IRSS **Information Requirements and** **Standards Sub Committee**	Subject: Changes to Ethnic data codes
	Implementation date: 1st April 2002

DATA SET CHANGE CONTROL PROCEDURE

Summary of change:

Collection of ethnic data using the new categories defined in the 2001 census for

(i)   Admitted Patient Care ds99
(ii)   PEDW
(iii)   NHS Workforce data collection.

Summary of impact:

There is general support from the NHS for the principle of collecting ethnic data in a consistent manner across all systems and an acceptance that the new 2001 Census codes will need to be introduced from April 2002.

The impact of this change in Wales is variable across the Trusts as many depend on commercial PAS systems to provide their PEDW Extract and this change will involve variable costs from between £1500 to £4500 per Trust.

Whilst these changes affect the ethnic codes currently in use rather than introduce an additional collection there will still be alteration to the PAS system master files. The advice to members of IRSS is that the impact on IT suppliers is medium and is justifiable in terms of the requirement as many of them will incorporate this change for their English sites. There is no change to the length of the new code for ethnicity for PAS Systems– it remains a two-character data item.

The full impact assessment of this DSCN for Personnel Systems and Child Health Systems within Wales is not complete and further investigation may be required.

Change Proposal *Reference No: IRSS/05/00*

The IRSS, established by the National Assembly for Wales is responsible for approving information standards. The HIMB is currently supported by IRSS.

Please address enquiries about this DSCN to the Data Standards and Information Quality Team, HSW, Brunel House, 2 Fitzalan Road, Cardiff CF24 0HA Tel: 029 20502463 .

Data Set Change Notices are available via the Intranet Service HOWIS (http://howis.wales.nhs.uk/info/clincode/DSCNWebGridRef.cfm) or by contacting the above address.

DSCN numbering format = *sequence number/year of issue, (W) for Welsh DSCN's.*

Reference No: IRSS 05/00

DATA SET CHANGE NOTICE IRSS 05/00
Subject: Collection of ethnic data using the new categories defined in the 2001 census for: -
(i)   Admitted Patient Care ds99
(ii)   PEDW
(iii)   NHS Workforce data collection.

Type of Change: Update all ethnic categories to be compatible with the new ONS 2001 Population Census Ethnic categories.

Reason for Change: DH, National Assembly of Wales and many Other Government Departments (OGDs) are implementing the new ONS 2001 Population Census ethnic categories to create consistency and uniformity on the capture and statistical reporting of ethnic related information across services.

Effective Date: The effective date for PEDW and workforce data sets **is 1 April 2002** - this is the date from which data will begin to be collected using the new ethnic categories for PEDW and Workforce, though the process of moving over completely to the new categories may take some time to "bed in". This timetable is spelt out more fully under *specific timetable* below.

The implementation timetable is:
(1) Admitted Patient Care ds99: 01 April 2002
(The above are baseline flows for PEDW)
(2) Workforce data: starting 01April 2002 for Sept 2002

Effect on NHS Wales Data Dictionary: Minor change – new codes will be incorporated in Version 2.3

Important Note:
The **Ethnic Categories listed in Annex 1** will become the national **mandatory** standard for the collection of ethnicity.
If a further breakdown is required beyond the mandatory categories in Annex1 then the definitive (optional) classification list given in Annex 2 must be used. If no further local breakdown is required then the 2nd digit is to be filled with a (Z).

1. Introduction:
It has been agreed by IRSS in line with the Department of Health (DH) that ethnic data should be collected on a consistent basis; and to maintain consistency within DH and with other Government departments, this basis should be the ONS 2001 census ethnic categories where possible.
However, the view taken in Wales was that the breakdown at the mandatory level of White British, Irish and Other was not necessary and therefore the category White (AZ) will be assigned for all at the mandatory level i.e. Left digit of two digit code. Trusts wishing to categorise further may use the local codes as suggested in Annex 2.
The collection of ethnic data is fully consistent with the Data Protection Act which, actively promotes the collection of ethnic data for race equality purposes. Information on ethnicity is required for race equality purposes both locally and nationally, nationally for policy monitoring, and locally to aid local management and inform the local delivery of service.

