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Assuring Transformation Implementation Guidance

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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](#).

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Glossary:

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 https://clinicalaudit.hscic.gov.uk/ 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 Department of Health .
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.

Term	Acronym	Definition
Operational Guidance		This provides collection specific guidance on how to use the Clinical Audit Platform.
Organisation Code (Org Code)		This relates to the ODS code for an Organisation or Organisation Site. More information can be found at http://systems.hscic.gov.uk/data/ods .
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.

1. Purpose

The following guidance is intended to support the implementation of the changes to the Assuring Transformation data collection.

Full details of the collection and related data items are available in the Specification and Technical Output Specification documents. There is also additional user guidance, including video tutorials, available on the Assuring Transformation website: www.hscic.gov.uk/assuringtransformation

This guide is not exhaustive but aims to make users aware of guidance available, draw attention to essential steps and help services assess their readiness for the changes. Users should make use of this document when preparing a high level picture of how their organisation intends to tackle this implementation to meet the anticipated timescales.

1.1 Scope of Document

This document provides guidance on how to implement changes resulting from the release of the Assuring Transformation Information Standards Notice (ISN) and should be read in conjunction with the following documents:

- Specification
- Technical Output Specification (TIS)
- User Guidance (including Operational Guidance)
- Change Specification.

Providers have the flexibility to adopt any local data collection process or system as long as the local data collection frameworks can output data as per the Assuring Transformation TIS.

Further documentation, including the ISN and Change Specification can be found on the Information Standards and Collections page for this standard: <http://www.hscic.gov.uk/isce/publication/SCCI2007>

1.2 Out of Scope of Document

The following areas are out of scope of this document:

- Detailed justification for the development of the collection.
- Detailed breakdown of the collection questions, data items and validations
- Detailed breakdown of the changes to the collection

2 Background

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.¹

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.

This data collection monitors the progress of moving people with learning disabilities to community settings. The collection refers to patients with a diagnosed learning disability, autism or Asperger syndrome.

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 the Learning Disability Census completed by providers. This process is important for informing and assuring the Learning Disabilities Transforming Care Programme.

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).

2.1 Summary of Key Documents

Document/Product	Description	Publication Status
SCCI Information Standard Documentation		
<i>Information Standards Notice</i>	Notification of publication of a new or amended standard.	Published on SCCI webpage
<i>Change Specification</i>	Outlines a list of changes made to the collection. For example, the addition of new questions or data items, the renaming of items to conform to NHS Data Model & Dictionary and the deletion of other items.	Published on SCCI webpage
<i>Requirements Specification</i>	Outlines the scope of the collection and how it should be implemented. 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).	Published on SCCI webpage
Technical Documentation		

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

<i>Technical Output Specification (TOS)</i>	This is the specification that fully defines each data item within the collection. This document splits the data set into a number of groups (tables), each containing data items and values. The 'Change Control' tab within this document defines the individual changes made to data items as part of the <i>Change Request</i> .	Published on AT webpage
<i>Operational Guidance</i>	Detailed technical user guidance for submitting data on the Clinical Audit Platform (CAP) system. Further explains the data submission process, the submission windows, and gives advice regarding populating the CAP system.	Published on AT webpage
<i>User Guidance</i>	Guidance for data submitters about the structure and content of the collection, including guidance about how to submit each individual data item.	Published on AT webpage
<i>FAQ</i>	This FAQ document is to help data submitters further understand the data set submission process by providing guidance for frequently asked questions.	Published on AT webpage
Organisational assessment, planning and registration tools		
<i>Implementation Guidance (THIS DOCUMENT)</i>	A document containing guidance to support data submitters with the implementation of the data collection	Published on SCCI webpage
<i>Registration Form</i>	To register for the AT collection, submitters will need to complete a registration form electronically. One form is required for each organisation.	Published on AT webpage

2.2 Related standards and references

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

3 Human Behavioural Guidance

All commissioners of learning disability services, and commissioners of services whereby that commissioning activity renders the patient to be in scope of the collection, must comply with this information standard and collection. This includes:

- Clinical Commissioning Groups (CCGs),
- Commissioning Support Units (CSUs) and
- NHS England specialised commissioning hubs.

The following section describes how the collection should be used by clinical and operational staff and providers, as well as system suppliers in order for them to implement the current changes.

- Clinical and Administrative Staff in provider organisations: will be responsible for capturing information as part of the on-going care of the patient i.e. for primary use purposes and will be responsible for capturing information such as demographics and details of contacts/activities.
- Suppliers of data collection systems: will develop systems ensuring that data items can be captured electronically and output or derived to nationally agreed standards to allow extraction and/or derivation to produce the Assuring Transformation collection.
- Assuring Transformation Informatics Staff: will be responsible for the collation of information, which may come from a range of disparate systems, into a single data extract which can be inputted into the CAP system in order to complete the Assuring Transformation data collection. This will include ensuring completeness and data quality of the information. This group can include Commissioning Managers and Information Analysts.

3.1 Data Users

3.1.1 Primary Users

Assuring Transformation is not intended for primary data use, for the direct care of the patient. Assuring Transformation is not a specification for the standardisation of a patient care record. Commissioners have the flexibility to adopt any local data collection process or system as long as the local data collection frameworks can output a suitable data extract for as per the Technical Output Specification, for submission to the CAP system.

