

# Publication Report



## **Improving ethnic data collection for equality and diversity monitoring**

**April 2009 – March 2011**

**30<sup>th</sup> August 2011**

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## About ISD

Scotland has some of the best health service data in the world combining high quality, consistency, national coverage and the ability to link data to allow patient based analysis and follow up.

Information Services Division (ISD) is a business operating unit of NHS National Services Scotland and has been in existence for over 40 years. We are an essential support service to NHSScotland and the Scottish Government and others, responsive to the needs of NHSScotland as the delivery of health and social care evolves.

**Purpose:** To deliver effective national and specialist intelligence services to improve the health and wellbeing of people in Scotland.

**Mission:** Better Information, Better Decisions, Better Health

**Vision:** To be a valued partner in improving health and wellbeing in Scotland by providing a world class intelligence service.

## Official Statistics

Information Services Division (ISD) is the principal and authoritative source of statistics on health and care services in Scotland. ISD is designated by legislation as a producer of 'Official Statistics'. Our official statistics publications are produced to a high professional standard and comply with the Code of Practice for Official Statistics. The Code of Practice is produced and monitored by the UK Statistics Authority which is independent of Government. Under the Code of Practice, the format, content and timing of statistics publications are the responsibility of professional staff working within ISD.

ISD's statistical publications are currently classified as one of the following:

- National Statistics (ie assessed by the UK Statistics Authority as complying with the Code of Practice)
- National Statistics (ie legacy, still to be assessed by the UK Statistics Authority)
- Official Statistics (ie still to be assessed by the UK Statistics Authority)
- other (not Official Statistics)

Further information on ISD's statistics, including compliance with the Code of Practice for Official Statistics, and on the UK Statistics Authority, is available on the [ISD website](#).

The United Kingdom Statistics Authority has designated these statistics as National Statistics, in accordance with the Statistics and Registration Service Act 2007 and signifying compliance with the Code of Practice for Official Statistics. Designation can be broadly interpreted to mean that the statistics:

- meet identified user needs;
- are well explained and readily accessible;
- are produced according to sound methods, and
- are managed impartially and objectively in the public interest.

Once statistics have been designated as National Statistics it is a statutory requirement that the Code of Practice shall continue to be observed.

## Introduction

The reduction of health inequalities is a key priority for the Scottish Government. Inequalities related to deprivation are well known, but there are also important health inequalities related to ethnic group and other aspects of the diversity of the Scottish population. Addressing ethnic inequalities in health requires accurate and complete information to target interventions and monitor progress towards reducing inequalities. This publication relates to the quality and completeness of information on ethnicity in hospital discharge and new outpatient appointment data.

## Key points

- For Scotland as a whole there have been substantial improvements in the recording of ethnic group. Completeness of recording has more than doubled over the last two years for both acute hospital discharges and new outpatients.
- Despite this improvement, the recording of ethnicity remains relatively low: a valid ethnic group code was recorded in only 51% of acute inpatient and daycase records (SMR01) in the quarter ending March 2011 and only 33% of new outpatient appointment records (SMR00).
- In the most recent quarter the highest levels of recording for inpatients and day cases were in Golden Jubilee National Hospital (GJNH), NHS Lanarkshire and NHS Dumfries & Galloway.
- In the last two years Dumfries & Galloway, Tayside, Lothian, Highland, Ayrshire & Arran and Shetland NHS Boards have made substantial improvements in recording.
- In the last two quarters the figures for some Boards may have been affected by the implementation of the new NHS Patient Management System (PMS). More details are provided in the notes section.

