
Information and Analytics Directorate Revisions Procedure			
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Author	Adam Little		

Information and Analytics Directorate Revisions Procedure

Document Management

Revision History

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1.0	1 November 2013	Approved.
1.1	17 January 2014	Revised to reflect change to directorate
1.2	08 February 2017	Revised to reflect organisational branding change

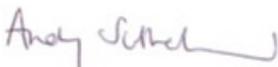
Reviewers

This document must be reviewed by the following people:

Reviewer name	Title / Responsibility	Date	Version
Andy Sutherland	Head of Profession for Statistics	1 November 2013	1.0
Andy Sutherland	Head of Profession for Statistics	17 January 2014	1.1
Chris Roebuck	Head of Profession for Statistics	08 February 2017	1.2

Approved by

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Name	Signature	Title	Date	Version
Andy Sutherland		Head of Profession for Statistics	17 January 2014	1.1
Chris Roebuck		Head of Profession for Statistics	08 February 2017	1.2

NB. The version of the policy posted on the intranet must be a pdf copy of the signed approved version.

Document Status

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1. Policy Statement/Introduction

To describe the procedure for managing and recording revisions to publications and other material provided by NHS Digital to its customers.

2. Purpose and Scope

To ensure that revisions are managed in a professional manner, that decisions are taken with appropriate authority and justification, and that decisions and actions are properly documented.

To comply with the Code of Practice for Official Statistics¹

To be followed when considering or making revisions to publications and other material provided by NHS Digital to its customers. This includes official statistics and other publications such as business plans, communications flyers and clinical audit reports. It includes responses to Parliamentary Questions, Freedom of Information requests and ad-hoc enquiries. It does not include financial accounts for which separate procedures apply.

The procedure applies also to material produced in NHS Digital's name by contractors or other third parties, with whom appropriate agreements should be put in place.

3. Definitions

A revision is a change to a publication or material produced by NHS Digital where the material has been released, or made available to the customer for use. It does not include changes made to drafts shared for comment or quality assurance prior to being made final, provided the draft status was made clear at the time of sharing.

A revision may be a planned revision or a correction. A planned revision is a revision where the customer or wider public was advised at the time of supply of the original (unrevised) material that there was intent to revise, with an indication of the likely extent of revision and its timing. Any other revision is a correction.

A publication is a planned release of a defined set of information made generally available.

The responsible section is the section of NHS Digital, usually headed at band 8 level, which was responsible for production of the material to be revised.

4. Authority

The authority to issue planned revisions is as required by NHS Digital Publications Process for the original publication. The authority to implement plans for handling corrections is as required by NHS Digital Incident Reporting and Learning System. Where this procedure describes a requirement for approval by the Head of Profession for Statistics this applies only to revisions of statistical material and publications.

¹ www.statisticsauthority.gov.uk/assessment/code-of-practice/code-of-practice-for-official-statistics.pdf

5. Related procedures

NHS Digital [Incident Reporting and Learning System](#) details the procedures to be used for managing all incidents and errors. This revisions procedure summarises the relevant requirements of that process, which should be consulted for more detail. Guidance can be located [here](#)².

NHS Digital [Publications Process](#)³ details the procedures to be used for publications. This revisions procedure summarises relevant requirements of that process, which should be consulted for more detail.

NHS Digital [Statistical Governance Policy](#)⁴ details policy on revisions. Relevant extracts are provided in Appendix A below.

5.1. Overview of Procedure

A flowchart which summarises the procedure is in section 9 below.

² <http://services2/incidentreportingandlearning/IC%20Documents/Forms/All%20Folders%20View.aspx>

³ <http://teams2/PublicationsProcess/default.aspx>

⁴ <http://www.hscic.gov.uk/media/1350/Publications-Calendar-Statistical-Governance-Policy/pdf/The-HSCIC-Statistical-Governance-Policy.pdf>

6. Planned Revisions

6.1. Definition

A planned revision is defined in section 3. Any other revision is a correction and should be handled in accordance with section 7 below.

