
Process for Handling Requests: A Guide

July 2014
Version 1.0

Overview

The Health and Social Care Act (2012) describes how the Secretary of State and NHS England might issue Directions to the Health and Social Care Information Centre (HSCIC) and any other body may make requests.

This presentation is a guide to the process for the handling of various types of request between the requestor and the responder (the HSCIC).

For each stage, further information is available on the required inputs, processes and possible outcomes.

Definition of a Request

In the Health and Social care Act 2012, section 255 states:

(1) Any person (including a devolved authority) may request the Information Centre to establish and operate a system for the collection or analysis of information of a description specified in the request.

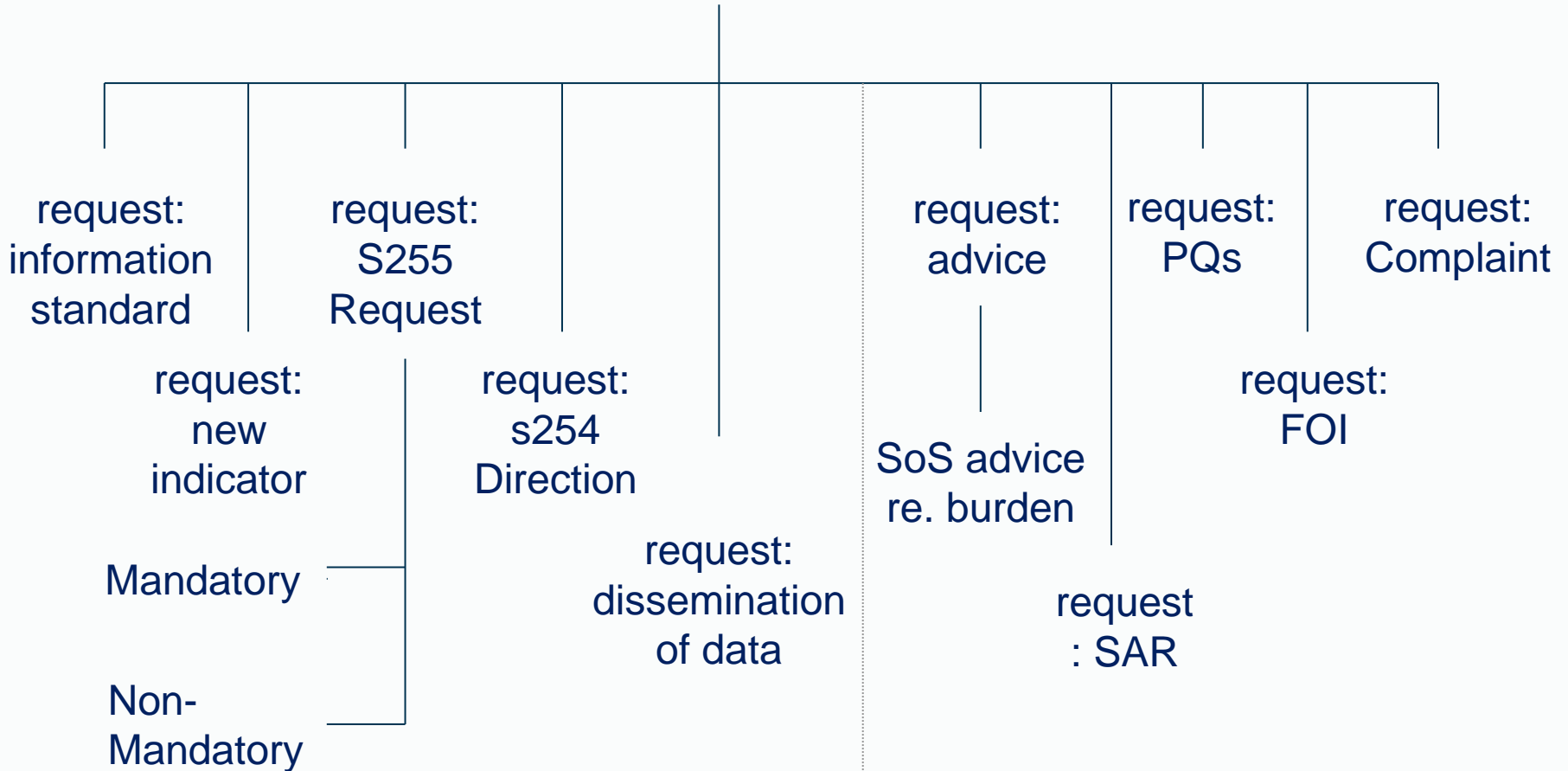
Rather than attempting to restrict the definition, we have decided to treat the whole spectrum of “asks” as being in scope of these handling processes so that

