

Guidance for NHS Organisations 2020/21



Detail on National NHS R&D Objectives, Key indicators and Targets

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Purpose and Scope of this Guidance Document

The aim of this document is to advise NHS organisations on the national NHS R&D objectives, key indicators and targets set out in the Research and Development Division, Welsh Government's Delivery Framework – Performance Management of Local Support and Delivery Services 2020/21, particularly in relation to when each key indicator will be implemented and how they will be measured.

Please note that in line with the Delivery Framework, Key Indicators for Health Boards include research activity undertaken both in primary and secondary care.

In accordance with Welsh Government initiatives, the Local Portfolio Management System (LPMS) for Wales is in place in all NHS organisations as the tool for day to day research management and is the main source of all local research data, including confirmation of capacity and capability.

Whilst key indicators will be reported on a weekly basis, work will also continue to produce business intelligence based on the available data in order to support strategic decision making across Wales. The business intelligence reports to be produced are not included in this document, which focuses on the key indicators and targets within the Delivery Framework – **Performance Management of Local Support and Delivery Services 2020/21 available via the Health and Care Research Wales website¹**

This document is reviewed annually and is intended to be as helpful as possible. Any feedback on future editions of the guidance should be submitted to the Health and Care Research Wales Support & Delivery Centre (Research-FundingSupport@wales.nhs.uk). The Health and Care Research Wales Support & Delivery Centre supports NHS organisations by sharing any centrally held information, and also supports Welsh Government through collecting supporting evidence to demonstrate how the KIs have been met.

¹ <http://www.healthandcareresearch.gov.wales/nhs-randd-funding-policy/>

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National Objective	Key Indicator (KI)	Target/ Measurement	Implementation Date	Further Guidance	Data Source:
<p>A. Create and support a culture of research aligned to the needs of the local population</p>	<p>A1. NHS research data tabled at the NHS organisation's Board meeting</p>	<p>Minimum of twice a year.</p> <p>Confirmation of data being tabled.</p>	<p>2013/14</p>	<p>The Health and Care Research Wales Support & Delivery Centre will circulate NHS Research Performance data to NHS organisations on a weekly basis.</p> <p>This includes overall completeness of LPMS which is in place in all NHS organisations as the tool for day to day research management and is the main source of all local research data.</p> <p>NHS organisations are expected to provide an overview of R&D performance at their NHS organisations' board meetings. If preferred an alternative format containing similar information can be tabled at board meetings but should be shared prior to performance management meetings</p>	<p>Discussion at annual performance management meetings</p>

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	<p>A2. R&D representation at the NHS organisation's board meeting</p>	<p>Confirmation of attendance by R&D Director or alternate if R&D Director unable to attend.</p>	<p>2012/13</p>	<p>It is preferable that the R&D Director attends the organisation's board meeting. If an alternate is required, the board representative should be a senior member of NHS staff. Board members should be aware of the individuals' representation in this regard.</p> <p>It is acknowledged that some NHS organisations will have an indirect mechanism for reporting to the Board e.g. via other committees. NHS organisations which have an indirect mechanism for reporting to the Board will be considered to have met this target. However organisations should strive to achieve a direct reporting route to the board wherever possible.</p>	<p>Discussion at annual performance management meeting</p>
	<p>A3. An up-to date R&D strategy aligned to the Integrated Medium Term Plans (IMTP)</p>	<p>Integrated Medium Term Plan (IMTP) showing inclusion of plans for research and link within IMTP to R&D strategy</p>	<p>2017</p>	<p>The content of the NHS organisation's R&D strategy and how R&D is represented within the IMTP will form part of strategic discussions at the R&D annual performance management meeting.</p>	<p>NHS organisation IMTP (or Annual plan if no IMTP available) for discussion at annual performance management meeting</p>

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National Objective	Key Indicator (KI)	Target/ Measurement	Implementation Date	Further Guidance	Data Source:
<p>B. Manage appropriate use of R&D income</p>	<p>B1. Full compliance with all aspects of the NHS R&D Finance Policy evidenced through submission of monthly financial status reports</p>	<p>Confirmation of compliance with WHC (2018) 005) by organisation</p>	<p>2018/19</p>	<p>The Health and Care Research Wales Support & Delivery Centre will monitor the presence of an up-to-date R&D finance procedure or policy for each NHS organisation via the submission of monthly financial status reports</p> <p>Each NHS organisation is expected to have a finance policy that aligns to the principles and processes within the NHS R&D finance policy (https://www.healthandcareresearch.gov.wales/nhs-randd-funding-policy/).</p> <p>The Health and Care Research Wales Support & Delivery Centre 's remit is to provide advice and support in implementing the NHS R&D finance policy. For more information please contact the Health and Care Research Wales Support and Delivery Centre funding team.</p>	<p>Agreed Spending Plan 2020/21 and submission of monthly financial status reports</p>