6.2. Publications

NHS Digital Publications Process must be followed except where agreed otherwise by the appropriate authority (presently the Information and Analytics Director). In particular, the intended publication date for the planned revision should (must, in the case of official statistics) be pre-announced, the revised publication must be produced, checked and signed off in accordance with standard quality assurance procedures, including particular exploration of any unexpected changes. For official statistics, any pre-release access briefing and press notice should be produced, checked and signed off. The publication should be issued at the pre-announced date and time.

The revised publication should include reference to the planned nature of the revision, and a clear description of the changes made to the originally published figures.

Original documents and figures should be retained on the NHS Digital website but, to avoid confusion, the web pages where original and revised figures are available should be annotated with clarifying text - suggested wording is in Appendix B. This would not however apply where, for example, annual publications routinely include revised figures for previous years. In addition, original documents and figures must be retained by the responsible section, along with a description of how they were produced and the source data, to enable questions relating to the extent of revisions to be answered.

6.3. Other information supplied to customers

The revised information should be produced, checked and signed off in accordance with standard quality assurance procedures, including particular exploration of any unexpected changes.

Revised information should be sent to the customer(s), reminding them that this is a planned revision (e.g. by referring to the original notification), with a clear description of the changes made to the originally supplied figures.

A record of the original and revised figures, along with a description of how they were produced, the source data and any associated correspondence should be retained by the responsible section in case of query.

7. Corrections

7.1. Definition

A correction is defined in 3 above and should be handled as described here.

7.2. Publications

A publication is defined in 3 above.

Corrections to publications should be handled in accordance with the requirements of sections 7.3 to 7.6 below. Corrections to other material should be handled in accordance with the requirements of sections 7.7 to 7.9 below.

The size and extent of changes required to make the publication fully correct, and the likely impact on users, should be assessed within NHS Digital. This informs the handling of corrections.

Assessments must be made, and handling plans produced, by the head of the responsible section or higher, in accordance with the Incident Reporting and Learning System.

The assessment informs the handling plan, which must be signed off in accordance with that process before implementation by the Head of Profession for Statistics and/or an Executive Director.

If there is a significant impact on key national figures, or prominent statements are materially incorrect, then all or some of the publication should be withdrawn and republished. Examples include figures or statements which are highlighted in the briefing, press notice or main web page for the publication, figures which are known to be used extensively or by many users, figures which have caused, or by being wrong would cause, press or key stakeholder concern. If the corrections affect a significant portion of the material published (this is a matter of judgement, but a starting point might be 20% of the whole) or are pervasive then follow the full withdrawal and release procedure (section 7.3 below) otherwise follow the partial withdrawal and release procedure (section 7.4 below).

Otherwise, assess whether the impact on all figures and statements is negligible and the benefit to users of correction is seriously outweighed by the cost and inconvenience to them (for example, their having to rework analyses for trivial or inconsequential changes). Examples might include incorrect rounding of original figures, changes of one to three in the fourth or higher significant digit, or the final digit presented, (but not if this had a large impact on reported differences such as change over time), minor spelling errors. If this is the case, then follow the do not correct procedure (section 7.6 below). Otherwise follow the issue notification procedure (section 7.5 below).

7.3. Publications - Full withdrawal and republication procedure

Follow NHS Digital Incident Reporting and Learning System, which should be consulted for full details. The stages of the IMP (notification, confirmation, evaluation, handling plan, review, lessons learnt) should be completed. The handling plan, which must be signed off by an Executive Director and/or by the Head of Profession for Statistics before it is implemented, must include a prominent announcement on the NHS Digital website of the withdrawal of the publication, with a description of the nature and extent of the problem and the intended timing of republication. Suggested wording for use before and after republication is in Appendix B. The plan should also consider the need to provide briefing and a press notice to accompany the revised publication when released. Where possible, a date for republication should be given. If this date is more than one month after withdrawal of the incorrect version then republication should also be pre-announced on the NHS Digital website.

