Publication Report

Improving ethnic data collection for equality and diversity monitoring

April 2011 – March 2013

Publication date – 27th August 2013

Contents

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 has been a steady improvement in the recording of ethnic group over the last two years. Completeness of recording for inpatient and day case records (SMR01) has improved by just under 15% to 77% and for new outpatient appointment records (SMR00) recording has improved by 20% to 64%.

- Recording of ethnicity varies widely across Scotland and remains low in some Boards: in the quarter ending March 2013 completeness of recording ranged from 21% to almost 99% for SMR01 and from 25% to 99% for SMR00.

- In the most recent quarter, three Boards have achieved completeness recording for inpatients and day case records (SMR01) of over 90%: Dumfries & Galloway, Lothian and Golden Jubilee National Hospital (GJNH). However, for new outpatients appointment records (SMR00), only Golden Jubilee National Hospital (GJNH) has achieved over 90%.

- In the last two quarters Forth Valley, Highland, Lothian, Tayside and Western Isles Boards have made substantial improvement in recording a valid ethnic group code. However, this increase can be attributed partly to the use of code '98 – Refused/Not Provided'.

Results and Commentary

These results are for the period between April 2011 and March 2013 including the last quarter ending 31st March 2013.
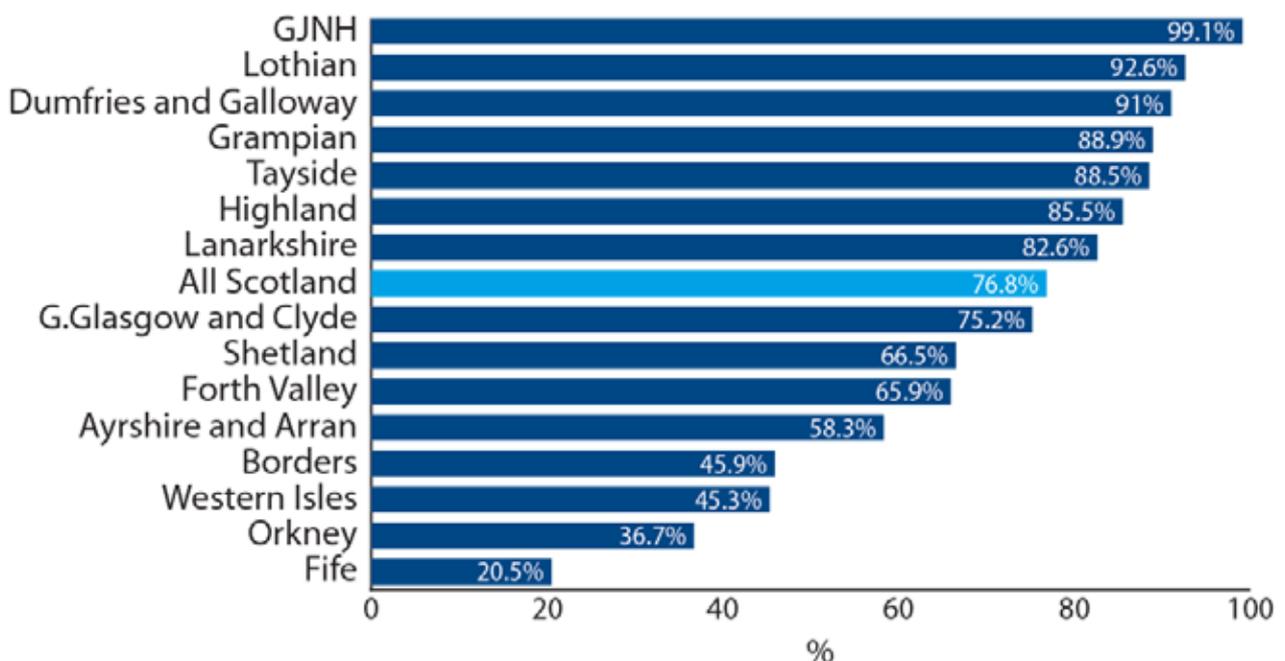
Inpatient and day case discharges

For acute inpatient and day case discharges (SMR01) the completeness of recording of ethnic group was 76.8% for NHS Scotland for the quarter ending 31st March 2013 (see Figure 1). The highest levels of recording for this quarter were at the Golden Jubilee National Hospital (99.1%), Lothian (92.6%) and Dumfries and Galloway (91.0%). Grampian (88.9%), Tayside (88.5%), Highland (85.5%) and Lanarkshire (82.6%) were all above the national average.

