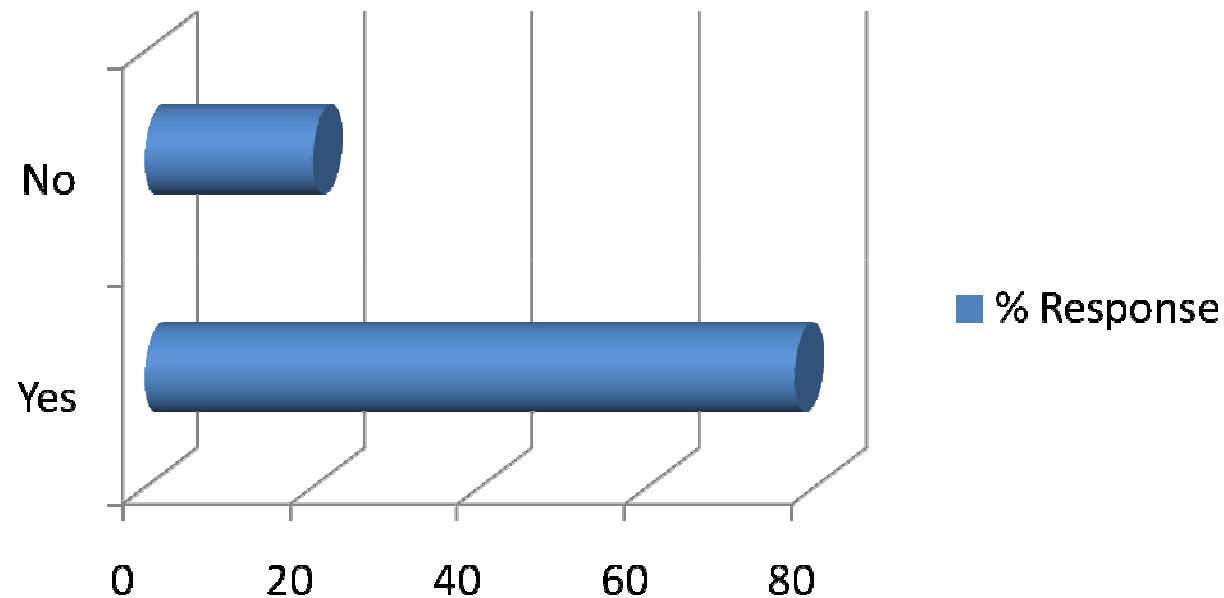
Our survey said.....

Does the Trust have a clinical audit programme in place?



Our survey said.....

Is the programme informed by clinical risk management activity (patient safety and adverse clinical incidents)?



HQIP

Healthcare Quality
Improvement Partnership

National Priorities

3) Between 01 April 2008 and 31 March 2009, did the trust make available suitable training, awareness or support programmes to all clinicians regarding the trust's systems and arrangements for participating in clinical audit?

To respond yes to this question Trusts should have.....



HQIP

Healthcare Quality
Improvement Partnership

National Priorities

....ensured that the training, awareness, or support programmes covered all the five phases of clinical audit in line with the principles of best practice in clinical audit (NICE, 2002) outlined a:

1. preparing for audit
2. selecting criteria
3. measuring performance
4. making improvements and
5. sustaining improvements

