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## Assuring Transformation Change Specification

**Amendment History:**

Version	Date	Amendment History
0.1	26/08/2015	First draft
0.2	09/09/2015	Second draft for review
0.3	16/09/2015	Final draft
0.4	28/09/2015	Minor amendments following testing
1.0	28/09/2015	Final version
1.1	21/10/2015	Amendments following ISAS review feedback
1.2	02/11/2015	Revisions following SCCI acceptance

**Approvals:**

Name	Title/Responsibility	Version	Date
Robert Cavalleri	Implementation Manager	1.2	02/11/2015
Netta Hollings	Programme Manager	1.2	02/11/2015



This information standard (SCCI2007) has been approved for publication by the Department of Health 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 Standardisation Committee for Care Information (SCCI), a sub-group of the National Information Board.

This information standard comprises the following documents:

- Requirements Specification (this document)
- Change Specification
- Implementation guidance.

An Information Standards Notice (SCCI2007 Amd 37/2015) has been issued as a notification of use and implementation timescales. Please read this alongside the documents for the standard.

The controlled versions of these documents can be found on the [HSCIC website](#).

Date of publication 09 November 2015.

## Glossary of Terms

Term	Acronym	Definition
Assuring Transformation	AT	Assuring Transformation data collection
Caldicott Guardian		Nominated senior person who oversees information governance.
Care and Treatment Review	CTR	Care 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	Primary care trusts (PCTs) used to commission most NHS services and controlled 80% of the NHS budget. On April 1 2013, PCTs were abolished and replaced with clinical commissioning groups (CCGs). CCGs have taken on many of the functions of PCTs and in addition some functions previously undertaken by the Department of Health;
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 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.
Health and Social Care Information Centre	HSCIC	The HSCIC is the national provider of information, data and IT systems for commissioners, analysts and clinicians in health and social care. It is an executive non-departmental public body, sponsored by the <a href="#">Department of Health</a> .
Information Standards Notice	ISN	Information Standards Notices (ISNs) are published by SCCI to announce new or changes to information standards or data collections, including those formerly licensed under the Review of Central Returns (ROCR) procedure
Learning Disabilities Census	LDC	The Learning Disability Census provides an individual record-level snapshot of inpatients with learning disabilities, autistic spectrum disorder and/or behaviour that challenges, and the services they receive, for service users who were inpatients in NHS and independent services at midnight on 30 September annually.
Look up tables		Excel tables which contain a list of Organisations related to the collection.
Mental Health Services Data Set	MHSDS	The MHSDS is a patient level, output based, secondary uses data set which will deliver robust, comprehensive, nationally consistent and comparable person-based information for children, young people and adults who are in contact with Mental Health Services.
Operational		This provides collection specific guidance on how to use the Clinical

Term	Acronym	Definition
Guidance		Audit Platform.
Organisation Code (Org Code)		This relates to the ODS code for an Organisation or Organisation Site. More information can be found at <a href="http://systems.hscic.gov.uk/data/ods">http://systems.hscic.gov.uk/data/ods</a> .
Personal Identifiable data	PID	Personal information about identified or identifiable individuals, including dead as well as living people e.g. Name, Address, Postcode, Date of birth, NHS number.
Registration document		This is a document required by the HSCIC 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
Standardisation Committee for Care Information	SCCI	The SCCI replaces the Information Standards Board for Health and Social Care (ISB) and is a sub-group of the National Information Board (NIB). Empowered by the Health and Social Care Act 2012 the SCCI has delegated responsibility for approving information standards for the health and social care system in England
Single Sign On Account	SSO	Single Sign-On Account. This is an account which allows the user to access HSCIC data submission platforms that they are registered for.

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# 1 Overview

The purpose of this document is to outline the changes being made to the Assuring Transformation Information Standard.