Information at the national level will be at an aggregate or anonymised form; information on individuals held locally will need to conform to the usual requirements both of Caldicott and the Data Protection Act.

The final set of 14 main ethnic categories has now been confirmed, and these will form the basis of the Welsh National standard (see Annex 1). These new categories are significantly different to the existing ones (which were designed to be consistent with the 1991 ONS census).

2. Ethnic Categories

The list of the 14 + 1 categories which form the national standard are given in Annex 1 – these are given in the order in which they appear on the census form and **this order cannot be changed**. The fifteen categories must be used as the departmental standard for the collection of Welsh data for ALL statistical data sets, NHS and PSS.

Local and national ethnic data collection can be more detailed than this minimum standard, provided only that the resulting data can be grouped consistently with the 14 main categories. A possible provisional framework for local use (only) is given in Annex 2.

3. Specific guidance for PEDW and workforce data sets

The new ethnic codes will repopulate the existing ethnic fields. This is not ideal but has the advantage that it will not involve a change to the MDS, which would be the case if an additional field were required. (Changes to the MDS would be likely to result in greater cost, slower implementation and lower data quality). This means that there are just two "characters" available for the new ethnic codes. These two characters will be used as follows:

1 The *first* character will be the national standard ethnic code to be used in **ALL** cases for the reporting of national data. This standard will be the list of 14 codes from the 2001 census, plus a 15th , "not stated". This character is compulsory. Since there are more than 10 codes in the national standard, this character will have to be alphabetic as shown in annex 1

2 The *second* character will be an *optional* field only required for use locally. This is in the form of a "wild card" which is available, but is not mandatory and if not required must be filled with a (Z). This second "wild card" code has been made available to cover situations where local managers wish to collect information on ethnicity at a greater level of detail than the national standard. It is suggested that local managers may wish to align their wild card codes to agree with the codes that were used in the 2001 census. This is not compulsory, but if managers wish to do this they can follow the schema in Annex 2. Since there are more than 10 codes for the second character, this too has to be alphabetic or numeric. NB: "local" ethnic fields must **NOT** cut across the main 14 categories in the first character of the two-character ethnicity field.

Note: Arguments as to the distinction between "race" and "nationality", which have been raised by correspondents, in respect of the national standard, are outside the scope of this DSCN. The ONS Census categories have been arrived at following very extensive consultation undertaken by ONS. We have to accept the resulting census framework for ethnicity as it is.

4. National versus local data requirement

The national ethnic framework (14 +1 codes) is much less detailed than is probably appropriate at the local level for local management and monitoring purposes. Using the second field should enable authorities to collate their ethnic data to any level of detail they require, whilst at the same time enabling them to aggregate their data on a consistent basis, to national totals.

5. Recording of New Ethnic Categories – Code Range

Old and new ethnic codes will need to be held on the PEDW and workforce datasets for a transitional period, which could be lengthy. The coding of the new ethnic variables has therefore been designed to facilitate clear differentiation between the old and the new codes.

6. Data handling implications

There are some categories where there is a simple read across from the 1991 Census ethnic categories to the 2001 categories - for example, Indian, Pakistani, Bangladeshi and Chinese.
For the remainder and this will include the category of "white", there is no such simple read across. In these circumstances, data providers will have a major task in checking and possibly updating existing records of staff and clients.

7. Training implications

An extensive training programme will need to accompany the changes to the ethnic categories. There is an Assembly commitment to initiate a series of workshops to introduce these changes and to discuss the implications with front line staff. This initiative will provide the opportunity to help underscore the importance of comprehensive ethnic data and to aid sharing of good practice in this area. The outcome of the workshops will enable training materials to be developed for use nationally.