The handling plan may need to be updated (and signed off again) if subsequent investigation uncovers more extensive errors.

The original material must be retained for reference by the responsible section, along with a description of how they were produced and the source data, to enable questions relating to the extent of revisions to be answered.

7.4. Publications - Partial withdrawal and republication procedure

Follow the NHS Digital Incident Reporting and Learning System, which should be consulted for full details. The stages of the IMP (notification, confirmation, evaluation, handling plan, review, lessons learnt) should be completed. The handling plan, which must be signed off by an Executive Director and/or by the Head of Profession for Statistics before it is implemented, must include an announcement on the website near and in the publication of the withdrawal of parts of it, with a description of the nature and extent of the problem, the material withdrawn, and the intended timing of republication. Suggested wording for use before and after republication is in Appendix B.

The original material must be retained for reference by the responsible section, along a description of how they were produced and the source data, to enable questions relating to the extent of revisions to be answered.

7.5. Publications - Issue notification procedure

This procedure covers revisions which do not impact on key national figures or prominent statements, but which nonetheless are not negligible. Examples are revisions which affect detailed subcategories at the national level, or which have a significant impact on local figures but are negligible at the national level. The intent is to notify users of the corrections needed to the figures or statements, but not to change them. This allows local or specialist users to amend figures should they require them, without inconveniencing national or general users by requiring them to rework their own analyses for the impact of changes which are likely to be negligible.

Follow NHS Digital Incident Reporting and Learning System, which should be consulted for full details. The stages of the IMP (notification, confirmation, evaluation, handling plan, review, lessons learnt) should be completed. The handling plan, which must be signed off by an Executive Director and/or by the Head of Profession for Statistics before it is implemented, must include an announcement on the website near and in the publication with a description of the nature and extent of the problem, and any revisions or suggested restrictions on use. See Appendix B for examples of wording.

7.6. Publications - Do not correct procedure

This procedure covers decisions not to revise figures or statements because the changes needed are negligible both nationally and locally. Follow the Incident Reporting and Learning System, which should be consulted for full details. A record of the decision not to correct and the rationale for it, which must be signed off by an Executive Director and/or by the Head of Profession for Statistics before it is implemented, must be retained by the responsible section.

7.7. Other material, including PQs

Sections 7.7 to 7.9 apply to material other than publications. Corrections to publications should follow the procedures in sections 7.3 to 7.6 above..

The size and likely impact on users of corrections needed to make the material issued fully correct should be assessed by the head of the responsible section, or higher. This assessment informs the handling of corrections.

Assess whether the impact on all figures or statements is negligible and the benefit to users of correction is seriously outweighed by the cost and inconvenience to them (for example, their having to rework analyses for trivial or inconsequential changes). Examples might include incorrect rounding of original figures, changes of one to three in the fourth or higher significant digit, or the final digit presented, (but not if this has a large impact on reported differences such as

change over time), minor spelling errors. If this is the case, then follow the do not correct procedure (section 7.9 below). Otherwise follow the issue notification procedure (section 7.8).

7.8. Other material - Issue notification and correction procedure

This procedure covers revisions which are not negligible. The intent is to supply users with the correct figures, subject in certain cases to the users confirming that they require this.

Follow NHS Digital Incident Reporting and Learning System, which should be consulted for full details. The stages of the IMP (notification, confirmation, evaluation, handling plan, review, lessons learnt) should be completed. The handling plan, which must in all cases be signed off by an Executive Director and/or by the Head of Profession for Statistics before it is implemented, will depend on the nature of the material supplied. For PQs, the DH should be consulted about whether and how a correction is made, prior to doing so. For most other corrections, prior consultation with customers is not required, and the handling plan should reflect this. When corrected material is supplied this must include a description of the reason for correction, a note of the nature and extent of the correction, and an apology for any inconvenience caused. See Appendix B for examples of wording.

