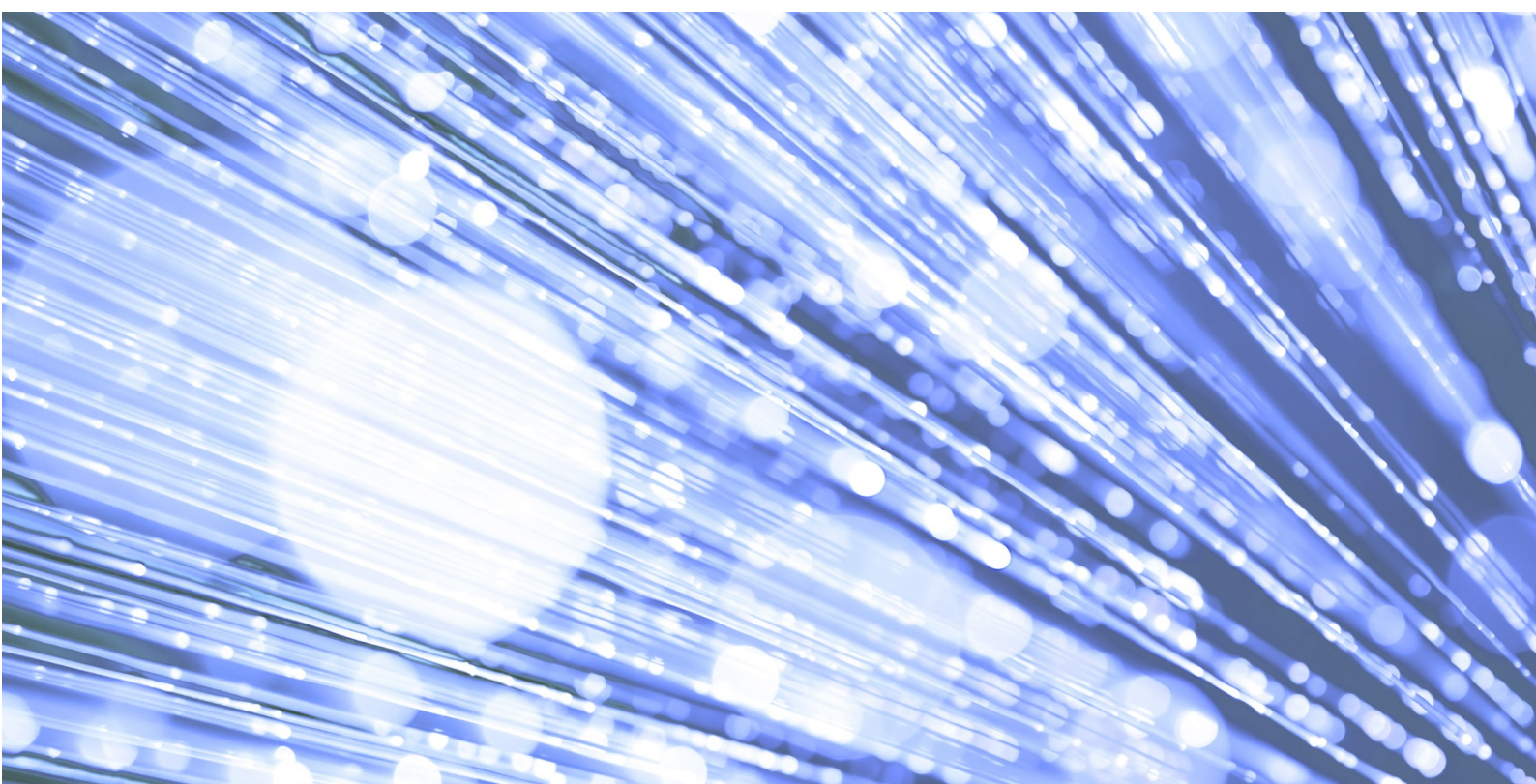


DCB2007 Amd 35/2020

# Assuring Transformation

## Requirements Specification

Published 23 December 2020



**Information and technology**  
**for better health and care**

# Data Coordination Board

This information standard (DCB2007) has been approved for publication by the Department of Health and Social Care under [section 250 of the Health and Social Care Act 2012](#).

Assurance that this information standard meets the requirements of the Act and is appropriate for the use specified in the specification document has been provided by the Data Standards Assurance Service (DSAS) and approved by the Data Coordination Board (DCB).

This information standard comprises the following documents:

- Requirements Specification
- Change Specification
- Implementation Guidance
- Data Set Specification.

An Information Standards Notice (DCB2007 Amd 35/2020) has been issued as a notification of use and implementation timescales. Please read this alongside the documents for the standard.

The controlled copies of these documents can be found on [the NHS Digital website](#). Any copies held outside of that area, in whatever format (e.g. paper, email attachment), are considered to have passed out of control and should be checked for currency and validity.