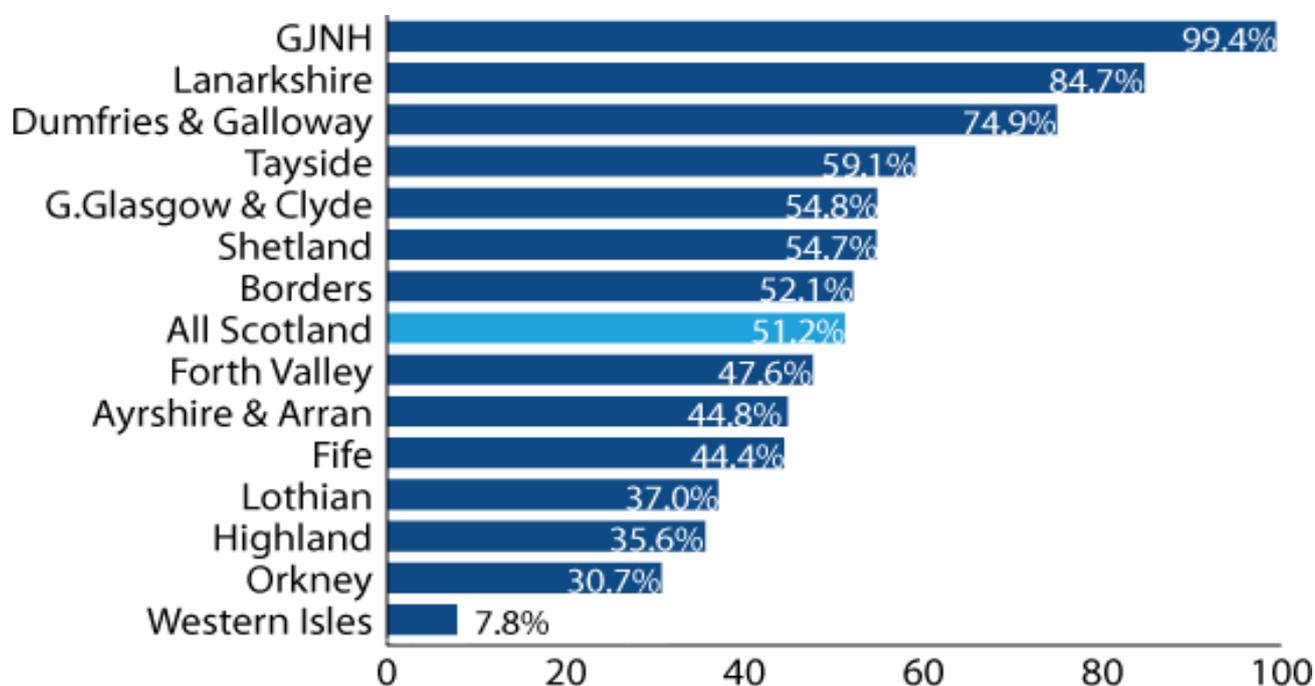
## Results and Commentary

These results are for the period between April 2009 – March 2011 including the last quarter ending 31<sup>st</sup> March 2011.

### Inpatient and day case discharges

For acute inpatient and day case discharges (SMR01 data) the overall level of completeness for ethnic group recording was 51.2% for NHS Scotland for the quarter ending 31<sup>st</sup> March 2011 (see Figure 1). The highest levels of recording for this quarter were at the Golden Jubilee National Hospital (99.4%), Lanarkshire (84.7%) and Dumfries and Galloway (74.9%). Tayside (59.1%), Greater Glasgow and Clyde (54.8%), Shetland (54.7%) and Borders (52.1%) were all above the national average. Most NHS Boards had completeness levels above 31% for this quarter, while Western Isles was only 7.8%. The implementation of a new patient management system (PMS) in NHS Grampian has had a noticeable impact on SMR submission and therefore data for this quarter is as yet unavailable. PMS implementation may also have affected the figures for Borders and Lanarkshire. Further information is provided in the notes section below.

**Figure 1: Percentage of discharge episode records (SMR01) with a valid ethnic group by NHS Board of Treatment; quarter ending 31st March 2011**