8. Specific timetable
(a) PEDW

*Day case and Inpatient Car*e: The new ethnic categories should be introduced for all Finished Consultant Episodes (FCEs) that end on or after 1 April 2002.
*Unfinished Consultant Episode*s: The new ethnic categories should be introduced for all unfinished episodes reported on or after 1 April 2002, and hence for all census data for 31 March 2002. NB: This does not imply full implementation by April 2002; but that the process has started by that date.

PEDW Information requirements

Organisations, depending on requirements, will use the full/aggregated code lists for the collection and exchange (if appropriate) of data on ethnicity. Currently PEDW receives information of limited value via Ethnic Group. The data submitted by Trusts will be stored on PEDW as a two-character field but any reporting will be aggregated to the 1st character.

From April 2002, PEDW will collect ethnic data based on the 15 categories. This will enable appropriate analyses to be performed on equity of access and other related activities. (Existing information on the old ethnic basis will be retained for those records in existence prior to 1 April 2002). It is recommended that the codes adopted for PEDW be used in other data sets, in order to avoid complex rules for each patient level data set.

(b) Workforce

Central systems should be adapted to accept the new 14 +1 codes, so that some data are recorded on the new basis for the September 2002 censuses. Trusts should ensure that all new staff are recorded using the new categories from 1 April 2002 and that records for the million or so existing staff should

be updated as soon as practicably possible. Central systems will need to retain flexibility to recognise both sets of old and new codes for a number of years.

9. Impact on computer systems:
There is no change to the length of the new code for ethnicity for PAS Systems in Wales – it remains a two-character data item. PEDW will be able to accept the new data without making changes to the database or core service.

For some Human Resources Systems in Wales the ethnic data field is a 1-character data item. Trusts wishing to categorise in more detail locally may need to change their systems.

It is recommended that all NHS Trusts, health authorities, other providers and receivers of data check their software and that the ethnic data field is an alphanumeric field.

10. Argument for change:
Ethnicity is a key piece of data in the NAfW 's collection of information about both its customers and its workforce.

There have been growing concerns within the assembly about the inadequacies, inconsistencies and gaps in the collection and reporting of ethnic data and its impact on the Assembly's ability to effectively carry out its business.

ONS updated the Ethnic categories for the 2001 Census. Therefore, this is the de facto government standard for the collection of ethnicity from 1 April 2002 for Wales. This should enable better data linkage between information held centrally in the NAfW and should help also to achieve consistency across Other Government Departments (such as Housing and Education) which also need to hold and use ethnic data.

11. Clearance:
The DH subgroup on Race Equality has agreed the adoption of the new ethnic categories, and is advising the Departmental Board accordingly. This has now been formally approved under the usual arrangements for making changes to NHS Wales statistical returns via IRSS

12. Arrangements for the Home Countries:
This DSCN is in line with the implementation in England.

13. Summary:
Introduction of new ethnic codes with the field references as shown in Annex 1 (for mandatory implementation) and Annex 2 (optional – for local use), with effect from 1 April 2002, for the Admitted Patient Care ds99, PEDW and workforce data sets.

14. Additional Information:
For further information contact:
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Annex 1: Ethnic Categories

	Ethnic Categories*	**Codes**	Ethnic Classifications (Annex 2) included Within category
a.	**White**		
	Any White background	**A**	01-27 *See note below
b.	**Mixed**		
	White and Black Caribbean	**D**	28
	White and Black African	**E**	29
	White and Asian	**F**	30
	Any other mixed background	**G**	31-36
c.	**Asian or Asian British**		
	Indian	**H**	37
	Pakistani	**J**	38
	Bangladeshi	**K**	39
	Any other Asian background	**L**	40-49
d.	**Black or Black British**		
	Caribbean	**M**	50
	African	**N**	51
	Any other Black background	**P**	52-56
e.	**Other ethnic Groups**		
	Chinese	**R**	57
	Any other ethnic group	**S**	58-62
f.	**Not Stated**		
	Not stated	**Z**	99

Notes on Annex 1

1 All clients/patients/staff are to be classified under one or other of the 15 categories above. This is the national standard.