Standard	
Standard Number	SCCI 2007
Standard Title	Assuring Transformation
Description	<p>Assuring Transformation is a data collection that has been developed in response to <i>Transforming Care: A national response to Winterbourne View Hospital and Winterbourne View Review: Concordat: A Programme of Action</i>.</p> <p>The Concordat, published by the Department of Health in December 2012, aims to ensure that all people with learning disabilities receive the health care and support they need in the most appropriate setting.</p> <p>This data collection informs NHS England's monitoring of progress in moving people with learning disabilities from inpatient to community settings. The collection refers to patients with a diagnosed learning disability, autism or Asperger syndrome.</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. It will also be used to triangulate with data collected from the Learning Disability Census completed by providers. This process is important for informing and assuring the Learning Disabilities Transforming Care Programme.</p> <p>Formerly managed by NHS England, this data collection transferred to the Health and Social Care Information Centre (HSCIC) from 06 January 2015. As a result, commissioners now submit data to the HSCIC'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> <ul style="list-style-type: none"> <li>• An NHS commissioner is responsible for commissioning their care, <b>and</b></li> <li>• The person has an inpatient bed for mental and/or behavioural healthcare needs and has learning disabilities or autistic spectrum disorder (including Asperger's syndrome)</li> </ul> <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> <ul style="list-style-type: none"> <li>• People in accommodation not registered with the Care Quality</li> </ul>

	<p>Commission as hospital beds</p> <ul style="list-style-type: none"> <li>• People in beds for physical healthcare</li> <li>• People who do not have either learning disabilities or autism</li> </ul>
Applies to	All commissioners of learning disability services must comply with this information standard. This includes clinical commissioning groups, commissioning support units and NHS England specialised commissioning teams.
<b>Release</b>	
Release Number	Amd 37/2015
Release Title	Assuring Transformation v 2.0
Description	<p><b>The amendment to this standard will include:</b></p> <p>Minor changes to the established question set to improve the validity, accuracy and reliability of responses.</p> <ul style="list-style-type: none"> <li>• Redundant questions relating to ex-inpatients of Winterbourne View have been removed.</li> <li>• Addition of new questions relating to pre-admission and review through Care and Treatment Reviews (CTR) have been included. This information is already routinely collected by submitters, and including it in this collection will not add additional burden as it will enable NHS England to retire local collections that currently collect these data.</li> <li>• There are also amendments to the wording of existing questions, and the inclusion of a small number of additional values where applicable, in order to align the collection with items in the NHS Data Model and Dictionary.</li> <li>• 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.</li> </ul>
Implementation Completion Date	<p><b>System Suppliers</b></p> <p>With immediate effect, systems <b>MUST</b> be fully conformant with this standard.</p> <p><b>Care Providers</b></p> <p>With immediate effect, all commissioners of learning disability services <b>MUST</b> be able to collect information locally.</p>

## 1.1 Supporting Products

Ref #	Reference	Title
1	<a href="http://www.hscic.gov.uk/isce/publication/SCCI2007">http://www.hscic.gov.uk/isce/publication/SCCI2007</a>	Specification
2	<a href="http://www.hscic.gov.uk/isce/publication/SCCI2007">http://www.hscic.gov.uk/isce/publication/SCCI2007</a>	Implementation Guidance
3	<a href="http://www.hscic.gov.uk/assuringtransformation">http://www.hscic.gov.uk/assuringtransformation</a>	Assuring transformation Collection webpage
4	<a href="http://www.hscic.gov.uk/assuringtransformation">http://www.hscic.gov.uk/assuringtransformation</a>	Assuring transformation Collection webpage

## 1.2 Related Standards and Resources

Ref #	Reference	Title
LD Census	<a href="http://www.hscic.gov.uk/ldcensus">http://www.hscic.gov.uk/ldcensus</a>	Learning Disability Census
MHSDS	<a href="http://www.hscic.gov.uk/mhsds">http://www.hscic.gov.uk/mhsds</a>	Mental Health Services Data Set
Data Dictionary	<a href="http://www.datadictionary.nhs.uk/">http://www.datadictionary.nhs.uk/</a>	NHS Data Model and Dictionary

## 2 Change Specification

There are minor changes to the established question set to improve the validity, accuracy and reliability of responses, and to align the collection with the rapidly developing policy and operational changes which have occurred, as the cross-system Transforming Care programme and NHS England's Learning Disability programme have been rolled out across England. Information requirements have evolved as these programmes have gathered pace, and the collection changes provide greater transparency and understanding of hospital services for people with Learning Disabilities.

These changes are also detailed in depth within the Technical Output Specification document.

This document should also be read in conjunction with the Specification for the standard and the Implementation Guidance document.

Redundant questions relating to ex-inpatients of Winterbourne View have been removed while questions relating to pre-admission and review through Care and Treatment Reviews (CTR) considered contemporary and justifiable against NHS England's commitments to reduce the number of inpatient stays have been identified for inclusion. This information is already routinely collected by submitters through local processes and submitted to NHS England via regional offices, and including it in this collection will not add additional burden.

