



Department
of Health &
Social Care

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Dear Sarah

Collection of Client-Level Adult Social Care Data (No. 2)

I am writing on behalf of the Secretary of State for Health and Social Care (the Secretary of State) to provide a Direction to the Health and Social Care Information Centre, now known and hereafter referred to as NHS Digital, to establish and operate a pilot system for the collection and analysis of Client-Level Adult Social Care Data from participating Local Authorities, and provide the mandatory information specified, to support local health and care systems.

This Direction is given in exercise of the powers conferred by sections 254(1) and (6), 260(2)(d), 261(3), 262(3)(b), 262(7) and 304(9), (10) and (12) of the Health and Social Care Act 2012¹ (the Act) and Regulation 32 of the National Institute for Health and Care Excellence (Constitution and Functions) and the Health and Social Care Information Centre (Functions) Regulations 2013² (the Regulations).

This Direction is to be known as the **Collection of Client-Level Adult Social Care Data (No.2)** and comes into force on the date of this letter. The Collection of Client-Level Adult Social Care data Direction issued by the Secretary of State on 19/09/2017 will be revoked once the new collection is operational and its provisions fully meet the requirements set out in the 2017 Direction, as determined by the Department of Health and Social Care. NHS Digital will be informed in writing by an authorised officer of the Department of Health and Social Care, on behalf of the Secretary of State, when the 2017 Direction has been revoked. The revocation letter will be published alongside this No 2 Direction.

In accordance with section 254(2)(a) of the Act, the Secretary of State considers that the information which could be obtained by complying with the direction is information which it is necessary or expedient for the Secretary of State to have in relation to the exercise by the Secretary of State of the Secretary of State's functions in connection with the provision of health services or of adult social care in England, in particular in relation to his functions in connection with the provision of

¹ [2012 c.7](#)

² [S.I 2013 No. 259](#)

adult social care services and for the local commissioning and provision of integrated care services in England. In accordance with section s254(5) NHS Digital has been consulted before this Direction has been given.

1. Purpose for the system

This Direction is given to obtain data which can be used, and may be linked to other data accessible from NHS Digital through the Data Access Request Service (DARS), for the following purposes which will assist Local and National Government, Clinical Commissioning Groups (CCGs) and other integrated health and care commissioning bodies such as those that are part of integrated care systems (these bodies are listed in annex 3), in fulfilling their statutory functions. This includes, for example, the functions of Local Authorities under Part 1 of the Care Act 2014³:

- a. Monitoring, at a population level, particular cohorts of service users and designing analytical models which support more effective interventions in health and adult social care
- b. Monitoring service and integrated care outcomes across a pathway or care setting involving adult social care
- c. Developing, through evaluation of person-level data, more effective prevention strategies and interventions across a pathway or care setting involving adult social care
- d. Designing and implementing new payment models across health and adult social care
- e. Understanding current and future population needs and resource utilisation for local strategic planning and commissioning purposes including for health, social care and public health needs.

2. Purpose for NHS Digital

Under the Direction, NHS Digital will also analyse and use the data for discovery and development purposes to enable an understanding of the data items and definitions recorded within the IT systems of CASSRs, and to support the development of a future England-wide mandatory collection of data.

3. Collection and Analysis

Under sections 254(1) and 254(6) of the Act, NHS Digital is directed to:

- Collect, from participating Councils with Adult Social Services Responsibility (CASSRs) in England, client-level adult social care data as set out in **Annex 1** and **Annex 2** about adults in receipt of Local Authority-funded social care services (**Client-Level Adult Social Care Data**). The Councils (Local Authorities) who have agreed with NHS Digital to participate will be identified in a list maintained by NHS Digital and published on their website alongside this Direction;
- Validate and undertake quality checks of the submitted data (using NHS Digital services and other existing datasets) and provide feedback on quality to CASSRs. Return any improved or enhanced data to the relevant Local Authority if requested;

³ [2014 c.23](#)

- Check NHS Numbers and trace any missing ones (using NHS Digital services and other existing datasets) where possible and provide missing or corrected NHS Numbers to the relevant Local Authorities;
- Carry out such analysis on the data as NHS Digital considers appropriate and, in a manner, that NHS Digital considers appropriate, so as to enable and facilitate the achievement of the Purpose for NHS Digital.

NHS Digital is directed to carry out the activities above in accordance with the **Client-Level Adult Social Care Data Set Requirements Specification**, attached as **Annex 2** to this Direction as may be updated from time to time (the **Requirements Specification**). The Annexes may be updated periodically by NHS Digital in agreement with the Department of Health and Social Care in line with the change management process documented in the Requirements Specification and within the confines of this Direction.

The operation of the collection, as outlined above, will be carried out through NHS Digital's Data Services for Commissioner's Regional Offices (DSCROs) who will commence collection of data from the participating Local Authorities, in accordance with the Requirements Specification and will carry out the activities specified in the above bulleted paragraphs.

4. System Delivery Functions

Pursuant to Regulation 32(1) of the Regulations, NHS Digital is further directed to exercise the following systems delivery functions of the Secretary of State:

- the development and operation of IT applications, IT infrastructure and IT systems as would assist NHS Digital to facilitate the collection and analysis of Client-Level Adult Social Care Data.

5. Publication

NHS Digital is directed to not publish information collected or produced by complying with this Direction, in accordance with section 260(2)(d) of the Act.