2 These new alphabetical codes facilitate differentiation between the old ethnic codes (which will need to be retained for a transitional period), and the new ones.

3 It is accepted that the categories are not exclusive in all cases. This is a feature of the census categories as they stand.

4 Some of the categories e.g. AY within A, contain a large number of disparate groups. This is unavoidable.

Annex 2: Ethnic Classifications*

The detailed framework of ethnic coding, derived from the draft census form, is given on the following pages. In what follows, some of the groups exist nationally only as one group in the census (e.g. Caribbean). These are referenced as **[M*]** etc, the star being a "wild card" character which is not required for national collections. It is purely optional and for local use in any way or not at all, provided that any such use does not cut across the national standard as set out in Annex 1.

The grid contains examples of proposed 'local' codes that may be used e.g. for people describing themselves as 'Welsh', a local code of 'AC' may be used.

As previously mentioned, the use of the second character is optional and 'any' local second character may be used. However, if your Trust decides to use the second character, we would advise you to use the schema in the following grid.

DESCRIPTION and proposed code - Based on 2001 Census

DESCRIPTION	proposed code
WHITE GROUP	
01 White	[AZ]
02 Irish	[A1]
03 Northern Irish	[A2]
04 English	[AA]
05 Scottish	[AB]
06 Welsh	[AC]
07 Cornish	[AD]
08 Cypriot (part not stated)	[AE]
09 Greek	[AF]
10 Greek Cypriot	[AG]
11 Turkish	[AH]
12 Turkish Cypriot	[AJ]
13 Italian	[AK]
14 Irish Traveller	[AL]
15 Traveller	[AM]
16 Gypsy/Romany	[AN]
17 Polish	[AP]
18 All republics which made up the former USSR	[AQ]
19 Kosovan	[AR]
20 Albanian	[AS]
21 Bosnian	[AT]
22 Croatian	[AU]
23 Serbian	[AV]
24 Other republics which made up the former Yugoslavia	[AW]
25 Mixed white	[AX]
26 Other white European, European unspecified, European mixed	[AY]
27 Other white, white unspecified	[A3]
MIXED GROUPS	
28 White and Black Caribbean	[DX]
29 White and Black African	[E*]
30 White and Asian	[F*]
31 Black and Asian	[GA]

32 Black and Chinese	[GB]
33 Black and White	[GC]
34 Chinese and White	[GD]
35 Asian and Chinese	[GE]
36 Other Mixed, Mixed Unspecified	[GF]
ASIAN or ASIAN BRITISH GROUP	
37 Indian or British Indian	[H*]
38 Pakistani or British Pakistani	[J*]
39 Bangladeshi or British Bangladeshi	[K*]
40 Mixed Asian	[LA]
41 Punjabi	[LB]
42 Kashmiri	[LC]
43 East African Asian	[LD]
44 Sri Lanka	[LE]
45 Tamil	[LF]
46 Sinhalese	[LG]
47 British Asian	[LH]
48 Caribbean Asian	[LJ]
49 Other Asian, Asian unspecified	[LK]
BLACK or BLACK BRITISH GROUP	
50 Caribbean	[M*]
51 African	[N*]
52 Somali	[PA]
53 Mixed Black	[PB]
54 Nigerian	[PC]
55 Black British	[PD]
56 Other Black, Black unspecified	[PE]
OTHER ETHNIC GROUPS	
57 Chinese	[R*]
58 Vietnamese	[SA]
59 Japanese	[SB]
60 Filipino	[SC]
61 Malaysia	[SD]
62 Any Other Group	[SE]
(99)　Not stated	[Z*]
Note: Classification "99" is not included on the census code list and is included here for completeness.	