There are also amendments to the wording of existing questions, and the inclusion of a small number of additional values where applicable, in order to align the collection with items in the NHS Data Model and Dictionary.

The deletion of existing questions and inclusion of new questions means that existing question number allocation will change, and submitters will need to ensure that their processes for collating data and inputting into the Clinical Audit Platform (CAP) system are adjusted as required.

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.

A summary of all changes is provided in section 2.4. Full details of the question set and associated validations, including changes, are available in the Technical Output Specification document.

### 2.1 New Items

An additional 12 questions have been included in the collection in order to capture information on pre-admission and Care and Treatment Reviews (CTRs). This information is already collected by submitters through informal local processes.

Three further questions have been added to enhance the data on originating address and CCG and the method of admission (was the admission planned or unplanned).

**2.1.1 Additional values have also been added to existing questions to enhance the quality of the data collected, and where possible bring the collection in line with the Learning Disability Census and the NHS Data Dictionary. Addition of new questions and associated values**

Change Specification ID	Question Number	Question	New Value
AT022	Q6	Originating CCG	n/a
AT023	Q8	Postcode of usual address	n/a
AT024	Q12	When the patient was first admitted to hospital, was this admission planned or unplanned?	n/a
AT025	Q12	When the patient was first admitted to hospital, was this admission planned or unplanned?	[1] Planned admission
AT026	Q12	When the patient was first admitted to hospital, was this admission planned or unplanned?	[2] Unplanned admission
AT027	Q12	When the patient was first admitted to hospital, was this admission planned or unplanned?	[9] Not known
AT028	Q22	Does the organisation providing advocacy hold the Advocacy Quality Performance Mark (QPM) Award?	n/a
AT029	Q22	Does the organisation providing advocacy hold the Advocacy Quality Performance Mark (QPM) Award?	[Y] Yes
AT030	Q22	Does the organisation providing advocacy hold the Advocacy Quality Performance Mark (QPM) Award?	[N] No
AT031	Q23	Did the patient have a pre-admission Care and Treatment Review (CTR)?	n/a
AT032	Q23	Did the patient have a pre-admission Care and Treatment Review (CTR)?	[Y] Yes
AT033	Q23	Did the patient have a pre-admission Care and Treatment Review (CTR)?	[N] No
AT034	Q24	If Yes, when did this take place?	n/a
AT035	Q25	If No, did the patient have a post-admission CTR?	n/a
AT036	Q25	If No, did the patient have a post-admission CTR?	[Y] Yes
AT037	Q25	If No, did the patient have a post-admission CTR?	[N] No
AT038	Q26	If the patient did have a post-admission CTR, when did this take place?	n/a

AT039	Q27	Date of most recent CTR	n/a
AT040	Q28	Outcome of most recent CTR	n/a
AT041	Q28	Outcome of most recent CTR	[1] Ready for discharge, discharge plan in place & discharge date in next 3 months
AT042	Q28	Outcome of most recent CTR	[2] Ready for discharge, discharge plan in place & discharge date in next 6 months
AT043	Q28	Outcome of most recent CTR	[3] Ready for discharge- no discharge plan
AT044	Q28	Outcome of most recent CTR	[4] Not ready for discharge- needs to be in a hospital bed for care & treatment.
AT045	Q29	Date of next scheduled CTR	n/a
AT046	Q30	Was the patient admitted for respite care only?	n/a
AT047	Q30	Was the patient admitted for respite care only?	[Y] Yes
AT048	Q30	Was the patient admitted for respite care only?	[N] No
AT062	Q28	Outcome of most recent CTR	[9] Not Applicable (Source of admission code 39)

### 2.1.2 Addition of new values to existing questions

Change Specification ID	Question Number	Question	New Value
AT014	Q3	Person stated gender code	[9] Indeterminate (unable to be classified as either male or female)
AT015	Q3	Person stated gender code	[X] Not known (person stated gender code not recorded)
AT017	Q16	Mental Health Act legal status classification code	[37] Formally detained under Mental Health Act Section 45A (limited direction in force)
AT018	Q16	Mental Health Act legal status	[38] Formally detained under Mental Health

		classification code	Act Section 45A (limited direction ended)
AT019	Q16	Mental Health Act legal status classification code	[98] Not Applicable
AT020	Q16	Mental Health Act legal status classification code	[99] Not known
AT021	Q34b	Is the plan for discharge/transfer agreed by the following: Family/carer?	[9] Not applicable (No Family/carer)