Date of publication: 23 December 2020



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## Glossary

Please note that this Glossary applies to the following documents:

- Change Specification
- Requirements Specification (this document)
- Implementation Guidance
- Assuring Transformation Data Specification v3.0

Term	Acronym	Definition
Assuring Transformation	AT	Assuring Transformation data collection
Caldicott Guardian		Nominated senior person who oversees information governance.
Care and Treatment Review	C(E)TR	Care, (Education) and Treatment Review.
CAP system	CAP	The Clinical Audit Platform. This is a secure data input platform designed specifically to collect data for national audits. It can be accessed at <a href="https://clinicalaudit.hscic.gov.uk/">https://clinicalaudit.hscic.gov.uk/</a> using a single sign-on account.
Clinical Commissioning Group	CCG	Clinical Commissioning Groups (CCGs) commission most of the hospital and community NHS services in the local areas for which they are responsible.
Commissioning Support Unit	CSU	Commissioning support units provide a range of commissioning support services to NHS commissioners, including clinical commissioning groups (CCGs), NHS England, acute trusts and local government.
Data Coordination Board	DCB	The Data Coordination Board (DCB) reviews and approves the assurance of information standards and data collections (including extractions).

Term	Acronym	Definition
Data Dictionary	DD	The NHS Data Model and Dictionary provides a reference point for assured information standards to support health care activities within the NHS in England.
Data Template		This is a blank CSV template which can be populated with data for the Assuring Transformation Collection.
Information Standards Notice	ISN	Information Standards Notices (ISNs) are published by the Data Coordination Board (DCB) to announce new or changes to information standards, with or without data collections.
Mental Health Services Data Set	MHSDS	The MHSDS is a patient level, output based, secondary uses data set which delivers robust, comprehensive, nationally consistent and comparable person-based information for children, young people and adults who are in contact with Mental Health Services.
NHS Digital	NHSD	NHS Digital is the national information and technology partner to the health and social care system. It uses digital technology to transform the NHS and social care.  Prior To July 2016, NHS Digital was named the Health and Social Care Information Centre (HSCIC).
NHS England Specialised Commissioning hubs		A Specialised Commissioning Hub is a part of NHS England. Specialised Commissioning Hubs are responsible for leading the commissioning of specialised services, such as Child and Adolescent Health and Care beds; low, medium and high secure beds; and prisons.
Operational Guidance		This provides collection specific guidance on how to use the Clinical Audit Platform.
Organisation Code (Org Code)		The Organisation Code for an organisation can be found via the ODS web page at <a href="https://odsportal.hscic.gov.uk/">https://odsportal.hscic.gov.uk/</a>
Personal Identifiable data	PID	Personal information about identified or identifiable individuals, including those who have died, such as name, address, postcode, date of birth, NHS number.
Provider Collaborative		An NHS-led Provider Collaborative is a group of providers of specialised mental health, learning disability and autism

Term	Acronym	Definition
		services who have agreed to work together to improve the care pathway for their local population.
Registration document		This is a document required by the NHS Digital to be sent from the submitting organisation's Caldicott Guardian which provides contact details for data submitters who have been approved to handle PID. This information is used to allow users access to the CAP system. This document is available to download from the following web page: <a href="https://digital.nhs.uk/data-and-information/data-collections-and-data-sets/data-collections/assuring-transformation">https://digital.nhs.uk/data-and-information/data-collections-and-data-sets/data-collections/assuring-transformation</a>
Single Sign On Account	SSO	Single Sign-On Account. This is an account which allows the user to access NHS Digital data submission platforms that they are registered for.
Specialised Commissioning Hubs	SCHub	Specialised Commissioning Hubs commission directly on behalf of NHS England services provided within high, medium and low secure hospitals.
Transforming Care Partnership	TCP	TCPs are made up of clinical commissioning groups, NHS England's specialised commissioners and local authorities. They work with people with a learning disability, autism or both and their families and carers to agree and deliver local plans for the programme. In England there are 44 TCPs

# 1. Overview

The Assuring Transformation data collection is owned by NHS England. NHS Digital operates the data collection system, analyses data and publishes results. The Assuring Transformation collection is mandated under the Health and Social Care Act 2012.

This document defines the mandatory patient level Assuring Transformation (AT) Information Standard and Data Collection (DCB2007). The data is collected using the Clinical Audit Platform (CAP) system. This document summarises the collection and required changes; provides signposting to sources of supporting information and related documentation; and details overarching requirements and conformance criteria.