- all contacts are captured and recorded
- all resulting work items are logged and tracked

The diagram overleaf illustrates the various types of request

Types of “request”

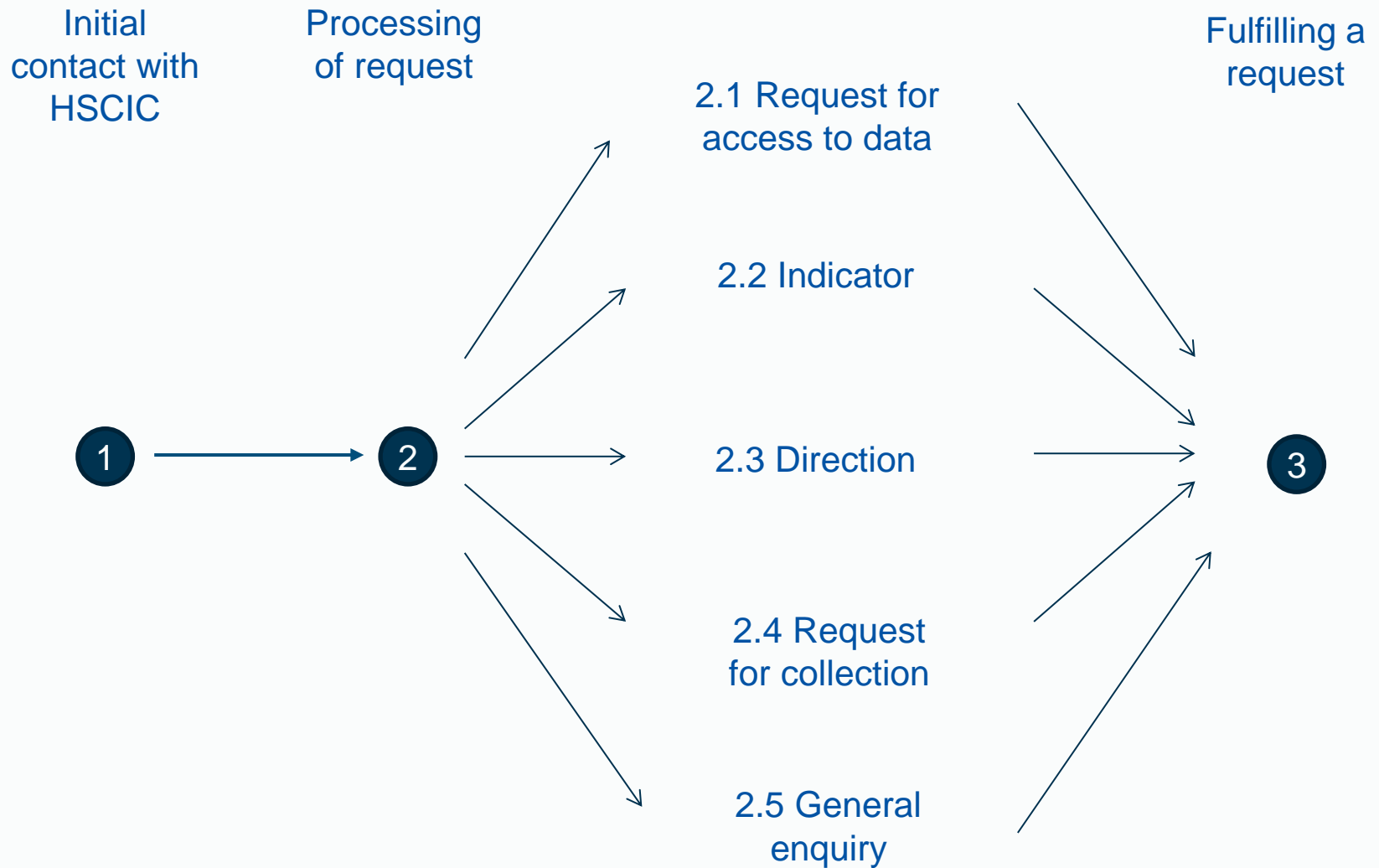
A person or organisation may ask for



The principles underpinning our approach

- **Legality:** we have to operate within the law, and our assessment criteria are designed to ensure this
- **Proportionality:** some requests are more complex than others; we will aim to respond to each type of query as quickly as possible
- **Transparency:** by recording all requests through our contact centre system, we will track progress of each item, and you will be able to find out what stage your request has reached
- **Responsiveness:** we will be publishing service levels for each process, so you can see clearly how long each step should take

