Department of Health & Social Care

Adult Social Care Outcomes Framework: methodologies for measures derived from CLD

Methodology document
May 2025

Contents

Introduction

This document outlines the methodologies and detailed data processing steps for creating 5 ASCOF measures from client level data (CLD). The methods build upon the central transformation principles developed by NHS England. By working with local authorities via the CLD reference group and the regular sharing of measures via the local authority dashboard, we have adapted the methods to improve accuracy and comparability with SALT and minimise the impact of known data quality issues. Nevertheless, CLD derived metrics are not expected to perfectly match previous SALT derived equivalents given the change in the data source, particularly the change in method of collection from aggregate to event level reporting. A record of the changes to the methods can be found in appendix 1.

The methodologies outlined in this document are final for 5 of the 6 ASCOF measures derived from CLD for 2024/25. These methodologies represent our best efforts to measure outcomes from CLD to date. However, CLD remains is a relatively new data source and we continue to engage with local authorities and receive feedback on uses of the data. Further refinements to the methods may therefore be considered in the future where it is deemed necessary.

This document does not yet contain the methods for ASCOF 2D - *the proportion of people aged 65 and over discharged from hospital into reablement and who remained in the community within 12 weeks of discharge.* As this is a new metric which links CLD with health data, it is still under development, but we will make the methods available as soon as they are ready.

Please note these methodologies currently reflect the release 1 CLD specification and will be updated to reflect release 2 in due course.

Common data processing steps

Processing the data for analysis

Summary

There are two methods of selecting and processing CLD submissions, depending on the data required for analysis:

1. Single submissions for analysis requiring data over a period of 12 months
2. Joined submissions for analysis requiring data covering more than 12 months

As part of the central processing, main data tables are updated on a quarterly basis to cover both the latest 12 month reporting period (single submissions table) or an extended period going back to 1 April 2023 (joined submissions table). Joined submissions are required for the calculation of metrics where definitions/selection of cohorts rely on prior information about individuals' care and event histories e.g. identifying 'new' clients.

The main processing steps in production of these tables are:

- Selecting submissions covering the required analysis period
- Filtering the data to events in the period
- Creating cleaned and derived fields
- Deduplicating records

For 2024/25 onwards where local authorities have started using the Release 2 specification, the data is currently mapped back to Release 1 where possible. This interim approach is necessary until all methods and scripts are fully updated to support the Release 2 specification. No additional data rows are created, instead individual fields are amended as needed.

Methodology

The processing steps to produce the main data tables are:

1. Data cleaning and/or mapping of priority fields – for some priority fields, and fields impacted by the change from the release 1 to release 2 CLD specifications, data cleaning and/or mapping is carried out. Reference tables are manually updated which map invalid entries and release 2 entries to valid entries from the release 1 defined lists, where it is apparent what the entry should be.
2. At this stage derived fields are created, see the section on fields derived in SQL for more information.
3. Amending event end dates – to match the date of death where this precedes the service end date, or to match the reporting period end date where the service end date appears to have been erroneously left blank (i.e. the service

has a blank end date in one submission but is not included in the next submission)

4. Selecting submissions:

   Single submissions – data is selected by taking the latest submission covering the latest 12-month submission reporting period. The reporting period stated in the submission is used.

   Joined submissions – data is selected by combining submissions covering the last 12 months plus prior periods going back to 1 April 2023. The reporting period stated in the submission is not taken as given, instead it is derived by checking the data in each submission.

   Deduplication – The table below lists the fields used to determine unique events. For requests, assessment and reviews, the fields used to produce the joined submissions and single submissions tables are the same. For services, some additional fields with time varying information that could change between submissions (delivery mechanism, costs and units) are only used to identify unique service events in the single submissions table.

	Requests	Assessments	Services	Reviews
LA Code	✓	✓	✓	✓
Derived Person ID (NHS number unless missing then LA_ID)	✓	✓	✓	✓
Event Start Date	✓	✓	✓	✓
Event End Date	✓	✓		✓
Client Type	✓	✓	✓	✓
Request: Route of Access	✓			
Assessment Type		✓		
Service Type			✓	
Service Component			✓	
Single submissions table only:				
Delivery Mechanism			✓	
Unit Cost			✓	
Cost Frequency (Unit Type)			✓	
Planned units per week			✓	

The figures on the dashboard are presented for multiple 12 month reporting periods. The submissions used and data processed for each ASCOF measure is set out in the table below.

Measure	Definition	Data used
ASCOF 2A (formerly 2D)	The proportion of people who received short-term services during the year – who previously were not receiving services – where no further request was made for ongoing support (%)	Joined submissions table
ASCOF 2B (formerly 2A(1))	The number of adults whose long-term support needs are met by admission to	Joined submissions table

	residential and nursing care homes, for 18-64yrs (per 100,000 population)	
ASCOF 2C (formerly 2A(2))	The number of adults whose long-term support needs are met by admission to residential and nursing care homes, for 65+yrs (per 100,000 population)	Joined submissions table
ASCOF 2E (formerly 1G)	The proportion of people who receive long-term support who live in their home or with family (%)	Single submission table covering 12 months
ASCOF 3D (formerly 1C)	The proportion of clients who use services who receive self-directed support (%)	Single submission table covering 12 months

Person identifiers

The anonymised person identifier used throughout the ASCOF measures is the pseudonymised traced NHS number in the first instance. If this is missing, the pseudonymised local authority provided NHS number is used. If both NHS numbers are missing, the local authority unique person identifier is used. This methodology is consistent with that used in the local authority CLD dashboard.