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<p>C. To increase the quantity of high quality research being undertaken in NHS Wales</p>	<p>C1. Number of non-commercial studies on the Health and Care Research Wales Portfolio</p>	<p>Increase of 10% per annum</p>	<p>2012/13</p>	<p>The Health and Care Research Wales Support & Delivery Centre will use data from the Local Portfolio Management System (LPMS) , and Open Data Platform (ODP)² to report the number of Health and Care Research Wales non-commercial Portfolio studies per NHS organisation on a weekly basis. For Health Boards, this will include both primary and secondary care data.</p> <p>For further details on portfolio adoption, please see: https://www.healthandcareresearch.gov.wales/how-to-register-your-study/</p> <p>Where the source data for ODP originates from Sponsor/CI or central study teams, it is the responsibility of the NHS organisation to ensure this data is correct. This will include Health and Care Research Wales non-commercial Portfolio studies which are open within the relevant financial year, with a view of all studies open to recruitment against</p>	<p>Local Portfolio Management System (LPMS)</p> <p>Central Portfolio Management System (CPMS)</p> <p>Open Data Platform (ODP)</p>

² The majority of the source data for ODP will come from entries made by each NHS organisation into LPMS which will inform annual Business Intelligence data reports to be discussed at annual performance management meetings.

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				<p>those that have not yet begun recruiting. The time period used for this will be the financial year (01 April - 31 March). The data will be extracted from LPMS and ODP on a weekly basis, which will be viewable in the NHS Research Performance Dashboard. The quarterly & annual data will be extracted from these systems 4 weeks after the quarter / financial year has ended, in line with the data cuts outlined in Monitoring NHS R&D Activity.</p> <p>It is possible that additional studies or activity data could have been added after the data is extracted.</p> <p>Please note that recognition is given where organisations may struggle to meet these targets due to significant fluctuations in research activity; and/or very stable research activity, for example some Wales wide organisations.</p>	
	C2. Number of commercially sponsored studies on the Health and	Increase of 5% per Annum	2012/13	The Health and Care Research Wales Support & Delivery Centre will use data from the Local Portfolio Management System (LPMS) and the Open Data Platform (ODP) ⁴ , to report on the number of Health and Care	Local Portfolio Management System (LPMS) Central Portfolio Management

⁴ The majority of the source data for ODP will come from entries made by each NHS organisation into LPMS which will inform annual Business Intelligence data reports to be discussed at annual performance management meetings.

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	<p>Care Research Wales Portfolio ³</p>			<p>Research Wales Portfolio commercially sponsored studies per NHS organisation on a weekly basis. For Health Boards, this will include primary and secondary care data.</p> <p>Where the source data for ODP originates from Sponsor/CI or central study teams, it is the responsibility of the NHS organisation to ensure this data is correct.</p> <p>This will include Health and Care Research Wales Portfolio commercially sponsored studies which are open within the relevant financial year, with a view of all studies open to recruitment against those that have not yet begun recruiting.</p> <p>The time period used for this will be the financial year (01 April - 31 March). The data will be extracted from LPMS and ODP on a weekly basis, which will be viewable in the NHS Research Performance Dashboard. The quarterly & annual data will be extracted from these systems 4 weeks after the quarter / financial year has ended, in line with the data cuts outlined in Monitoring NHS R&D Activity.</p> <p>It is possible that additional studies or activity data could have been added after</p>	<p>System (CPMS) Open Data Platform (ODP)</p>
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³ Commercially Sponsored Studies are those studies that are industry funded and industry sponsored