## 2.2 Amendments

### 2.2.1 Renaming of questions to align with NHS Data Model and Dictionary

Change Specification ID	Question Number	Question	New Value
AT013	Q3	Person stated gender code	n/a
AT016	Q16	Mental Health Act legal status classification code	n/a
AT049	Q1	NHS Number	n/a
AT050	Q2	Person birth date	n/a
AT051	Q4	Ethnic Category	n/a
AT052	Q7a	Source of Admission Code (Hospital Provider Spell)	n/a
AT053	Q11a	Start Date (hospital provider spell)	n/a
AT054	Q13a	Organisation code (of provider)	n/a
AT055	Q13b	Organisation name	n/a
AT056	Q14a	Site code (of treatment)	n/a
AT057	Q14c	Postcode of location of care activity	n/a
AT058	Q18	Is the service currently deemed compliant in relation to all the CQC Essential Standards?	[Y] Yes
AT059	Q18	Is the service currently deemed compliant in relation to all the CQC Essential Standards?	[N] No
AT060	Q18	Is the service currently deemed compliant in relation to all the CQC Essential Standards?	[3] Not known (not yet inspected)
AT061	Q18	Is the service currently deemed compliant in relation to all the CQC Essential Standards?	[4] Not Applicable (Not regulated by CQC as outside England)

## 2.2.2 Re-assigning of question numbers

The numbering and order of questions has changed due to the deletion of a set of questions and the inclusion of additional questions. Submitters should refer to the Specification, Technical Output Specification and Implementation Guidance to familiarise themselves with the question set when this change is implemented to ensure systems and processes for gathering information and inputting data onto the CAP system are amended accordingly.

## 2.3 Deletions

Ten questions and their associated values have been removed from the collection. This will decrease the burden of collection for submitters.

There has also been the removal of a small number of values for existing questions where it was felt these values were no longer applicable.

### 2.3.1 Deletion of questions and associated values

Change Specification ID	Question Number	Question
AT001	Q7	Is the patient a former resident of Winterbourne View Hospital? If Yes, please answer the following questions, if No, go to Q8
AT002	Q7a	Has the patient previously been subject to multiple (more than one) moves/placement breakdown?
AT003	Q7b	Has the service been subject to special measures or deemed non-compliant by the CQC during the past 12 months?
AT004	Q7c	Have any safeguarding concerns been raised in relation to the current service during the past 12 months?
AT005	Q7d	If Q7c is Yes, is the alert still active?
AT006	Q7e	If service closed, at what date?
AT007	Q7f	Has the service been subject to any whistle blowing actions during the past 12 months?
AT008	Q7g	Has support been provided related to any potential trauma experienced at Winterbourne View? If Yes, answer Q7h If No, answer Q7i
AT009	Q7h	if Q7g is Yes, Please describe the support provided
AT010	Q7i	if Q7g is No, Was any support required or requested?

### 2.3.2 Deletion of values

Change Specification ID	Question Number	Question	Value
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AT011	Q33	Details of patient's care plan	<del>[4] Requires indefinite IP care because of behavioural needs</del>
AT012	Q33	Details of patient's care plan	<del>[5] Requires indefinite IP care because of physical needs</del>

## 2.4 Summary of Changes

Previous Question Number	Question	New Question Number	Change Type	Existing Value	Proposed Value	Comments	Change Specification ID
Q7	Is the patient a former resident of Winterbourne View Hospital? If Yes, please answer the following questions, if No, go to Q8	n/a	Deletion of question	n/a	n/a	Question removed from collection	AT001
Q7a	Has the patient previously been subject to multiple (more than one) moves/placement breakdown?	n/a	Deletion of question	n/a	n/a	Question removed from collection	AT002
Q7b	Has the service been subject to special measures or deemed non-compliant by the CQC during the past 12 months?	n/a	Deletion of question	n/a	n/a	Question removed from collection	AT003
Q7c	Have any safeguarding concerns been raised in relation to the current service during the past 12 months?	n/a	Deletion of question	n/a	n/a	Question removed from collection	AT004
Q7d	If Q7c is Yes, is the alert still active?	n/a	Deletion of question	n/a	n/a	Question removed from collection	AT005
Q7e	If service closed, at what date?	n/a	Deletion of question	n/a	n/a	Question removed from collection	AT006
Q7f	Has the service been subject to any whistle blowing actions during the past 12 months?	n/a	Deletion of question	n/a	n/a	Question removed from collection	AT007