The original material must be retained for reference by the responsible section, along with a description of how they were produced and the source data, to enable questions relating to the extent of revisions to be answered.

7.9. Other material – Do not correct procedure

This procedure covers decisions not to revise figures or statements because the changes needed are negligible, and it is judged that the complication and inconvenience to the users will outweigh any benefit of correction. Follow NHS Digital Incident Reporting and Learning System, which should be consulted for full details. The decision not to correct and the rationale for it, which must be signed off by an Executive Director and/or by the Head of Profession for Statistics before it is implemented, should be documented by the responsible section.

8. Summary of documentation required

8.1. Responsibility

The relevant section head is responsible for ensuring that the necessary documentation is produced and records are kept.

8.2. Planned revisions

Planned revisions to publications (section 6 above) should be documented as normal, in accordance with the Publications Process. Original figures must continue to be available on NHS Digital website, annotated for clarity, and retained for reference by the responsible section along with an explanation of how they were produced and the original source data, to enable questions relating to the extent of revisions to be answered.

For planned revisions to other material (section 2.3 above) a record of the original and revised figures, along with a description of how they were produced, the source data and any associated correspondence, should be retained by the responsible section.

8.3. Corrections

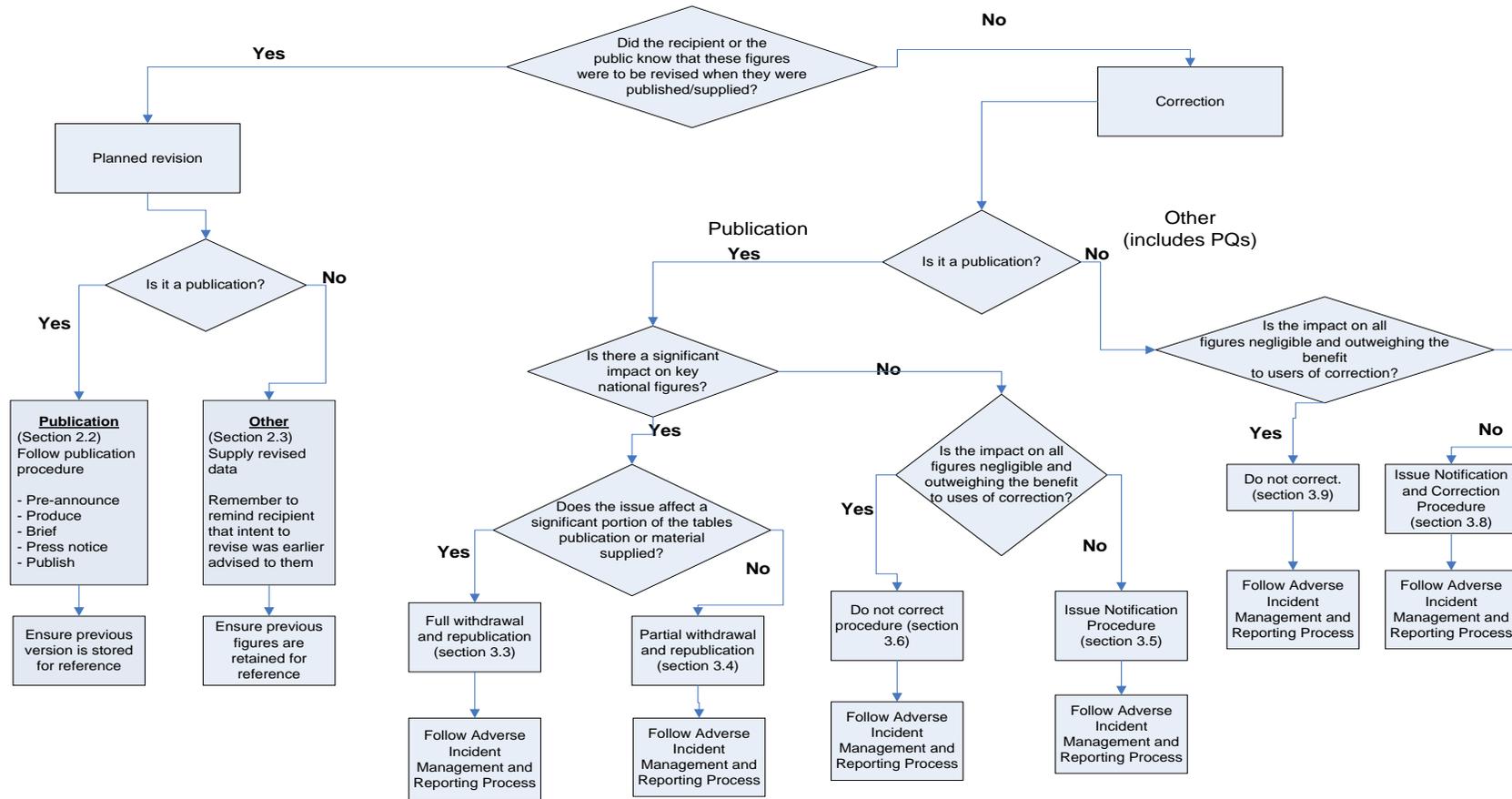
The documentation requirements are those of the Incident Reporting and Learning System (Appendix C of that process). The decision process outlined in the flowchart (section 5 below) should form part of the option evaluation used to develop the handling plan for the incident.

