Department Of Health

DATA SET CHANGE NOTICE

This DSCN informs users of the approval of changes to an information requirement or information standard by the Information Standards Board for Health and Social Care (ISB HaSC). This was approved by ISB HaSC at its meeting on 19th March 2008.

Summary:

To support ethnic monitoring, as required of public bodies under the Race Relations Amendment Act 2000, changes to the scope of the collection and central submission of the Ethnic Category Information Standard are required. This will address the current data gaps and inconsistencies that exist across the Commissioning Datasets (CDS).

These changes will require the mandatory collection of Ethnic Category information by the service for patients attending Accident and Emergency (A&E) Departments and Outpatient Departments. The collection of Ethnic Category for births will be made mandatory rather than optional. Trust systems – PAS, A&E and Maternity systems – will require amendment.

Changes to the relevant CDS’s and messaging schema will be necessary to allow submission to the Secondary Uses Service (SUS). As a result, CDS V6.1 will be introduced in a future DSCN. It is anticipated that SUS will be able to receive CDS V6.1 in December 2008. CDS V6.0 is expected to be withdrawn from service at the end of March 2009.

The Department of Health (DH) has mandated for collection and central submission of this data from 1st April 2009.

Datasets / return affected:

010 - Accident and Emergency Attendance CDS Type
020 - Outpatient Attendance CDS Type
120 - Admitted Patient Care Type – Birth Episode
150 - Admitted Patient Care CDS Type Other Birth Event
180 - Admitted Patient Care Type – Unfinished Birth
CDS XML Schema

Related DSCNs:
DSCN 21/2000, DSCN 02/2001 and DSCN 21/2004

Impact of Change:

The Information Standards Board for Health and Social Care (ISB HaSC) is responsible for approving information standards. Submission documents and the ISB HaSC Board output relating to the approval of this standard can be found at:

www.isb.nhs.uk/docs/ethnic-category

Further information about ISB HaSC can be found at www.isb.nhs.uk
Data Set Change Notices can be found at www.connectingforhealth.nhs.uk/dscn
DATA SET CHANGE NOTICE

Reference No: DSCN 11/2008
Version No: 1.0
Subject: Ethnic Category
Type of Change: Change to an approved information standard
Implementation Date: 1st April 2009
Business Justification: To support ethnic monitoring, as required of public bodies under the Race Relations Amendment Act 2000, support the recommendations of the Equalities Review (2007), and address current data gaps and inconsistencies in the collection of Ethnic Category across the Commissioning Datasets.

Introduction

The mandatory collection of ethnic category data has been part of the Admitted Patient Care Commissioning Dataset (APCDS) and Hospital Episode Statistics (HES) central returns since 1995. However, there are inconsistencies in the collection of this data across all CDSs which means that some data does not flow centrally even if collected locally, and is therefore not available for secondary purposes, including for ethnic monitoring as required by current legislation.

Ethnic Category is not currently submitted via the A&E and Outpatients CDSs. The Admitted Patient Care - Birth Episodes, Unfinished Birth Episodes and Other Birth Event Types carry an ‘optional’ status.

This DSCN outlines the specific changes the service and its systems suppliers will be required to put into place to comply with this mandation.

The existing mandated collections for Ethnic Category in other CDSs are not affected by this change. The submission of Ethnic Category in these CDSs is to continue.

Background

The national standard for collecting ethnic category is already in existence, based on the 2001 Office for National Statistics (ONS) census categories. This became the national mandatory standard for the central submission of Ethnic Category in April 2001, replacing the previous classification of Ethnic Group.

The standard is included in the NHS Data Model and Dictionary and is defined as ‘the ethnicity of a person, as specified by the person’. Its purpose is to enable analysis of patient activity by Ethnic Category.