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				<p>the data is extracted.</p> <p>Please note that recognition is given where organisations may struggle to meet these targets due to significant fluctuations in research activity; and/or very stable research activity, for example some Wales wide organisations.</p>	
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National Objective	Key Indicator (KI)	Target/ Measurement	Implementation Date	Further Guidance	Data Source:
<p>D. To increase the opportunity for NHS participants to participate in, and benefit from, clinical trials and other well designed studies</p>	<p>D1. Number of participants recruited into non-commercial Health and Care Research Wales Portfolio studies</p>	<p>Increase of 10% per annum</p>	<p>2012/13</p>	<p>The Health and Care Research Wales Support & Delivery Centre will use data from the Local Portfolio Management System (LPMS) and Open Data Platform (ODP)⁵ to report the recruitment to Health and Care Research Wales non-commercial Portfolio studies per NHS organisation on a weekly basis. For Health Boards, this will include both primary and secondary care recruitment data.</p> <p>Where the source data for ODP originates from Sponsor/CI or central study teams, it is the responsibility of the NHS organisation to ensure this data is correct.</p> <p>Note that primary care research related</p>	<p>Local Portfolio Management System (LPMS)</p> <p>Central Portfolio Management System (CPMS)</p> <p>Open Data Platform (ODP)</p>

⁵ The majority of the source data for ODP will come from entries made by each NHS organisation into LPMS which will inform annual Business Intelligence data reports to be discussed at annual performance management meetings

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				<p>data will be collated in a co-ordinated way and entered into LPMS by the Health and Care Research Wales Support & Delivery Centre.</p> <p>For further details on portfolio adoption, please see: https://www.healthandcareresearch.gov.wales/how-to-register-your-study/</p> <p>This will include recruitment to Health and Care Research Wales non-commercial Portfolio studies which are open within the relevant financial year.</p> <p>The time period used for this will be the financial year (01 April - 31 March). The data will be extracted from LPMS and ODP on a weekly basis, which will be viewable in the NHS Research Performance Dashboard. The quarterly & annual data will be extracted from these systems 4 weeks after the quarter / financial year has ended, in line with the data cuts outlined in Monitoring NHS R&D Activity.</p> <p>It is possible that additional studies or activity data could have been added after the data is extracted.</p> <p>Please note that recognition is given where organisations may struggle to meet these targets due to significant fluctuations in research activity; and/or very stable research activity, for example some Wales wide organisations.</p>	
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	<p>D2. Number of participants recruited into Health and Care Research Wales Portfolio commercially sponsored studies</p>	<p>Increase of 5% per annum</p>	<p>2013/14</p>	<p>The Health and Care Research Wales Support & Delivery Centre will use data from the Local Portfolio Management System (LPMS) and Open Data Platform (ODP)⁶ to report the number of participants recruited into Health and Care Research Wales Portfolio commercially sponsored studies per NHS organisation on a weekly basis. For Health Boards, this will include both primary and secondary care recruitment data.</p> <p>Where the source data for ODP originates from Sponsor/CI or central study teams, it is the responsibility of the NHS organisation to ensure this data is correct.</p> <p>This will include recruitment to Health and Care Research Wales Portfolio commercially sponsored studies which are open within the relevant financial year.</p> <p>The time period used for this will be the financial year (01 April - 31 March). The data will be extracted from LPMS and ODP on a weekly basis, which will be viewable in the NHS Research Performance Dashboard. The quarterly</p>	<p>Local Portfolio Management System (LPMS)</p> <p>Central Portfolio Management System (CPMS)</p> <p>Open Data Platform (ODP)</p>
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⁶ The majority of the source data for ODP will come from entries made by each NHS organisation into LPMS which will inform annual Business Intelligence data reports to be discussed at annual performance management meetings.

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				<p>& annual data will be extracted from these systems 4 weeks after the quarter / financial year has ended, in line with the data cuts outlined in Monitoring NHS R&D Activity.</p> <p>It is possible that additional studies or activity data could have been added after the data is extracted.</p> <p>Please note that recognition is given where organisations may struggle to meet these targets due to significant fluctuations in research activity; and/or very stable research activity, for example some Wales wide organisations.</p>	
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National Objective	Key Indicator (KI)	Target/ Measurement	Implementation Date	Further Guidance	Data Source:
E. To improve the efficiency of processes for study set-up and delivery of research in NHS Wales	E1. Time taken from receipt of Local Information Pack (LIP) to recruitment of first participant into Health and Care Research Wales non-commercial Portfolio studies *	Median number of days	2018/19	The Health and Care Research Wales Support & Delivery Centre will use data from the Local Portfolio Management System (LPMS) and the Open Data Platform (ODP) to measure the median number of days that Health and Care Research Wales non-commercial Portfolio studies take to recruit their first participant from the receipt of the Local Information Pack (LIP).	Local Portfolio Management System (LPMS) Open Data Platform (ODP) Central Portfolio Management System (CPMS)