Assuring Transformation is not a patient care record but is based on clinical and operational information. Providers of data should therefore look to re-use their clinical and operational systems to extract the relevant data.

3.1.2 Secondary Users

Assuring Transformation is intended for secondary use purposes rather than for the direct care of the patient. Information captured for primary purposes will be extracted from existing Patient Administrative Systems (PAS) and clinical systems.

Information generated by this collection will be used by the following organisations:

At a local level:

- clinical commissioning groups,
- commissioning support units and
- NHS England specialised commissioning hubs

The following groups of people are likely to analyse information captured through the collection:

- commissioning managers
- information analysts
- mental health professionals
- learning disability professionals
- autism spectrum disorder professionals

At a national level:

- NHS England
- Department of Health
- Health and Social Care Information Centre

4 Organisational Guidance

Health and Care organisations and system suppliers should be aware of the requirements and conformance criteria specified for the standard. These are outlined in the Standard Specification document available on the SCCI website.

4.1 Resources / Costs

Providers of services will have a requirement to collect data for both clinical and patient administration primary purposes. The Assuring Transformation collection is designed to build on this requirement by gathering this information and using it for a number of secondary purposes, including national reporting and dissemination to commissioners. As such, funding is not available for sites to:

- procure or install data collection systems.
- train staff in order to facilitate data collection.
- undertake additional activities required to facilitate data extract submission.

It is not within the scope of this document to provide advice with regard to the procurement of systems; however staff at HSCIC are available to help where a requirement exists, and can be contacted via the enquiries@hscic.gov.uk email address.

Data providers should however expect some resource to be required in order uplift data collection to enable extraction of the required data items. This is likely to be the case whether the data provider is new to the collection or making amendments following publication of the ISN, and should be provided for as part of the contract between commissioner and provider.

4.2 Information Governance

Explicit consent is not required; however, providers are strongly encouraged to inform patients that their information will be used locally to support secondary uses, to inform patients of their right to object and to act on these objections wherever possible and in line with local policy, as directed by the local Caldicott Guardian.

Guidance for data and information sharing at both operational and secondary uses levels exists nationally, for example:

- [The NHS Confidentiality Code of Practice](#) (2003)

“This document is a guide to required practice for those who work within or under contract to NHS organisations concerning confidentiality and patients’ consent to the use of their health records.”

Report of the Review of Patient Identifiable Information (1997) (Caldicott Report)

- [The Information Governance Review](#) (2013) (Caldicott 2):

“The guidance in this report is intended to help health and social care professionals and staff in sharing information appropriately in their day-to-day activities. There will however, always be exceptional and difficult circumstances where solutions are not obvious. In these situations, professionals and staff should seek advice from Caldicott Guardians or their professional bodies, and use their judgement to act in the best interests of their patients and clients.”

The HSCIC has also published [A Guide to Confidentiality in Health and Social Care](#) (2013) which provides good practice advice and guidance for healthcare staff.

All data providers must ensure compliance with the fair processing requirement of the Data Protection Act 1998. To meet these requirements, data providers must make available information and guidance to patients and/or their legal guardians to inform them that their data (or their child’s data where applicable) will be used for secondary uses purposes (such as service development analysis and national statistical research) in the form of a [Fair Processing Notice or Privacy Notice](#).

The Fair Processing notice for Assuring Transformation is available on the NHS England website. NHS England have also produced a patient leaflet to ensure their understanding of the process, which is available here: <http://www.england.nhs.uk/ourwork/qual-clin-lead/ld/atd/>

4.2.1 Consent and Opt Out

Consent Guidance is available on the HSCIC Assuring Transformation website (<http://www.hscic.gov.uk/assuringtransformation>).

This guidance focuses on information sharing between service providers taking part in the Assuring Transformation Collection and the Health and Social Care Information Centre (HSCIC). 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 the HSCIC 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 on NHS England’s website, 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.

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

4.2.2 Compliance Against Statutory Requirements

The specification and guidance for implementing this data set has been designed to support organisations in adhering to their statutory responsibilities relating to Information Governance, Data Protection Act 1998 and the Freedom of Information Act 2000. It is the responsibility of the providing organisation to ensure that these statutory responsibilities are adhered to.

4.2.3 Potential Safety/Confidentiality/Risk Considerations

Assuring Transformation utilises information already collected in potentially a variety of disparate provider systems and collated in a non-clinical setting for secondary uses purposes. There are consequently no known safety implications or potential adverse effects for patients in the application of these changes to this Information Standard.

As with all secondary use data sets and collections, there is a small underlying risk that the capture of additional information may be time consuming thus potentially impacting upon patient care. To mitigate this risk every effort has been taken to ensure that these changes to Assuring Transformation are already routinely captured for primary use purposes.

Any concerns, potential safety risks identified or adverse incidents resulting from the implementation of these changes to Assuring Transformation should be reported immediately to the HSCIC via the Contact Centre.