6. Dissemination

- a. Despite the prohibition on publication under paragraph 5 above, in accordance with section 261(2)(e) of the Act, NHS Digital may disseminate the data it has obtained under this direction under section 261(1) of the Act, where s261(1) would otherwise apply but for the restriction in paragraph 5 above.
- b. Under section 262(5) of the Act, NHSD is directed not to exercise its powers under sections 261(1) except as set out below:
 - NHS Digital may only disseminate data to the limited set of bodies listed at Annex 3.

- The data disseminated will be pseudonymised personal data where an appropriate legal basis exists, or the data will be anonymised⁴ in accordance with the Information Commissioner’s Office (ICO) Anonymisation Code of Practice⁵.
- Local Authorities and Clinical Commissioning Groups as set out in Annex 3 may, subject to an appropriate legal basis, have access to pseudonymised personal data for their own patients and care users as in the standard core specification in the Requirements Specification for the LA data, with voluntary local added data items, to support them in their duty of monitoring and managing the local system.
- Benchmarking between local areas will be enabled, through a combined core anonymised dataset and derived aggregate reports with small number suppression.
- ADASS may access relevant subsets of the combined anonymised data, for their responsibilities in supporting local performance. The body receiving the data is expected to be a Data Processor acting for ADASS.
- In order to commission the benchmark work, DHSC may access the combined anonymised data. It may also have access to that data in order undertake analysis to support national oversight.
- Selected research bodies, as listed in Annex 3, funded by the National Institute for Health Research, (NIHR), may have access to the combined anonymised data. In addition, a limited number of projects and programmes approved jointly by DHSC and ADASS in the subgroup of the Data and Outcomes Board, as set out in Annex 3, may, subject to a DARS application, be able to have such access to the same data.

All disseminations above will be subject to the organisations applying to access the data having a lawful basis to process it, NHS Digital having a lawful basis to disclose it, successful applications being made to the NHS Digital Data Access Request Service (DARS) and the organisations entering into a data sharing agreement.

7. Fees and Accounts

In accordance with regulation 32(2)(a) of the Regulations, the Secretary of State may make payments to NHS Digital for things done in connection with the exercise of the systems delivery functions referred to in paragraph 4 above.

8. Duration

NHS Digital is directed to operate the Information System and undertake the system delivery function referred to above for the **Collection of Client-Level Adult Social Care Data (No.2) Direction (the Directed Functions)** unless and until revoked by a further direction or instructed in writing by an authorised officer of the Department of Health on behalf of the Secretary of State on reasonable notice to suspend and/or permanently cease the Directed Function. Where a Directed Function is to

⁴ The information would be anonymised in the sense that it will not be disseminated by any means which may lead to the identification of an individual, unless it would otherwise be lawful in the circumstances for NHS Digital to do so

⁵ <https://ico.org.uk/media/for-organisations/documents/1061/anonymisation-code.pdf> or any subsequent document guidance or code on the same topic published by the ICO

cease, such written request will also contain a direction to revoke this Direction in accordance with the timescales and arrangements to be agreed with NHS Digital.

9. Review of this Direction

This Direction will be reviewed when the Specification is amended. This review will include consultation with NHS Digital as required by section 254(5) of the 2012 Act.

Yours sincerely,



Bob Butcher
Deputy Director and Head of Social Care Evidence

Annex 1 – Detailed Topics covered in the Collection

Annex 2 – Client-Level Adult Social Care Data Set Requirements Specification

Annex 3 – The bodies to whom individual data can be disseminated

Annex 1 – Detailed Topics covered in the Collection

The table below provides the scope of data to be collected, subject to availability and local prioritisation, in the Client-level Adult Social Care Data flow.

Data category/ areas for measurement	Examples
Demographic	Name
	Unique Identifier - NHS Number
	DOB
	DOD
	Gender
	Ethnicity
	Employment status
Accommodation status/ description	Accommodation Status
	Permanent Home Address
	Permanent Current Address (if not at home)
	Temporary address
	Type of accommodation
Health Conditions	Reported Health Condition
Carer	Has Carer
Client status & route of access	Client Type
	Cared for Linked ID
	Contact
	Contact Reason
	Contact Method
	Contact Status (Assessment)
	Contact source/ Referral
Event Type	Primary Support Reason
	All current Support Reasons
	Event start date
	Event End date
	Contact
	Assessment
	Service
	Review
	Primary Review Reason
	Event Sub-Group
	Event Status
	Event outcome/ result
	Referral end reason
Services & Service Providers	Service type - From defined list of Short and Long-Term Services
	Service Type description/ units
	Service provider ID
	Service provider location/ place
	Service Frequency
	Service Status
Cost/ payment	Delivery Mechanism
	Client contributions (%)

Data category/ areas for measurement	Examples
	Unit cost
	Planned Units
	Cost Frequency
Outcomes	Assessment Review Outcomes
	End of services provision

Annex 2 – Client-Level Adult Social Care Data Set Requirements Specification

1. Collection of Client Level Adult Social Care Data No. 2 - Guidance for specification
2. Collection of Client Level Adult Social Care Data No. 2 -Data Template

Annex 3 – The bodies to whom individual data can be disseminated

These bodies are able to apply to the Data Access Request Service (DARS) and on approval have access to datasets as set out in the direction, for analysis or research with the aim of improving adults social care services or improving their efficiency:

- The CASSRs who submitted the adult social care data and those CCGs that have some of their population included in the data.
- DHSC and NHS England, including its Commissioning Support Units
- Association of Directors of Adult Social Services (ADASS) (registered charity number 299154) and the Local Government Association, (LGA) (private unlimited company number 11177145)
- Care Quality Commission
- Adult Social Care Research Unit, a partnership between the Personal Social Services Research Units at the London School of Economics and Political Science and the University of Kent and the Health and Social Care Workforce Research Unit at Kings College London.