'New' client definition

Previously in SALT, the definition of 'new' was that a person was not in receipt of long term support at the time of making a request for support. Within CLD, local authorities have fed back that requests for support are not consistently submitted as event records, e.g. these are sometimes missing for people who are referred directly from the hospital for reablement. This is a known data quality issue. Further, since all requests are included in CLD (unlike SALT) and are not flagged as 'new' or 'existing', it is necessary to look at an individual's previous CLD event records to identify whether they received long term support in the past.

How far back we look to see if a person received long term support prior to an event varies depending on the specific measure. This is to ensure each metric captures the relevant cohort of people, depending on what outcome is being measured. It is also worth noting that as these measures are focused on the outcomes for individuals, these definitions may differ to the operational definitions used in local authority processes.

The definitions applied to the relevant ASCOF measures are listed below:

ASCOF 2A – this metrics measures whether people who were previously not receiving services went on to receive further support after their reablement. A period of 3 months prior to the reablement start date is used to identify those who received long term support and these are excluded from this measure. This approach ensures only those only those in long-term support in the few months prior to reablement are removed and allows the measure to focus on new and/or emerging need.

ASCOF 2B/C – this metric counts the number of new admissions into long term residential or nursing care. A new admission is defined as someone who has not been in receipt of local authority organised or funded long term residential or nursing care in the 12 months preceding the start date of their current nursing or residential placement. This approach ensures only first-time admissions, or those who have experienced a significant break in their residential or nursing care, are included.

ASCOF 2A

The proportion of people who received reablement during the year, who previously were not receiving services, where no further request was made for ongoing support

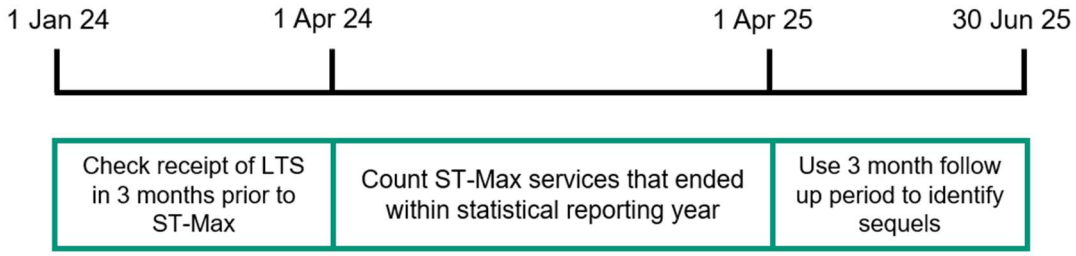
Stage 1 – identify reablement events in scope

The first stage processes the joined submissions dataset to identify ST-Max events, clusters these events together and selects to those which ended in the statistical reporting year.

1. Using the joined submissions table (see processing the data for analysis), select data covering the statistical reporting year of interest, plus an additional 3 months of data prior to the period, to establish whether an individual was previously receiving any long term support.

   For a single year period (e.g. April 24 to March 25) there will be some ST-Max services ending towards the end of the period where the outcome (sequel) is unknown because subsequent events occur in the next quarter. This will only be cases ending in the last week of the period, as the threshold for deriving sequels for this measure is 7 days (see stage 3 below). To address this, the next quarter of data (where available) is appended to improve the likelihood of determining an outcome (sequel) for these events.

   The diagram below shows how a table comprised of joined submissions will be used to produce published figures for 24/25 statistical reporting year:



2. Create a build table, by selecting only events where:

   Client Type = Service User
   Age at event end date is 18 and over
   Person ID is not null
   Event start date is not null and is before event end date
   Date of death is after reporting period start, or is null

   At this stage null event end dates are replaced with ‘9999-01-01’ for ease of processing and the event outcome field is cleaned (invalid values mapped to valid values where possible to deduce).

3. Create a sub-table of reablement events using:

   Event Type = Service
   Service Type = Short Term Support: ST-Max

4. Custer together reablement events which overlap or occur within 7 days of each other. One epsiode of reablement may be submitted as multiple event records, and this assumes that those occurring within 7 days of each other are part of the same reablement service. Once clustered these are filtered to those ending in the period:

   a. Individual records with Service Type = ST-Max which overlap or occur within 7 days of each other based on event start and end dates (i.e. the records are overlapping or maximum of 1 day apart) are clustered together.

   b. Each cluster is assigned the earliest event start date and the latest event end date.

   c. Each cluster is assigned the event outcome of the record with the latest event end date. If two records have different event outcomes and the same event end date, the event outcome hierarchy is applied to select the outcome with the highest rank (see appendix 2 for the hierarchy).

      The outputted dataset now consists of one line representing each cluster of reablement events, with the relevant event start and end dates and event outcome.

   d. Select records where the cluster end date falls within the statistical reporting year (e.g. for 24/25 the end date must be between 1 April 2024 and 31 March 2025 inclusive).

Example ST-Max clusters for one person, where ST-Max events appear to close and reopen and potentially contain duplicates:

Service Type	Event Start Date	Event End Date	Event Outcome	ST-Max Cluster ID
Short Term Support: ST-Max	01/07/2024	03/08/2024	Progress to reablement/ST-Max	1
Short Term Support: ST-Max	05/08/2024	20/08/2024	NFA - Other	1
Short Term Support: ST-Max	06/08/2024	20/08/2024	Service ended as planned	1
Short Term Support: ST-Max	16/09/2024	29/09/2024	Progress to reablement/ST-Max	2
Short Term Support: ST-Max	04/10/2024	01/01/9999*	Provision of service	2

Service Type	Cluster Event Start Date	Cluster Event End Date	Cluster Event Outcome	ST-Max Cluster ID
Short Term Support: ST-Max	01/07/2024	20/08/2024	Service ended as planned	1
Short Term Support: ST-Max	16/09/2024	01/01/1999*	Provision of service	2

*Originally null, overwritten for the purposes of processing data chronologically

Stage 2 – determine those who were previously not in receipt of support

This stage selects those who received reablement in the year and were previously not in receipt of support. This is identified by looking at an individual's previous CLD event records to identify whether they received long term support in the 3 months prior to their reablement.