<b>Standard</b>	
Standard Number	DCB2007
Standard Title	Assuring Transformation
Description	<p>Assuring Transformation is a data collection that has been developed in response to Transforming Care: A national response to Winterbourne View Hospital and Winterbourne View Review: Concordat: A Programme of Action.</p> <p>The Concordat, published by the Department of Health and Social Care in December 2012, aims to ensure that all people with a learning disability receive the health care and support they need in the most appropriate setting.</p> <p>This data collection monitors the progress of moving people with a learning disability, autism spectrum disorder (hereafter 'autism') or both to community settings.</p> <p>The purpose of the data collection is to ensure that the public reporting on progress to implement the NHS commitments in the Concordat is transparent and robust. Commissioners submit data using the NHS Digital's Clinical Audit Platform (CAP).</p> <p><b><u>In Scope</u></b></p> <p>Data should be recorded for each individual person who meets these requirements:</p>

	<p>an NHS commissioner in England is responsible for commissioning their care,</p> <p>and</p> <p>the person is receiving treatment / care in a facility that provides treatment and / or assessment for mental disorders, and is registered by the Care Quality Commission as a hospital, operated by either an NHS or independent sector provider,</p> <p>and</p> <p>the person has an inpatient bed normally designated for the treatment or care of people with a learning disability or a bed designated for mental illness treatment or care,</p> <p>and</p> <p>the person has been diagnosed or is clinically understood to have a learning disability and/or autism.</p> <p>If commissioners have not commissioned inpatient care for people who meet the above definition in the relevant period they will still be required to submit a 'nil' return.</p> <p><b><u>Out of Scope</u></b></p> <p>Data should not be recorded for each individual person who meets these requirements:</p> <ul style="list-style-type: none"> <li>• People in accommodation not registered with the Care Quality Commission as hospital beds</li> <li>• People in beds for physical healthcare</li> <li>• People who are not clinically understood to have either learning disabilities or autism.</li> </ul>
Applies to	All commissioners of in scope services must comply with this information standard. This includes clinical commissioning groups, commissioning support units, Provider Collaboratives and NHS England Specialised Commissioning Hubs.
<b>Release</b>	
Release Number	Amd 35/2020
Release Title	Assuring Transformation v 3.0

<p>Changes to the Data Collection for Assuring Transformation v3.0</p>	<p><b>The amendment to this standard includes:</b></p> <p>Changes to the established question set to improve the validity, accuracy and reliability of responses.</p> <p>A redundant question relating to Care Quality Commission compliance has been removed to reduce system burden, as all hospitals must be CQC compliant for care to be commissioned.</p> <p>Addition of new questions relating to:</p> <ul style="list-style-type: none"> <li>• diagnoses</li> <li>• Care, (Education) and Treatment Reviews (C(E)TR)</li> <li>• the 12 point discharge plan</li> <li>• Commissioner Oversight Visits</li> <li>• reasons for Out of Area Placements</li> <li>• restrictive interventions and segregation</li> <li>• dynamic risk registers</li> <li>• Education, Health and Care Plans (EHCPs)</li> <li>• named key workers</li> <li>• ward status.</li> </ul> <p>There are also minor changes to validations within the Clinical Audit Platform (CAP) system to improve the robustness of the data when captured, and improvements to guidance provided to submitters.</p> <p>A full list of the changes, data items, rationale for change and conformance dates for individual questions can be found in the Assuring Transformation Data Specification v3.0 document on the Information Standards and Collection webpage: <a href="https://digital.nhs.uk/isce/publication/dcb2007">https://digital.nhs.uk/isce/publication/dcb2007</a></p>
<p>Implementation Completion Date</p>	<p><b>Care Commissioners and System Suppliers</b></p> <p>The Assuring Transformation Data Specification v3.0 document is available on the Information Standards and Collection webpage:</p> <p><a href="https://digital.nhs.uk/isce/publication/dcb2007">https://digital.nhs.uk/isce/publication/dcb2007</a></p> <p>For each question in the data collection, the Assuring Transformation Data Specification indicates whether it is 'unchanged', 'amended', 'new', 'replaced' or 'removed'. It also indicates when new, replaced and amended</p>

questions will appear on the CAP and the date at which they will become mandatory:

- Where data items have not changed in Assuring Transformation from v2.0 to v3.0, the system and care commissioners **MUST** already be fully conformant.
- Amended questions have relatively minor changes (as specified in v3.0) and the system and care commissioners **MUST** be fully conformant from 1st April 2021.
- For most new and replacement questions (as specified in v3.0), there will be a non-mandatory period between 1st April and 31st May 2021 where the system and care commissioners **MAY** be fully conformant. Most new or replacement questions will be available on CAP for completion during this period and commissioners are encouraged to submit responses wherever possible.
- Most new or replacement questions (as specified in v3.0), are mandatory from 1st June 2021 and the system and care commissioners **MUST** be fully conformant from this time.
- A small number of new or replacement questions (as specified in v3.0), are mandatory from 1st April 2021 (e.g. where the data are critical and should already be readily available to the commissioner) and the system and care commissioners **MUST** be fully conformant from this time.

Submitters will see the following warning message 'Please note that most new and replacement questions are non-mandatory until 1st June 2021. Data submitters are, however, encouraged to complete new/replacement questions where data are available from 1st April 2021. Following the non-mandatory period (1st April – 31st May 2021) these fields will become mandatory and the validations associated with these questions will be enforced. There are a small number of new or replacement questions that are mandatory from 1st April 2021.

## 1.1 Related Documents

A comprehensive set of documents has been developed to assist submitters responsible for the Assuring Transformation Information Standard and Data Collection.