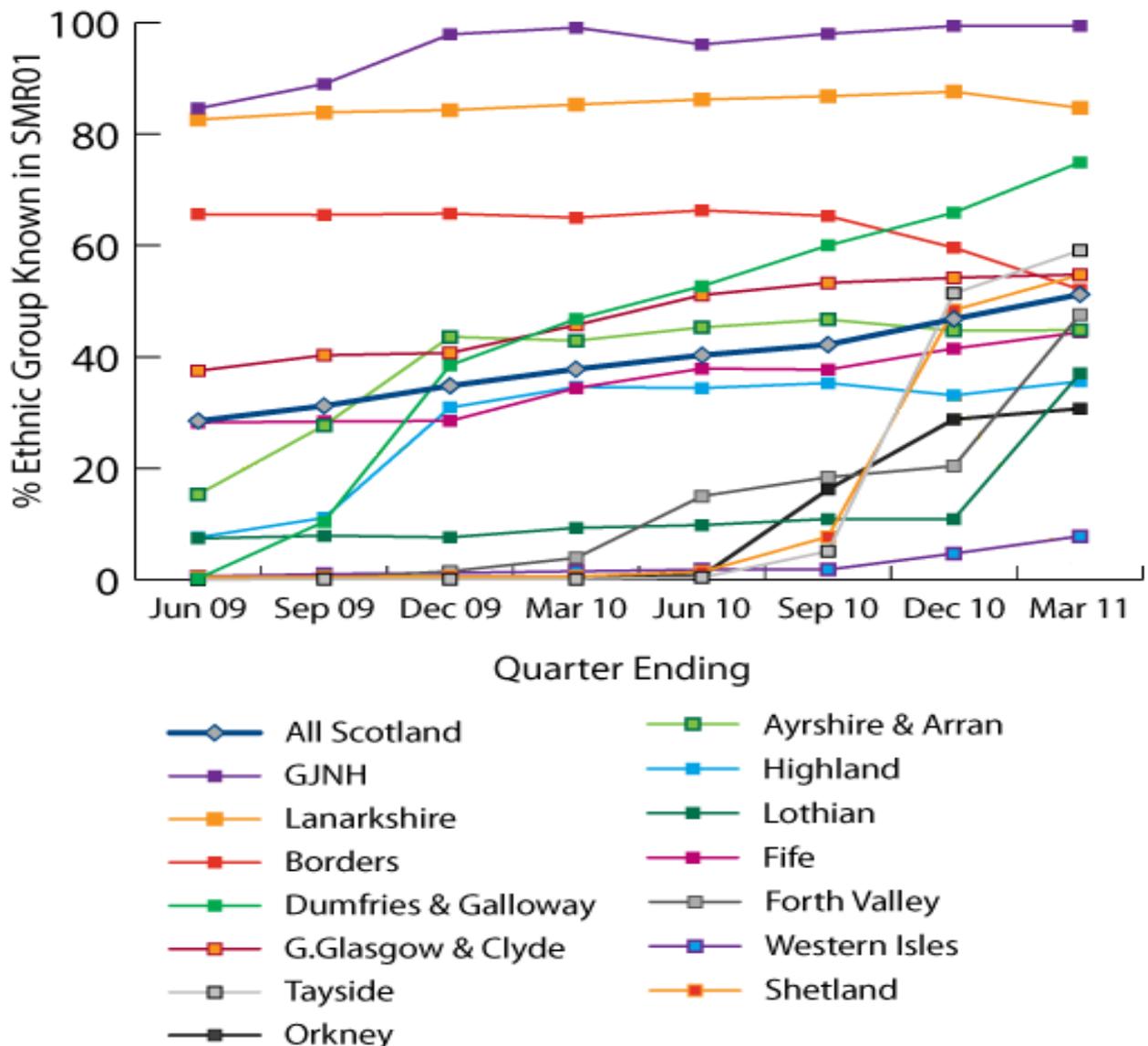


Note 1: that figures include as 'complete' those who declined to state their ethnic group. Please refer to the Guidance Notes below.

The overall level of completeness for Scotland rose from 28.5% in the quarter April - June 2009 to 51.2% in January - March 2011 (see Figure 2). This increase has been driven by several Boards that have made significant progress during the past two years.

Dumfries & Galloway, Tayside, Shetland, Forth Valley, Orkney, Lothian, Highland, and Ayrshire & Arran NHS Boards all saw substantial increases in recording between April 2009 and March 2011. Recording levels rose to above 30% (April 2009 to March 2011) in all boards except Western Isles (7.8%). As mentioned above, the implementation of a new patient management system in NHS Grampian means that data for the quarter ending March 2011 are not yet available.

**Figure 2: Percentage of discharge episode records (SMR01) with a valid ethnic group by NHS Board of Treatment and quarter: quarters ending June 2009 to March 2011**



Note 1: that figures include as 'complete' those who declined to state their ethnic group. Please refer to the Guidance Notes below.

Note 2: That these figures may not correspond exactly with figures released previously as the data are extracted from dynamically updated databases. Note also that for this reason these data are subject to future corrections.

[SMR01 Ethnicity Completeness](#) [26.0 KB] up to 31st March 2011 by NHS Board and quarter.