In all cases the original figures must be retained for reference by the responsible section, along a description of how they were produced and the source data, to enable questions relating to the extent of revisions to be answered.

9. Flowchart

Revisions Procedure

Scope. Applies to revisions to material which has left the organisation



10. Equality Impact Assessment and Privacy Impact Assessment

Equality and Privacy impact assessments have yet to be completed for this policy.

11. Legal/Risk Mitigation

This policy is necessary to mitigate a risk to the organisation.

12. Appendix A

12.1. Policy on Revisions

- NHS Digital will ensure that Official Statistics, and information about statistical processes, are managed impartially and objectively.
- NHS Digital will publish statistical reports in an orderly manner, in accordance with Protocol 2.
- NHS Digital will strive to promote equality of access to Official Statistics making them accessible to the widest possible community.
- All National and Official Statistics publications will be made available free of charge on NHS Digital website. Charges for additional analyses will be in line with the organisation's Re-Use of Information, Re-use Licence Fees Policy and Charging Policy.
- NHS Digital will be open and transparent about any revisions and will ensure that users have easy access to comprehensive information about those revisions. Revisions to National and Official Statistics will be produced in accordance with NHS Digital Revisions Procedure.
- Scheduled or planned revisions to releases will be published on NHS Digital website.
- NHS Digital will manage published errors in accordance with the Incident Management and Reporting Process and report them in accordance with NHS Digital Revisions Procedure.

12.2. Relevant practices of the Code of Practice include:

- Announce changes to methods or classifications well in advance of the release of the changed statistics. [Principle 2, Practice 4]
- Publish a Revisions Procedure for those outputs that are subject to scheduled revisions. Provide a statement explaining the nature and extent of revisions at the same time that they are released. [Principle 2, Practice 6]

13. Appendix B: examples of text for planned revisions and corrections

13.1. Example text for planned revisions – publications

Once the revised publication has been published on NHS Digital website, the original (superseded) publication should have a prominent announcement attached both on the website and on any separate documents, along the following lines:

“Please note: This publication contains provisional figures and has now been superseded by [hyperlinked title] which was published on [date].”

The new, superseding, publication should have a prominent announcement attached, along the following lines:

“Please note: This publication supersedes the publication [hyperlinked title] which was published on [date].”

13.2. Example text for full withdrawal – publications

Once full withdrawal of the publication has been agreed in accordance with the Incident Reporting and Learning System, the publication should be removed from the website and a prominent announcement put in its place, along the following lines.