### Summary of Key Documents

Ref #	Title	Definition
The following Information Standard Documentation (documents 1-5 below) is available in the 'Current Release' section at: <a href="https://digital.nhs.uk/isce/publication/dcb2007">https://digital.nhs.uk/isce/publication/dcb2007</a>		
1	Information Standards Notice	Notification of publication of a new or amended standard.
2	Change Specification	Details the changes to the standard / collection required for this release.
3	Implementation Guidance	Guidance to the users on how to implement the collection.
4	Requirements Specification	Outlines the scope of the collection. Gives an overview of the requirements for both data submitters and system suppliers, and associated conformance criteria (the tests that can be measured to assess whether the standard is being used correctly).
5	Assuring Transformation Data Specification v3.0	Describes the full data collection requirement, showing amendments made in response to this update. Compares AT v2.0 with AT v3.0, details question changes and the rationale for change, where applicable. Details conformance dates for AT v3.0
Technical documentation (documents 6 and 7 below) can be found in the 'Guidance' section at: <a href="https://digital.nhs.uk/data-and-information/data-collections-and-data-sets/datacollections/assuring-transformation">https://digital.nhs.uk/data-and-information/data-collections-and-data-sets/datacollections/assuring-transformation</a>		
6	Operational Guidance	Detailed technical user guidance for submitting data on the Clinical Audit Platform (CAP) system.
7	Registration Form	To register for the AT collection, submitters will need to complete a registration form electronically. One form is required for each organisation.

### Related Standards and References

Ref #	Reference	Title
MHSDS	<a href="https://digital.nhs.uk/data-and-information/data-collections-and-data-sets/data-sets/mental-health-services-data-set">https://digital.nhs.uk/data-and-information/data-collections-and-data-sets/data-sets/mental-health-services-data-set</a>  (It may be possible to source some data from MHSDS in the future and thereby reduce the burden of the AT data collection on commissioners.)	Mental Health Services Data Set

Data Dictionary	<a href="http://www.datadictionary.nhs.uk/">http://www.datadictionary.nhs.uk/</a>  (Assuring Transformation is not currently incorporated into the Data Dictionary, but NHS England is planning to align with the Data Dictionary in subsequent releases of Assuring Transformation.)	NHS Data Model and Dictionary
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## 2. Introduction

Assuring Transformation is a data collection that was introduced in response to the review of events at Winterbourne View Hospital in 2012. The collection looks at patients with a diagnosed learning disability or autism in an inpatient hospital setting. This data is submitted by Clinical Commissioning Groups (CCGs), Commissioning Support Units (CSUs), Provider Collaboratives, NHS England Specialised Commissioning Hubs. The collection also supports the identification of other areas for improvement.

This collection is mandatory and from February 2015 CCGs, CSUs and specialised commissioning teams have been required to upload their data to the NHS Digital Clinical Audit Platform (CAP) system.

Data can be submitted at any point in time to the NHS Clinical Audit Platform (CAP) but must be submitted a minimum of once per month for individuals who are in scope of Assuring Transformation. Data are published on a monthly basis by NHS Digital. NHS England receives monthly data extracts and weekly management information for performance monitoring, planning and operation management purposes. More information is available here:

<https://digital.nhs.uk/data-and-information/data-collections-and-data-sets/data-collections/assuring-transformation/reports-from-assuring-transformation-collection>.

### 2.1 Background

The Department of Health and Social Care published [Transforming Care: A national response to Winterbourne View Hospital](#)<sup>1</sup> and the [Concordat: Programme of Action](#)<sup>2</sup> in December 2012. The first document describes the facts about Winterbourne View, the changes needed in the system and looks at what the Government needs to do based on the lessons learnt. The review of services received indicated that failings were widespread within the operating organisation but importantly also evident across the wider care system. The Concordat and sixty-three actions detailed within the review seek to address poor and inappropriate care and achieve the best outcomes for people with a learning disability or autism, who may also have mental health needs or display behaviour that challenges.

Since then, NHS England has published [Building the Right Support](#)<sup>3</sup>, which gives commissioners a clear framework to develop more community services for people with learning disabilities and/ or autistic people who display behaviour that challenges, including those with a mental health condition, and close some inpatient facilities.

<sup>1</sup> <https://www.gov.uk/government/publications/winterbourne-view-hospital-department-of-health-review-and-response>

<sup>2</sup> [https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/213217/Concordat.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/213217/Concordat.pdf)

<sup>3</sup> <https://www.england.nhs.uk/learning-disabilities/natplan/>

The purpose of this data collection is to ensure that the public reporting on progress to implement the NHS commitments in the *Winterbourne View Concordat* is transparent and robust. This data collection also enables NHS England to measure its progress against commitments in the NHS Long Term Plan (<https://www.longtermplan.nhs.uk/>) around quality of care and reducing reliance on inpatient care.