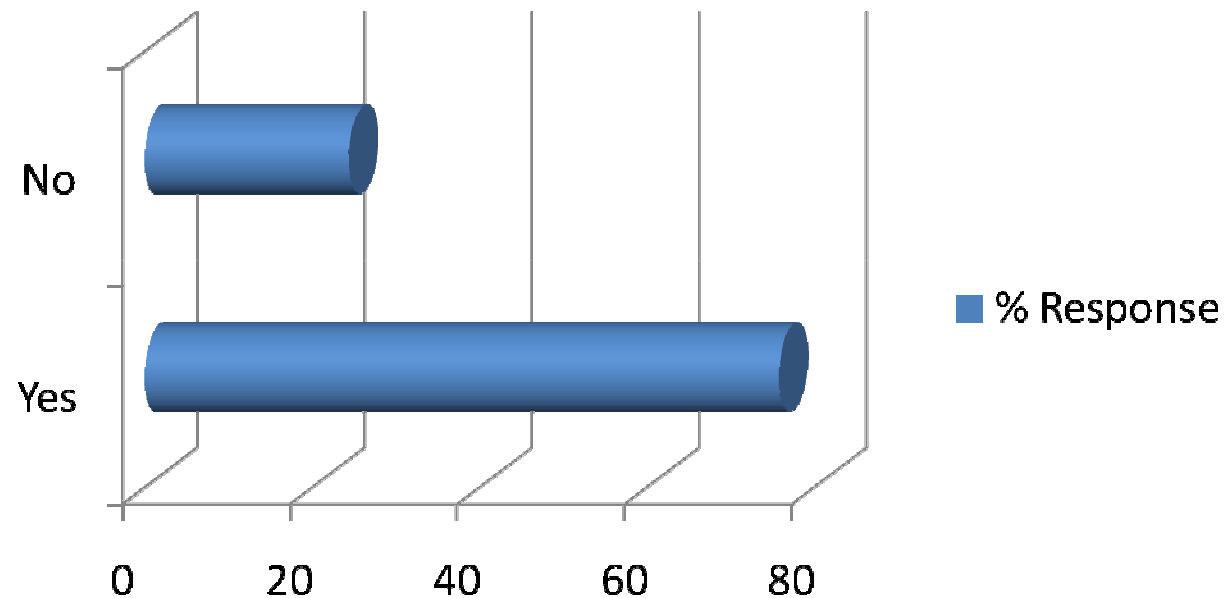


HQIP

Healthcare Quality
Improvement Partnership

Our survey said.....

Does the Trust have a clinical audit training programme available to all clinicians?



HQIP

Healthcare Quality
Improvement Partnership

National Priorities

- 4) Between 1 April 2008 and 31 March 2009, did the trust ensure that all clinicians and other relevant staff conducting and/or managing clinical audits were given appropriate time, knowledge and skills to facilitate the successful completion of the audit cycle?

To respond yes to this question.....

National Priorities

....the provisions should have been in line with the principles of best practice in clinical audit (NICE, 2002) and include at least all of the following:

- opportunity to gain the relevant skills and knowledge,
- access to relevant facilities for managing and conducting clinical audit
- protected or allocated time to manage and conduct clinical audit

