



Public Health
England

GUMCAD STI Surveillance System (DCB0139) Requirement Specification

About Public Health England

Public Health England exists to protect and improve the nation's health and wellbeing, and reduce health inequalities. We do this through world-leading science, knowledge and intelligence, advocacy, partnerships and the delivery of specialist public health services. We are an executive agency of the Department of Health and Social Care, and a distinct delivery organisation with operational autonomy to advise and support government, local authorities and the NHS in a professionally independent manner.

Public Health England
133-155 Waterloo Road
Wellington House
London SE1 8UG
Tel: 020 7654 8000

www.gov.uk/phe

Twitter: [@PHE_uk](https://twitter.com/PHE_uk)

Facebook: www.facebook.com/PublicHealthEngland

For queries relating to this document, please contact: gumcad@phe.gov.uk



© Crown copyright 2018

You may re-use this information (excluding logos) free of charge in any format or medium, under the terms of the Open Government Licence v3.0. To view this licence, visit [OGL](https://www.ogp.gov.uk). Where we have identified any third party copyright information you will need to obtain permission from the copyright holders concerned.

Published: June 2018

PHE publications

gateway number: 2018163

PHE supports the UN

Sustainable Development Goals



Contents

About Public Health England	2
Contents	3
1. Overview	6
1.1. Summary	6
1.2. Supporting Documents	8
1.3. Related Standards	8
2. Detail of changes	9
3. Health and care organisations	10
3.1. Requirements	10
3.2. Conformance criteria	10
4. Systems Suppliers	12
4.1. Requirements	12
4.2. Conformance criteria	12
5. Reporting requirements	13
5.1. Information flow	13
5.2. Reporting time period	15
5.3. Frequency of reporting	15
5.4. Extract format	15
5.5. Extract submission	15
5.6. Outputs	15
6. Confidentiality and anonymity	17
7. Contact information	18

Amendment History

Version	Date	Amendment History
0.1	19/02/2018	Draft for PHE internal review
0.2	22/03/2018	Amendments after initial review by the Data Standards Assurance Service of NHS Digital
1.0	23/05/2018	Final version

Approval

Name	Organisation	Version	Date
Hamish Mohammed	Public Health England	0.1	19/02/2018
Gwenda Hughes	Public Health England	0.2	11/04/2018
Hamish Mohammed	Public Health England	1.0	24/05/2018

Glossary of Terms

Term	Acronym	Definition
British Association for Sexual Health and HIV	BASHH	Professional membership organisation working in sexual health and HIV. www.bashh.org/about-bashh/about-bashh
Faculty of Sexual and Reproductive Healthcare	FSRH	Professional membership organisation working in sexual and reproductive health. www.fsrh.org/about-us/what-we-do
Genitourinary Medicine Clinic Activity Dataset: GUMCADv2	GUMCADv2	An electronic data collection from GUM clinics to support STI surveillance at a local and national level. This collection is managed by Public Health England (ISB 0139): www.isb.nhs.uk/library/standard/118 GUMCADv2 refers to the existing version of GUMCAD that is currently in operation prior to the changes highlighted in this report. The new revised version of the dataset incorporating the amendments listed in this report will be known as the GUMCAD STI Surveillance System and will supersede GUMCADv2.
Genitourinary Medicine services (Level 3)	GUM	These are specialised services, where the primary function of the specialist clinical multidisciplinary team is concerned with the provision of screening, diagnosis and management of sexually transmissible infections and related genital medical conditions. In line with the national strategy for sexual health and HIV, GUM services would be represented as level three providers.
Human Immunodeficiency Virus Pre-Exposure Prophylaxis	HIV PrEP	PrEP is when people at very high risk for HIV take HIV medicines daily to lower their chances of getting infected. PrEP can stop HIV from taking hold and spreading throughout your body.
Level 2 Sexual Health	N/A	Local authority commissioned Level 2 Sexual Health