1. Link the now clustered ST-Max records to all other records for the same person (present in the initial build table), regardless as to whether each event occurred before or after the ST-Max. Note, it also includes linking back to the ST-Max events themselves.
2. Flag where the ST-Max cluster has linked to the ST-Max records which formed the cluster in the first instance, these records are then replaced with null (not deleted as needed to retain any records where they have no other events, and the only instance is them joining to themselves). These records are identified by:

   Event Type = Service
   Service Type = Short Term Support: ST-Max
   Event start date is between the start and end dates of the reablement cluster
3. Identify and filter to those not previously in receipt of long term support in the 3 months prior to the reablement start date.

Example of joining ST-Max to all events for the same person and determining if they are a new client. In this instance, the first ST-Max episode is counted as there was no prior long term support, whereas the second episode is not as the person was in receipt of long term support in the 3 months prior to their ST-Max.

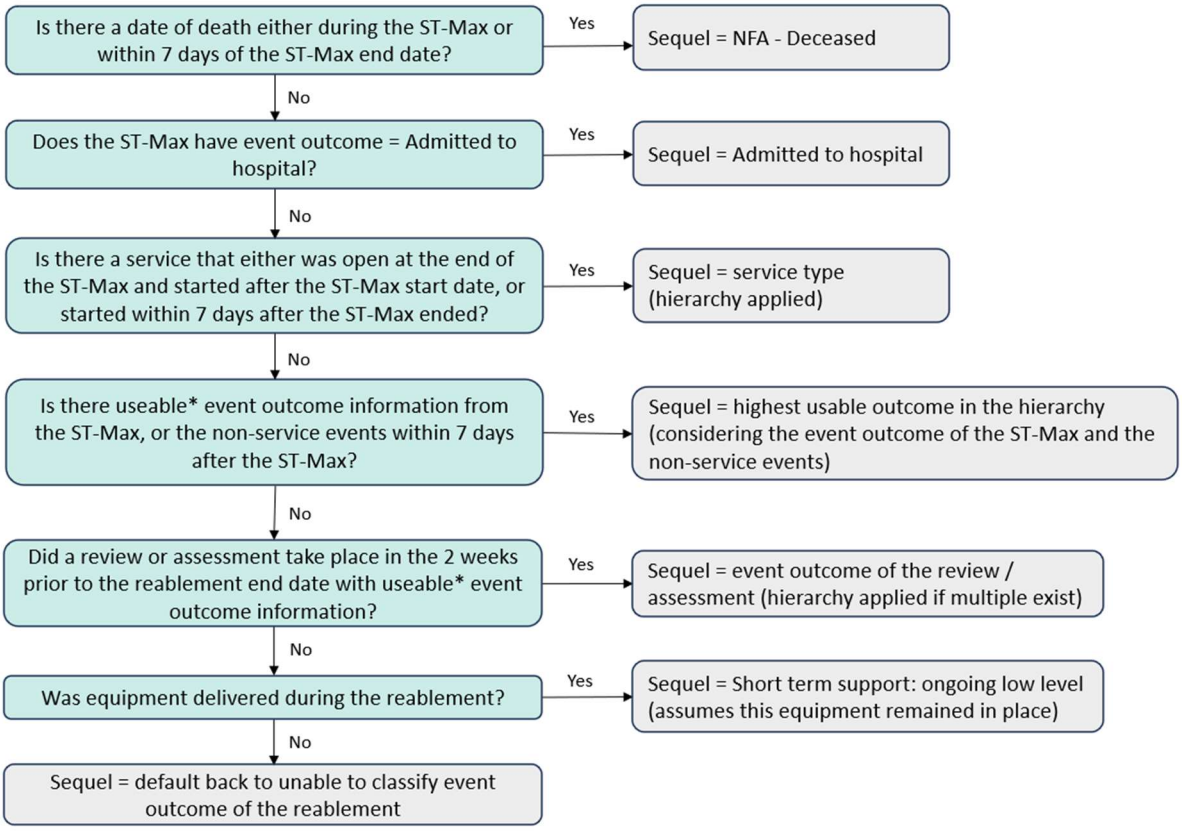
ST-Max clusters			Joined to all other events for the same person				Create flags		
ST-Max Cluster ID	Cluster Event Start Date	Cluster Event End Date	Event Type	Service Type	Event Start Date	Event End Date	Same ST-Max Self-join)	New client (event level flag)	New client (cluster level flag)
1	01/07/2024	20/08/2024	Request	NA	06/06/2024	06/06/2024	0	1	1
1	01/07/2024	20/08/2024	Service	Short Term Support: ST-Max	01/07/2024	03/08/2024	1	1	1
1	01/07/2024	20/08/2024	Service	Short Term Support: ST-Max	04/08/2024	20/08/2024	1	1	1
1	01/07/2024	20/08/2024	Service	Short Term Support: ST-Max	06/08/2024	20/08/2024	1	1	1
1	01/07/2024	20/08/2024	Assessment	NA	22/08/2024	02/09/2024	0	1	1
1	01/01/2024	20/08/2024	Service	Long Term Support	03/09/2024	01/01/9999*	0	1	1
2	16/09/2024	01/01/9999*	Service	Long Term Support	02/01/2024	28/08/2024	0	0	0
2	16/09/2024	01/01/9999*	Service	Short Term Support: ST-Max	16/09/2024	29/09/2024	1	1	0
2	16/09/2024	01/01/9999*	Service	Short Term Support: ST-Max	30/09/2024	01/01/9999*	1	1	0

*Previously null, overwritten for the purposes of processing data chronologically

Stage 3 – identify sequels

Summary

For the purposes of ASCOF 2A, sequels describe the immediate outcome after reablement, i.e. what happened next. They are used to identify whether a person went on to immediately require further support or whether their reablement successfully helped them regain independence. Sequels are identified in CLD for this metric using the events which occurred during and in the 7 days after the reablement ended, and the information captured in the event outcome field. The flow chart below sets out the steps involved in processing data for sequels:



The detailed data processing steps for identifying sequels are outlined in appendix 3.