4.3 Data Quality

Assuring Transformation does not mandate design of local systems or specific local data quality measures. However, highlighted below, are areas the developers recommend should be considered by data providers within their local governance arrangements to ensure good data quality in respect of the submission.

4.3.1 Corporate Data Quality Framework

Each organisation will have its own corporate framework for managing data quality in respect to data collection, submission and publication. Such a framework is likely to involve a number of components such as leadership and direction from a senior officer, organisational and departmental data quality objectives, data quality audits

and a performance management framework. It is recommended that appropriate components of the corporate data quality framework include Assuring Transformation, so that data quality relating to the collection is at the heart of the organisation's data quality framework.

4.3.2 Data Quality Risks

At organisational, departmental and individual levels, risks related to data quality should be identified and mitigated. Examples of risks, which could be considered, are:

- Organisational - does the organisation have a corporate policy and objectives for managing data? Is there a senior officer with overall responsibility for data quality?
- Team - are all relevant staff aware of the purpose and importance of collecting data for this national collection? Are there sufficient resources available to continue data collection during staff absences?
- Individuals - do staff have sufficient time within their work routine to collect the data? Is there a need for additional training so staff can possess appropriate skills to collect the data (especially where systems are upgraded)?

4.3.3 Organisational and Departmental Objectives

In any organisation, resources will be deployed towards organisational and departmental objectives. The organisation's performance management framework will identify the extent to which objectives are met, and, where necessary, revised.

Where the data collection is used to monitor progress towards objectives, there will be greater emphasis on collecting good quality data. It may be necessary to embed the subject area into the organisation's performance management framework (and therefore set local objectives) to ensure data is collected in a reliable and timely manner.

The structure and internal processes of each data provider, as well as the departmental areas covering the collection, will vary and, to a certain extent, depend on the priority given to IT and informatics. Some organisations will have well developed processes and systems that, with minimum effort, will accommodate the collection. Other organisations, for who processes and systems are underdeveloped or in their infancy, or who are new to submission of the collection may require significant changes. In such instances, organisations may choose to plan the implementation of this Information Standard as a priority to ensure sufficient resources are deployed for conformance.

The implementation of a new or re-engineered process may be more successful where organisations use peer organisations to identify and replicate areas of good practice.

4.3.4 Timeliness

The data should be submitted in a timely manner, so that the collection can deliver meaningful, relevant and timely information for stakeholders. This should be followed by a review of data quality to implement improvement actions. Any delays in data submissions may have adverse impact on data quality if insufficient time is allowed to make improvements.

4.4 Documentation of Change

Where a new process for data capture, validation, collation, submission or review is developed or changes are made to existing processes, up to date documentation will assist in developing efficient processes. This can also provide continuity to the data collection process during periods of staff absences and personnel changes.

4.5 Step by Step Implementation Guide

Step	Description
Understand the background to the project, and the scope of the Information Collection	Review this <i>Implementation Guidance</i> along with the <i>Requirements Specification</i> to fully understand the background, objectives and scope to this collection.
Understand how the data is grouped within the collection	Review the <i>Technical Output Specification</i> to understand at a higher level how the questions / data items are grouped, and how those groups relate to each other.
Review and understand changes made to the collection	Review this <i>Implementation Guidance</i> , as well as the <i>Change Specification</i> and look more closely at the <i>Technical Output Specification's</i> Change Control.
Decide whether and how data items will be collected – Data Mapping.	Look more closely at each individual data item in the <i>Technical Output Specification</i> and check whether local systems record the data in a way that means it can be submitted within the Assuring Transformation collection. Read the <i>User Guidance</i> documents for further guidance on interpretation and data mapping.
Ensure the organisation complies with Information Governance requirements.	The <i>Implementation Guidance</i> signposts additional information relating to Information Governance (IG) issues surrounding the use of health service data. Caldicott Guardians and the learning disabilities services lead(s) MUST: <ul style="list-style-type: none"> Review the Information Governance Guidelines signposted within the <i>Implementation Guidance</i> to understand the issues around data submission, storage and reporting processes when handling identifiable and sensitive data items. Review management of the consent issues and put in place local processes.
Understand submission	Review the <i>Operational Guidance</i> to fully understand the data

process	submission process.
Obtain CAP login credentials	Undertake the authorisation process to enable members of staff to be authorised to access the CAP to enter data. Detailed instructions are available in the <i>Operational Guidance</i> and on the AT website.
Compile data for submission	Use local processes and technologies to generate the submission data prior to input onto CAP. The collection does not stipulate any particular local processes that should be used to collect / generate the required data. It may be that some data providers will construct a temporary local data warehouse to enable them to aggregate data from a number of different sources. The <i>Operational Guidance</i> provides further support on the submission process and the CAP which defines the exact structure and content of the required data.
Fully understand the validation reporting provided by the CAP	The <i>Technical Output Specification</i> defines the questions and associated validations that will be returned to data providers by the CAP and lists any error and warning messages that may be produced. Review this specification to ensure a thorough understanding of the validations that may be applicable and also how they can be addressed.
Keep up to date with news and updates	Review the Assuring Transformation email newsletters and website for updates on the collection and best practice, and attend any stakeholder engagement events which may have relevance to your organisation.

