



Public Health  
England

Protecting and improving the nation's health

# HCAI Data Capture System User Manual

Sign-Off and Nil Returns

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Public Health England

Wellington House

133-155 Waterloo Road

London SE1 8UG

Tel: 020 7654 8000

[www.gov.uk/phe](http://www.gov.uk/phe)

Twitter: [@PHE\\_uk](https://twitter.com/PHE_uk)

Facebook: [www.facebook.com/PublicHealthEngland](https://www.facebook.com/PublicHealthEngland)

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## Document History

Revision date	Author	Version
01/09/2015	Public Health England	1.0
01/10/2015	Public Health England	2.0
22/03/2017	Public Health England	3.0

# Sign-off Guide

## Introduction

The mandatory surveillance data for healthcare associated infections must be signed-off on a monthly basis. This is the responsibility of the Chief Executive Officer (CEO) of an NHS acute Trust or the 'authorised person' for Independent Sector Healthcare Providers (where the 'authorised person' is defined as a senior manager within the organisation who has been given the responsibility to sign off the data).

This process was introduced in order to make sure the data has been verified and is accurate. It is the personal responsibility of the CEO or 'authorised person' to make sure that the data returns are accurate, complete and that they are submitted on time, as mandated by the Chief Medical Officer (CMO) and the Department of Health.

This process provides reassurance that data that are included in a period which has been signed-off by an NHS acute Trust's CEO or an Independent Sector Healthcare Provider's 'authorised person' are valid. Features within the new HCAI DCS allow you to differentiate between signed-off and unsigned-off periods of data, by filtering data returned in various reports and in the Summary dashboard 'Summary' and 'Trends' graphical elements.

## Sign-off process

In order to be able to sign-off a data period, all of the records within that period need to be complete. This means that every record for a data collection that you wish to sign-off needs to have every mandatory field completed. The easiest way to ascertain whether the data are ready for sign-off is to use the 'Data Collection Completeness' element of the 'Summary' dashboard (please see the Summary dashboard user guide for more information).

**NB. Please remember to change the dates of the Summary dashboard to be the exact dates for the data period you wish to sign-off and to set the 'Current Period' parameter to 'No'.**

Once all of the records for the data collection(s) you wish to sign-off have had all of their mandatory fields completed, you are ready to sign-off the data period. This user guide will illustrate how to navigate to the 'Sign-Off Episodes' screen and how the sign-off process works.

Please note the sign-off process described in this User Guide only applies to the enhanced patient-level dataset and is different to the data lockdown for the Quarterly Mandatory Laboratory Return, which occurs automatically six weeks after the quarter in questions has ended.

As only a user with the Sign-Off Authority role can sign-off data periods, only users with this role will be able to view the 'Sign-Off Episodes' screen.