Stage 4 – determine numerator and denominator

Denominator – where outcome in:

- Long Term Support: Community
- Long Term Support: Nursing Care
- Long Term Support: Residential Care
- Long Term Support: Prison
- Short Term Support: Ongoing Low Level
- Short Term Support: Other Short Term
- NFA – Information & Advice / Signposting only
- NFA – Moved to another LA

- NFA – Other
- NFA – No services offered: other reason
- NFA – Support ended: other reason
- Service ended as planned

Numerator indicating successful reablement – where outcome in:

- Short Term Support: Ongoing Low Level
- Short Term Support: Other Short Term
- NFA – Information & Advice / Signposting only
- NFA – Moved to another LA
- NFA – Other
- NFA – No services offered: other reason
- NFA – Support ended: other reason
- Service ended as planned

Both the numerator and denominator are disaggregated by age band (18 to 64 and 65 and over) based on age at the end of the reablement service.

See appendix 4 for the list of outcomes and how they are treated in the final ASCOF calculation.

Notes for interpretation

- This metric measures outcomes for people who were previously not receiving support, this is defined by anyone who did not receive local authority commissioned long term support in the 3 months prior to the reablement service.
- The outcome of the reablement is identified based on the chronology of events in the 7 days following the reablement service and event outcomes in CLD.
- Where the event outcome of the reablement indicates that further support may be required but there is no evidence of support being provided in CLD in the short-term, these are categorised as ‘unable to classify’ and excluded from the measure.
- This measure only includes reablement that is solely or jointly provided or arranged by the local authority and reported in the local authority’s CLD submission. CLD does not include intermediate care provided by the NHS. In some areas, these health-funded services may represent a substantial proportion of post-discharge intermediate care.

ASCOF 2B/C

The number of adults aged 18 to 64 (2B) or 65 and over (2C) whose long-term support needs are met by admission to residential and nursing care homes, per 100,000 population.

1. Select data from the joined submissions table covering the statistical reporting year of interest and one year prior to this, e.g. for 24/25 statistics include data for 23/24 and 24/25 (see section on processing the data for analysis for more information). Data describing activity prior to the year of interest is required to determine 'new' admissions. Filter the data to long term residential or nursing care services by:

   Client Type = 'Service User'
   Event Type = 'Service'
   Service Type = 'Long Term Support: Residential Care' or 'Long Term Support: Nursing Care'
   Service Component = (NULL or contains 'residential' or contains 'nursing') and (doesn't contain 'short')

2. Identify people admitted within the year from the table using the event start date. For example, for 24/25 this is any event where the event start date is between 1 April 2024 and 31 March 2025 inclusive.
3. Exclude any long term residential and nursing services with the event outcome 'NFA – Self-funded client (Inc. 12wk disregard)', as these are admissions where the individual has gone on to self-fund their care. Excluding them ensures admissions are only those where the local authority funds or organises the care in the long term and prevents any double counting if these people were to return to the local authority due to depleted funds.
4. Of these, filter to those who are new admissions by excluding anyone with a long term residential or nursing service within the 12 months prior to the event start date of their long term residential or nursing service falling within the year of interest. Using this approach, a person who had a break in their long term residential or nursing support of 12 months or more would be considered a new admission.
5. Age at the end of the reporting period is calculated.

Examples: The table lists all long-term support events for each individual, which are then used to determine new admissions to residential or nursing care.

Person ID	Service Type	Event Start Date	Event End Date	New long term residential or nursing care admission
Person A	Long Term Support: Community	03/08/2024	12/12/2024	NA
Person A	Long Term Support: Nursing	15/12/2024	NULL	Yes - no long term residential or nursing care in 12 months prior to event start date
Person B	Long Term Support: Residential	18/04/2023	22/07/2023	Yes - no long term residential or nursing care in 12 months prior to event start date
Person B	Long Term Support: Residential	29/11/2024	NULL	Yes - the previous long term residential care ended over 12 months ago, this person is now a new admission
Person C	Long Term Support: Nursing	01/04/2023	31/03/2024	Yes - no long term residential or nursing care in 12 months prior to event start date
Person C	Long Term Support: Nursing	01/04/2024	15/09/2024	No - the previous long term nursing care service ended within the 12 months prior to this service start date
Person C	Long Term Support: Nursing	18/09/2024	NULL	No - the previous long term nursing care service ended within the 12 months prior to this service start date

6. Numerator – count the number of new admissions by age at the end of the reporting period to determine whether each person is counted in 2B (18-64) or 2C (65 and over).
7. Denominator – this is taken from the ONS mid-year population estimates for each local authority for the respective age groups.

Notes for interpretation

- This metric measures the number of people who have begun a local authority funded long term residential or nursing care service for the first time in a 12 month period.
- Individuals who self-funded their care and went on to receive local authority funded care when their funds depleted are counted in this metric.
- Admissions may include people who previously received a 12 week property disregard, if they presented back to the local authority after more than 12 months.
- CLD does not differentiate between temporary and permanent residential placements and therefore some temporary admissions may be included.
- This metric does not capture people who self-fund and organise their own care with no involvement from the local authority. Such individuals will be most prevalent in local authorities with higher levels of income and wealth which may affect these local authorities' results.