“The release entitled ‘...’, published on [date] has been withdrawn. This is because [reason]. Revised figures are [planned to be published on {date}/ expected to be published around {week or month}/ currently being produced and plans for their publication will be updated on {date}]. NHS Digital apologises for the inconvenience caused.”

For official statistics, NHS Digital publication calendar entry should be amended to say ‘this publication has presently been withdrawn’; the link would continue to point to the publication page.

On re-publication of official statistics, NHS Digital publication calendar entry should be revised to say ‘This publication has been corrected’, and the main publication page entry revised to say ‘This publication was corrected on [date]. This was because [reason]. Corrections affect [brief details of affected sections, tables etc.]’.

13.3. Example text for partial withdrawal – publications

Once partial withdrawal of the publication has been agreed in accordance with the Incident Reporting and Learning System, the relevant parts of the publication should be removed from the website and announcements should be placed alongside the main web page for the publication, and in the position(s) where the withdrawn table(s) would have been, along the following lines.

On the main web page: “Tables X, Y, Z... of this publication have been withdrawn. This is because [reason]. Revised figures are [planned to be published on {date}/ expected to be published around {week or month}/ currently being produced and plans for their publication will be updated on {date}]. NHS Digital apologises for the inconvenience caused.”

Where a table would have been: “This table has been withdrawn. Please see the announcement on [link to main page].”

For official statistics, NHS Digital publication calendar entry should be amended to say ‘some elements of this publication have presently been withdrawn’; the link would continue to point to the publication page.

On re-publication of official statistics, NHS Digital publication calendar entry should be revised to say ‘This publication has been corrected’, and the main publication page entry revised to say ‘Some elements of this publication were corrected on [date]. This was because [reason]. Corrections affect [brief details of affected sections, tables etc.]’.

13.4. Example text for issue notification – publications

The main page for the publication should include text as follows, or similar.

“Some local or detailed figures in this publication have subsequently been found to need revision. Figures have not been revised as the national impact of the changes is very limited. Revisions needed, for which full details are provided within the relevant tables to assist users with more detailed needs, are as follows:

Table 9, figure for widgets in Royal Anytown Trust (RZZ) too low.

Table 17, figure for green widgets in Queen Elizabeth Hospital (RZY) too high.”

Tables 9 and 17 would then contain footnotes explaining more fully the nature and extent of the issue, and any changes which users may need to consider. For example:

Table 9. Footnote to figure for widgets in Royal Anytown Trust. “The trust has subsequently reported that this figure is not correct. The correct figure is XX

Table 17. Footnote to the figure for green widgets in Queen Elizabeth Hospital. “This figure has been found subsequent to publication to include a number of red widgets. The exact number is uncertain, so the figure quoted should be treated with caution”.

13.5. Example text for issue correction and notification – other material

The text below is in a series of headings which will serve to provide an outline for a covering letter or email to a customer who is being sent corrected figures. In sending such letters, which are likely to cause inconvenience to our customers, it is important that they are phrased in manner which is professional, apologetic and sincere. As part of developing a handling plan (in accordance with the Incident Reporting and Learning System) a decision needs to be taken on who is to send the covering letter or email, and the letter or email needs to be drafted in a style appropriate to that person. It is not sufficient to issue a letter which reads as a mechanical reiteration of points, as this will appear insincere. Further advice should be sought from managers as part of developing the handling plan if this is a repeat issue with the same customer.

“I regret to advise you that the figures supplied by NHS Digital [ref to letter or email supplying them] are incorrect. In particular [detail the main points of change]. Corrected figures are enclosed. The error in the original figures arose because [explain; do not directly blame others, even if they are at fault]. As a result we are [looking into changes needed/have identified changes needed to ...] in order to try to avoid such problems in the future. On behalf of NHS Digital, I apologise for the inconvenience this error will have caused you; please let me know if there is anything further I can do to assist.”