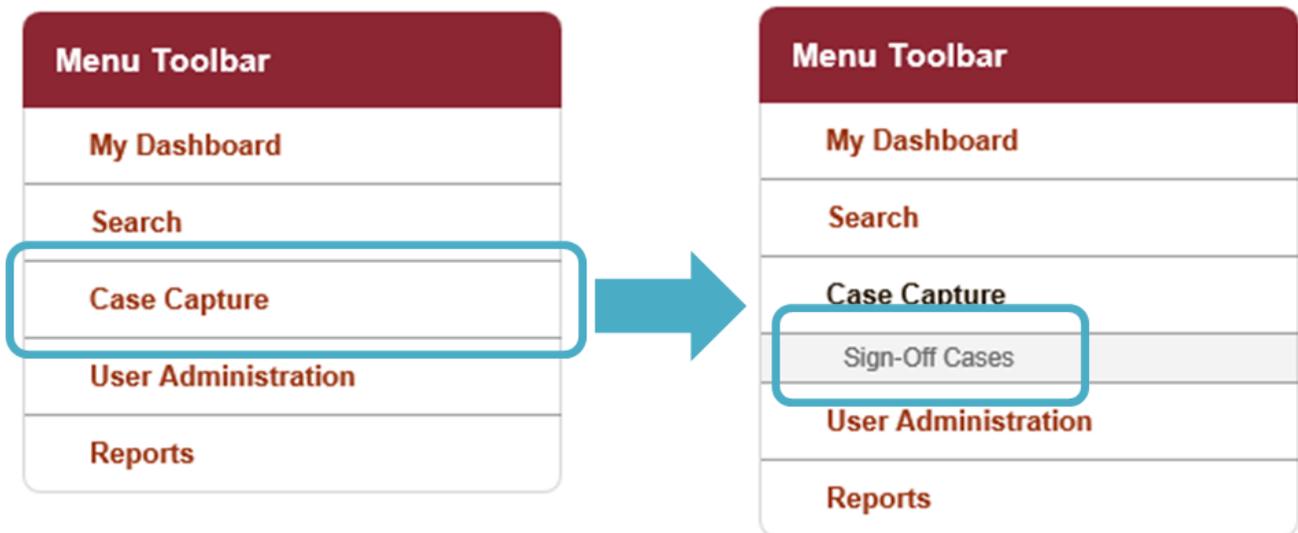
### How to access the 'Sign-Off Episodes' screen

There are two routes for the Sign-off Authority to be able to access the 'Sign-Off Episodes' screen, in order to sign-off a data period; via the 'Menu Toolbar' and through the 'Summary' dashboard.

#### Using the 'Menu Toolbar'

You can access the 'Sign-Off Episodes' screen from the 'Menu Toolbar', by clicking 'Case Capture' and then 'Sign-Off Cases' (please see Figure 1).

Figure 1: Entering the 'Sign-Off Episodes' Screen through the 'Menu Toolbar'



## From the 'Summary Dashboard'

The alternative way to access the 'Sign-Off Episodes' screen is via the 'Sign-Off History' element on the 'Summary Dashboard'. In order to access these screens please click on the 'Summary' tab (Figure 2a), scroll down using the scroll bar on the right-hand side of the screen and then you can see if there are any data periods which have data collections which have not yet been signed-off and that are eligible for sign-off. If these exist, hyperlinks next to relevant data collections and time periods will be in the 'Sign-Off' column, (please see Figure 2b). Clicking on any of the hyperlinks present, will take you to the 'Sign-Off Episodes' Screen.

Figure 2a: Accessing the 'Summary Dashboard'