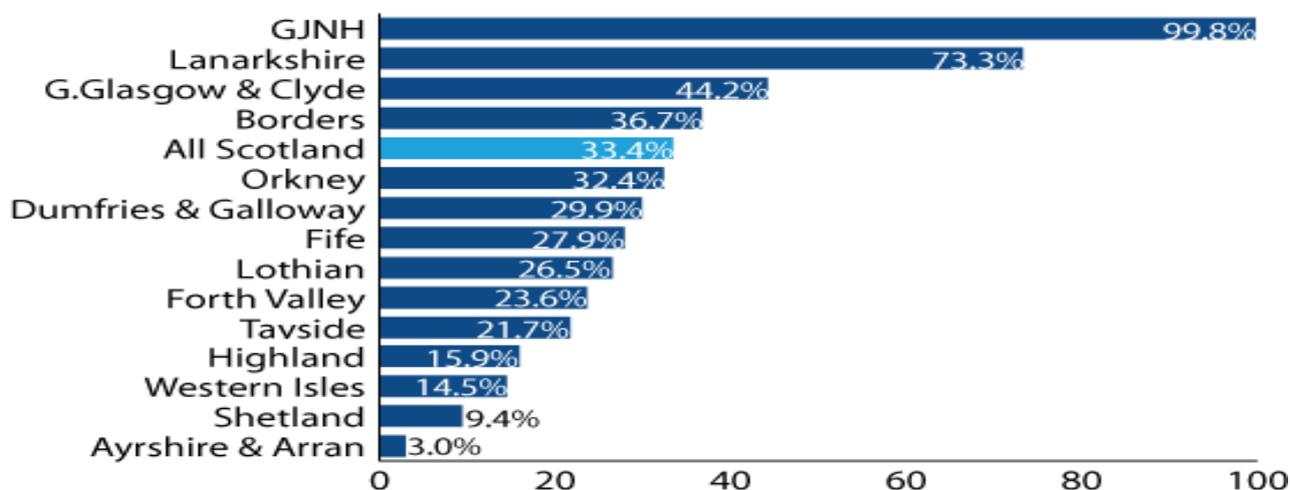
## New outpatient appointments

For new outpatient appointments (SMR00 data) the overall level of completeness for ethnic group recording was 33.4% for Scotland as a whole for the quarter ending March 2011 (see Figure 3). The highest levels of recording for this quarter were for the Golden Jubilee National Hospital (99.8%), Lanarkshire (73.3%) and Greater Glasgow & Clyde (44.2%). These boards, together with NHS Borders, (36.7%) were all above the national average.

The lowest levels of recording were in NHS Western Isles and Shetland.

It should be noted that the implementation of the new PMS in Borders and Lanarkshire has had a noticeable impact on the submission of SMR returns and that ethnicity completeness figures for these boards should therefore be treated with caution. The implementation of a new PMS in NHS Grampian means that data for this quarter are as yet unavailable. Further information is provided in the notes section below.

**Figure 3: Percentage of new outpatient appointment records (SMR00) with a valid ethnic group by NHS Board of Treatment; quarter ending 31st March 2011**