Overview of the request handling process



1. Making a request of the HSCIC

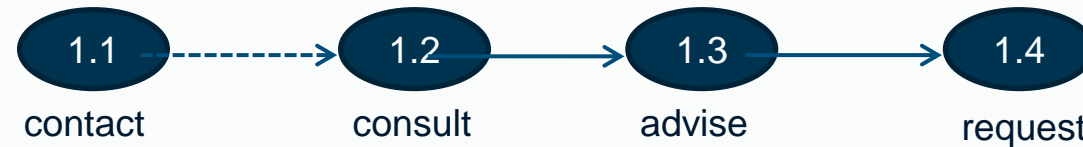
Requestor

There may be an initial contact with HSCIC

You have a duty to consult with HSCIC prior to making a Request

You must “have regard” to this advice, before ..

You may make a request; this will include confirmation of sponsorship



We have published:

- The Code of Practice
- the process for handling requests and
- the process for publishing requirements

We will record details on our CRM system so we can track progress

We may provide advice and in some cases may be required to do so

We may publish advice given (e.g. where it is of value to others)

We will assess what type of request this is and act accordingly

Responder

2.1 Processing of a request for access to data

Requestor

Further details of the process and how to apply may be found here

You may make a request; this will include confirmation of sponsorship

2.1.1
apply

You will help to confirm elaborated requirements

2.1.2
approve

You need to agree the Data Sharing Agreement and associated costs

2.1.3
access

We will make a first assessment to confirm the data is available

This will consider Information Governance issues in relation to the scope and purpose of the request

We will work with you to develop the detailed specification and perform detailed assessment

We will draft the Data Sharing Agreement

We will provide access to the data

We will publish details of all requests for data

Responder

2.2 Processing of a request: indicator

Requestor

You (whether or not in the UK) may apply to the information centre to have an indicator included in the library

You may be asked to provide further details



We will publish a database of quality indicators that cover both health and social care

We may ask the applicant to provide details

We will assess and approve indicators utilising peer reviewers

If an indicator is deemed suitable to be in the quality library, we will draw up a specification

When a quality indicator is published it should include a mark that indicates the assured level of confidence that the IC has in the indicator

The assessment of an indicator includes review and feedback to a proposer, including recommendations, advice and guidance

Responder

2.3 Processing of a Direction

Requestor

A Direction may be issued by the Secretary of State or by the NHS Commissioning Board

You may issue a direction; this will include confirmation of sponsorship

You will help to confirm elaborated requirements
You may need to develop the supporting business case

You need to agree the MOU (to include standard data sharing contract and terms where appropriate)

You be asked for further clarifications

MoU will need to be signed before work can start



We will make an initial assessment

We may seek clarifications; we will develop the project brief

We will work with you to develop the detailed specification and impact

We will complete the specification, impact and costing

We will make a detailed assessment and seek formal approvals where necessary

We will undertake development

This will consider IG, standards (SCCI), burden and data quality

We will publish details of all Directions

We will consult with stakeholders

We will publish details of requirements for submission of data

We will publish information collected as a result of a request + linkage

Responder

2.4 Processing of a request for data collection

Requestor

You may make a request; this will include confirmation of sponsorship

If we turn down a request, the requestor may be asked to reconsider

You will help to confirm elaborated requirements. You may need to develop the supporting business case

You need to agree the MoU (to include standard data sharing contract and terms where appropriate)

You be asked for further clarifications

MoU / contract will need to be signed before work can start



We will make an initial assessment

We may reject, or we may seek clarifications; we will develop the project brief

We will work with you to develop the detailed specification and impact

We will complete the specification, impact and costing

We will make a detailed assessment and seek formal approvals where necessary

We will undertake development

This will consider IG, standards (SCCI), burden and data quality

Depending on the nature of the request, the Secretary of State or NHS England may direct us whether or not to comply

We will publish details of all mandatory requests or all successful non-mandatory requests

We will consult with stakeholders

We will publish details of requirements for submission of data

We will publish information collected as a result of a request + linkage

Responder

For more information

Further details may be found as follows:

- Contact centre
 - <http://www.hscic.gov.uk/contact-us>
 - The Code of Practice for Confidentiality
 - www.hscic.gov.uk/cop
 - Data Access Rules
 - Standardisation Committee for Care Information (SCCI)
 - <http://www.england.nhs.uk/iscg/scci>
 - Burden assessment service (BAAS)
 - <http://www.hscic.gov.uk/dcbrform>
 - Indicators
 - <http://www.hscic.gov.uk/media/14624/Criteria-and-considerations-used-to-determine-a-quality-indicator/pdf>
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