5 Operational Guidance

5.1 Information Standards Notice Process

All approved new data standards, and changes to existing standards, are communicated to the providers and system suppliers through the publication of an ISN. These notices are published and available to view on the [SCCI webpages](#).

The key aim of the ISN is to provide clear and unambiguous instruction to all stakeholders on the action required of them relating to the particular information standard and the associated timescales. The ISN will provide the stakeholders with sufficient detail to enable them to plan for and implement the information standard.

More information on the stages of information standard development is available on the [HSCIC website](#).

The contractual agreement between provider and system suppliers will dictate whether system suppliers have to abide by the ISN, and at what cost. The ISN also imposes a legal requirement on care providers and system suppliers to adhere to the standard.

5.2 Conformance Criteria

The roles of both users and suppliers in terms of business rules, the submission of data, technical architecture and the flow of information, are outlined separately within the Assuring Transformation Requirements Specification document.

5.3 Users

The majority of the information defined within Assuring Transformation will already be captured routinely by clinicians and administrative staff as part of their existing work practices for the on-going care of patients.

The Technical Output Specification describes the data items included within the collection and fully defines the requirements and mandate of each item. It is the responsibility of data providers to review this document to assess their conformance with the data item requirements outlined for this collection.

A step-by-step guide to submitting data is available in the Assuring Transformation User Guidance document.

6 Maintenance

The Assuring Transformation standard will be formally maintained by the Health and Social Care Information Centre in accordance with the HSCIC Community and Mental Health team's maintenance procedures as described in the Maintenance Plan.

As this collection has been approved as a full operational standard, it is subject to on-going maintenance such as to ensure it remains 'fit for purpose'.

The content of the collection is determined from consultation with various stakeholder groups. Stakeholders include various sections of Department of Health policy, NHS England, Care Quality Commission, service providers and commissioners. Other changes arise from data providers identifying issues in the current requirements which do not align with current practice, such as the need for permissible value amendments. Commissioners raise issues around the availability of data which will allow them to undertake their duties.

This data collection must remain fit for purpose; this requires the inclusion of new data items, amendment of existing items or removal of no longer required items.

The maintenance process ensures the information standard continues to reflect changes to priorities, policy, practice and/or underlying classifications.

The scope of the maintenance process covers:

- Management of change requests from users and stakeholders;
- Specification of changes to the data set in response to changes in policy, practice, coding and classifications;
- The process for authorisation and approval of changes to items, including obtaining SCCI standard change approval
- Undertaking periodic reviews including questions, data items, definitions and data values
- Amendments to the Implementation Guidance document and associated documentation produced by the development team required to keep documentation up to date in respect of policy and practice; clarify or improve pre-existing guidance; and amend identified errors. This documentation includes, but may not be exclusively: User Guidance, Operational Guidance and the Technical Output Specification (provided this does not change the approved standard).

6.1 Review of Changes

Relevant policy, practice and classifications, including NHS Data Model and Dictionary and Information Standards Notices (ISNs), will be continually monitored by the development team. Where changes are identified, implications for the data set will be assessed.

6.2 Collection Requirements

Requirements for future versions of the collection can be submitted to the HSCIC by the sponsor, stakeholders and users.

Requests can be submitted, describing any proposed changes to Assuring Transformation, to the HSCIC via enquiries@hscic.gov.uk (please include 'FAO Assuring Transformation' in the subject line).

Each request should be supported by a valid business requirement i.e. what change is needed, justification (i.e. why is it needed) and also any associated timescales.

6.3 Standardisation Committee for Care Information (SCCI)

Further acceptance of an NHS Information Standard Change submission by SCCI will be required prior to publication and implementation of any data set change.

6.4 Information Standards Notice (ISN)

Any changes to this NHS Information Standard will be communicated to the relevant providers of services affected, and their associated system suppliers, via the publication of an ISN. This will outline any new or changed requirements and associated timescales for implementation.

7 Risks / Issues

The project team currently holds a list of known risks and issues which are assured by SCCI. In the event that a technical risk or issue needs to be raised by a supplier or service provider, this should be communicated to the HSCIC by writing to enquiries@hscic.gov.uk. To help us redirect your questions to the most appropriate team and to speed up our response times, please include 'Assuring Transformation' in your subject line.

8 Implementation Support

8.1 Frequently Asked Questions (FAQs)

An FAQ document will be maintained on the Assuring Transformation [webpage containing answers to](#) frequently asked questions around the data set and submission process.

8.2 Support

For specific enquiries relating to the Assuring Transformation collection and standard including scope, data items, definitions and data values, future requirements and changes, submission deadlines, analysis and reporting of data please contact:

Health and Social Care Information Centre

Telephone: 0300 303 5678

Email: enquiries@hscic.gov.uk (please include 'FAO Assuring Transformation' in subject line)

8.3 News and service updates

The [Mental Health news and service updates page](#) is intended as a portal to update stakeholders with regard to developments around the mental health data sets developed and analysed at HSCIC, specifically MHSDS, MHLDDS, IAPT and CAMHS. The portal publishes monthly *Mental Health Information Updates*, which focus on the following areas:

- Maintenance of Data Set Standards
- Submission and data quality
- Publication news
- Events

8.4 Additional Sources of Information

NHS Data Model and Dictionary

Full details of changes to data items, including definitions and associated value lists are available on the NHS Data Dictionary website:

www.datadictionary.nhs.uk

Standardisation Committee for Care Information (SCCI)

SCCI oversees the development, assurance and approval of information standards, data collections, and data extractions.