ASCOF 2D

The proportion of people aged 65 and over discharged from hospital into reablement and who remained in the community within 12 weeks of discharge.

The detailed methodology for this metric is under development and more information will be shared in due course. In the meantime more information on this metric is available in the Adult social care outcomes framework: handbook of definitions - GOV.UK.

ASCOF 2E

The proportion of people who receive long-term support who live in their home or with family.

Part 1 – Clients with a learning disability aged 18 to 64
Part 2 - All Clients disaggregated by age group: 18 to 64 and 65 and over

Stage 1 – identify clients in scope

From the single submissions table (see section on processing the data for analysis), filter to records of long term support by:

Client Type = 'Service User'
Service Type = 'Long Term Support: Residential Care' or 'Long Term Support: Nursing Care' or 'Long Term Support: Community'
Age at event start date is 18 and over
Person ID is not null
Event start date is not null and is before event end date
Date of death is after reporting period start or null
** Primary Support Reason = 'Learning Disability' (for 2E Part 1 only)*

**Figures for Part 1 and 2 of this measure are produced separately. Selecting clients with a primary support reason as learning disability is applicable for 2E Part 1 only. For 2E Part 2, there is no restriction on primary support reason.*

Stage 2 – create a lookup table with the latest person details for each client within the statistical reporting period

1. In a separate script the latest person details (accommodation status, gender, and age) are determined from the single submissions table for each person.
2. Accommodation status and gender:
    i. Overwrite nulls with 'Unknown' and create a flag which assigns 0 for unknown values, and 1 for all other values, including invalid entries which do not match the CLD specification.
    ii. Selects the latest recorded accommodation status or gender based on the following sort order:

        Known person details over unknown
        Open events (where event end date is null) prioritised
        Latest Event End date
        Latest Event Start date

    iii. If the above returns two rows for the same person with conflicting person details this is overwritten with unknown.

Example: in the below scenario, person details (accommodation status or gender) is taken from the top row, following sorting by known status, open events, latest event end date and latest event start date, as shown for Client A. For Client B, there are records with conflicting data, which have both been selected as the latest. In this instance, they are overwritten with unknown.

Person ID	Known person detail flag	Event end date	Event start date	Sort order	Final person detail
Client A	**1**	**NULL**	**01/05/2024**	**1**	**Person detail is selected from this row**
	1	01/12/2024	01/04/2024	2	Not selected
	1	01/12/2024	01/04/2024	3	
	0	NULL	01/04/2024	4	
Client B	**1**	**01/12/2024**	**01/04/2024**	**1**	**Person detail overwritten as 'Unknown'**
	1	**01/12/2024**	**01/04/2024**	**1**	
	0	NULL	01/04/2024	2	Not selected

3. Age at the end of the statistical reporting year:
    i. DHSC receives a client's birth year and month therefore, the date of birth is taken as the first of the month and the age is calculated at the end of the reporting period for all events in the single submissions table.
    ii. Due to data quality issues, a person may have different recorded dates of birth resulting in different ages at the end of the period. In this instance the maximum age is taken.
4. The latest accommodation status, age and gender (which may have been taken from different event rows) are joined with the LA code, person ID to form a lookup table of latest person information.
5. The latest person detail table is joined to the table in section 1, providing the latest details for the clients in scope for 2E.

Stage 3 – derive accommodation status from service information for unknowns

1. Select the people from the previous table where their latest accommodation status is unknown (either due to null, unknown or invalid data entered).
2. Merge the service information from the table of long term services created in stage 1 onto each person with an unknown accommodation status.
3. Find the latest service for each person, applying the following ordering (only if the ordering results in a tie will the next criteria be used for ordering):
    i. Latest event end date, with open services prioritised
    ii. Highest ranking service in the hierarchy (e.g. selecting nursing over residential over community) see appendix 5.

iii. Favour those with a service component of either ‘shared lives’, ‘extra care housing’ or ‘community support living’ over others, as these can be mapped to a specific accommodation status.

iv. Latest event start date

4. Use the information in the service type and service component fields from the latest service for each person to derive the accommodation status where possible. See appendix 6 for the mapping of service information to accommodation status. Note where service component = long term support and the service component does not map to a specific accommodation setting, these are allocated ‘Unknown – at home’.

Stage 4 – determine the final figures

1. Denominator – count the number of people in the joined table created in section 2 (people receiving long term support with latest person information). This includes anyone with an unknown or invalid accommodation status or gender.
2. Numerator – count the number of people whose accommodation status is categorised as ‘living in their home or with family’. See appendix 7 for the categorisation.
3. Figures are disaggregated by age (as of the end of the reporting period) and gender. Other/Unknown/Null gender are included in total counts.
4. Outcome is calculated by numerator / denominator * 100

Notes for interpretation

- For 24/25 onwards, ASCOF 2E has been expanded to include Part 1- clients aged 18-64 with a learning disability, and Part 2- all clients, disaggregated by those aged 18-64 and 65+.
- Only valid accommodation statuses are included in the numerator, while invalid and unknown statuses are included in the denominator.
- Accommodation status is routinely collected for clients with a learning disability, as this was a requirement with SALT, but not for all clients regardless of primary support reasons. For this reason, lower data quality is expected for part 2 but should improve over time.