The lowest levels of recording were in Fife (20.5%), Orkney (36.7%), Western Isles (45.3%) and Borders (45.9%).

Completeness for the quarter January – March 2013 increased in most Boards from those reported for quarter July – September 2012 in the February 2013 publication.

The implementation of TrakCare PMS may have affected figures in previous publications. Implementation is now complete within the 5 consortium Boards and is no longer affecting submission of SMR01. Further information is provided in the Background Information section.

Figure 1: Percentage of hospital discharge episode records (SMR01) with a valid ethnic group by NHS Board of Treatment; quarter ending 31st March 2013
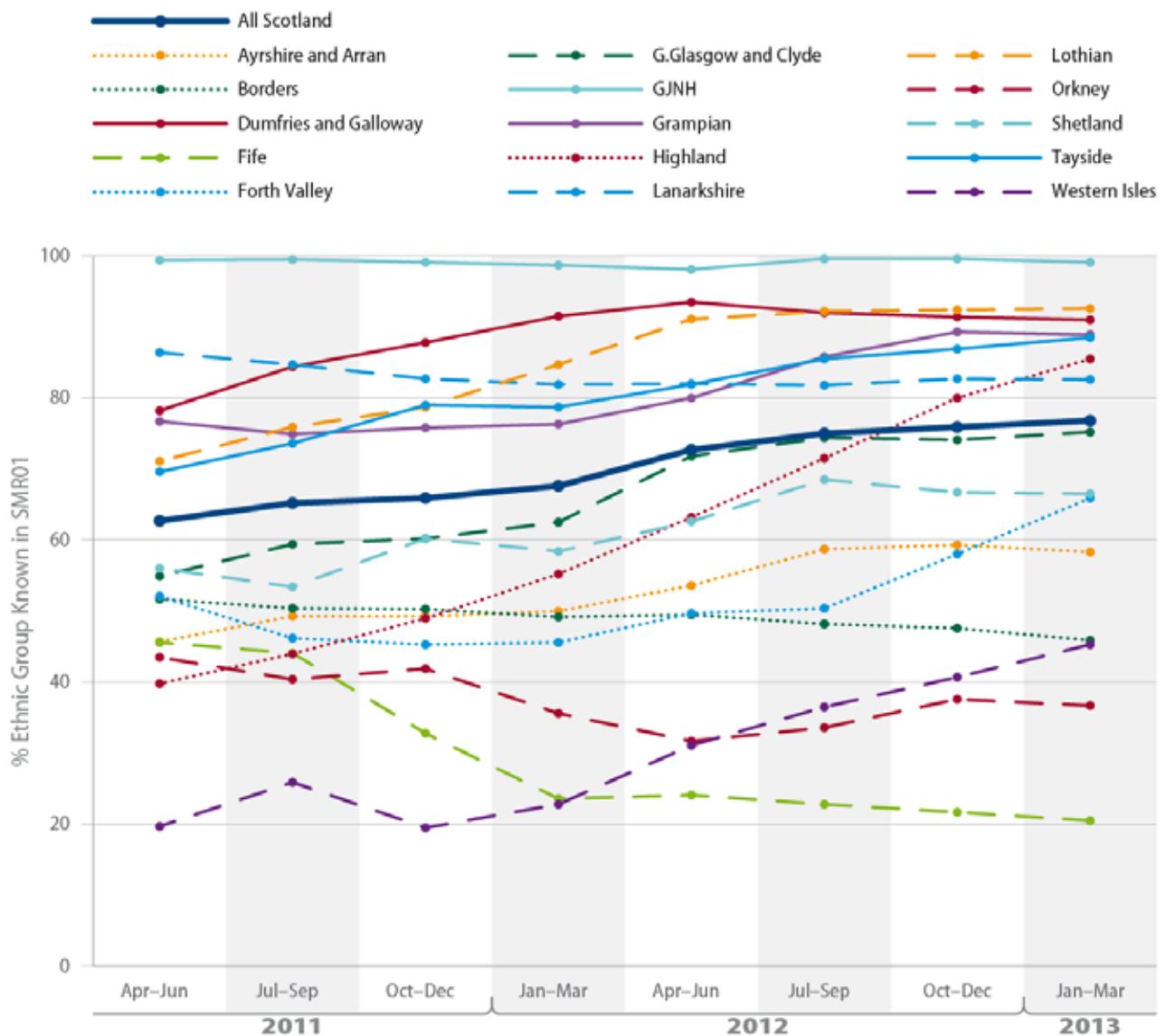

Note 1: that figures include as 'complete' those who declined to state their ethnic group. Please refer to Appendix A1.