Service		Services. All Level 2 Sexual Health Services should provide STI management at Level 1 and 2 as recommended by the British Association for Sexual Health and HIV (BASHH). Please see the BASHH Standards for the Management of STIs for full details on the levels of STI management: www.bashh.org/about-bashh/publications/standards-for-the-management-of-stis/
Partner Notification	PN	Partner notification is the action of contacting the partner(s) of an (STI) index case to advise the partner(s) of possible (STI) exposure and therefore access sexual health services. Partner notification may be carried out by the index patient and/or the diagnosing sexual health service.
Sexual Health and HIV Activity Property Type Code	SHHAPT	Codes used to define a sexual health service or diagnosis used in GUMCAD.
Sexual and Reproductive Health services	SRH	Formally known as family planning clinics or contraception and sexual health services (CASH).
Sexually Transmitted Infection	STI	Infections acquired through sexual contact.
SNOMED CT	SNOMED CT	A comprehensive, multilingual clinical healthcare terminology.

1. Overview

1.1. Summary

Standard	
Standard Number	DCB0139
Standard Title	GUMCAD STI Surveillance System (formerly known as GUMCADv2)
Description of Current Dataset (GUMCADv2)	<p>GUMCAD data are primarily collected to monitor trends in Sexually Transmitted Infection (STI) diagnoses, to identify inequalities in sexual health, and to measure the success of interventions or impact of service delivery. These data are used to inform the development of sexual health policy, and enable public health priorities to be identified and monitored so that appropriate action may be taken.</p> <p>GUMCADv2 data are used to:</p> <ul style="list-style-type: none"> • inform public health response and policy formulation for England • benchmark against a sexual health indicator, the chlamydia detection rate in 15-24 year olds, of the Public Health Outcomes Framework • monitor the effectiveness of the policies introduced by the Department of Health and Social Care • performance manage at local and national level to ensure delivery of the national target on sexual health • better plan and manage services at local level • adapt and refine interventions, as appropriate <p>GUMCADv2 data are submitted quarterly (calendar quarters January – December) via PHE's secure HIV & STI Web Portal Data (HSWP)*. Data are required 6 weeks after the close of the quarter to allow for the receipt and data entry of test results eg quarter 1 is required 6 weeks after the 31 March (PHE reminds data reporters of submission dates at least 2 weeks in advance of the submission deadline).</p> <p>*The HSWP can only be accessed via a username and password. Please contact PHE to arrange access for GUMCAD data submission: gumcad@phe.gov.uk</p> <p>Further details on how and what to submit can be found in the GUMCAD guidance to clinical staff: www.gov.uk/guidance/genitourinary-medicine-clinic-activity-dataset-gumcadv2</p>
Applies to	<ul style="list-style-type: none"> • all patients attending Local Authority (LA) commissioned Level 2 and Level 3 (GUM) sexual health services in England (see Appendix B of the BASHH/MEDFASH Standards for the management of STIs for full details on the levels of STI management: www.bashh.org/about-bashh/publications/standards-for-the-management-of-stis) <ul style="list-style-type: none"> ○ all level 2 sexual health services should provide STI management at Level 1 and 2 as recommended by BASHH. Level 2 sexual health