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				<p>Calendar days have been adopted to measure this consistently across the UK.</p> <p>The start date for this measure is the date that the Local Information Pack (LIP) is shared with the NHS organisation by the Sponsor. NHS organisations should upload this information to each study record in LPMS in the 'Date Site Selected' field, on the Events tab under the Governance section. For primary care studies this will be populated centrally by the Health and Care Research Wales Support & Delivery Centre.</p> <p>The end date for this measure is the date the first participant was recruited to the study. This will be identified by the Health and Care Research Wales Support & Delivery Centre via the data entered into LPMS for the 'First Participant Recruited Date at Site' field.</p> <p>Please also note that this KI relates to the first participant into the study at the site (or location for primary care studies only).</p> <p>Please also note that any study which is planning to recruit less</p>	
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				<p>than 1 participant per month is not counted within this measure, unless they do so within 70 days of receipt of the Local Information Pack (LIP). However, the data may be used for business intelligence reporting or other analyses.</p> <p>Further detail on the local R&D process required for this Key Indicator is outlined in Monitoring NHS R&D Activity.</p>	
	<p>E2. Time taken from receipt of Local Information Pack (LIP) to recruitment of first participant into Health and Care Research Wales Portfolio commercially sponsored studies *</p>	<p>Median number of days</p>	<p>2018/19</p>	<p>The Health and Care Research Wales Support & Delivery Centre will use data from the Local Portfolio Management System (LPMS) and the Open Data Platform (ODP) to measure the median number of days that Health and Care Research Wales Portfolio commercially sponsored studies take to recruit their first participant from the receipt of the Local Information Pack (LIP).</p> <p>Calendar days have been adopted to measure this time period consistently across the UK.</p> <p>The start date for this measure is the date that the Local Information Pack (LIP) is shared with the NHS organisation by the Sponsor. NHS</p>	<p>Local Portfolio Management System (LPMS)</p> <p>Open Data Platform (ODP)</p> <p>Central Portfolio Management System (CPMS)</p>

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				<p>organisations should upload this information to each study record in LPMS in the 'Date Site Selected' field, on the Events tab under the Governance section. For primary care studies this will be populated centrally by the Health and Care Research Wales Support & Delivery Centre.</p> <p>The end date for this measure is the date the first participant was recruited to the study. For Health and Care Research Wales Portfolio commercially sponsored studies registered on ODP, this will be identified by the Health and Care Research Wales Support & Delivery Centre via the data entered into LPMS for the 'First Participant Recruited Date at Site' field.</p> <p>For Health and Care Research Wales Portfolio commercially sponsored studies not registered on CPMS, NHS organisations should upload this data in each study record into LPMS, on the Targets and Dates tab, under the Recruitment section.</p> <p>Please also note that this KI relates to the first participant into the study at the site (location for</p>	
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				<p>primary care studies).</p> <p>Please also note that any study which is planning to recruit less than 1 participant per month is not counted within this measure, unless they do so within 70 days of receipt of the Local Information Pack (LIP). However, the data may be used for business intelligence reporting or other analyses.</p> <p>Further detail on the local R&D process required for this Key Indicator is outlined in Monitoring NHS R&D Activity.</p>	
	E3. Data no longer collected				
	E4. Data no longer collected				
	E5. Percentage of Health and Care Research Wales non-commercial Portfolio studies recruiting to target	100% of studies	2015/16	The Health and Care Research Wales Support & Delivery Centre will use data from the Local Portfolio Management System (LPMS) and the Open Data Platform (ODP) to measure Health and Care Research Wales non-	<p>Local Portfolio Management System (LPMS)</p> <p>Central Portfolio Management System (CPMS)</p>