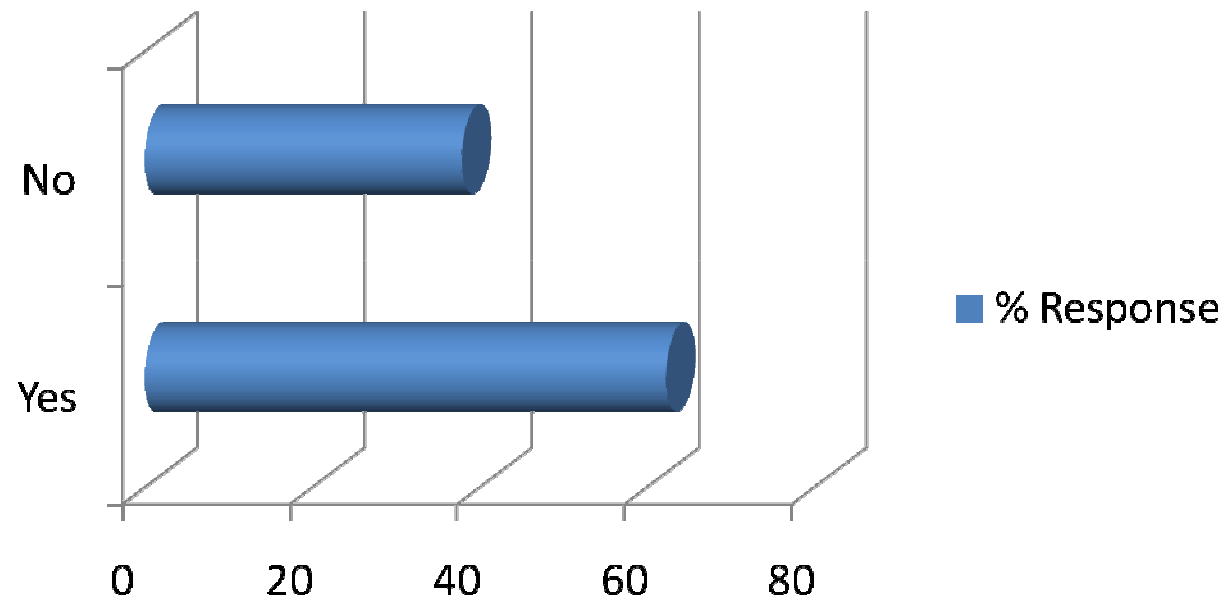


HQIP

Healthcare Quality
Improvement Partnership

Our survey said.....

Are all clinicians given appropriate time to participate in clinical audit?



HQIP

Healthcare Quality
Improvement Partnership

National Priorities

5) Between 1 April 2008 and 31 March 2009, did the trust undertake a formal review of the local and national audit programme undertaken in the trust to ensure that it meets the organisation's aims and objectives as part of the wider quality improvement agenda?

To respond yes to this question.....



National Priorities

....trust's should have carried out an annual formal review, recorded the outcomes of the review and any subsequent action that should be taken. For example, clinical audit annual report ratified at relevant governance committee.

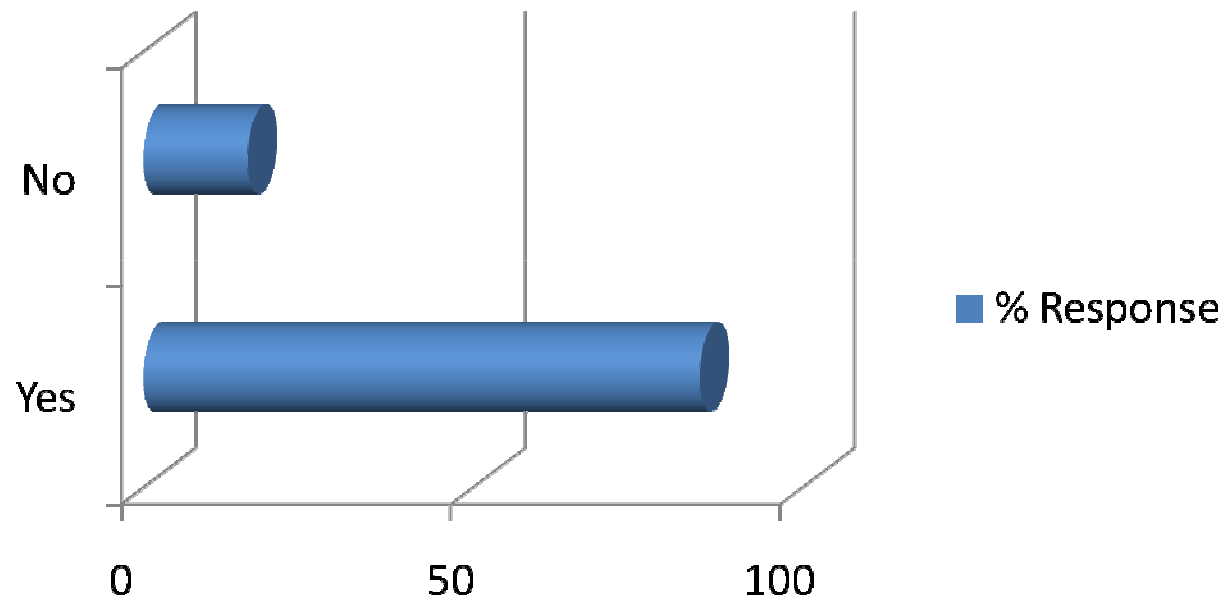


HQIP

Healthcare Quality
Improvement Partnership

Our survey said.....