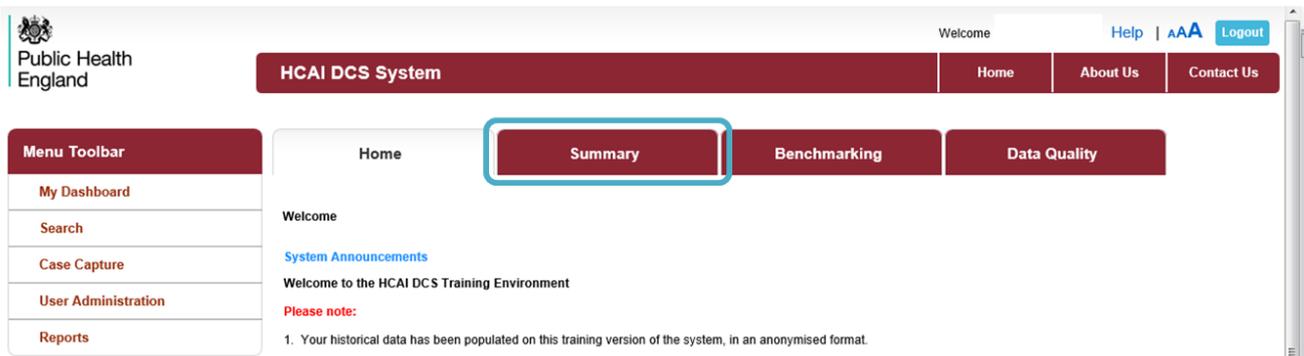
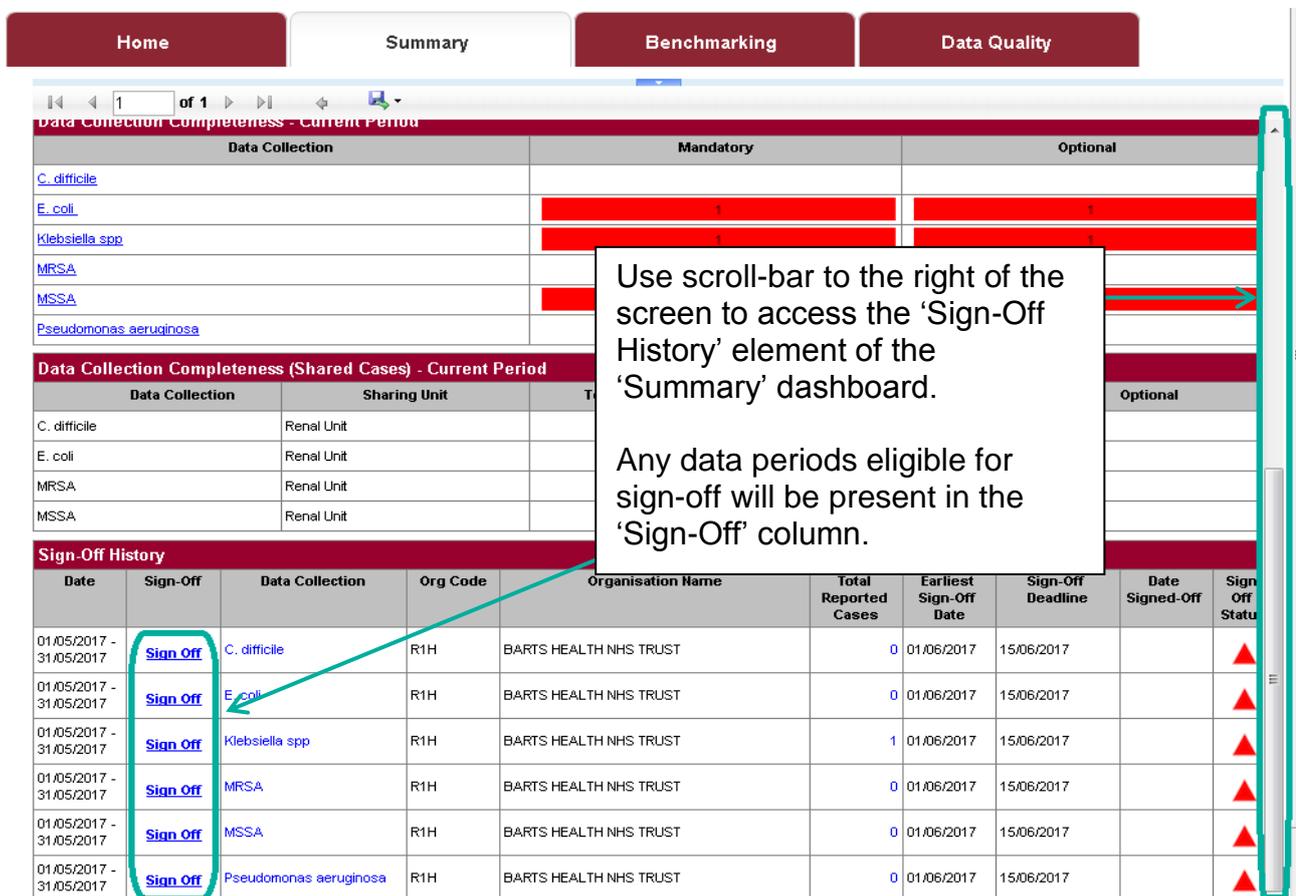


Figure 2b: Sign-Off hyperlinks on 'Sign-Off History' element of 'Summary Dashboard'



## 'Sign-Off Episodes' Screen

The 'Sign-Off Episodes' screen enables you to search for one particular data collection or all of the data collections over a selectable time period (please see Figure 3).