It is an accepted principle that services should be local, care and treatment should be appropriate and there should be a substantial and sustained reduction in hospital placements. Data from this collection will be used to monitor progress towards and inform compliance with these goals.

## 2.2 Structure of data / collection

The collection comprises inpatients with 'a bed' normally designated for the treatment or care of people with a learning disability or those with 'a bed' designated for mental illness treatment or care who have been diagnosed or are clinically understood to have a learning disability and/or autism.

Data is provided by English commissioners and healthcare is typically provided in England (although care commissioned in England and provided elsewhere in the UK will not be excluded).

Data is collected from Clinical Commissioning Groups (CCGs) Provider Collaboratives and NHS England Specialised Commissioning Hubs. In some cases Clinical Support Units (CSUs) submit data on behalf of one of more CCGs.

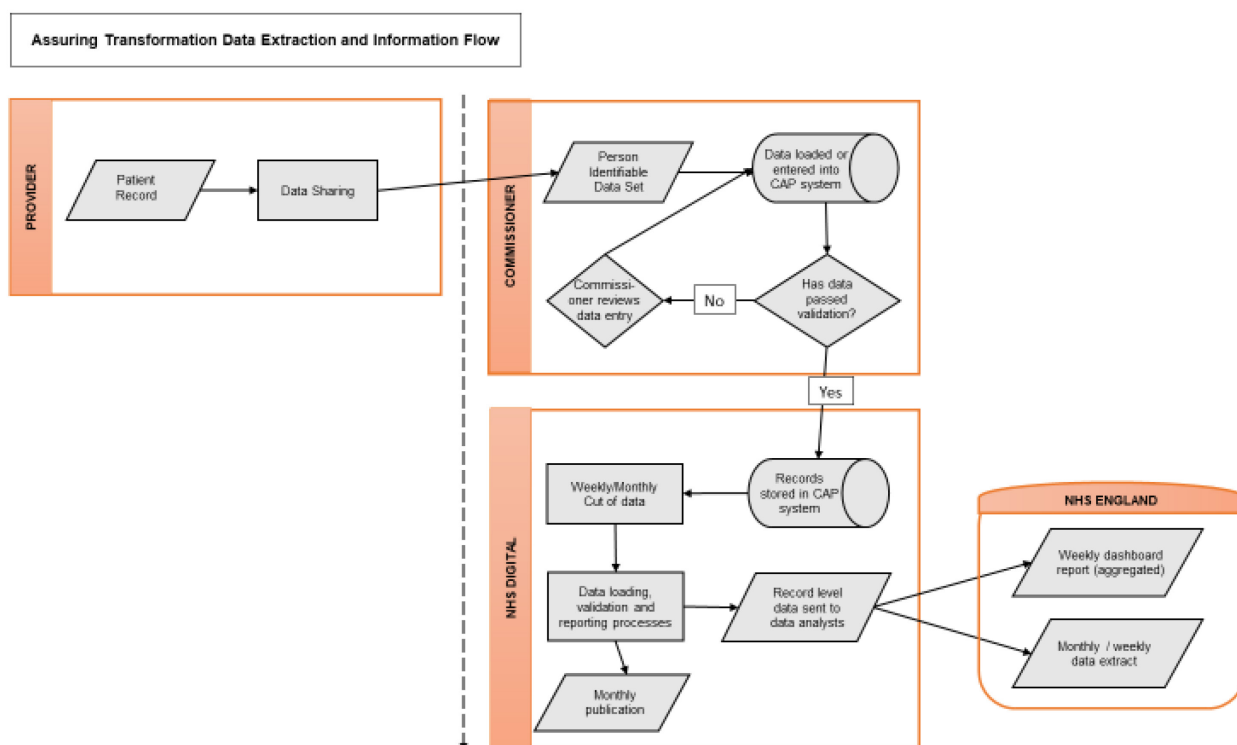
NHS Digital publishes aggregate results on a monthly basis. More information is available here:

<https://digital.nhs.uk/data-and-information/data-collections-and-data-sets/data-collections/assuring-transformation/reports-from-assuring-transformation-collection>

Further detail and instruction are included in the Implementation Guidance, Change Specification and Assuring Transformation Data Specification v3.0 documents on the Data Coordination Board website (see above section: 'Summary of Key Documents').

## Data Flow Diagram

The following diagram demonstrates the high level data extraction and information flow process for the collection of Assuring Transformation data. This shows the flow from Provider organisations to Commissioners of Learning Disability Services, the flow from Commissioners to NHS Digital, the validation and reporting processes and the flow of management information and data to NHS England.