ASCOF 3D

The proportion of people using social care who receive self-directed support, and those receiving direct payments. This is split into 4 parts:

1a – clients receiving self-directed support (at year end)
1b – carers receiving self-directed support (in the year)
2a – clients receiving direct payments (at year end)
2b – carers receiving direct payments (in the year)

Client based measures (parts 1a and 2a)

1. From the single submissions table (see section on processing the data for analysis) filter to clients with a long term service open at the end of the period:

   Client Type = Service User
   Service Type = 'Long Term Support: Residential Care' or 'Long Term Support: Nursing Care' or 'Long Term Support: Community' or 'Long Term Support: Prison'
   Date of death is after the reporting period end date or is null
   Event Start Date is on or before the reporting period end date and
   Event End Date is on or after the reporting period end date, or is null (open services).

2. For clients receiving multiple long term services at the end of the year, deduplicate based on a hierarchy which considers both the service type and delivery mechanism (see appendix 5):

   a. Clients with Service Type = 'Long Term Support: Community' and either Service Component = 'Direct Payment' or Delivery Mechanism = 'Direct Payment' are assigned the same rank.
   b. Choose the record with the lowest rank (highest in the hierarchy) per client

3. Part 1a and 2a denominator - count the number of people where:
   Service Type = 'Long Term Support: Community'

4. Part 1a numerator - count the number of people where:
   Service Type = 'Long Term Support: Community' and either
   Delivery_Mechanism = 'Direct Payment' or 'CASSR Managed Personal Budget' or
   Service_Component = 'Direct Payment'

5. Part 2a numerator – count the number of people where:
   Service Type = 'Long Term Support: Community' and either
   Delivery_Mechanism = 'Direct Payment' or
   Service_Component = 'Direct Payment'

6. All counts are disaggregated by age (18 to 64 and 65 and over) based on the age at the end of the reporting period.

Carer based measures (parts 1b and 2b)

1. Select the table of single submissions (see section on processing the data for analysis) and filter to carers receiving support, which is identified by 3 different ways:

   Client Type = ‘Carer’ or ‘Carer known by association’ and

   a. Service Type = ‘Carer Support: Direct to Carer’ or ‘Carer Support: Support involving the person cared-for’
      OR
   b. Service Type is null and Event Outcome = ‘NFA – Information & Advice / Signposting only’
      OR
   c. Service Type is null and Event Type = ‘Assessment’ or ‘Review’

2. Select those receiving support during the year, where Event start date is on or before the reporting period end date and event end date is on or after the reporting period start date or is null (ongoing services).
3. For carers receiving multiple forms of support during the year, deduplicate based on the hierarchy in appendix 8 using the combination of event type, service type, service component, event outcome and delivery mechanism.
4. Part 1b and 2b denominator – count the number of people where:

   Support provided = ‘Direct Payment’, 'CASSR Managed Personal Budget' or 'CASSR Commissioned Support only'

5. Part 1b numerator – count the number of people where:

   Support provided = ‘Direct Payment’ or 'CASSR Managed Personal Budget'

6. Part 2b numerator – count the number of people where:

   Support provided = ‘Direct Payment’

7. All counts are disaggregated by age (18 to 64 and 65 and over) based on the age at the end of the reporting period.

Notes for interpretation

- Delivery mechanism is not currently mandatory and therefore blank for many records. In release 2 of the CLD specification delivery mechanism has become mandatory to hopefully improve the completeness and quality of information on self-directed payments.
- The direct payment measure (part 2) captures when ‘direct payment’ is recorded in either the service component or delivery mechanism fields. The self-directed payment measure (part 1) captures all the people receiving direct payments but also includes those with a ‘CASSR Managed Personal Budget’ which is only recorded in delivery mechanism. When the delivery mechanism field is null/invalid we are not able to determine other aspects of self-directed payments,

hence only direct payments identified via the service component field appear in both metrics.

- There is poor data coverage for unpaid carers, and we are aware of the challenges local authorities face in providing this information. Over time, DHSC will be working with local authorities to improve data on unpaid carers.

Appendix 1: Summary of methodology changes from the central transformation principles

The changes in blue indicate those made since the previous version of the methodology was published.

Measure	Change	Rationale
All measures	Person ID methodology	The DHSC methodology for person IDs is now being used for all ASCOF measures. This uses the pseudonymised traced NHS number in the first instance, if this is missing then the local authority provided NHS number. If both NHS number fields are missing, the local authority person identifier is used. This methodology is consistent with that used in the local authority CLD dashboard and DHSC's monthly adult social care statistics publication.
ASCOF 2A	Removed the requirement for a prior request	Local authorities provided feedback that linking a reablement service to the prior request is not always feasible due to case management system processes and the ability to accurate link requests to related subsequent activity. In response local authorities supported removing this requirement for this measure.
	Change to using the latest submission for each quarter joined together, rather than using all data ever submitted	The previous method processed all submissions provided by a local authority. Given submissions cover a rolling 12 month period, with 9 months of events superseded each quarter, the data in the latest submission is more accurate and often of better quality than previous submissions. The improved methodology selects the latest file covering the latest 12 months and appends data in 3 month periods using the latest submission for that quarter.
	Definition for clients not previously in receipt of support	These clients were previously identified based on whether they were in receipt of long term support at the time of their request. Given the prior request is no longer a requirement for this measure these clients are identified based on whether they received local authority arranged or provided long term care in the 3 months (91 days) prior to their reablement. This is based on feedback from local authorities that a much shorter period than 12 months is more appropriate for identifying the relevant cohort.
	Re-categorised some of the final outcomes	The following outcomes were previously included in the numerator and the denominator however are now being excluded: • Admitted to hospital • Proceed to end of life care
	Improved methodology for determining short term outcomes sequels	Local authorities provided feedback that the previous method of creating sequel chains resulted in identifying much longer term outcomes than this metric intends to measure. The revised process for identifying sequels has been developed in collaboration with the CLD reference group and only considers activity which occurred during the reablement and in the 7 days following the reablement end date, focusing on immediate outcomes.