	<p>services can be sub-categorised into the following groups:</p> <ul style="list-style-type: none"> ○ enhanced General Practices ○ sexual and Reproductive Health (SRH) Services ○ voluntary Young Peoples Clinics ie Brook clinics ○ other services (eg community hospitals and outreach programmes) <ul style="list-style-type: none"> ● general Practitioners with Special Interests (GPwSIs) will only be included if they operate from a practice that has been commissioned to provide an enhanced sexual health service ● software systems for use in LA commissioned level 2 and level 3 sexual health services in England <p>It will be used by:</p> <ul style="list-style-type: none"> ● staff working in level 2 and level 3 sexual health services ● PHE for the purpose of monitoring trends of STI diagnoses and related services ● local authorities, commissioners and Department of Health and Social Care (DHSC) staff concerned with planning services and performance managing <p>Exclusions: Community contraceptive (SRH) services, or general practices that are not commissioned to provide enhanced STI care are not within the scope of this standard. Private services are also not included.</p>
Release	
Release Number	Amd 21/2017
Release Title	The GUMCAD STI Surveillance System
<p>Description of amendments to the previous version of GUMCAD (GUMCADv2).</p> <p><i>(The dataset will now be known as the GUMCAD STI Surveillance System)</i></p>	<p>Currently, surveillance of STIs in England is performed using the GUMCADv2, a mandatory, disaggregated dataset of all services provided and diagnoses made by sexual health clinics. The primary purpose of GUMCADv2 has been summarised above. While it has led to a major improvement in the national surveillance of STIs and is now an internationally unique dataset used to inform sexual health policy decisions and evaluate interventions, it remains limited by a lack of critical information such as risky sexual behaviour, recreational and sexualised drug use, usage of HIV pre-exposure prophylaxis (PrEP), and the outcomes of partner notification.</p> <p>The proposed enhancement of GUMCAD to include these behavioural risk data are essential to ensure PHE complies with its statutory duty to recognise trends in the risks of communicable diseases and other risks to public health [regulation 3 of the Health Service (Control of Patient Information) Regulations 2002]; in so doing, PHE will have critical behavioural data to understand the epidemiological drivers for and how to control STI outbreaks, and to monitor and evaluate the current £10 million NHS England funded trial of PrEP and any future national programme of PrEP*.</p> <p>This behavioural enhancement to GUMCAD is based on national clinical guidelines, thus only includes routinely collected clinical data.</p> <p>SNOMED-CT: The current GUMCADv2 standard uses SHHAPT codes (in specialist sexual health services) and READ codes (in non-specialist sexual health services) to record diagnostic and testing activity – the intention to implement SNOMED-CT will be included as part of this development. The</p>

	<p>intended release date of the GUMCAD STI Surveillance System has an implementation date of April 2019, which follows the phased implementation of SNOMED-CT in primary care from April 2018 and prior to 2020 in acute care. This means that not all Primary care providers and only a small percentage of acute care providers will have fully implemented SNOMED-CT at the point of implementation of the new GUMCAD standard.</p> <p>To mitigate this matter and futureproof the dataset, it is intended that the technical output specification and guidance will support dual flow of SHHAPT/READ codes and SNOMED-CT until all reporters are SNOMED compliant.</p> <p>*www.gov.uk/government/news/nhs-england-and-phe-extend-hiv-prevention-programme</p>
Full Conformance Date on ISN	1 April 2019

1.2. Supporting documents

Ref #	Reference	Title
1	Cr1420-2014-05-12	Data Dictionary GUMCAD Update

2. Detail of changes

While GUMCADv2 has proven to be a timely source of public health intelligence, it is limited by the lack of data on sexual behaviours. Under regulation 3 of the Health Service (Control of Patient Information) Regulations 2002, PHE is required to recognise trends in the risks of communicable diseases and other risks to public health. Therefore, PHE will need to enhance GUMCADv2, through modification of existing clinic software systems, to collect clinically relevant behavioural data on the risks of STIs. The behavioural data proposed for this enhancement to GUMCAD are consistent with national clinical guidelines, and are based on consultation with members of the British Association for Sexual Health and HIV, the Society of Sexual Health Advisors and third sector organisations. The new revised version of the dataset, which will supersede GUMCADv2, will be known as the GUMCAD STI Surveillance System.

This Information Standard has been revised to include amendments to 2 existing data items and inclusion of a range of new data items to capture more routinely collected comprehensive behavioural data and to allow the monitoring of the new NHS England initiative on provision of HIV PrEP. The full list of new data items and amendments to existing data items can be found in the GUMCAD STI Surveillance System Change Specification document.

This Information Standard is sponsored by PHE. It is being led by the National Infection Service of PHE. Proposed amendments have been developed with the GUMCADv3 Steering Group* along with the Joint British Association for Sexual Health and HIV (BASHH) and the Faculty of Sexual and Reproductive Healthcare (FSRH) Information Group.

*The group comprised of clinicians from BASHH, sexual health advisors, software providers, substance misuse specialists and representatives of third sector organisations.