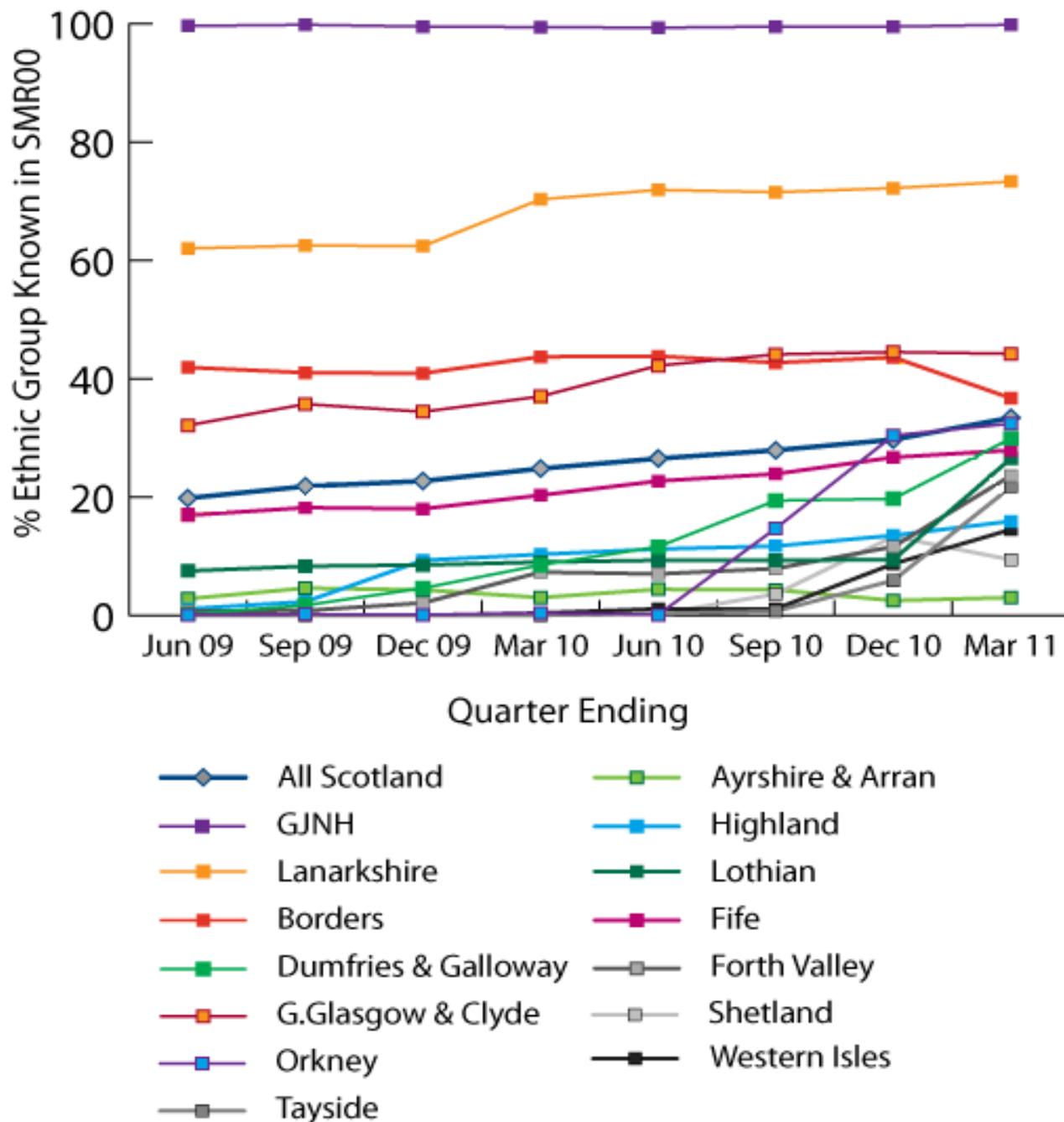


Note 1: that figures include as 'complete' those who declined to state their ethnic group. Please refer to the Guidance Notes below.

Improvements have been made in recording on SMR00, although the levels remain lower than for SMR01. The overall level of completeness for Scotland rose from 19.8% in the quarter April-June 2009 to 33.4% in January- March 2011 (see Figure 4). As with SMR01, this increase has been driven by several Boards that have made significant progress during the past two years.

Golden Jubilee National Hospital maintained high levels of recording during this period. There were notable rises in completeness in Orkney, Dumfries & Galloway, Forth Valley, Tayside and Lothian NHS Boards as well as in Grampian (up to December 2010).

Figure 4: Percentage of new outpatient appointment records (SMR00) with a valid ethnic group by Health Board of Treatment and quarter: quarters ending June 2009 to March 2011



Note 1: that figures include as 'complete' those who declined to state their ethnic group. Please refer to the Guidance Notes below.

Note 2: That these figures may not correspond exactly with figures released previously as the data are extracted from dynamically updated databases. Note also that for this reason these data are subject to future corrections.

[SMR00 Ethnicity Completeness](#) [22.0 KB] up to 31st March 2011 by NHS Board and quarter.

## Notes

Discharge statistics are derived from data collected on discharges from non-obstetric and non-psychiatric hospitals in Scotland (SMR01). Data from January to March 2011 are provisional.

New outpatient statistics are based on new attendances at outpatient clinics in all specialties (except A&E and Genito-Urinary Medicine) in Scotland (SMR00). The analysis is based on a subset of the dataset comprising patients who received a new appointment at a consultant-led outpatient clinic.

A new patient management system (PMS) is currently being implemented in a phased approach across 5 NHS Boards. There has been a noticeable impact on the submission of SMR returns. Data should therefore be interpreted with caution. More information on the completeness of SMR returns is available on the ISD website at:

<http://www.isdscotland.org/Products-and-Services/Hospital-Records-Data-Monitoring/SMR-Completeness/>

The percentage with a valid ethnic group relates to records completed with a valid ethnic group or patient refusal codes only. Records completed with 'Not Known' codes or left blank are not deemed to be a valid ethnic group.

Ethnicity is "the social group a person belongs to, and either identifies with or is identified with by others, as a result of a mix of cultural and other factors including language, diet, religion, ancestry and physical features traditionally associated with race". (Bhopal, 2004). Ethnicity is essentially self-defined and may change over time. Classification of ethnicity is based on categories that include common self-descriptions, are acceptable to respondents and that identify variations that are important for research or policy. Ethnicity is different from country of origin, since many countries include more than one ethnic group.