Measure	Change	Rationale
ASCOF 2B & 2C	New client definition	Feedback from local authorities supported a central definition of a 'break' period between two long term residential and nursing services, after which a person becomes a new admission again. A break period of 12 months was agreed with local authorities.
	Change to using the latest submission for each quarter joined together, rather than using all data ever submitted	The previous method processed all submissions provided by a local authority. Given submissions cover a rolling 12 month period, with 9 months of events superseded each quarter, the data in the latest submission is more accurate and often of better quality than previous submissions. The improved methodology selects the latest file covering the latest 12 months and appends data in 3 month periods using the latest submission for that quarter.
	Exclude any services where the service component suggests it is not a long term residential or nursing placement	This is based on local authority feedback to ensure additional 1:1 packages or short term placements are not considered as new admissions.
	Exclude any admissions with 'NFA – self-funded client (inc. 12 wk disregard)' event outcome	Where an individual only receives local authority funded support for a limited time before going on to self-fund their care, these are excluded. This is to ensure admissions are only those where the local authority funds or organises the care in the long term and prevents any double counting if these people were to return to the local authority due to depleted funds.
ASCOF 2E	Produce figures for both part of the metric (18 to 64 for LD and all clients by both age groups)	Updated in line with the handbook and based on local authority feedback for clarification of cohorts.
	Settled/unsettled categorisations no longer used, in preference of 'Living in their home or with family' or not.	For the purposes of ASCOF the previous classifications are no longer appropriate, particularly where a care home for an older person would be considered unsettled. New categorisations better align with the handbook and measuring independence.
	Taking the latest known person details from the single submission from any event	Person details (accommodation status and gender) were previously derived from the latest long term service event. Using the latest details better aligns with SALT principles and decreases the number of people with an unknown accommodation status.
	Introduced other/unknown genders into the totals.	Increases the scope of the collection.

	Cleaning the accommodation status field and deriving accommodation status where possible from service information	These changes improve the data quality of the accommodation status field by reducing the number of people with an unknown accommodation status. Accommodation status is either derived from an invalid entry or the information captured in the service type and component fields.
ASCOF 3D	*Whilst the methodology remains the same, the code has been simplified to improve the ease of understanding and efficiency.*	

Appendix 2: Event outcome hierarchy (ASCOF 2A)

Event Outcome	Hierarchy
Progress to reablement/ST-Max*	1
Progress to assessment*	2
Progress to re-assessment / unplanned review*	3
Progress to financial assessment *	4
Progress to support planning / services*	5
No change in package*	6
Provision of service*	7
Progress to end of life care*	8
Admitted to hospital	9
NFA - Moved to another LA	10
NFA - 100% NHS funded care	11
NFA - Self-funded client (inc. 12wk disregard)	12
NFA - Information & advice / signposting only	13
NFA - Support declined	14
NFA - Deceased	15
Service ended as planned	16
NFA - Support ended: other reason	17
NFA - No services offered: other reason	18
NFA- Other	19

**This hierarchy matches that outlined in the CLD guidance. For the purposes of ASCOF 2A, these outcomes are considered 'unable to classify' as it cannot be determined whether further long term support was required or not. For this reason they are deprioritised over other outcomes when determining the sequels.*

Appendix 3: Deriving sequels to ST-Max for ASCOF 2A

The sequels to the ST-Max are identified by processing the data in a step-wise manner. If the outcome of the ST-Max is not determined in the first step, then it will move onto the next step in the process and so forth until an outcome can be identified. The detailed data processing steps are outlined below.

Step 1: Date of death

1. Using the table of ST-Max episodes joined to all other events, select those where there is a date of death (either on the ST-Max or the other event records) which occurred either during the ST-Max service or within the 7 days after the ST-Max end date.
2. Set the outcome for these ST-Max episodes as 'NFA – Deceased' and sequel type = 1.

Step 2: Admitted to hospital

1. Select the ST-Max episodes where the event outcome of the ST-Max cluster is 'Admitted to hospital'.
2. Set the outcome for these ST-Max episodes as 'Admitted to hospital' and sequel type = 2.

Step 3: Service received

1. Find the ST-Max episodes where other events were either open on the ST-Max end date or started within the 7 days following the ST-Max end date.
2. Of these, identify those who received at least one service during this sequel period.
3. If multiple services exist following a single ST-Max episode, then select the lowest in the hierarchy (highest ranking). The hierarchy for services is found in appendix 5.
4. Set the outcome for these ST-Max episodes as the service type and sequel type = 3.

Step 4: Useable event outcome information from either ST-Max episode or non-service events in the sequel period

1. Find the ST-Max episodes which do not exist in the table created in Step 3, i.e don't have future events in the sequel period.
2. Of these, identify those where the event outcome on the ST-Max is useable (isn't unable to classify). See a list of the useable event outcomes in appendix 4.

3. Set the outcome for these ST-Max episodes as the event outcome of the ST-max and the sequel type = 4a.
4. Then find the ST-Max episodes which have future events in the sequel period and are in the table created in step 3, but didn't have any services.
5. For each ST-Max episode, take the event outcomes from both the ST-Max and any non-service events in the sequel period and select the highest ranking. Note the outcomes which are unable to classify are deprioritised, after this the hierarchy is applied.
6. Set the outcome for these ST-Max episodes as the highest ranking event outcome (this will have either come from the ST-Max episode or the non-service event depending on which ranked higher). The sequel type = 4b.