The completeness of recording for NHS Scotland rose from 62.7% for quarter April – June 2011 to 76.8% for quarter January – March 2013 (see Figure 2). This increase has been driven by Boards that have made significant progress during the past two years. However, the apparent increase in recording can be attributed partly to the use of code '98 – Refused/Not Provided' in the last four quarters.

Substantial increases in recording between April 2011 and March 2013 can be seen in Greater Glasgow & Clyde, Highland, Lothian and Western Isles Boards. Conversely, a 25% decrease in recording has been observed in Fife during the same period.

Figure 2: Percentage of hospital discharge episode records (SMR01) with a valid ethnic group by NHS Board of Treatment and quarter: quarters ending June 2011 to March 2013

Note 1: that figures include as 'complete' those who declined to state their ethnic group. Please refer to Appendix A1.

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 [22.0 KB] up to 31st March 2013 by NHS Board and quarter.
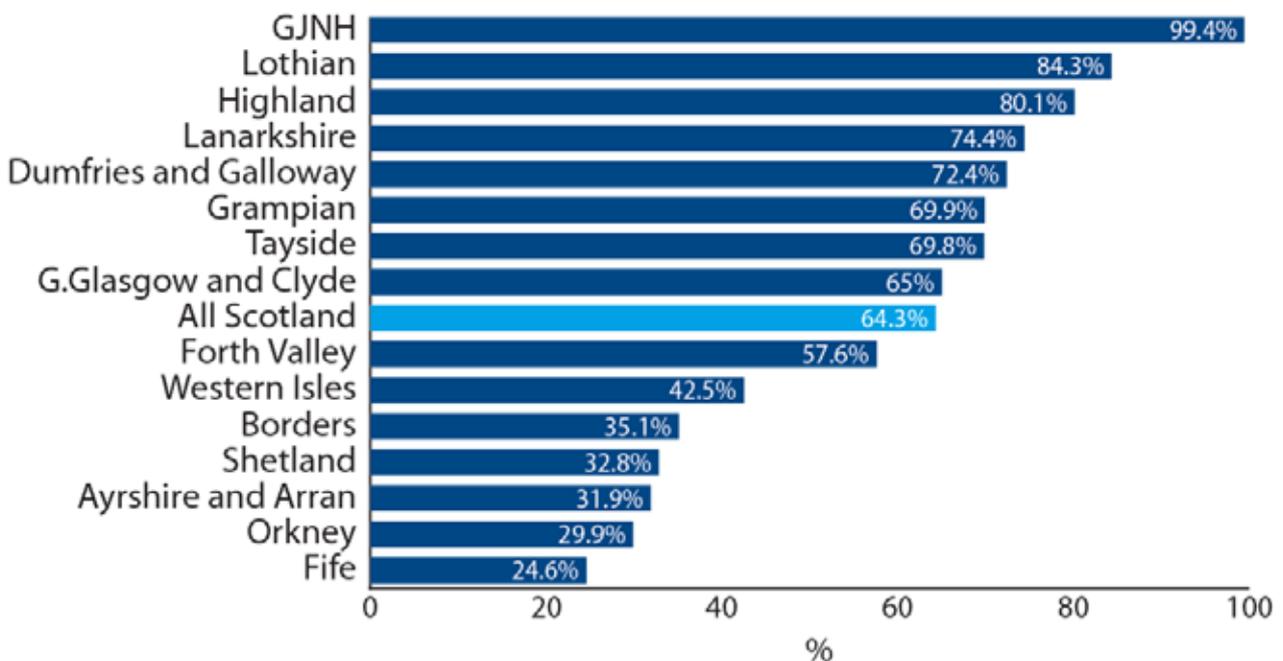
New outpatient appointments

For new outpatient appointments (SMR00 data) the completeness of recording of ethnic group was 64.3% for NHS Scotland for the quarter ending March 2013 (see Figure 3). The highest levels of recording for this quarter were at the Golden Jubilee National Hospital (99.4%), Lothian (84.3%), Highland (80.1%), Lanarkshire (74.4%) and Dumfries & Galloway (72.4%). These Boards, together with Grampian (69.9%), Tayside (69.8%) and Greater Glasgow & Clyde (65.0%) were all above the national average.