<http://www.hscic.gov.uk/isce>

Coding Guidance

<http://systems.hscic.gov.uk/>

Have you got a Learning Disability?

<http://www.improvinghealthandlives.org.uk/news.php?nid=2137>

8.5 Disclaimer

This document is intended to provide guidance for users in relation to the capture and submission of information for the Assuring Transformation collection. It is not intended to represent official policy or legislative guidance.

If you are concerned that any aspect of this guidance does not accurately reflect the intended purpose and/or official policy, legislative or practice guidance; please send details to the HSCIC at enquiries@hscic.gov.uk (including 'FAO Assuring Transformation' within the subject line).

Appendix A

User Registration form

Step 1

Individuals required to submit data for the Assuring Transformation collection will first need to create a Single Sign-On (SSO) account by registering online here:

<https://login.hscic.gov.uk/Login.aspx>

Please note: It is best to have more than one person registered to cover holidays and absences.

Step 2

Following creation of an SSO account a registration form will be emailed to the individual. This needs to be completed electronically One form is required for each organisation; however an organisation may register as many users as required using more than one form.

The user requiring registration needs to complete parts A and B overleaf. Any queries can be addressed to the Health and Social Care Information Centre (HSCIC) on 0300 300 5678.

When the user has electronically completed parts A & B, they must email it to their Caldicott Guardian.

Step 3

The Caldicott Guardian then electronically completes part C and emails the completed form (as a Word document) to the Contact Centre enquiries@hscic.gov.uk (with subject field titled "Assuring Transformation - User Registration").

It is essential that the Caldicott Guardian emails the completed form themselves, as the source email address of the Caldicott Guardian is used as part of the verification of the Caldicott Guardian's identity.

Once the registration form has been received and approved, the user is accepting the terms and conditions of use as set out in *Appendix C* and will receive a notification email that the registration has been approved.

Additional users will require a new registration form.

Assuring Transformation (AT)**User Registration form - sample**

Please electronically complete the form carefully by typing in the grey shaded text boxes so as to avoid any delays in processing. You can easily move between the grey boxes by using the 'Tab' key.

PART A: ORGANISATION SECTION

Organisation Name:

e.g. North Bristol NHS Trust: Southmead hospital

National Code:

e.g. This should appear in the subject field on your email:

PRIMARY CONTACT (the main contact for AT Collection updates, administration and data collection)

Primary contact name:

Job Title:

Address:

Postcode:

Telephone:

E-mail:

Number of data users for whom access is required: **1**

Please note that if the Primary Contact require access as well, then their details must also be entered in Part B.

PART C: CALDICOTT GUARDIAN APPROVAL

Please approve all of the user details in part B, by electronically completing your details below and emailing the completed form using your personal email address to:

enquiries@hscic.gov.uk

With the subject field titled

“Assuring Transformation - User Registration”

Details of Organisation’s Caldicott Guardian
Name:
Telephone:
Email:
Date:

Appendix B

User Terms and Conditions of Access

Assuring Transformation contains confidential patient information and people, to whom access is granted, have a duty of confidentiality under the terms of the Data Protection Act.

Your local Caldicott Guardian has overall responsibility for this data and you will be required to comply with all of the conditions that apply locally to the handling of patient data.

Specifically in respect of Assuring Transformation and the Health and Social Care Information Centre (HSCIC), please note the following:

- Do not access another user's record unnecessarily. Inappropriate access of another user's record is a breach of the terms and conditions of use. This activity will be monitored.
- Do not reveal your password to anyone else – do not write it down.
- If you think that someone may have seen your password, contact the HSCIC to change your details
- All data stored by the HSCIC is subject to FOI requests and the government's transparency agenda. For more information go to <http://www.hscic.gov.uk/transparency>

Single sign-on (SSO) registration must be done first and can be made via the following URL:

<https://login.hscic.gov.uk/Login.aspx>

Assuring Transformation can be accessed via the following URL:

<https://clinicalaudit.hscic.gov.uk>

For further help and guidance with Assuring Transformation please do not hesitate to contact the HSCIC using the following details:

Email: enquiries@hscic.gov.uk Telephone: 0300 300 5678

Appendix C

Operational Guidance

Scope

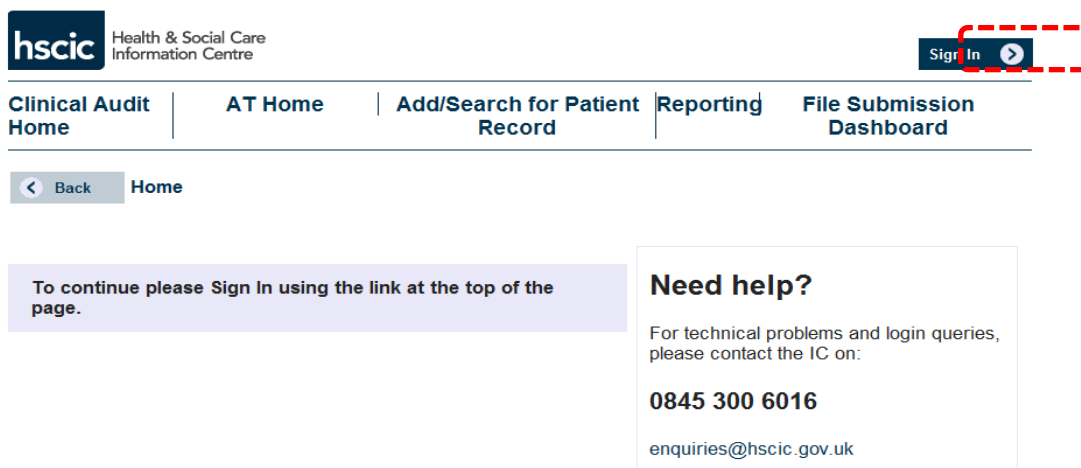
This operational guidance was created to help external users to use the Clinical Audit Platform to submit data for the Assuring Transformation collection 2015.

Using Clinical Audit Page

Log in page

1. **Link.** The link will take you to the Clinical Audit Home page where you need to click on the 'Sign In' button.

<https://clinicalaudit.hscic.gov.uk/>



2. **Sign in box.** This will take you to the sign in page where you will find information about the requirements to sign into the Clinical Audit Platform. If you already have a single sign-on account with the HSCIC you can use your username and password to sign in (Go to Point 3), or if you do not have a single sign-on account then you should register here.



Health & Social Care Information Centre

You have arrived at the Health & Social Care Information Centre account sign in page.

Our accounts use a single sign-on system. This means you log in once to gain access to the Health & Social Care Information Centre tools and web applications such as [My IC](#) and [View](#). Use your existing username and password to login.

HSCIC staff are reminded that we are currently in the process of migrating to new @hscic.gov.uk email addresses. For now, HSCIC staff will need to authenticate using their @ic.nhs.uk email addresses if their email address is their username.

From your Health & Social Care Information Centre account you can manage your details and preferences from one secure place by using the 'My Account' feature.

*Some tools contain data that will require authorisation before you can use them.

To find out more about us and our services [access our website](#).

[Terms and conditions](#) [Privacy and cookies](#) [Internet disclaimer](#)

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Sign in

Username

Password

[Sign in](#)

We use cookies to improve our website and your experience using it. Without them, parts of this site will not work. If you need more information or want to change your cookie preferences, please see our [privacy policy](#).

[Forgotten details?](#)

Don't have an account?

[Register](#)

Having trouble? Contact us on **0845 300 6016** or enquiries@hscic.gov.uk

Use your SSO to sign in

Click here to register

Register new users

To register you will need to enter your email address and chosen password (with at least 8 characters and at least one digit or punctuation mark). You will be asked to re-enter your email address/password to confirm they have been correctly entered, to input a Display name, Forename(s), Surname, Job Title and Organisation and to enter the on-screen verification code:

Further support with registration can be obtained by contacting us on **0300 303 5678** or enquiries@hscic.gov.uk

3. Once you are signed in you will be taken to the Home page where you can access the Assuring Transformation collection.

The screenshot shows the hscic (Health & Social Care Information Centre) website interface. At the top left is the hscic logo. To its right, it says 'Health & Social Care Information Centre'. Further right, it indicates 'You are signed in as Liliana Valles' with a 'Sign Out' button. Below this is a navigation bar with links: 'Clinical Audit Home', 'AT Home', 'Add/Search for Patient Record', 'Reporting', and 'File Submission Dashboard'. A secondary navigation bar contains a 'Back' button and a 'Home' link. The main content area is titled 'Assuring Transformation' and lists three options: 'Add / Search for Patient Record', 'File Submission Dashboard', and 'Reporting'. To the right of this list is a 'Need help?' box containing contact information: 'For technical problems and login queries, please contact the IC on: 0845 300 6016' and 'enquiries@hscic.gov.uk'.

Here you are offered with a choice depending on how you intend to submit your data:

- **Manual entry.** If you intend to enter details of each patient individually (recommended for those with only a small number of patients to record), click the option Add / Search for Patient Record (see Point 4 below)
- **Bulk uploads.** If you will be uploading data for multiple patients using a pre-prepared spreadsheet (recommended for those with a large number of patients to record), click the File Submission Dashboard option (see Point 5 below)

Manual entry

4. **Manual entry.** To add a patient record click on “Add / Search for a Patient Record”.

This screenshot shows the 'Assuring Transformation' menu. The menu items are 'Add / Search for Patient Record', 'File Submission Dashboard', and 'Reporting'. The 'Add / Search for Patient Record' option is highlighted with a red dashed rectangular box.