Previous Question Number	Question	New Question Number	Change Type	Existing Value	Proposed Value	Comments	Change Specification ID
Q7g	Has support been provided related to any potential trauma experienced at Winterbourne View? If Yes, answer Q7h If No, answer Q7i	n/a	Deletion of question	n/a	n/a	Question removed from collection	AT008
Q7h	if Q7g is Yes, Please describe the support provided	n/a	Deletion of question	n/a	n/a	Question removed from collection	AT009
Q7i	if Q7g is No, Was any support required or requested?	n/a	Deletion of question	n/a	n/a	Question removed from collection	AT010
Q21	Details of patient's care plan	Q33	Deletion of value	n/a	[4] Requires indefinite IP care because of behavioural needs	Value removed from question	AT011
Q21	Details of patient's care plan	Q33	Deletion of value	n/a	[5] Requires indefinite IP care because of physical needs	Value removed from question	AT012
Q3	Person stated gender code	Q3	Amended question	n/a	n/a	Question amended to align with NHS Data Model and Dictionary	AT013
Q3	Person stated gender code	Q3	New Value	NEW	[9] Indeterminate (unable to be classified as either male or female)	Additional value added to existing question	AT014

Previous Question Number	Question	New Question Number	Change Type	Existing Value	Proposed Value	Comments	Change Specification ID
Q3	Person stated gender code	Q3	New Value	NEW	[X] Not known (person stated gender code not recorded)	Additional value added to existing question	AT015
Q13	Mental Health Act legal status classification code	Q16	Amended question	n/a	n/a	Question amended to align with NHS Data Model and Dictionary	AT016
Q13	Mental Health Act legal status classification code	Q16	New Value	NEW	[37] Formally detained under Mental Health Act Section 45A (limited direction in force)	Additional value added to existing question	AT017
Q13	Mental Health Act legal status classification code	Q16	New Value	NEW	[38] Formally detained under Mental Health Act Section 45A (limited direction ended)	Additional value added to existing question	AT018
Q13	Mental Health Act legal status classification code	Q16	New Value	NEW	[98] Not Applicable	Additional value added to existing question	AT019
Q13	Mental Health Act legal status classification code	Q16	New Value	NEW	[99] Not known		AT020
Q22b	Is the plan for discharge/transfer agreed by the following: Family/carer?	Q34b	New Value	NEW	[9] Not applicable (No Family/carer)	Additional value added to existing question	AT021
n/a	Originating CCG	Q6	New Question	n/a	n/a	New question Commissioner Code (e.g CCG code or Local Authority code. Lookup tables available on the Assuring Transformation website.)	AT022

Previous Question Number	Question	New Question Number	Change Type	Existing Value	Proposed Value	Comments	Change Specification ID
n/a	Postcode of usual address	Q8	New Question	n/a	n/a	New question Full postcode of source of admission. If not known use (ZZ99 3WZ)	AT023
n/a	When the patient was first admitted to hospital, was this admission planned or unplanned?	Q12	New Question	n/a	n/a	New question	AT024
n/a	When the patient was first admitted to hospital, was this admission planned or unplanned?	Q12	New Value	NEW	[1] Planned admission	New value associated with new question	AT025
n/a	When the patient was first admitted to hospital, was this admission planned or unplanned?	Q12	New Value	NEW	[2] Unplanned admission	New value associated with new question	AT026
n/a	When the patient was first admitted to hospital, was this admission planned or unplanned?	Q12	New Value	NEW	[9] Not known	New value associated with new question	AT027
n/a	Does the organisation providing advocacy currently hold the QPM Award Advocacy Quality Performance Mark (QPM) Award?	Q22	New Question	n/a	n/a	New question	AT028