Patients are not compelled to provide information about their ethnic group and a 'declined to provide' response is included in the total of valid codes in these figures.

## List of Tables

Table No.	Name	Time period	File & size
1	<a href="#">Percentage of discharge episode records (SMR01) with a valid ethnic group by Health Board of Treatment and Quarter:</a>	Quarters ending June 2009 - March 2011	Excel [26.0 KB]
2	<a href="#">Percentage of new outpatient appointment records (SMR00) with a valid ethnic group by Health Board of Treatment and Quarter</a>	Quarters ending June 2009 - March 2011	Excel [23.0 KB]

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## Further Information

Further information can be found on the [ISD website](#)

## Appendix

### A1 – Background Information

The NHSScotland Quality Strategy committed NHSScotland to understanding the needs of different communities, eliminating discrimination, reducing inequality, protecting human rights and building good relations by breaking down barriers that may be preventing people from accessing the care and services that they need. The UK Government's Equality Act requires public authorities to collect equality characteristics such as ethnicity to demonstrate that they are meeting the new public sector equality duty.

A key aim of the Equality and Diversity Information Programme (EDIP) is that all health information systems should be able to collect and share diversity information to support individual care, identify inequalities, monitor progress towards reducing those inequalities and demonstrate compliance with equalities legislation.

The Scottish Health Council Patient Focus Targets 2007/08 provided an incentive for NHS Boards to increase the routine collection of information on ethnic group within acute hospital discharge records (SMR01) and new outpatient appointment records (SMR00). In September 2009 the Director of Healthcare Policy and Strategy wrote to all NHS Board Chief Executives seeking improvement in equalities data collection and monitoring, particularly in the recording of ethnicity in SMR00 and SMR01. This letter required Boards to produce an action plan to improve recording, outline how progress will be measured and to include plans for widening equality data collection. NHS Health Scotland and the Information Services Division will offer Boards support to improve equality data capture and monitoring. Complete routine equalities data would allow the NHS to monitor services to ensure that all the people of Scotland are being treated fairly and equally, help assess the health needs of different groups and enable the NHS to monitor progress towards reducing inequalities. In summary, the current lack of data means that NHS Scotland is unable to monitor inequalities in the health of the Scottish population by ethnic group (or by disability, sexual orientation or other determinants of inequality). The fact that ethnic group is recorded in hospital discharge data in England in over 90% of episodes demonstrates that better recording is feasible. The current low level of recording highlights the need for further action to improve information about the health of different ethnic groups in Scotland.

**A2 – Publication Metadata (including revisions details)**

<b>Metadata Indicator</b>	<b>Description</b>
Publication title	Improving ethnic data collection for equality and diversity monitoring
Description	The NHS in Scotland should be able to monitor inequalities and demonstrate compliance with equalities legislation.
Theme	Health and Care
Topic	Health Care System
Format	Website
Data source(s)	SMR00, SMR01, SMR04
Date that data is acquired	26 July11
Release date	30th August 11
Frequency	Twice-yearly
Timeframe of data and timeliness	Data ranges from 2005 – 2011, No delays
Relevance and key uses of the statistics	Planning and research
Disclosure	Only data on completeness of ethnic group field in SMR00/01 is presented. No individuals can be identified.
Official Statistics designation	Non-National Statistics
Last published	22 February 2011
Next published	28 February 2012
Help email	Joan Jamieson <a href="mailto:Joan.jamieson@nhs.net">Joan.jamieson@nhs.net</a>
Date form completed	11/08/2011

## **A3 – Early Access details (including Pre-Release Access)**

### **Pre-Release Access**

Under terms of the "Pre-Release Access to Official Statistics (Scotland) Order 2008", ISD are obliged to publish information on those receiving Pre-Release Access ("Pre-Release Access" refers to statistics in their final form prior to publication). The standard maximum Pre-Release Access is five working days. Shown below are details of those receiving standard Pre-Release Access and, separately, those receiving extended Pre-Release Access.

Standard Pre-Release Access:  
Scottish Government Health Department  
NHS Board Chief Executives  
NHS Board Communication leads

### **Extended Pre-Release Access**

Extended Pre-Release Access of 8 working days is given to a small number of named individuals in the Scottish Government Health Department (Analytical Services Division). This Pre-Release Access is for the sole purpose of enabling that department to gain an understanding of the statistics prior to briefing others in Scottish Government (during the period of standard Pre-Release Access).

Scottish Government Health Department (Analytical Services Division)