## 2.3 Information Governance and Consent

A Direction from NHS England is in place for the collection of this data by NHS Digital. The flow of data from service providers to commissioners has a confirmed legal basis through a section 251 authorisation from The Health Research Authority Confidentiality Advisory Group (HRA CAG) (CAG 8-02(a-c)2014)<sup>4</sup>. The Confidentiality Advisory Group (CAG) have been informed of the proposal to update and add to the AT data collection and of the nature of the proposed changes. NHS England has agreed to notify the CAG of the final changes to the data collection once DCB approval is obtained. NHS England has submitted an amendment to CAG to extend the AT data collection with no fixed end date. Approval is expected, given the importance of this data collection to monitor delivery of commitments made in the Concordat and subsequently in Building the Right Support and the NHS Long Term Plan (i.e. to reduce reliance on inpatient and ensure patients get

<sup>4</sup> <http://www.hra.nhs.uk/documents/2014/12/cag-6-november-2014-minutes.pdf>

the health care and support they most need). CAGs register of approved applications is available on the Health Research Authority website which should be updated with amendments:

<https://www.hra.nhs.uk/planning-and-improving-research/application-summaries/confidentiality-advisory-group-registers/>

The Direction details the basis for the collection of information by NHS Digital for NHS England, and is available here:

<https://digital.nhs.uk/about-nhs-digital/corporate-information-and-documents/directions-and-data-provision-notice/nhs-england-directions>.

## 2.4 Consent

Consent Guidance is available in [Appendix 1 of this document](#).

This guidance focuses on information sharing between service providers in scope of the Assuring Transformation Collection and NHS Digital. In particular, the guidance explains what service providers need to do when a patient wishes to prevent information from identifying them or information held about them by NHS Digital being used for purposes other than direct care. We wish to support service providers to assist patients to better understand their rights and, under the Data Protection Act, to give them the information they need to make decisions about how information about them is used.

Guidance on fair processing and management of patient objections has been published and all commissioners have been made aware of this and of their legal obligations with respect to fair processing and making the patient information leaflet available to all patients and their families/carers. The fair processing notice and an easy read leaflet to support patient understanding of this collection are available on the NHS England website:

<https://www.england.nhs.uk/learning-disabilities/care/atd/>

If an objection is raised, the commissioner needs to consider the basis for any objection and advise the patient of the decision. Whilst the commissioner is making a decision, the patient's data can continue to be processed under the 'public interest override of the common law duty of confidentiality', to ensure that no harm comes to the patient, that their care is monitored and that the Assuring Transformation data continues to cover everyone in inpatient settings.

The commissioner will need to convene a panel (with membership as per the published guidance) to decide whether it is appropriate to continue processing the data. The guidance explains the criteria the panel should use in coming to its decision.

The patient must be informed of the outcome and it should be recorded. If an objection is upheld, the Assuring Transformation team at NHS England should be informed and will provide additional advice if required. A secure mailbox has been provided for commissioners to contact NHS England: [england.wvdata@nhs.net](mailto:england.wvdata@nhs.net)

## 2.5 Data Quality

Data is collected via the Clinical Audit Platform (CAP) which allows a number of validations to be built in. The validation rules can be viewed in the Assuring Transformation Data Specification v3.0 document on the Information Standards and Collection webpage.

The system has been designed to record episodes of patient care, using the NHS number as the unique patient identifier. The system is set up such that:

- For each NHS number there can only be one open episode of care during the period;
- There can be multiple closed episodes of care for each NHS number within a period;
- The system is 'live' and commissioners are expected to change information in the system as and when on an ongoing basis.

NHS Digital analysts take a 'snap shot' of the system at the end of each month and use this to report on the position at the end of the month and admissions and discharges within the month. Weekly management information is also provided to NHS England.

Although patients can have more than one episode in a period due to short hospital stays, at the end of the reporting period there can only be one open episode per patient. NHS England is informed of any data quality issues on a monthly basis, and there are mechanisms in place to work with data submitters to improve the quality of data submitted through for example, webinars run jointly by NHS Digital and NHS England.

Data which is submitted to CAP is validated at source. The data submitted is also time stamped allowing NHS Digital to keep a log of how data submitters are engaging with the system. Data submitters themselves are primarily responsible for good quality, accurate and timely submissions. Further information for data submitters regarding good practice is available in the Implementation Guidance document.

NHS England and NHS Digital run regular webinars for new data submitters and to highlight any data quality issues that require addressing. Invitations to upcoming webinars are circulated by

NHS digital to all data submitters and also publicised through NHS England's regional leads for the Learning Disability and Autism Programme.

## 2.6 Submission of records

CCGs and NHS England Specialised Commissioning Hubs (SCHub) and Provider Collaboratives are expected to keep records up to date on an ongoing basis. If no records have been altered (due to no change in patient circumstances) then the CCG / Specialised Commissioning Hub / Provider Collaborative should select the 'submission confirmation' option to confirm that their data is correct for this period.

## 2.7 Changes to the collection / questions

There have been a number of changes to the Assuring Transformation collection, including new and amended questions and the removal of questions previously included. Full details of the changes are detailed in the Change Specification and the Assuring Transformation Data Specification v3.0 document on the Information Standards and Collection webpage.