Enter the NHS Number and Date of Birth of the patient and select the ‘Submit’ button

hscic Health & Social Care Information Centre You are signed in as Liliana Valles [Sign Out](#)

[Clinical Audit Home](#) | [AT Home](#) | [Add/Search for Patient Record](#) | [Reporting](#) | [File Submission Dashboard](#)

[Back](#) Home > Add / Search for Patient Record

Add / Search for Patient Record

NHS Number

Date of Birth

[Submit](#)

After clicking “Submit” two more fields will appear:

hscic Health & Social Care Information Centre You are signed in as Liliana Valles [Sign Out](#)

[Clinical Audit Home](#) | [AT Home](#) | [Add/Search for Patient Record](#) | [Reporting](#) | [File Submission Dashboard](#)

[Back](#) Home > Add / Search for Patient Record

NHS Number: 889 073 5155 Date Of Birth: 11/01/1989 Name: Not yet added

Patient Information

Patient Details

NHS Number **required*

Date of birth **required*

Gender **required*

Ethnic category **required*

[Back](#) [Submit](#)

Once you have provided Gender and Ethnic category click “Submit”. The following screen will appear. Click on the link “Add a new status submission”.

hscic Health & Social Care Information Centre

You are signed in as Liliana Valles [Sign Out](#)

[Clinical Audit Home](#) | [AT Home](#) | [Add/Search for Patient Record](#) | [Reporting](#) | [File Submission Dashboard](#)

[Back](#) Home > Add / Search for Patient Record

NHS Number: 889 073 5155 Date Of Birth: 11/01/1989 Name: Not yet added

Record Tree

Patient: 889 073 5155 [Edit Record](#) [Delete record](#) [Add a new status submission](#)

You will be taken to a screen where you will be required to enter Patient Information for each individual included in your return on **a series of 4 tabs**. Once you have entered the full information onto one tab, click any of the other tab headings or on the “Next” button at the bottom to move to the next tab. You can navigate around the form in this way at any time during the process.

Status Submission

[Details](#) [In-patient](#) [Advocacy](#) [Case management](#)

Status submission date *required

Q5a. What was the patient's source of admission? [i](#) *required

Q5b. Postcode of patient of source of admission [i](#) *required

Q6. Is the patient subject to? [i](#) *required

Q7. Is the patient a former resident of Winterbourne View Hospital? *required

Q7a. Has the patient been subject to multiple moves/replacement breakdown?

Q7b. Has the service been subject to special measure or deemed non-compliant by the CQC during the past 12 months?

Q7c. Have any safeguarding concerns been raised in relation to the current service during the past 12 months?

Q7d. Is the alert still active?

Q7e. If service closed, at what date?

Q7f. Has the service been subject to any whistle blowing actions during the past 12 months?

Q7g. Has support been provided, related to any potential trauma experienced at Winterbourne View?

Q7h. Please describe the support provided

Q7i. Was any support required or requested?

[Next](#)

Most of the fields are mandatory and depending on your answer to some questions some other questions will be greyed out or made available for you to respond. You will not be able to successfully submit your record until all required fields have been completed satisfactorily.

Once you have entered all the patient information you can submit the record by clicking on the 'Submit' button at the bottom of the screen on the last tab (Case Management).



Validation: To ensure Data Quality some fields have built-in data validations. If your data does not satisfy the validation criteria, it will not be submitted successfully. Errors will be indicated on the screen, the field box containing the error will be highlighted in red and below it a description of the error will appear, as shown here:

Status Submission

Details In-patient Advocacy Case management

Status submission date *required
It is not possible to overlap episodes.

The system will not successfully submit your patient record until all errors are rectified. When the patient record has been submitted successfully you will see this screen:

hscic Health & Social Care Information Centre

You are signed in as Liliana Valles [Sign Out](#)

[Clinical Audit Home](#) | [AT Home](#) | [Add/Search for Patient Record](#) | [Reporting](#) | [File Submission Dashboard](#)

[Back](#) Home > Add / Search for Patient Record

NHS Number: 886 210 0981 Date Of Birth: 11/01/1989 Name: Not yet added

Record Tree

Patient: 886 210 0981 [Edit Record](#) [Delete record](#) [Add a new status submission](#)

Status submission: 27/06/2014 [Edit Record](#) [Delete record](#)

Bulk Upload

1. File Submission Dashboard

To upload details for multiple patients it is advisable to use a bulk upload which can be accessed by clicking the File Submission Dashboard option.

2. Preparing the Upload file

In order for the bulk upload to be successful the upload file must be prepared in such a way that the data collection tool will recognise and accept the file and the data columns contained within it

The easiest way to ensure that the file upload is successful is to download the template file which has been created for this purpose. The template file can be accessed in a number of ways, explained below.

A copy of the template file can be downloaded from the Assuring Transformation web page (www.hscic.gov.uk/assuringtransformation)

Alternatively, a file can be downloaded from within the Data Collection tool itself using the Reporting option, using the steps below:

The screenshot shows the HSCIC Health & Social Care Information Centre web application. At the top left is the HSCIC logo. To the right, it says "You are signed in as Liliana Valles" with a "Sign Out" button. Below this is a navigation bar with links: "Clinical Audit Home", "AT Home", "Add/Search for Patient Record", "Reporting", and "File Submission Dashboard". The "Reporting" link is highlighted with a red dashed box. Below the navigation bar is a "Back Home" button. The main content area is titled "Assuring Transformation" and contains three menu items: "Add / Search for Patient Record", "File Submission Dashboard", and "Reporting". The "Reporting" item is also highlighted with a red dashed box. To the right of the menu is a "Need help?" section with contact information: "For technical problems and login queries, please contact the IC on: 0845 300 6016" and "enquiries@hscic.gov.uk".