All NHS organisations are expected to collect and then use good quality data for ethnic monitoring. This monitoring should include all inpatient, outpatient and A&E activity. This is required to enable them to:

- Demonstrate that they are compliant with the Race Relations (Amendment) Act 2000 which places a statutory duty on NHS organisations to promote race equality;
- Support the allocation of resources and develop policies relating to equality issues;
- Meet the needs of DH standards through a systematic programme of health equity audit and equality impact assessment;
- Highlight possible inequalities; investigate the underlying causes; and remove any unfairness or disadvantage;
- Identify risk factors - some groups are more at risk of specific diseases and some groups have specific care needs so ethnic group data can help treat patients and support service users by alerting staff to high-risk groups;
- Improve public health by making sure that services are reaching local communities and are delivering services fairly to everyone who needs them;
- Ensure under-represented groups receive services that are relevant to their needs, and provided fairly; and,

Further details relating to the Race Relations (Amendment) Act 2000 can be found on the DH website:


also, the Final report of the Equalities Review can be found at:

http://archive.cabinetoffice.gov.uk/equalitiesreview/

The changes will ensure that it is possible for Trusts to submit Ethnic Category data via the CDSs to SUS, part of the National Programme for IT (NPfIT).

Details of Change

The changes require Ethnic Category to be added to the Outpatient CDS Type and Accident and Emergency CDS Type. It is anticipated that Ethnic Category will be collected or validated at the first contact in Outpatients and the value submitted on future CDS records for follow up attendances.

Ethnic Category is changed to a mandatory item in 010 – Accident and Emergency Attendance CDS Type and 020 – Outpatient Attendance CDS Type.

It is expected that any Outpatient activity, whether consultant-led or provided by allied health professionals, for which a CDS record is provided, will report the patient’s ethnic category.

A fundamental principle of Ethnic Category data collection is that the person to be categorised is responsible for classifying themselves, and that their reply is their own perception of their ethnic category, and not that of the healthcare professional. However, the DH guidance acknowledges that there are some unavoidable exceptions, such as for those who by reason of illness are unable to respond or to be understood, where it may not be possible or appropriate to collect this data.

The required data values for central submission are the existing Ethnic Category National Codes as shown below:

<table>
<thead>
<tr>
<th>White</th>
<th>Asian or Asian British</th>
<th>Other Ethnic Groups</th>
</tr>
</thead>
<tbody>
<tr>
<td>A British</td>
<td>H Indian</td>
<td>R Chinese</td>
</tr>
<tr>
<td>B Irish</td>
<td>J Pakistani</td>
<td>S Any other ethnic group</td>
</tr>
<tr>
<td>C Any other White background</td>
<td>K Bangladeshi</td>
<td>L Any other Asian background</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Mixed</th>
<th>Black or Black British</th>
<th>Other codes</th>
</tr>
</thead>
<tbody>
<tr>
<td>D White and Black Caribbean</td>
<td>M Caribbean</td>
<td>Z Not stated</td>
</tr>
<tr>
<td>E White and Black African</td>
<td>N African</td>
<td>99 Not Known</td>
</tr>
<tr>
<td>F White and Asian</td>
<td>P Any other Black background</td>
<td></td>
</tr>
<tr>
<td>G Any other mixed background</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Note; The national code of 'Z - not stated' means that the person had been asked and had declined either refusing to provide this information, or a genuine inability to choose. 'Not known' should be
used where the patient had not been asked or the patient was not in a condition to be asked, e.g. unconscious. (See DSCN 21/2004).

The DH guidance acknowledges that locally it may be necessary to collect ethnic category at a lower level. The national codes (including SNOMED CT) for this lower level are detailed in the guidance produced by the DH.

Changes are also required to remove the ‘Optional’ status of the following Admitted Patient Care Birth Events CDS (Types 120, 150 and 180) to bring them in line with existing mandated datasets.

NB: For babies, a parent or guardian should be invited to respond. A baby should not automatically be accorded the ethnic category of the mother and systems should not have a default to mother’s ethnic category.