Figure 3: 'Sign-Off Episodes' Screen – search parameters

The screenshot shows the 'Sign-Off Episodes' search interface. On the left is a navigation menu with sections: 'Menu Toolbar' (My Dashboard, Search, Case Capture, User Administration, Reports), 'Help & Support' (instructions on sign-off periods and guides), and 'Key to Screen Symbols'. The main area is titled 'Sign-Off Episodes' and contains a search form. A warning message states: 'Mandatory fields are marked with red asterisk (\*)'. The search form includes:
 

- Data Collection \***: A dropdown menu currently showing '-All-' and 'Only', with a checked 'Unsigned' checkbox.
- Organisation \***: A text input field containing 'Your Organisation'.
- Date Range From \***: A date input field showing '16/10/2015'.
- Date Range To \***: A date input field showing '16/10/2015'.

 Below the form are 'Search' and 'Reset' buttons. A callout box with a black border and white background contains the following text:
 

To identify the data periods that require sign-off, please use the parameter drop-downs to select the relevant time period, data collection and organisation, and then click on 'Search'.

Results will then appear here (see Figure 4a & 4b).

 Blue arrows point from the callout box to the search form fields and the 'Search' button. Below the callout box, a table header is visible with columns: 'Earliest Sign-Off Date', 'Sign-Off Deadline', and 'Date Signed-Off'. At the bottom right of the interface are 'Sign Off' and 'View' buttons.

To search for data periods that need signing-off, please use the drop down menus to select one or all of the data collections, the organisation(s) that you are Sign-Off authority for, along with the time period you are interested in. For a more detailed description of the different parameters on the 'Sign-Off Episodes' screen, please see Table 1.

Once you have selected the parameter values that you require, please click on 'Search' to show the results for any relevant data periods. Results will be displayed as shown in Figure 4.

If you wish to reset the parameter values, please click on 'Reset', which is next to the 'Search' button.

Table 1: Overview of the 'Sign-Off Episodes' screen parameters

Parameter	Comment
Data Collection	<p>This field provides a drop-down list of all of the different data collections, as well as a select 'All' option, enabling you to select a specific data collection or perform the search for all data collections at once.</p> <p>The default value is '--All--'</p>
Unsigned Only	<p>This is a tick-box field, which can limit the results displayed to only include any data periods which have not yet been signed-off. If this box is left unticked then all of the data periods for the time period selected in 'Data Range From' and 'Data Range To' will be displayed, regardless of whether they need signing off or not.</p>
Organisation	<p>This field provides a drop-down list of all of the organisations (NHS acute Trusts or Independent Sector Healthcare Providers) that you are Sign-Off Authority for.</p> <p>If you are only the Sign-Off Authority for one organisation, this organisation will be the default value for the field; however, if you are the Sign-Off Authority for more than one organisation, the default value is "--Select--".</p>
Data Range From and Data Range To	<p>Changes the time period the Sign-Off data is shown for.</p> <p>The default values are as follows:  'Date Range From' = today's date – 1 year  'Date Range To' = today's date</p>

**NB.** If you have accessed the 'Sign-Off Episodes' screen through the Summary dashboard, then the default values will be different, as by clicking on the hyperlink in the Summary dashboard you have already pre-selected which organisation, data collection and data period you wish to sign-off. In addition, the results will also already be displayed (as per Figure 4a). However, the same parameters (as shown in Table 1) are available for you to alter your selection.

Figure 4a: 'Sign-Off Episodes' Screen: Results (Unsigned Only)

Figure 4a shows the results for unsigned-off data periods only. As the 'Sign-Off Deadline' has passed, the case is considered to be unsigned-off and late (hence , see Table 2 for full description).