Step 5: Review or assessment towards the end of ST-Max episode

1. Of the remaining ST-Max episodes where a sequel has not yet been identified, find those where events started and finished during the ST-Max service (referred to as nested events).
2. Identify those where an assessment or review event took place in the last 14 days of the ST-Max episode with a useable event outcome. This is based on local authority feedback that often care plans are reviewed towards the end of the ST-Max to determine whether further support is required, and often useful information is captured on these events.
3. Set the outcome for these ST-Max episodes as the event outcome of the nested review or assessment. If multiple events exist with different event outcomes the latest event is taken based on event end date, and if they have the same end date then the highest ranking event outcome is taken.

Step 6: Equipment delivered during the reablement

1. Of the remaining ST-Max episodes where a sequel has not yet been identified, find those where equipment was delivered during the reablement.
2. Set the outcome for these ST-Max episodes as 'Short term support: ongoing low level'. This is based on local authority feedback and assumes that equipment delivered as part of the reablement service is left behind to support the individual.

Step 7: Unable to classify

1. For any remaining ST-Max episodes, the outcome will be set as the event outcome of the ST-Max and sequel type = 7. These will all be deemed unable to classify, as the event outcome suggests further support may be required but it cannot be determined whether any immediate support was provided or not.

Appendix 4: ASCOF 2A outcomes

Service Type	Event outcome	Numerator	Denominator
Long Term Support: Nursing Care			✓
Long Term Support: Residential Care			✓
Long Term Support: Community			✓
Long Term Support: Prison			✓
Short Term Support: Ongoing Low Level		✓	✓
Short Term Support: Other Short Term		✓	✓
	NFA - Information and advice/Signposting only	✓	✓
	NFA - Deceased		
	NFA - 100% NHS funded care		
	NFA - Self-funded client (including 12 week disregard)		
	NFA - Support declined		
	Service ended as planned	✓	✓
	NFA - moved to another LA	✓	✓
	NFA - Other	✓	✓
	NFA - No services offered: Other reason	✓	✓
	NFA - Support ended: Other reason	✓	✓
	Admitted to hospital		
	Progress to end of life care*		
	No change in package*		
	Progress to assessment*		
	Progress to financial assessment*		
	Progress to re-assessment/unplanned review*		
	Progress to reablement/ST-Max*		
	Progress to support planning/services*		
	Provision of service*		
	Any invalid event outcomes*		

**These outcomes are considered 'unable to classify' and excluded from the numerator and denominator as it cannot be determined whether further long term support was required or not.*

Appendix 5: Service type and delivery mechanism hierarchy (ASCOF 2A and ASCOF 3D)

Service Type	Delivery mechanism	ASCOF 2A Hierarchy	ASCOF 3D Hierarchy
Long Term Support: Nursing Care		1	1
Long Term Support: Residential Care		2	2
Long Term Support: Community	Direct Payment	3	3
Long Term Support: Community	CASSR Managed Personal Budget	3	4
Long Term Support: Community	CASSR Commissioned Support	3	5
Long Term Support: Community		3	6
Long Term Support: Prison	CASSR Managed Personal Budget	4	7
Long Term Support: Prison	CASSR Commissioned Support	4	8
Long Term Support: Prison		4	9
Short Term Support: Ongoing Low Level		5	NA
Short Term Support: Other Short Term		6	NA

Appendix 6: Service information mapping to accommodation status (ASCOF 2E)

The below mapping is used when a person's accommodation status is unknown, to try to deduce their accommodation from the services received. If a person is in receipt of multiple then a hierarchy is applied, in the order they are listed below.

Service Type	Service Component	Mapped accommodation status	Living at home or with family
Long Term Support: Nursing Care	(any service component)	Registered nursing home	No
Long Term Support: Residential Care	(any service component)	Registered care home	No
(any service type)	Extra care housing	Sheltered housing, extra care housing or other sheltered housing	Yes
(any service type)	Shared Lives	Shared Lives scheme	Yes
(any service type)	Community supported living	Supported accommodation / supported lodgings / supported home group	Yes
Long Term Support: Community	(any service component)	Unknown - at home	Yes
Long Term Support: Prison	(any service component)	Prison / Young offenders institution / detention centre	No

Appendix 7: Accommodation status mapping (ASCOF 2E)

Accommodation Status	Status
Owner occupier or shared ownership scheme	Living in their home or with family
Tenant	
Tenant - private landlord	
Settled mainstream housing with family / friends	
Supported accommodation / supported lodgings / supported group home	
Shared Lives scheme	
Approved premises for offenders released from prison or under probation supervision	
Sheltered housing / extra care housing / other sheltered housing	
Mobile accommodation for Gypsy / Roma and Traveller communities	
Rough sleeper / squatting	Not living in their home or with family
Night shelter / emergency hostel / direct access hostel	
Refuge	
Placed in temporary accommodation by the council (inc. homelessness resettlement)	
Staying with family / friends as a short-term guest	
Acute / long-term healthcare residential facility or hospital	
Registered care home	
Registered nursing home	
Prison / Young offenders institution / detention centre	
Other temporary accommodation	
Unknown	

Appendix 8: Carer support hierarchy (ASCOF 3D)

Event Type	Service Type	Delivery Mechanism / Service component	Event outcome	Hierarchy
Service	Carer Support: Direct to Carer	Direct payment		1
Service	Carer Support: Direct to Carer	CASSR Managed Personal Budget (and service component is not direct payment)		2
Service	Carer Support: Direct to Carer	CASSR Commissioned Support (and service component is not direct payment)		3
Service	Carer Support: Direct to Carer	Unknown (and service component is not direct payment)		4
Assessment Review Request			'NFA - Information & Advice / Signposting only'	5
Assessment Review			Not 'NFA - Information & Advice / Signposting only'	6
Service	Carer Support: Support involving the person cared-for			6