3. Health and care organisations

3.1. Requirements

#	Requirement
1	All local authority commissioned Level 2 and Level 3 sexual health services in England MUST comply with this standard.
2	For additional guidance, all Level 2 and Level 3 sexual health services SHOULD review the updated GUMCAD STI Surveillance System Guidance for Clinic Staff and the GUMCAD STI Surveillance System Data Specification and Technical Guidance for Data Extract, which provide further details on the additional SHHAPT codes introduced and the amendments to specific data items covered by this Information Standard. The clinical guidance and data extract specification covered by this Information Standard support those undertaking surveillance within Level 2 and Level 3 sexual health services and are best reviewed by those tasked with undertaking and reporting surveillance locally. Roles responsible for this surveillance may vary between providers.
3	All Public Health England staff working with data covered by this Information Standard MUST be familiar with the requirements of the Standard.
4	GUMCAD data MUST be submitted via the secure HIV/STI Web Portal.
5	To support the implementation of this Information Standard, all Level 2 and Level 3 sexual health service providers and PHE staff SHOULD highlight any issues hindering the implementation of this Standard. This feedback mechanism provides appropriate information to the Standard developers to improve the implementation and data collection processes. Feedback and enquiries can be directed to the GUMCAD team at PHE (gumcad@phe.gov.uk).

3.2. Conformance criteria

This section describes the tests that can be measured to indicate that the information standard is being used correctly by an organisation (conformance criteria). These may be different depending upon the type of organisation, eg supplier, GP practice.

No	Organisation	Criterion
1	All Level 2 and Level 3 sexual health services	All data providers have worked with their system suppliers to update systems to conform to these amendments.
2	All Level 2 and Level 3 sexual health services	All staff have been alerted to the required changes, the need for the changes and trained where necessary in the new collections and operation of the system.

No	Organisation	Criterion
3	All Level 2 and Level 3 sexual health services	100% of sites return the GUMCAD dataset and all the mandatory fields are present.
4	All Level 2 and Level 3 sexual health services	100% of sites return the data set within the timescales required (ie no later than 6 weeks after the end of the quarter).
6	All Level 2 and Level 3 sexual health services	All data conforms to the definitions given in the specification.
7	All Level 2 and Level 3 sexual health services	Clinics have a process in place for checking the data quality of the return before submitting through the secure HIV/STI web portal.
8	All Level 2 and Level 3 sexual health services	All data are sent via the secure HIV/STI web portal to PHE.
10	PHE	Data are held securely and in accordance with Caldicott Guidelines and PHE's HIV/STI Data Sharing Policy (www.gov.uk/government/publications/hiv-and-sti-data-sharing-policy) .
11	PHE	All staff must sign a Data Confidentiality and Security Agreement on starting employment with PHE, and complete annual training in Information Governance.
12	PHE	A helpdesk for support is provided daily for providers and software suppliers.
13	PHE	An audit of the dataset is carried out quarterly, data are shared via the secure HIV/STI web portal and national data are published annually through public-facing outputs.
14	PHE	All suggestions for change are considered within the GUMCAD team and fed back to the joint BASHH/FRSH Information Group for further input and discussion. The user will be informed of the outcome.

4. Systems suppliers

Level 3 and Level 2 sexual health services should ensure that the software systems used in the clinics are able to record and extract the data required for GUMCAD. They should encourage system suppliers to follow the requirements and conformance criteria set out below.

4.1. Requirements

#	Requirement ¹
1	System suppliers of Level 2 and Level 3 sexual health services MUST implement the GUMCAD standard as defined by the GUMCAD specification.
2	For additional guidance, all system suppliers of Level 2 and Level 3 sexual health services SHOULD review the updated GUMCAD STI Surveillance System Data Specification and Technical Guidance, which provides further clarity and coding specifications for the revised data items covered by this Information Standard. Any queries can be forwarded to the GUMCAD team at PHE (gumcad@phe.gov.uk).
3	To support the implementation of this Information Standard, all system suppliers of Level 2 and Level 3 sexual health services SHOULD highlight any issues hindering the implementation of this Standard to the GUMCAD team at PHE (gumcad@phe.gov.uk). This feedback mechanism provides appropriate information to the Standard developers to improve the implementation and data collection processes.

4.2. Conformance criteria

No	Organisation	Criterion
1	System Suppliers	All suppliers familiarise themselves with the revised guidance documents.
2	System Suppliers	All suppliers update their systems accordingly to conform to the revised Standard.
3	System Suppliers	All suppliers ensure that all mandatory and required data items can be collected and extracted from their systems in the format stipulated by this Standard.
4	System Suppliers	All suppliers make the necessary changes to the system in time for users to implement the changes to the dataset by 1 April 2019.
5	System Suppliers	All suppliers provide support and guidance to users of their systems on how to correctly complete and extract GUMCAD.
6	System Suppliers	All suppliers familiarise themselves with the revised guidance documents.