To sign off this case tick the box in the Sign-Off column and then click the 'Sign-Off' button.

Date	Data Collection	Org Code	Organisation Name	Total Rep Case	Earliest Sign-Off Date	Sign-Off Deadline	Date Signed-Off	Sign-Off Status	Sign-Off
01-Sep-2015-30-Sep-2015	C. difficile	[REDACTED]	[REDACTED]	18	01-Oct-2015	15-Oct-2015			<input type="checkbox"/>

Figure 4b: 'Sign-Off Episodes' Screen: Results (All)

Figure 4b shows the results for all data periods included in the 'Date Range From' and 'Date Range To' fields.

You can use the column tick-box to tick ALL of the records in the column.

Date	Data Collection	Org Code	Organisation Name	Total Reported Cases	Earliest Sign-Off Date	Sign-Off Deadline	Date Signed-Off	Sign-Off Status	Sign-Off
01-Sep-2015-30-Sep-2015	C. difficile	[REDACTED]	[REDACTED]	18	01-Oct-2015	15-Oct-2015			<input type="checkbox"/>
01-Aug-2015-31-Aug-2015	C. difficile	[REDACTED]	[REDACTED]	14	01-Sep-2015	15-Sep-2015	11-Sep-2015		<input type="checkbox"/>
01-Jul-2015-31-Jul-2015	C. difficile	[REDACTED]	[REDACTED]	17	01-Aug-2015	15-Aug-2015	10-Aug-2015		<input type="checkbox"/>

NB. The list of data periods may be sorted according to each of the criteria given in the grey column headings by clicking on the text. In addition, you can limit the records displayed for columns using the additional white box underneath the 'Total Reported Cases' column header, by clicking into this box and then selecting one of the values that are displayed, for example, if you wish to limit the periods displayed to only a specific number of infection episodes/records in the period (e.g. 14), then click in the white box and then select 14 from the drop-down list (see Figure 5).

Figure 5: Sorting and limiting data on the 'Sign-Off Episodes' screen

The screenshot shows the 'Sign-Off Episodes' interface. At the top, there is a search section with filters for 'Data Collection' (set to 'C. difficile'), 'Organisation' (set to 'Your organisation'), and 'Date Range From' (set to '18/10/2014'). Below this is a table with columns: Date, Data Collection, Org Code, Organisation Name, Total Reported Cases, Earliest Sign-Off Date, Sign-Off Deadline, Date Signed-Off, Sign-Off Status, and Sign-Off. The 'Data Collection' column is highlighted with a blue box. The 'Total Reported Cases' column has a white box below it containing a drop-down menu with options: (All), 12, 14, 16, 17, 18, and 19. The value '14' is selected in the drop-down. A text box on the right contains instructions: 'To sort by a particular column header, click on the relevant column header.' and 'While to filter, click in the white text box below the column header and then select option from the drop-down provided.'