The lowest levels of recording were in Fife (24.6%), Orkney (29.9%), Ayrshire and Arran (31.9%) and Shetland (32.8%).

Completeness for the quarter January – March 2013 increased in most Boards from those reported for quarter July – September 2012 in the February 2013 publication.

The implementation of TrakCare PMS may have affected figures in previous publications. Implementation is now complete within the 5 consortium Boards and is no longer affecting submission of SMR00. Further information is provided in the Background Information section.

Figure 3: Percentage of new outpatient appointment records (SMR00) with a valid ethnic group by NHS Board of Treatment; quarter ending 31st March 2013
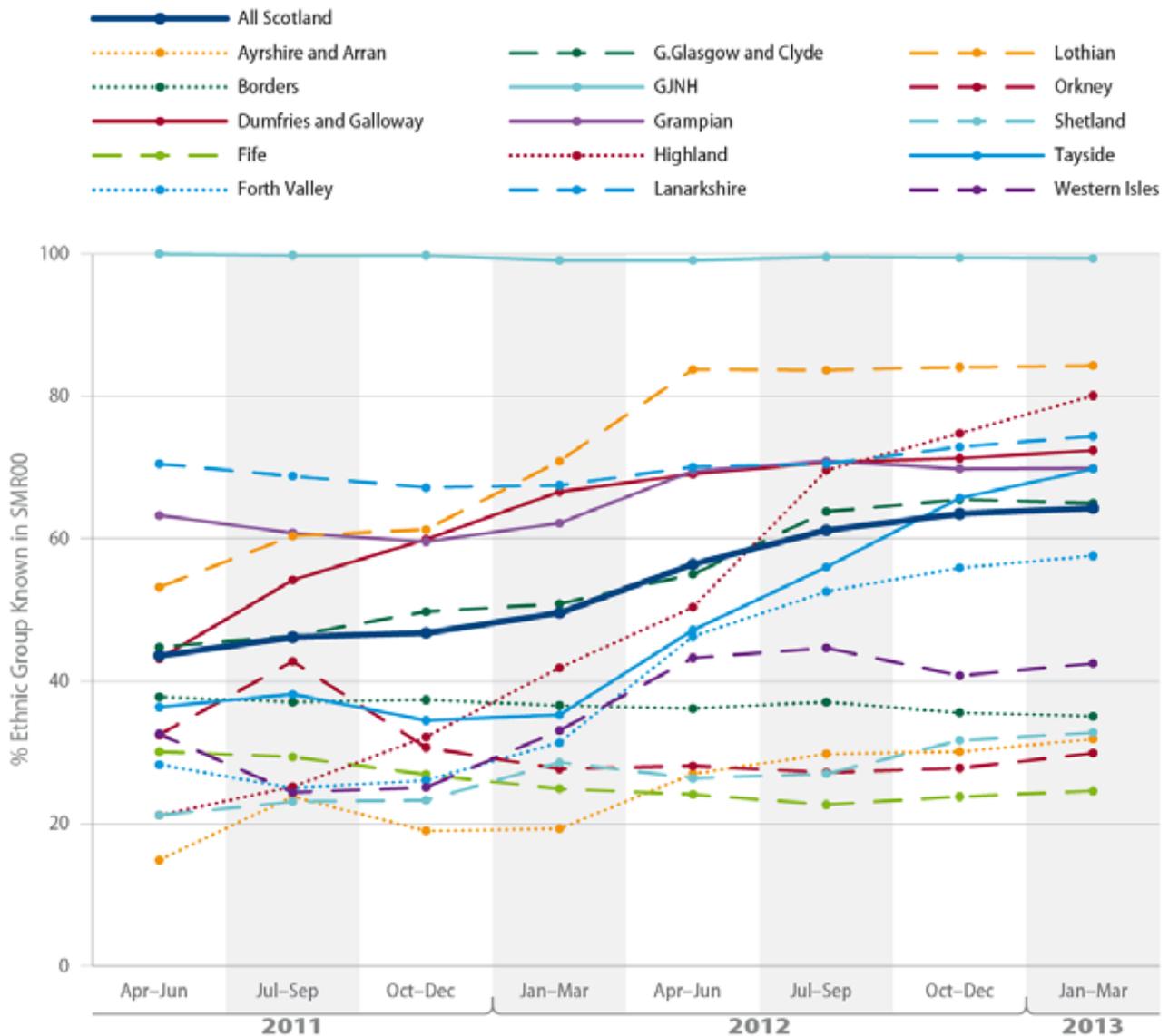

Note 1: that figures include as 'complete' those who declined to state their ethnic group. Please refer to Appendix A1.