Previous Question Number	Question	New Question Number	Change Type	Existing Value	Proposed Value	Comments	Change Specification ID
n/a	Does the organisation providing advocacy currently hold the QPM Award Advocacy Quality Performance Mark (QPM) Award?	Q22	New Value	NEW	[Y] Yes	New value associated with new question	AT029
n/a	Does the organisation providing advocacy currently hold the QPM Award Advocacy Quality Performance Mark (QPM) Award?	Q22	New Value	NEW	[N] No	New value associated with new question	AT030
n/a	Did the patient have a pre-admission Care and Treatment Review (CTR)?	Q23	New Question	n/a	n/a	New question	AT031
n/a	Did the patient have a pre-admission Care and Treatment Review (CTR)?	Q23	New Value	NEW	[Y] Yes	New value associated with new question	AT032
n/a	Did the patient have a pre-admission Care and Treatment Review (CTR)?	Q23	New Value	NEW	[N] No	New value associated with new question	AT033
n/a	If Yes, when did this take place?	Q24	New Question	n/a	n/a	New question Dependent on Q23 The format required: DD-MM-CCYY	AT034
n/a	If No, did the patient have a post-admission CTR?	Q25	New Question	n/a	n/a	New question Dependent on Q23	AT035
n/a	If No, did the patient have a post-admission CTR?	Q25	New Value	NEW	[Y] Yes	New value associated with new question Dependent on Q23	AT036
n/a	If No, did the patient have a post-admission CTR?	Q25	New Value	NEW	[N] No	New value associated with new question Dependent on Q23	AT037

Previous Question Number	Question	New Question Number	Change Type	Existing Value	Proposed Value	Comments	Change Specification ID
n/a	If the patient did have a post-admission CTR, when did this take place?	Q26	New Question	n/a	n/a	New question Dependent on Q25 The format required: DD-MM-CCYY	AT038
n/a	Date of most recent CTR	Q27	New Question	n/a	n/a	New question The format required: DD-MM-CCYY	AT039
n/a	Outcome of most recent CTR	Q28	New Question	n/a	n/a	New question	AT040
n/a	Outcome of most recent CTR	Q28	New Value	NEW	[1] Ready for discharge, discharge plan in place & discharge date in next 3 months	New value associated with new question	AT041
n/a	Outcome of most recent CTR	Q28	New Value	NEW	[2] Ready for discharge, discharge plan in place & discharge date in next 6 months	New value associated with new question	AT042
n/a	Outcome of most recent CTR	Q28	New Value	NEW	[3] Ready for discharge- no discharge plan	New value associated with new question	AT043
n/a	Outcome of most recent CTR	Q28	New Value	NEW	[4] Not ready for discharge- needs to be in a hospital bed for care & treatment.	New value associated with new question	AT044
n/a	Date of next scheduled CTR	Q29	New Question	n/a	n/a	new question The format required: DD-MM-CCYY	AT045

Previous Question Number	Question	New Question Number	Change Type	Existing Value	Proposed Value	Comments	Change Specification ID
n/a	Was the patient admitted for respite care only?	Q30	New Question	n/a	n/a	New question	AT046
n/a	Was the patient admitted for respite care only?	Q30	New Value	NEW	[Y] Yes	New value associated with new question	AT047
n/a	Was the patient admitted for respite care only?	Q30	New Value	NEW	[N] No	New value associated with new question	AT048
Q1	NHS Number	Q1	Amended question	n/a	n/a	Question amended to align with NHS Data Model and Dictionary	AT049
Q2	Person birth date	Q2	Amended question	n/a	n/a	Question amended to align with NHS Data Model and Dictionary	AT050
Q4	Ethnic Category	Q4	Amended question	n/a	n/a	Question amended to align with NHS Data Model and Dictionary	AT051
Q5a	Source of Admission Code (Hospital Provider Spell)	Q7a	Amended question	n/a	n/a	Question amended to align with NHS Data Model and Dictionary	AT052
Q9a	Start Date (hospital provider spell)	Q11a	Amended question	n/a	n/a	Question amended to align with NHS Data Model and Dictionary	AT053
Q10a	Organisation code (of provider)	Q13a	Amended question	n/a	n/a	Question amended to align with NHS Data Model and Dictionary	AT054
Q10b	Organisation name	Q13b	Amended question	n/a	n/a	Question amended to align with NHS Data Model and Dictionary	AT055
Q11a	Site code (of treatment)	Q14a	Amended question	n/a	n/a	Question amended to align with NHS Data Model and Dictionary	AT056
Q11c	Postcode of location of care activity	Q14c	Amended question	n/a	n/a	Question amended to align with NHS Data Model and Dictionary	AT057