Click either of the reporting buttons shown above, which will take you to the extract screen below

hscic Health & Social Care Information Centre

You are signed in as David (LIVE) Sign Out

Clinical Audit Home | AT Home | Add/Search for Patient Record | Reporting | File Submission Dashboard

Back Home

Reporting

Extract

Clicking the extract button will take you to the screen below where you will be prompted to enter a from and to date. Although at this stage you are only using the extract option to download a template file, the from and to boxes cannot be left empty so for this purpose it is advisable to enter future dates in these boxes to ensure that the extracted file is actually empty.

hscic Health & Social Care Information Centre

You are signed in as David (LIVE) Sign Out

Clinical Audit Home | AT Home | Add/Search for Patient Record | Reporting | File Submission Dashboard

Back Home > Report

Extract

From date 01/04/2014 *required

To date 16/07/2014 *required

Export

Once the dates have been entered, and the Export button clicked, after a short while the following message will appear at the bottom of the screen:

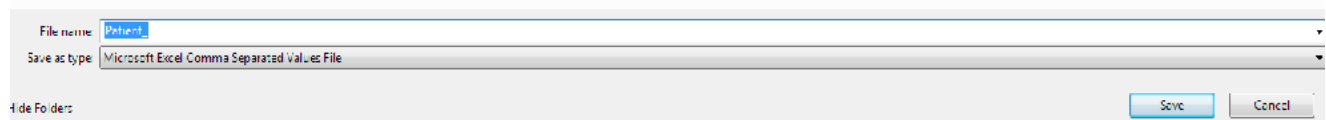
Do you want to open or save Patient_.csv from uatclinicalaudit.hscic.gov.uk?

Open Save Cancel

Click the arrow next to the word Save, and choose the 'Save As' option in order to save the file in a suitable location. This will be your template file that you will use to prepare your upload.

Please note that you should always save the file with a filename beginning with the word 'patient' followed by an underscore, for example, patient_xxx.csv or patient_xxxx_xxxx.csv

The file should always be saved as a comma separated values (csv) type.



The file is now ready to be populated in preparation for bulk uploading of patient details. Please refer to the general guidance document for help with populating the template file with actual patient data.

Once your upload file has been populated, save it using a suitable filename and csv filetype as explained on page 11.

Click on File Submission Dashboard, and then on the Browse button.

When you have located your file, click on the 'Upload' button. On the lower right side of the screen a progress bar will appear:



When all the records have been processed, the "File Submission Details" page will be displayed.

- Here you can see the number of files successfully imported, files imported with warnings and unsuccessful files.

- If there were unsuccessful files, a description of the errors found will be listed at the bottom of the page.

File Submission Details

File Name: patient_RQ8.csv ✔ Successfully imported: 20	File Type: patient ⚠ Successfully imported with warnings: 0	No. Of Records: 0 ❌ Unsuccessful: 2
--	---	---

[Download CSV](#)

Show entries Search:

Row	NHS Number	Status	Notifications
6	8822255429	Record Import Unsuccessful - Errors Generated	❌ Review Date is out of range - date cannot be after the date of submission
7	8814114412	Record Import Unsuccessful - Errors Generated	❌ Date Of Planned Transfer cannot be before Admission date

File Name: patient_RQ8.csv ✔ Successfully imported: 0	File Type: patient ⚠ Successfully imported with warnings: 0	No. Of Records: 0 ❌ Unsuccessful: 1
---	---	---

The report of errors or problems can be exported into a csv file. Click the button “Download CSV”.

Whenever you have “Unsuccessful files”, you will need to fix your data by opening the .csv file, amending the relevant field(s) and re-saving the file. When you are satisfied and the errors are resolved you can re-upload the file. If there are any errors remaining you will be required to repeat this process. If all errors are successfully resolved the screen will look like this:

File Submission Details

File Name: patient_RQ8.csv ✔ Successfully imported: 22	File Type: patient ⚠ Successfully imported with warnings: 0	No. Of Records: 0 ❌ Unsuccessful: 0
--	---	---

[Download CSV](#)

Show entries Search:

Row	NHS Number	Status	Notifications
No errors/warnings to display.			

Your return will now be successfully submitted. If you have any further questions about the submission process, please contact seft.team@hscic.gov.uk for help.

Data Extraction

The Reporting function allows you to extract any data you have entered into the system. To access the Reporting tab click on the Reporting tab.

Simply choose the period you wish to Extract Data for and then click Export. Having done this you will receive a message asking you whether you want to **Save, Open** or **Cancel**.

If you click open you will be presented with an excel spreadsheet with your data on it.

Please note that when you first log in to the Assuring Transformation Collection you will be required to take a data extract. This data extract will contain your pre populated data. The spreadsheet will leave blanks where data is required. From here simply fill in the blanks and then save as .csv

This file can then be used for Bulk Upload purposes.