Guidance developed by the DH and the Health and Social Care Information Centre (known as the NHS Information Centre) will be reviewed to reflect the changes to Ethnic Category data collection, and will include the other Equality Monitoring dimensions. This will be published in the autumn of 2008.

Timescales for Implementation / Change

<table>
<thead>
<tr>
<th>FRAMEWORK</th>
<th>Health and Social Care Personnel</th>
<th>Organisation¹</th>
<th>IT Suppliers²</th>
</tr>
</thead>
<tbody>
<tr>
<td>Effective Date³</td>
<td>December 2008*</td>
<td></td>
<td></td>
</tr>
<tr>
<td>“may use”</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Implementation Date⁴</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>“must use”</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Collection Start Date⁵</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>First Submission Date⁶</td>
<td>1 April 2009**</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reporting Period / Submission Cycle⁷</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Conformance Date⁸</td>
<td>1 April 2009</td>
<td></td>
<td></td>
</tr>
<tr>
<td>“must be used effectively and assessed for use”</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Superseded Date (of prior standard)⁹</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>“stop using prior standard”</td>
<td>31 March 2009***</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Notes:
* The Secondary Uses Service is expected to be able to receive Commissioning Data Set Version 6.1 from December 2008
** The Ethnic Category changes will be mandated for collection from 1st April 2009
** CDS V6.0 is expected to be withdrawn from service on 31st March 2009

Sponsor Details

Surinder Sharma
National Director for Equality and Human Rights
Department of Health

Dr Veena Raleigh
DSCN 11/2008
Further Information and Support

Further information and guidance on the collection of Ethnic Category and the CDSs can be found on The NHS Information Centre for health and social care website at:


If you have any specific enquiries relating to these changes, or any other aspect of the Commissioning Datasets, please contact The NHS Information Centre at:

Email enquiries@ic.nhs.uk

Please include ‘Ethnic Category’ or ‘CDS’ in the subject line.

Telephone 0845 300 6016

Department of Health Guidance on the collection of Ethnic Category data can be found at:

Notes:

1. Relevant organisations are those organisations as defined in the standard who must take direct action to implement the standard.

2. IT Suppliers are all suppliers to the organisations listed at 1 who supply functionality pertinent to that standard.

3. **Effective Date** is the date from which a new standard can be used but may not be mandatory. This might facilitate piloting, for example, or enable time for system functionality development. At this point, *you “may use” the standard.*

4. **Implementation Date** is the point from which the new standard becomes mandatory. Ideally, it inherently implies organisations use appropriate systems i.e. the date is the same for organisations and suppliers. However, there maybe circumstances where interim workarounds are required i.e. the date is different for organisations and suppliers. At this date, *you “must use” the standard.* Where the standard demands data is submitted centrally, sub components of implementation date (and possibly ‘effective date’) are:

5. **Collection Start Date** – this is the date collection of data must begin

6. **First Submission Date** – this is the date of first submission of data centrally

7. **Reporting Period / Submission Cycle** – If the standard calls for further collection and submission at defined intervals, this cell provides text of the reporting period (e.g. calendar month, financial year) and the submission cycle (e.g. submit data monthly on the 10th working day of the subsequent month).

8. **Conformance Date** is the date from which the service and IT system suppliers must use the standard as envisaged i.e. using appropriate IT solutions rather than interim workarounds and, if the standard requires it, an independent, authoritative body or legitimate internal audit would conduct a conformity assessment with the expectation of full conformance by all relevant parties. It is the “**must use standard effectively and assessed for use**” date.

9. **Superseded Date** of the prior standard sets the date at which the prior standard is replaced by the new standard i.e. the prior standard must no longer be used. This date will apply only where there was a pre-existing standard made redundant by the new standard. It might be different from preceding dates in the framework if, for example, a new and old standard run in parallel for a period. It is the date from which you **“stop using the prior standard”**.