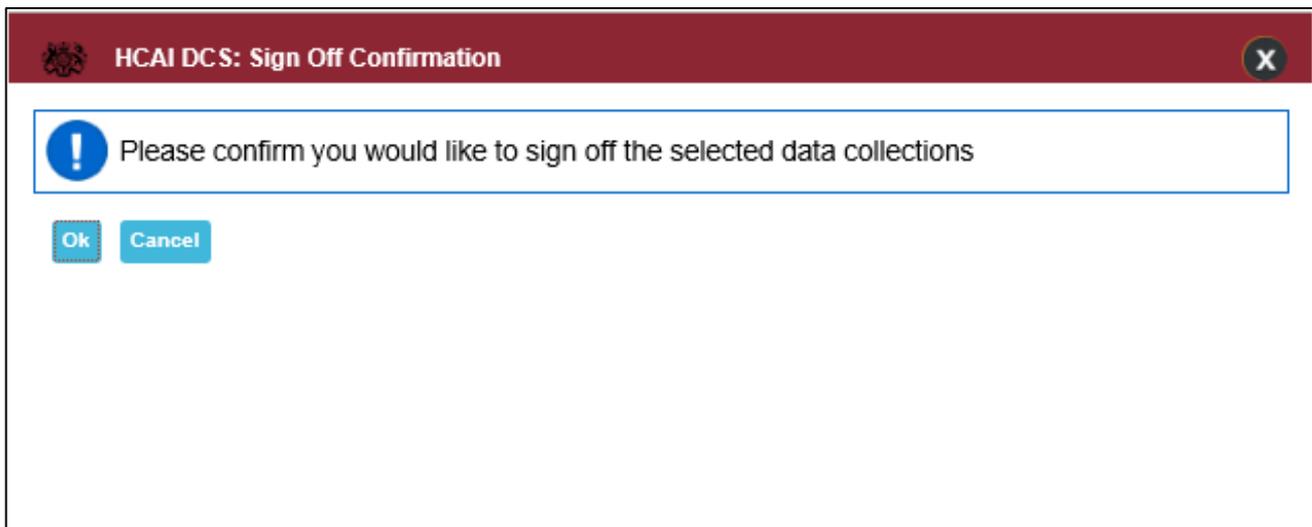
Date	Data Collection	Org Code	Organisation Name	Total Reported Cases	Earliest Sign-Off Date	Sign-Off Deadline	Date Signed-Off	Sign-Off Status	Sign-Off
01-Sep-2015-30-Sep-2015	C. difficile	[Redacted]	[Redacted]	(All)	01-Sep-2015	15-Oct-2015	16-Oct-2015	Red	[Redacted]
01-Aug-2015-31-Aug-2015	C. difficile	[Redacted]	[Redacted]	14	01-Sep-2015	15-Sep-2015	11-Sep-2015	Green	[Redacted]

Table 2: Overview of report fields in the 'Sign-Off Episodes' screen results table

Field	Comment
Date	This provides you with the data period dates, i.e. provides you with the start and end dates of the sign off period.
Data Collection	Lists which data collection the sign-off record refers to (i.e. <i>C. difficile</i> , MRSA, MSSA, <i>E. coli</i> , <i>P. aeruginosa</i> and <i>Klebsiella</i> spp.).
Org Code	Provides the organisation code for the NHS acute Trust or Independent Sector Healthcare Provider for which the sign-off records refers to.
Organisation Name	Provides the organisation name for the NHS acute Trust or Independent Sector Healthcare Provider for which the sign-off records refer to.
Total Reported Cases	Provides the total number of cases by data period and data collection for specific organisation.
Earliest Sign-Off Date	Provides the date at which sign-off for the data period is enabled. This is usually the first day of the month after the data period in question, for example, if you wish to sign-off data for September 2009, the earliest date you are able to do this is the 1 <sup>st</sup> October 2009.
Sign-Off Deadline	Provides the due date for sign-off.
Date Signed-Off	Provides the date that the data period was signed-off. For periods yet to be signed-off this is a blank field.
Sign-Off Status	Provides the status of sign-off for the data period. There are five different statuses: <ul style="list-style-type: none"> <li>(  ) - indicates that the sign-off for the data period has been completed and has been signed-off by the sign-off deadline.</li> <li>(  ) - indicates that the sign-off for the data period has been completed but that sign-off occurred after the sign-off deadline.</li> <li>(  ) - indicates that the data period is eligible for sign-off and that the sign-off deadline has not yet been passed.</li> <li>(  ) - indicates that the data period is eligible for sign-off but that the sign-off deadline has been passed and so sign-off will be considered late.</li> <li>( ) - a missing symbol/blank indicates that the data period is not yet eligible for sign-off.</li> </ul>
Sign-Off	This is the tick-box that you need to check to indicate which record(s) you wish to sign-off. You can select one, multiple or all available tick boxes. Please note the tick-box in the column header acts as 'Select All'.