User guidance is available on the Assuring Transformation website:

<https://digital.nhs.uk/data-and-information/data-collections-and-data-sets/data-collections/assuring-transformation>

### 3. Health and Care Organisations

The following NHS commissioners are responsible for ensuring the completion of the data collection:

- NHS Clinical Commissioning Groups
- NHS England Specialised Commissioning Hubs for secure mental health and child and adolescent mental health inpatient services
- Provider Collaboratives.

The data return must be completed by the commissioning organisation ONLY.

The collection may be completed on behalf of an NHS commissioner by a Commissioning Support Unit (CSU) or other commissioners in a pooled budget.

If the collection is being completed by a Commissioning Support Unit (CSU) on behalf of a Clinical Commissioning Group (CCG) the CSU should complete a separate return for each CCG that is contributing to the pooled budget.

NHS England specialised mental health commissioning teams should submit one return for each team.

Each Provider Collaborative should complete a separate return.

Please note: A separate return has to be completed for each commissioning organisation that has the statutory responsibility for commissioning the care for all relevant patients.

For pooled budget arrangements, one commissioner only must take responsibility for returning the patient's data.

If you are a commissioner and someone for whom you have a statutory duty to commission care meets the definition then a return is needed for your organisation.

#### **The in-scope definition is:**

The collection will consider inpatients receiving treatment / care in a facility registered by the Care Quality Commission as a hospital operated by either an NHS or independent sector provider. The facility will provide treatment and / or assessment for mental disorders. Record level returns will reflect only inpatients or individuals on leave with a bed held vacant for them.

The individual will have 'a bed' normally designated for the treatment / care of people with a learning disability or will have 'a bed' designated for mental illness treatment / care and will be diagnosed or clinically understood to have a learning disability and / or autism.

**This should include patients of:**

- Any age.
- Any level of security (general/low/medium/high).
- Any status under the Mental Health Act (informal or detained).

**People not included:**

- People in accommodation not registered with the CQC as hospital beds.
- People in beds for physical health care.
- People who do not have either a learning disability or autism.

The NHS Digital data collection team has received a number of queries about this definition, which have asked whether people should only be included if they have a 'primary diagnosis of LD'. The guidance from NHS England's National Clinical Director for Learning Disability is as follows:

“Whether or not a person is recorded as having a primary diagnosis of learning disability or autism is not relevant and should not be used as a criterion for inclusion in this data collection. If a person is in a specialist hospital bed (either mental health or learning disability) and that person has a Learning Disability or autism, then that person is included in the Assuring Transformation data return.”

**Download of data**

A cut of the data in the Clinical Audit Platform (CAP) will be taken at midnight on the last day of every week and month. This is not dependent on working days.

## 3.1 Requirements

Requirements	
1	In Scope Commissioners <b>MUST</b> be fully conformant with the Assuring Transformation requirements and guidance, including the capture and flow of the data items to the Clinical Audit Platform (CAP). Further information is available here: <a href="https://digital.nhs.uk/data-and-information/data-collections-and-data-sets/data-collections/assuring-transformation">https://digital.nhs.uk/data-and-information/data-collections-and-data-sets/data-collections/assuring-transformation</a>
Scoping	
2	The review of the 'in scope' and 'out of scope' sections of this collection specification <b>MUST</b> be carried out by the organisational Commissioning lead for Learning Disability and Autism.
Feasibility Assessment	
3	<p>Commissioners <b>MUST</b> review the Implementation Guidance and Assuring Transformation Data Specification v3.0 which defines the patient-level data items that require submission onto the Clinical Audit Platform.</p> <p>The Implementation Guidance and Assuring Transformation Data Specification v3.0 provides additional information on data items in the collection. Commissioners <b>MUST</b> review these documents to better understand the scope, national guideline recommendations, definitions and rules underpinning the data items.</p>
4	Commissioners are responsible for gathering the data for entry onto the CAP. The data submission process <b>MUST</b> meet the specifications defined in the Implementation Guidance, Assuring Transformation Data Specification v3.0 and associated user guidance.
5	The Commissioners <b>SHOULD</b> be familiar with the collection as this has already been collected by NHS England, and then by HSCIC (now named NHS Digital) since 2015. The data submission process <b>MUST</b> meet the specifications defined in the Implementation Guidance, Assuring Transformation Data Specification v3.0 and associated user guidance.
Information Governance	
6	<p>The Implementation Guidance provides information on the Information Governance (IG) issues surrounding the data set. Caldicott Guardians <b>MUST</b> review the (IG) Guidelines in the Implementation Guidance which clarify:</p> <ul style="list-style-type: none"> <li>• How data submission, storage and reporting processes handle identifiable and sensitive data and</li> <li>• How Fair Processing should be conducted and objections should be best managed to comply with the Confidentiality Advisory Group conditions of approval.</li> </ul>