Is there a delegated committee responsible for overseeing the progress and outputs of clinical audit?



HQIP

Healthcare Quality
Improvement Partnership

National Priorities

6) Between 1 April 2008 and 31 March 2009, did the trust's management or governance leads receive regular reports on the progress being made in implementing the outcomes of national clinical audits and review the outcomes, with additional or re-audits being conducted where necessary?

To respond yes to this question.....



HQIP

Healthcare Quality
Improvement Partnership

National Priorities

....trust's should have:

- completed a review of the clinical audit outcomes and put forward an action plan (or equivalent) on the necessary actions required and,
- ensured that reports on progress being made had taken place and,
- ensured that both of the above had taken place at least once or in line with the clinical audit strategy or programme, whichever is more stringent.

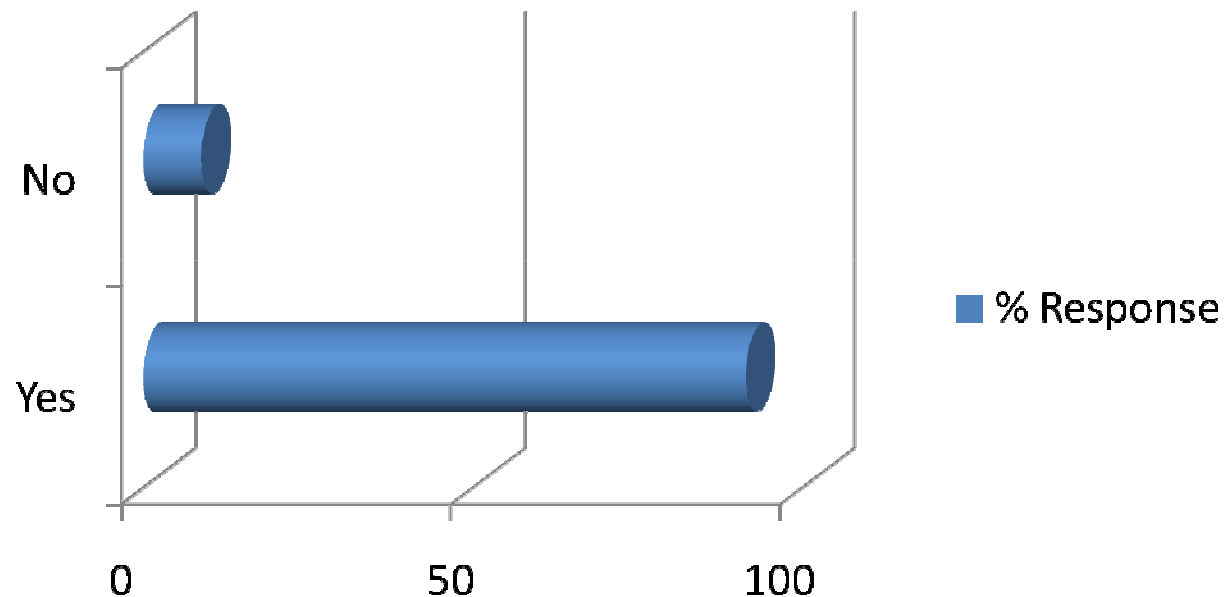


HQIP

Healthcare Quality
Improvement Partnership

Our survey said.....

Is clinical audit integrated to the Trusts governance and management arrangements?



HQIP

Healthcare Quality
Improvement Partnership

Q&A

Questions for clarification?



HQIP

Healthcare Quality
Improvement Partnership