Improvements have been made in recording on SMR00, although the level remains lower than for SMR01. The completeness for NHS Scotland rose from 43.6% in the quarter April – June 2011 to 64.3% in January – March 2013 (see Figure 4). As with SMR01, this increase has been driven by several Boards that have made significant progress during the past two years. However, the apparent increase in recording can be attributed partly to the use of code '98 – Refused/Not Provided' in the last four quarters.

Substantial increases in recording between April 2011 and March 2013 can be seen in Dumfries & Galloway, Forth Valley, Highland, Lothian and Tayside.

Figure 4: Percentage of new outpatient appointment records (SMR00) with a valid ethnic group by Health Board of Treatment and quarter: quarters ending June 2011 to March 2013

Note 1: that figures include as 'complete' those who declined to state their ethnic group. Please refer to Appendix A1.

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 [23.0 KB] up to 31st March 2013 by NHS Board and quarter.

Glossary

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.

List of Tables

Table No.	Name	Time period	File & size
1	Percentage of discharge episode records (SMR01) with a valid ethnic group by Health Board of Treatment and Quarter	Quarters ending June 2011 – March 2013	Excel [22kb]
2	Percentage of new outpatient appointment records (SMR00) with a valid ethnic group by Health Board of Treatment and Quarter	Quarters ending June 2011 – March 2013	Excel [22kb]

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Further Information

Further information can be found on the ISD website

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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.

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. While the general picture is improving, it remains the case that for some NHS Boards lack of data means that they are unable to monitor inequalities in the health of their local population by ethnic group. The fact that ethnic group is recorded in hospital discharge data in England in over 90% of episodes demonstrates that further improvements are possible and highlights the need for further action to improve information about the health of different ethnic groups in Scotland.

Discharge statistics are derived from data collected on discharges from non-obstetric and non-psychiatric hospitals in Scotland (SMR01). Data from January – March 2013 are provisional.

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

A patient management system (TrakCare PMS) has been implemented between Dec 2010 and May 2013 in 5 NHS Boards; NHS Borders, NHS Grampian, NHS Lanarkshire, NHS Ayrshire & Arran and NHS Greater Glasgow & Clyde. 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.

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

A2 – Publication Metadata (including revisions details)

Metadata Indicator	Description
Publication title	Improving ethnic data collection for equality and diversity monitoring
Description	Biannual monitoring of the recording of ethnic codes on Inpatient and Daycase (SMR01) and New Outpatient (SMR00) records of NHSScotland.
Theme	Health and Social Care
Topic	Equality and Diversity
Format	Excel workbooks and PDF
Data source(s)	SMR00, SMR01
Date that data are acquired	29 June 2013 (SMR01); 27 June 2013 (SMR00)
Release date	27th August 2013
Frequency	Twice-yearly
Timeframe of data and timeliness	Data from 2005 to 2013. There have been no delays in reporting.
Continuity of data	Continuous data
Revisions statement	N/A
Revisions relevant to this publication	N/A
Concepts and definitions	Definitional Rules and Codes are available from the ISD Data Dictionary
Relevance and key uses of the statistics	Planning and research
Accuracy	N/A
Completeness	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/
Comparability	The use of consistent definitions across Scotland allows comparisons within Scotland. The definitions of ethnicity used are similar but not identical to those used in England, Wales and Northern Ireland.
Accessibility	It is the policy of ISD Scotland to make its web sites and products accessible according to published guidelines.
Coherence and clarity	Statistics are presented within Excel spreadsheets. NHS Board and national figures are presented graphically.
Value type and unit of measurement	Percentage of records with a valid ethnic group by NHS Board of Treatment by patient type (i.e. inpatients/day cases and new outpatients).
Disclosure	The ISD protocol on Statistical Disclosure Protocol is followed.
Official Statistics designation	Non-National Statistics
UK Statistics Authority Assessment	N/A
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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
NHS Health Scotland

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)

A4 – ISD and Official Statistics

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.