

Sarah Wilkinson

Chief Executive

NHS Digital

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7 December 2020

Dear Sarah

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

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

This Direction is given in exercise of the powers conferred by sections 254(1) and (6), 260(2)(d), 261(3), 262(3)(b), 262(7) and 304(9), (10) and (12) of the Health and Social Care Act 2012[[1]](#footnote-2) (the Act) and Regulation 32 of the National Institute for Health and Care Excellence (Constitution and Functions) and the Health and Social Care Information Centre (Functions) Regulations 2013[[2]](#footnote-3) (the Regulations).

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officer of the Department of Health and Social Care, on behalf of the Secretary of State, when the 2017 Direction has been revoked.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

In accordance with section 254(2)(a) of the Act, the Secretary of State considers that the information which could be obtained by complying with the direction is information which it is necessary or expedient for the Secretary of State to have in relation to the exercise by the Secretary of State of the Secretary of State's functions in connection with the provision of health services or of adult social care in England, in particular in relation to his functions in connection with the provision of adult social care services and for the local commissioning and provision of integrated care services in England. In accordance with section s254(5) NHS Digital has been consulted before this Direction has been given.

1. **Purpose for the system**

This Direction is given to obtain data which can be used, and may be linked to other data accessible from NHS Digital through the Data Access Release Service (DARS), for the following purposes which will assist Local and National Government, Clinical Commissioning Groups (CCGs) and other integrated health and care commissioning bodies such as those that are part of integrated care systems (these bodies are listed in annex 3, in fulfilling their statutory functions. This includes, for example, the functions of Local Authorities under Part 1 of the Care Act 2014[[3]](#footnote-4):

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

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

1. **Collection and Analysis**

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

* Collect, from participating Councils with Adult Social Services Responsibility (CASSRs) in England, client-level adult social care data as set out in **Annex 1** and **Annex 2** about adults in receipt of Local Authority-funded social care services (**Client-Level Adult Social Care Data**). The Councils (Local Authorities) who have agreeed with NHS Digital to participate will be identified in a list maintained by NHS Digital and published on their website alongside this Direction;
* Validate and undertake quality checks of the submitted data (using NHS Digital services and datasets) and provide feedback on quality to CASSRs. Return any improved or enhanced data to the relevant Local Authority if requested;
* Check NHS Numbers and trace any missing ones (using NHS Digital services and datasets) where possible and provide missing or corrected NHS Numbers to the relevant Local Authorities;
* Carry out such analysis on the data as NHS Digital considers appropriate and, in a manner, that NHS Digital considers appropriate, so as to enable and facilitate the achievement of the Purpose for NHS Digital.

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

The operation of the collection, as outlined above, will be carried out through NHS Digital’s Data Services for Commissioner’s Regional Offices (DSCROs) who will commence collection of data from the participating Local Authorities, in accordance with the Client-Level Adult Social Care Data Set Requirements Specification, attached as Annex 2 to this Direction, and will carry out the activities specified in the above bulleted paragraphs.

1. **System Delivery Functions**

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

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

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

1. **Dissemination**
2. Despite the prohibition on publication under paragraph 5 above, in accordance with section 261(2)(e) of the Act, NHS Digital may disseminate the data it has obtained under this direction under section 261(1) of the Act, where s261(1) would otherwise not apply due to the restriction in paragraph 5 above.
3. Under section 262(5) of the Act, NHSD is directed not to exercise its powers under sections 261(1) except as set out below:
* NHS Digital may only disseminate data to the limited set of bodies listed at Annex 3.
* The data disseminated will be pseudonymised[[4]](#footnote-5) data where an appropriate legal basis exists, or the data wil be anonymised in accordance with the Information Commissioner’s Office Anonymisation Code of Practice[[5]](#footnote-6). Such disseminations will be subject to successful applications being made by those bodies to the NHS Digital DARS.
* Local Authorities and Commissioning Support Units as set out in Annex 3 may, subject to an appropriate legal basis, have access to pseudonymised data for their own patients and care users as in the standard core specification at Annex 2 for the LA data, with voluntary local added data items, to support them in their duty of monitoring and managing the local system.
* Benchmarking between local areas will be enabled, through a combined core anonymised dataset and derived aggregate reports with small number suppression.
* ADASS may access relevant subsets of the combined data, for their responsibilities in supporting local performance. The body receiving the data is expected to be a Data Processor acting for ADASS.
* In order to commission the benchmark work, DHSC may access the combined data. It may also have access in order undertake analysis to support national oversight.
* Selected research bodies, as listed in Annex 3, funded by the National Institute for Health Research, (NIHR), may have access to the combined data,. In addition, a limited number of projects and programmes approved jointly by DHSC and ADASS in the subgroup of the Data and Outcomes Board, as set out in Annex 3, may be able to have such access

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

1. **Fees and Accounts**

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

1. **Duration**

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

1. **Review of this Direction**

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

Yours sincerely,

Bob Butcher

Deputy Director for Adult Social Care Analysis

**Annex 1 – Detailed Topics covered in the Collection**

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

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

**Annex 1 – Detailed Topics covered in the Collection**

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

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

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

1. Collection of Client Level Adult Social Care Data No. 2 - Guidance for specification V1.0
2. Collection of Client Level Adult Social Care Data No. 2 -Data Template V1.0



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

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

* The CASSRs who submitted the adult social care data and those CCGs that have some of their population included in the data.
* DHSC and NHS England, including its Commissioning Support Units
* Association of Directors of Adult Social Services (ADASS) (registered charity number 299154) and the Local Government Association, (LGA) (private unlimited company number 11177145)
* Care Quality Commission
* Adult Social Care Research Unit, a partnership between the Personal Social Services Research Units at the London School of Economics and Political Science and the University of Kent and the Health and Social Care Workforce Research Unit at Kings College London.
1. [2012 c.7](http://www.legislation.gov.uk/ukpga/2012/7/contents/enacted) [↑](#footnote-ref-2)
2. [S.I 2013 No. 259](http://www.legislation.gov.uk/uksi/2013/259/contents/made) [↑](#footnote-ref-3)
3. [2014 c.23](http://www.legislation.gov.uk/ukpga/2014/23/part/1) [↑](#footnote-ref-4)
4. The information would be pseudonymised in the sense that it will not be disseminated by any means which may lead to the identification of an individual, unless it would otherwise be lawful in the circumstances for NHS Digital to do so [↑](#footnote-ref-5)
5. <https://ico.org.uk/media/for-organisations/documents/1061/anonymisation-code.pdf> or any subsequent document guidance or code on the same topic published by the ICO [↑](#footnote-ref-6)