Once you have clicked on 'Sign-Off', you will be asked to confirm that you wish to sign-off the selected data period (see Figure 6).

Figure 6: Sign-Off Confirmation



Please select 'OK' if you are happy to proceed or 'Cancel' if you wish to return to the 'Sign-Off Episodes' screen.

Once you have signed-off a data period, you will be navigated back to the 'Sign-Off Episodes' screen. If your original parameter settings limited the results displayed on this screen to 'Unsigned Only', then the data period you have just signed-off will no longer be viewable on the screen. However, if you had not limited the results displayed on the screen, the record will remain in the results section; however, the status symbol will have changed and there will no longer be a tick-box in the 'Sign-Off' column.

### Viewing records included in a data period

If you wish to view the records included in the data period (either signed-off or unsigned-off periods), you are able to do this by clicking on the record row. The record will be highlighted in grey if it has been selected, then click on View (see Figure 7).

Figure 7: Viewing records in a data period

Public Health England

HCAI DCS System

Welcome ( Help | AAA Logout

Home About Us Contact Us

Menu Toolbar

- My Dashboard
- Search
- Case Capture
- User Administration
- Reports

Help & Support

This page will display a summary (sign off period) of the Infection cases which have been entered for a specific organisation within a sign off period for a specific data collection. A Sign off period can then be selected and signed off.

You may navigate to an individual infection case to inspect it.

Please note that a grid for the sign off period will be presented even where an organisation has no infection cases within a specific time period. The sign off of a period with no Infection cases will be treated as registering a Nil Return.

[Click here to view guide](#)  
[See FAQs and Content for more info](#)

Key to Screen Symbols

Sign-Off Episodes

! Mandatory fields are marked with red asterisk (\*)

Search

Data Collection \* C. difficile  Unsigned Only

Organisation \* Your organisation

Date Range From \* 18/10/2014 Date Range To \* 18/10/2015

Search Reset

Date	Data Collection	Org Code	Organisation Name	Total Reported Cases	Earliest Sign-Off Date	Sign-Off Deadline	Date Signed-Off	Sign-Off Status	Sign-Off
(All)	(All)	(All)	(All)	(All)					
01-Sep-2015-30-Sep-2015	C. difficile			18	01-Oct-2015	15-Oct-2015			View

Page: 1 of 1 Go Page size: 1 Change Item 1 to 1 of 1

Sign Off View

After clicking 'View', a pop-out screen will be displayed, providing a modified line-list of the records that are included in the data period. There is a 'View' button next to each record enabling access to case capture screens to look at an individual record (see Figure 8).

Figure 8: Infection episodes included in a data period

HCAI DCS: List Infection Episodes for Return

Help & Support

This page will display a summary (sign off period) of the Infection cases which have been entered for a specific organisation within a sign off period for a specific data collection. A Sign off period can then be selected and signed off.

You may navigate to an individual Infection case to inspect it.

Please note that a grid for the sign off period will be presented even where an organisation has no infection cases within a specific time period. The sign off of a period with no Infection cases will be treated as registering a Nil Return.

[Click here to view guide](#)

List Infection Episodes For Return

Data Collection	ID	Data Collection Date	NHS Number	Forename	Surname	Region	Reporting Organisation	Organisation type	Specimen Date	Hosp Num
(All)	(All)	(All)	(All)	(All)	(All)	(All)	(All)	(All)	(All)	(All)
C. difficile		10-Sep-2015								MM
C. difficile		18-Sep-2015								15M
C. difficile		16-Sep-2015								MMI
C. difficile		07-Sep-2015								15M
C. difficile		18-Sep-2015				LONDON		NHS Trust		15M