Previous Question Number	Question	New Question Number	Change Type	Existing Value	Proposed Value	Comments	Change Specification ID
Q15	Is the service currently deemed compliant in relation to all the CQC Essential Standards?	Q18	Amended value	[1] Yes	[Y] Yes	Question amended to align with NHS Data Model and Dictionary	AT058
Q15	Is the service currently deemed compliant in relation to all the CQC Essential Standards?	Q18	Amended value	[2] No	[N] No	Question amended to align with NHS Data Model and Dictionary	AT059
Q15	Is the service currently deemed compliant in relation to all the CQC Essential Standards?	Q18	Amended value	[3] not yet inspected	[3] Not known (not yet inspected)	Question amended to align with NHS Data Model and Dictionary	AT060
Q15	Is the service currently deemed compliant in relation to all the CQC Essential Standards?	Q18	Amended value	[4] Not regulated by CQC as outside England	[4] Not Applicable (Not regulated by CQC as outside England)	Question amended to align with NHS Data Model and Dictionary	AT061
n/a	Outcome of most recent CTR	Q28	New Value	NEW	[9] Not Applicable (Source of admission code 39)	New value associated with new question	AT062

## 2.5 Question Validations

The following validations are applied to the question set when data is entered on the CAP system. Changes to validations are shown as NEW / Amended / Deleted

Question number	Question	Previous question number	Validation	Status
Q1	NHS Number	Q1	This must be a valid NHS number with 10 digits and no spaces.	No Change
n/a	<del>Is the patient a former resident of Winterbourne View Hospital? If Yes, please answer the following questions, if No, go to Q8</del>	Q7	<del>If Q7 is No, Q7a-i should be left blank.</del>	Deleted
n/a	<del>Is the patient a former resident of Winterbourne View Hospital? If Yes, please answer the following questions, if No, go to Q8</del>	Q7	<del>If Q7 is Yes, Q7a, Q7b, Q7c must be answered</del>	Deleted
n/a	<del>Have any safeguarding concerns been raised in relation to the current service during the past 12 months?</del>	Q7c	<del>If Q7c is Yes, Q7d must be answered (Q7e should be left blank).</del>	Deleted
n/a	<del>Have any safeguarding concerns been raised in relation to the current service during the past 12 months?</del>	Q7c	<del>If Q7c is No, Q7d should be left blank.</del>	Deleted
n/a	<del>Has support been provided related to any potential trauma experienced at Winterbourne View? If Yes, answer Q7h If No, answer Q7i</del>	Q7g	<del>If Q7g is Yes, Q7h must be answered (Q7i should be left blank).</del>	Deleted
n/a	<del>Has support been provided related to any potential trauma experienced at Winterbourne View? If Yes, answer Q7h If No, answer Q7i</del>	Q7g	<del>If Q7g is No, Q7i must be answered (Q7h should be left blank).</del>	Deleted
Q11b	Date of the first admission to any hospital as part of this continuous period of inpatient care?	Q9b	Q11b can only be answered if the patient is admitted from another hospital, i.e. if Q5a is code 49, 51, 53 or 87. If Q5a is not coded 49, 51, 53 or 87 then Q11b should be left blank.	No Change

Question number	Question	Previous question number	Validation	Status
Q17a	What is the ward security level?	Q14a	If Q17a is code 0 'General' or 4 'PICU' then Q17b must <b>not</b> be 1.	No Change
Q17a	What is the ward security level?	Q14a	If Q17a is code 1 'low secure' 2 'medium secure', 3 'high secure' then Q17b must be 1.	No Change
Q20a	Does the patient make use of independent advocacy?	Q17	If Q20a is No, Q20b must be answered (Q20c-g should be left blank).	No Change
Q20a	Does the patient make use of independent advocacy?	Q17	If Q20a is Yes, Q20c-g must be answered (Q20b should be left blank).	No Change
Q24	If Yes, when did this take place (pre-admission CTR)	NEW	Date should be before the admission date (Q11a)	NEW
Q26	If the patient did have a post-admission CTR, when did this take place?	NEW	Date should be after the admission date (Q11a) but before the date user enters data	NEW
Q29	Date of next scheduled CTR	NEW	Date must be later than date user enters data	NEW
Q32	Date of the most recent formal review or assessment[8] of this patient's individual care plan.	Q20	Q32 cannot be a date in the future.	No Change
Q35	Where will the patient transfer to? (Or notification of patient death)	Q23	If Q35 is code 14 'No transfer currently planned' or 15 'Patient died' then Q36 and Q37 should be left blank.	No Change
Q35	Where will the patient transfer to? (Or notification of patient death)	Q23	If Q35 is code 14 'No transfer currently planned' or 15 'Patient died' then Q38a should be N 'No'	No Change
Q36	Full post code (with a space) of the proposed community setting, if known?	Q24	Q36 should only be answered if the patient is transferring to a community setting (code 1, 2, 3, 4 or 5 at	Amended