<b>Constructing a data submission file</b>	
7	<p>It is not stipulated how data should be collected locally; therefore, data <b>MAY</b> come from several sources or from a local data warehouse, which collates information from various systems. For this reason we have provided a CSV data template which can be populated with data, to be submitted and accepted by the CAP system.</p>
8	<p>Commissioners <b>MUST</b> review the Implementation Guidance, Assuring Transformation Data Specification v3.0 and user guidance to understand how a data submission is to be constructed and transferred. There is also a data template available on the NHS Digital Assuring Transformation website. This data template can be used to upload data into the CAP system once it has been populated with their information.</p> <p>All records <b>MUST</b> be submitted as per instructions laid out in the Implementation Guidance, Assuring Transformation Data Specification v3.0 and user guidance.</p>
9	<p>Commissioners <b>MUST</b> ensure that the CAP is updated <u>as soon as patient details change</u>. CAP is a live system.</p> <p>If there have been no amendments within the month, then the Commissioners <b>MUST</b> use the system and press the Submission Confirmation button to confirm that there are no amendments for the month - enabling data from that Commissioning organisation to be included in analysis.</p> <p>NB: New questions on use of restrictive intervention, seclusion and segregation in the previous month (see Data Specification v3.0) require data entry for all open patient records.</p> <p>Commissioners <b>MUST</b> observe the collection schedule that will be published in advance on the NHS Digital Assuring Transformation website, available here: <a href="https://digital.nhs.uk/data-and-information/data-collections-and-data-sets/data-collections/assuring-transformation/content">https://digital.nhs.uk/data-and-information/data-collections-and-data-sets/data-collections/assuring-transformation/content</a>.</p>
<b>Access to the Clinical Audit Platform</b>	
10	<p>The Commissioners <b>MUST</b> register for access to the Clinical Audit Platform (for further information please see the AT registration form link at: <a href="https://digital.nhs.uk/data-and-information/data-collections-and-data-sets/data-collections/assuring-transformation#guidance">https://digital.nhs.uk/data-and-information/data-collections-and-data-sets/data-collections/assuring-transformation#guidance</a>)</p> <p>Registration <b>MUST</b> be based on current organisation details.</p> <p>All Commissioners <b>MUST</b> submit data through the Clinical Audit Platform. The CAP system does not require an N3 connection but does require internet access.</p>

11	The Commissioners <b>MUST</b> resolve inherent errors and address data quality issues. The CAP system will identify any data which does not pass the validation criteria. As such it is impossible for Commissioners to submit data which does not pass the validation criteria.
<b>Issue and maintenance</b>	
12	<p>To support the implementation of this Information Collection, Commissioners <b>SHOULD</b> highlight any persistent issues to NHS Digital via <a href="mailto:ATdata@nhs.net">ATdata@nhs.net</a> (please include 'FAO Assuring Transformation' in the subject line).</p> <p>This feedback mechanism provides appropriate information to developers to improve the implementation and data collection processes for future consideration towards a data set change or, indeed, further implementation phases.</p>

## 3.2 Conformance Criteria

The submission process includes data validation tests to ensure the data is of sufficient quality – submitters **MUST** ensure that data is conformant with the type specified according to the Assuring Transformation Data Specification v3.0 document. The presence of any records that do not conform to the collection specification and corresponding data validation rules will lead to the record being rejected and subject to revised data processing until such point that uploads will be achievable via the system. Submitters **MUST** continue to revise and resubmit data until such point that it is accepted by the CAP system.

Validations are described in the Assuring Transformation Data Specification v3.0 document. Data Submitters **MUST** reference this in order to correct errors.

# Appendix 1

## Consent Guidance

Explicit consent is not required as the AT data collection has s251 approval from the Confidentiality Advisory Group (CAG). A separate opt-out mechanism is in place for AT. Consent guidance and details of how to opt-out of the Assuring Transformation data collection can be found [on the NHS England webpages](#). This includes a patient leaflet to ensure their understanding of the process.

The guidance focuses on information sharing between service providers taking part in the Assuring Transformation Collection and NHS Digital. In particular, the guidance explains what service providers need to do when a patient wishes to prevent information from identifying them or information held about them by NHS Digital being used for purposes other than direct care. We wish to support service providers to assist patients to better understand their rights and, under the Data Protection Act and the General Data Protection Regulation, to give them the information they need to make decisions about how information about them is used.

All commissioners have been made aware of the Guidance on fair processing and management of patient objections and of their legal obligations with respect to fair processing and making the patient information leaflet available to all patients and their families/carers.

If an objection is raised, the commissioner needs to consider the basis for any objection and advise the patient of the decision. Whilst the commissioner is making a decision, the patient's data can continue to be processed under the 'public interest override of the common law duty of confidentiality', to ensure that no harm comes to the patient, that their care is monitored and that the Assuring Transformation data continues to cover everyone in inpatient settings.

The commissioner will need to convene a panel (with membership as per the published guidance) to decide whether it is appropriate to continue processing the data. The guidance explains the criteria the panel should use in coming to its decision.

The patient must be informed of the outcome and it should be recorded. If an objection is upheld, the Assuring Transformation team at NHS England should be informed and will provide additional advice if required. A secure mailbox has been provided for commissioners to contact NHS England: [england.wvdata@nhs.net](mailto:england.wvdata@nhs.net)