View

View

View

View

View

Cancel

X

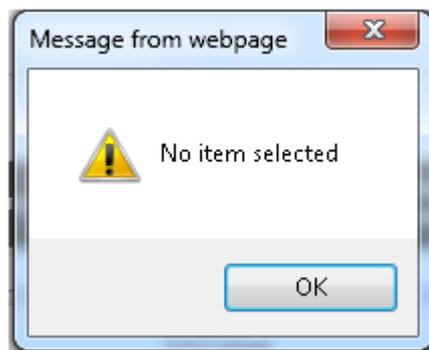
If you wish to look at an individual record, click on 'View'

If you wish to return to the 'Sign-Off Episodes' screen, click on either 'Cancel' or the 'X' at the top of the pop-out window

Please note: The list of infection episodes/records may be sorted according to each of the criteria in the grey column header, by clicking on the relevant column header.

If you click on 'View' without having first highlighted the data period you wish to look at, an error message will pop-up (see Figure 9).

Figure 9: Viewing records for a data period: Error message when no data period is selected

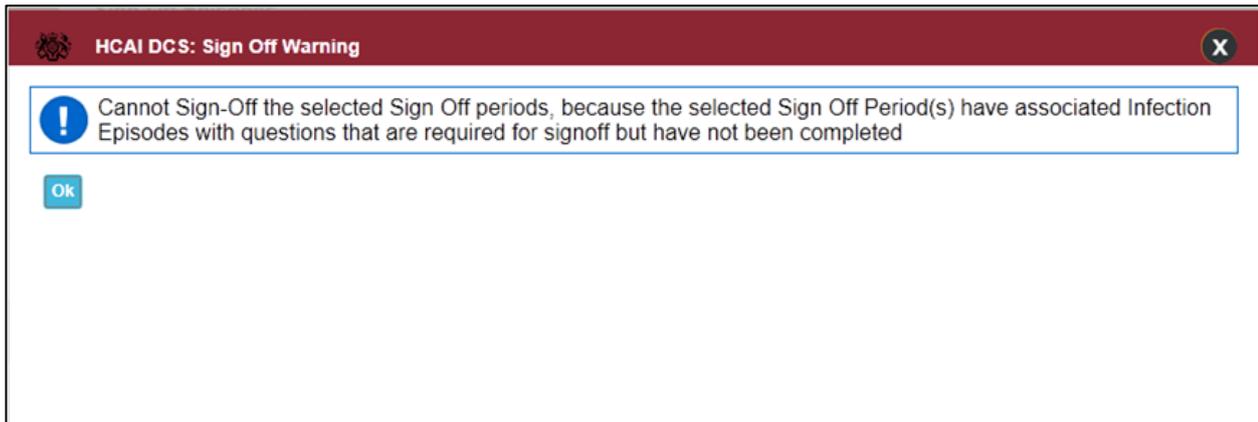


**NB. Once a data period has been signed-off, it is not possible to make amendments to any mandatory fields (denoted with \* or #). In addition, you will be unable to add cases to a signed-off data period or delete cases from a signed-off data period. In the event that you need to amend or delete an existing case or add a case within a signed-off data period, then please see the Unlock User Guide for instructions on how to proceed. However, it is possible to amend non-mandatory fields for one year after the date of sign-off.**

### If you are unable to Sign-Off a data period

If you try to sign-off a data period without having first checked that all mandatory questions have been completed for all infection episode records contained within the data period, then you will not be able to sign-off the data. An error message will appear in a pop-up window letting you know that this is the issue. In order to avoid this, please do check the 'Data Collection Completeness' element of the 'Summary' dashboard prior to initiating the sign-off process (see Figure 10).

Figure 10: Sign-Off warning message



### Submitting a “Nil Return”

We no longer have a specific process for submitting a nil return (i.e. a data period with no cases). In order to submit a nil return, simply sign-off the data period with no cases entered for that period.

If you wish to view nil returns by time period and organisation, then please use the ‘Nil Returns’ report. For more information on how to navigate to this report and how to use it, please see the Nil Returns report user guide.