Question number	Question	Previous question number	Validation	Status
Q38b	If Q38a is Yes, date of planned transfer	Q26	If Q38a is Yes, Q38b must be answered.	Amended
n/a	Are members of the patient's family currently involved in discussing the patient's care plan?	Q21	If Q21 is code 1, 2, 3, 4 or 5 then Q27a-l should be left blank.	Deleted
Q39a	If Q33 is coded 6, what are the reasons for this patient's planned transfer of care not having an agreed date?	Q21	If Q33 is code 6, Q39a-l must be answered.	No Change

## 2.6 System Validation Enhancements

In order to continuously improve system performance and data quality, for a small number of questions the functionality of the CAP system has been altered in order to enhance the quality of the data submitted.

Users have been made aware of changes to validations on the live CAP system directly through a targeted email and regular updates via a monthly HSCIC issued newsletter to ensure they are fully aware of the changes and the effect on their data.

The main changes are as follows:

1. Some fields are now locked to prevent them from being edited while an episode is still open. These fields are:

- Q5 (Submitting CCG),
- Q11a (Start date (hospital provider spell)),
- Q13a (Organisation code (code of provider)),
- Q13b (Organisation name),
- Q14c (Postcode of location of care activity),
- Q17a (ward security level),
- Q17b (ward type).

2. The validations around Q17 have been changed so that if Q17a is coded 1 (low secure), 2 (medium secure), 3 (high secure) then Q17b must be 1 (Low, medium and high secure forensic beds). Similarly if Q17a is 0 (General non-secure) or 4 (PICU) then Q17b cannot be 1.

3. The validations around Q38a have changed so that if Q35 is 14 (No transfer currently planned) or 15 (Patient Died) Q38a (Is there an agreed date for planned transfer) must be No.
4. The submission confirmation feature has changed so that if users submit data for more than one organisation they will now see one row per organisation that they submit for. The confirmation still acts as a method to inform the collection that they are happy with their data or that they have no updates on the previous month's data.

Guidance has also been provided to submitters regarding best practice for entering data under this new functionality.

It is expected that this change will have a positive impact on data quality as the likelihood of incorrect data being entered onto the system should now decrease. It is envisaged that this will also help safeguard the collection from future duplicate records. The submission confirmation feature will also help the HSCIC and NHS England monitor submitter engagement more effectively.

## 2.7 Improved Guidance for Submitters

In response to supplier consultation and feedback, guidance has been improved in order to ensure that data quality is enhanced. This includes an improved definition of 'in scope and 'out of scope'. There are a number of user guidance documents available for submitters, including technical guidance for using the CAP system. The AT website has also been updated to reflect improved guidance on the scope of the collection.

## 2.8 Compliance and Mandation of Questions

The new questions and data items will be non-mandatory for existing records on the CAP system for two months from the date of the Information Standards Notice (ISN). This will give submitters time to ensure that all data fields can be completed on the CAP system for all entries. Submitters will see the following warning message *'Please note that all questions are mandatory for new patients or new episodes of care. For existing records, this question will be mandatory from 4th January 2016 and you will be required to enter data.'* Following the non-mandatory period these fields will become mandatory and the validations associated with these questions will be enforced.

### 3 Implementation and communication

The changes to the Assuring Transformation collection will be implemented by first being made available in the Clinical Audit Platform (CAP) system. Further details of the collection and the whole question set can be found in the Assuring Transformation Specification document and the Technical Output Specification.

System suppliers are notified of the changes through the publication of the relevant ISNs following approval, and perform the updates as specified in their contract(s).

Once made available individual users of the systems will update the records for which they are responsible by the conformance date specified in the ISN.

Submitting organisations will be informed of changes as and when required through direct emails and communication from NHS England.

There is also a regular Assuring Transformation Newsletter which is sent to submitters via email. This is used to inform submitters of any changes or issues with the collection, technical issues affecting the collection, and examples of good practice. Examples of previous newsletters are available on the AT website: <http://www.hscic.gov.uk/assuringtransformation>