

Audit, Research and Service Review Guide

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Workshop and Marketplace Etiquette

- Authors will discuss openly the detail of their products
- Authors will listen carefully to ideas and comments
- Delegates will consider the detail of the product privileged information until publication
- Delegates will be honest open and constructive in their contribution
- Delegates invited to complete feedback cards to submit comments and ideas about the content of the products

Next Steps

- Comments raised will inform final draft
- Final drafts prepared for mid May
- Editorial Board in June
- Publication on HQIP website in July

Today we will Cover

- What the Guide is?
- Our journey
- Key elements of the Guide
- Content examples
- Implementation flowchart
- Consultation debate

Pacing Ourselves

2008/09



- 171 Clinical Audit
- 214 Service Evaluation
- 62 Audit & Service Evaluation
- 363 Research

The 'Simple Rules' Guide

Educational risk management tool which aims to reduce the risk of contravening the research governance framework, local clinical governance requirements and the potential of using unsafe data to confirm or change practice

Methodology

Increased number of non clinical audit projects

Research Governance Framework implemented

Need for consistency by all departments involved

- Working group of stakeholders to devise a working document, 'Simple Rules Toolkit' to help differentiate between the activities
- Revised current 'Toolkit'
- Adapted for generic use
- Consultation

Content of Guide

- Section 1: Introduction
- Section 2: Simple Rules
- Section 3: Rule In Questions
- Section 4: Ethical Principles
- Section 5: Glossary of Terms
- Section 6: Frequently Asked Questions

Introduction

- Background
- Key points about the Guide
- Guidance for NHS Organisations on **structure/approach** for authorisation/management of CE activities
- **Flow charts** of governance arrangements for clinical effectiveness

Simple Rules

- Defines clinical audit, research, and service review (development and evaluation) activity

Rule in Questions

- Can be used to confirm the type of activity

Simple Rules & Rule in Questions

Activity	Simple Rule	Rule In question
Clinical audit	Measures existing practice against evidence-based clinical standards	Do you want to measure current practice against evidence-based clinical standards? <i>This will typically involve measuring both process and outcomes at the same time.</i>
Research	Generates new knowledge where there is no or limited research evidence available and which has the potential to be generalisable or transferable	Do you want to investigate the effects of a new treatment or technique on patients/ carers?

Simple Rules & Rule in Questions

Activity	Simple Rule	Rule In question
Service/ practice development	Introduces a change in service delivery or practice for which there is evidence derived from research, or from other health/social care settings that have already introduced and evaluated the change. New developments should always be evaluated	Do you want to introduce and evaluate a new practice(s) based on robust published evidence?
Service/ practice evaluation	Evaluates the effectiveness or efficiency of existing or new service/practice that is evidence based with the intention of generating information to inform local decision-making. This type of activity has sometimes been referred to as a clinical effectiveness study, baseline audit, activity analysis, organisational audit and benchmarking.	Do you want to collect and analyse patient/staff/carers data to evaluate patterns of activity?

Ethical Principles

- Applicable to clinical audit and service review that provide guidance on setting up and conducting a project in line with clinical governance requirements.
- Advice on how all proposed **changes to practice** must consider the clinical impact and risk to patients
- Covers New Techniques and Treatments

Ethical Principles

- Design and conduct of project
- Welfare of participants
- Rights of participants
- Risk

Implementation of the Guide

- Clinical audit projects should go through a quality review process for approval prior to registration
- Organisations should have a central registration system
- Research projects must be managed through the research governance framework for the organisation
- Organisations should have a Clinical (or integrated) Governance Process for Service Review as well as Clinical Audit

5-STEP GOVERNANCE PROCESS FOR SERVICE REVIEW ACTIVITY

STEP 1

Individual seeks to undertake a Service Review project (either service development or service evaluation)

Search the STH Project Portal

Confirm via the 'Clinical Audit, Research & Service Review Guide' that it is Service Review activity

Discuss with directorate line manager/ clinical lead the feasibility of the proposed project N.B. use prompt questions/Service Review Registration Form

STEP 2

Produce a documented outline of proposed project/complete Service Review Registration Form

STEP 3

Consider 'Ethical Principles applicable to Clinical Audit and Service Review' and take appropriate action

N.B. Consider referral to Clinical Ethics Group of unresolved/complex ethical issues

STEP 4

Determine level of sign off required

Very Low/Low/Moderate Risk

High/Major Risk

Directorate Sign Off
(Clinical Director/General Manager/Nurse Director)

Directorate Sign Off
(Clinical Director/General Manager/Nurse Director)
PLUS
TEG Sign Off

STEP 5

REGISTRATION

Key Messages

- There will always be grey area cases
- Clinical audit is less complex to determine
- More complex to differentiate between research and service review
- The Guide is not a policy but provides guidance
- The final decisions to undertake service review activities rest with the individual professional

Final Balance Sheet

- Common hymn sheet
- Increased registration of SR
- Decreased time taken to categorise projects
- QC to support CG
- Final arbitrators R&D
- New Techniques & Treatments policy
- Better working relationships
- Audit staff training tool
- Resource intensive to devise (but not to use)
- Training required for some
- Cost of evaluation of the training
- Not 100%