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				<p>commercial Portfolio studies against this key indicator.</p> <p>Measurement of this key indicator has been split into Open & Closed studies.</p> <p>Sites should ensure that for all actively recruiting studies, that the follow data items are recorded in LPMS so this key indicator can be measured:</p> <ul style="list-style-type: none"> - Date Site Confirmed - Date Site Ready to Start - Site Actual Open to Recruitment Date - Site Planned Recruitment Close Date - Site Actual Close to Recruitment Date - Site Recruitment Target - Site Study Status <p>Open studies are measured using a RAG rating system as follows:</p> <ul style="list-style-type: none"> • Red: % recruitment is 30% behind the % time elapsed (e.g.: RAG Rating = -30% or less) • Amber: % recruitment is up to and including 30% 	<p>Open Data Platform (ODP)</p>
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				<p>behind % time elapsed (eg: RAG Rating = <-1% ≥ -29%)</p> <ul style="list-style-type: none"> • Green: % recruitment is equal to or is greater than % time elapsed (eg: RAG Rating = ≥ 0%) <p>Closed studies are measured using a RG rating system as follows:</p> <ul style="list-style-type: none"> • Red: % recruitment is < 100% • Green: % recruitment is ≥100% <p>Studies that have any missing data sets which are required to calculate and evaluate performance against this key indicator, are excluded from measure against this key indicator. Missing data sets this includes are: recruitment targets & planned recruitment start/end dates.</p>	
	E6. Percentage of Health and Care Research Wales Portfolio commercially sponsored studies	100% of studies	2015/16	The Health and Care Research Wales Support & Delivery Centre will use data from the Local Portfolio Management System (LPMS) and Open Data Platform	Local Portfolio Management System (LPMS)

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	recruiting to target			<p>(ODP) to measure Health and Care Research Wales Portfolio commercially sponsored studies against this key indicator.</p> <p>Measurement of this key indicator has been split into Open & Closed studies.</p> <p>Sites should ensure that for all actively recruiting studies, that the follow data items are recorded in LPMS so this key indicator can be measured:</p> <ul style="list-style-type: none"> - Date Site Confirmed - Date Site Ready to Start - Site Actual Open to Recruitment Date - Site Planned Recruitment Close Date - Site Actual Close to Recruitment Date - Site Recruitment Target - Site Study Status <p>Open studies are measured using a RAG rating system as follows:</p> <ul style="list-style-type: none"> • Red: % recruitment is 30% behind the % time elapsed 	<p>Central Portfolio Management System (CPMS)</p> <p>Open Data Platform (ODP)</p>
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				<p>(eg: RAG Rating = -30% or less)</p> <ul style="list-style-type: none"> • Amber: % recruitment is up to and including 30% behind % time elapsed (eg: RAG Rating = $<-1\% \geq -29\%$) • Green: % recruitment is equal to or is greater than % time elapsed (eg: RAG Rating = $\geq 0\%$) <p>Closed studies are measured using a RG rating system as follows:</p> <ul style="list-style-type: none"> • Red: % recruitment is $< 100\%$ • Green: % recruitment is $\geq 100\%$ <p>Studies that have any missing data sets which are required to calculate and evaluate performance against this key indicator, are excluded from measure against this key indicator. Missing data sets this includes are: recruitment targets & planned recruitment start/end dates.</p>	
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	E7. Percentage of non-recruiting Health and Care Research Wales non-commercial Portfolio studies within NHS organisations	0%	2015/16	<p>The Health and Care Research Wales Support & Delivery Centre will use data from the Local Portfolio Management System (LPMS) and the Open Data Platform (ODP) to measure Health and Care Research Wales non-commercial Portfolio studies against this key indicator.</p> <p>This key indicator measures all Health and Care Research Wales non-commercial Portfolio studies that have been open to recruitment but have closed to recruitment during the reporting period and have not recruited a participant throughout the duration of the study recruitment period.</p>	<p>Local Portfolio Management System (LPMS)</p> <p>Central Portfolio Management System (CPMS)</p> <p>Open Data Platform (ODP)</p>
	E8. Percentage of non-recruiting Health and Care Research Wales Portfolio commercially sponsored studies within NHS organisations	0%	2015/16	<p>The Health and Care Research Wales Support & Delivery Centre will use data from the Local Portfolio Management System (LPMS) and the Open Data Platform (ODP) to measure Health and Care Research Wales Portfolio commercially sponsored studies against this key indicator.</p> <p>This key indicator measures all Health and Care Research Wales Portfolio commercially sponsored studies that have been open to</p>	<p>Central Portfolio Management System (CPMS)</p> <p>Commercial companies</p> <p>Local Portfolio Management System (LPMS)</p>

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				recruitment but have closed to recruitment during the reporting period and have not recruited a participant throughout the duration of the study recruitment period.	Open Data Platform (ODP)
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