¹ The key words MUST, SHOULD and MAY are defined in the [information standards development methodology](#).

5. Reporting requirements

5.1. Information flow

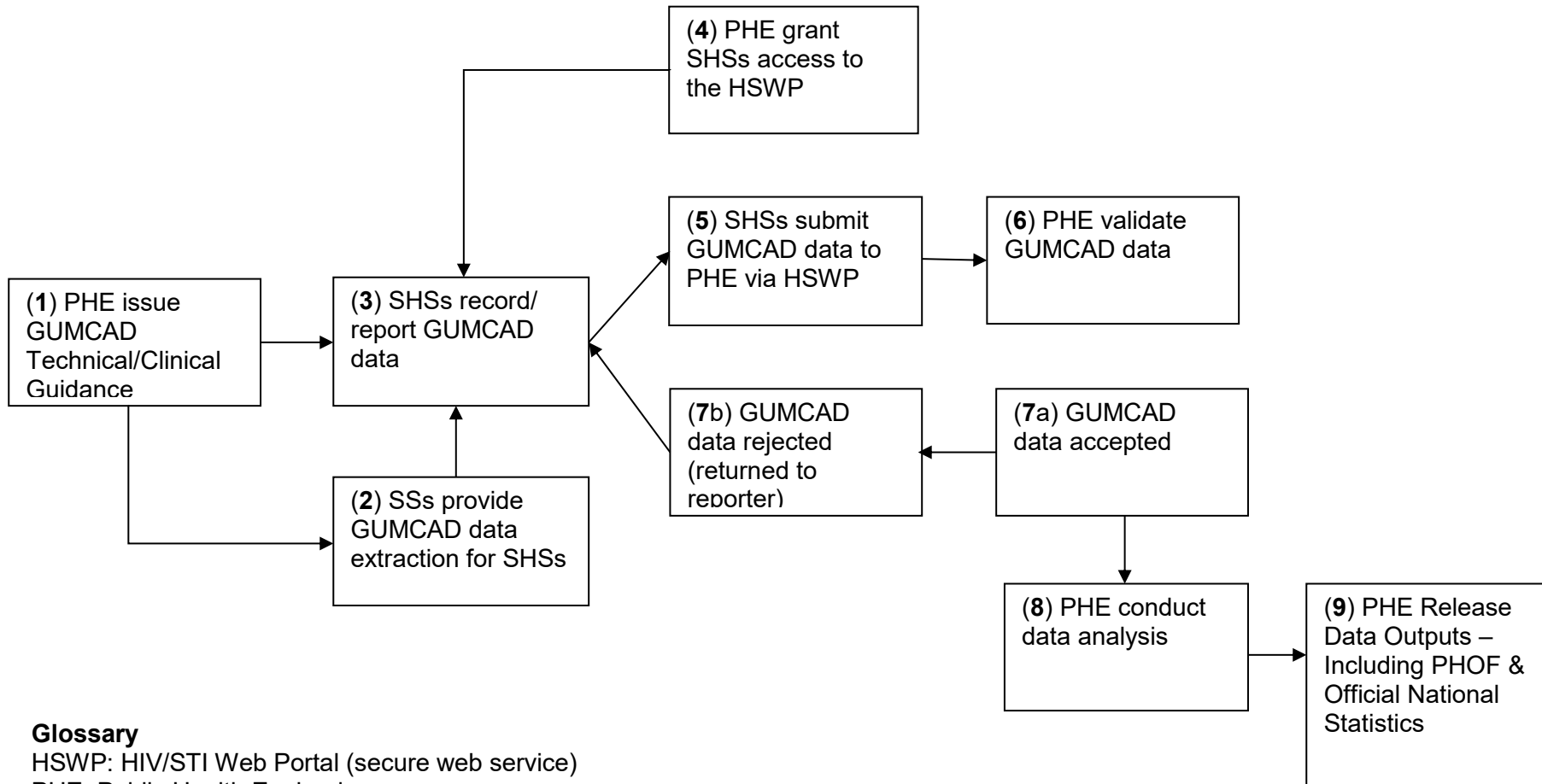
Figure 1 provides a summary of the data flow for GUMCAD.

GUMCAD reporters submit a comma separated file (*.csv) containing their quarterly GUMCAD data to PHE in Colindale via the secure HIV and STI Web Portal. The portal allows organisations to transfer data in a secure manner across the internet. Connection to the portal requires a login name and password, which are only provided by the GUMCAD administrator on validation of the user. Upon submission, the data are automatically transferred to the PHE network where data integrity rules are applied to ensure data quality is maintained. Once data have successfully passed validation, data are imported into an SQL database (DB) which is managed by PHE's Software Development Unit (SDU).

The data go through a series of cleaning algorithms (automated and manual) prior to analysis. A clean data file per year is produced for analysis and stored on PHE's secure network drive. Only authorised staff within PHE's HIV and STI sections are provided with access to the data.

GUMCAD is a patient level dataset. Each row of data relates to a service provided or diagnosis made at one patient's attendance. A patient ID is unique within each clinic. We do not collect patients' NHS number, and therefore the data can only be linked within GUMCAD. However, as the patient ID is only unique within a clinic, a patient's data can only be linked within a clinic; if the patient attends another clinic, the data cannot be linked. These data and their storage and access are under strict control, and are governed by PHE's data sharing policy and Caldicott guidelines.

Figure1. GUMCAD STI Surveillance System data flow



Glossary

- HSWP: HIV/STI Web Portal (secure web service)
- PHE: Public Health England
- PHOF: Public Health Outcomes Framework Indicator
- SHS: Sexual Health Service
- SS: Software Supplier

5.2. Reporting time period

Each extract covers one calendar quarter, as follows:

Q1 – January to March

Q2 – April to June

Q3 – July to September

Q4 – October to December

5.3. Frequency of reporting

Data extracts must be run quarterly by the reporting service no later than 6 weeks after the end of the calendar quarter eg quarter 1 is required 6 weeks after the 31 of March (PHE will remind data reporters of submission dates at least 2 weeks in advance of the submission deadline).

5.4. Extract format

Files are extracted in a csv format by the software system in use at the reporting service (technical details of the extract format can be found in the GUMCAD STI Surveillance System Data Specification and Technical Guidance).

5.5. Extract submission

Extracts must be submitted to the GUMCAD team at PHE using the secure HIV & STI Web Portal (HSWP). Use of the portal requires a username and password which can be obtained from the GUMCAD team at PHE Colindale. The portal supports the Secure Sockets Layers (SSL) method of communication.

Requests for user accounts should be sent to: gumcad@phe.gov.uk

The portal can be found at: hivstiwebportal.phe.org.uk/login.aspx

5.6. Outputs

The data collected are used in an annual official statistical release published by PHE that reports aggregate information on STI diagnoses and services. Data are aggregated to national and regional levels, and no patient level data are published. PHE also provide restricted access quarterly reports for GUMCAD data reporters and commissioners of sexual health services (username and password required via PHE's

secure HIV & STI Web Portal). Furthermore, PHE provide annual local authority level reports on STI diagnoses and service and sexual and reproductive health (sourced from the Sexual and Reproductive Health Activity Dataset [SRHAD]). These reports are not public documents and are made available only to individuals at local authorities with responsibility for commissioning sexual health and reproductive health services. All users of the portal are asked to read and agree with the PHE HIV and STI data sharing policy before reports are distributed to them.

6. Confidentiality and anonymity

PHE has a legal basis to collect GUMCAD data under regulation 3 of the Health Service (Control of Patient Information) Regulations 2002. GUMCAD is a pseudo-anonymised dataset with a clinic-specific patient identifier and minimal demographic characteristics, which do not include data subjects' names, dates of births, postcodes or NHS numbers. The behavioural data proposed for this enhancement to GUMCAD are consistent with national clinical guidelines, and are based on consultation with members of the British Association for Sexual Health and HIV, the Society of Sexual Health Advisors and third sector organisations.

In addition, PHE has a legal duty to protect the public's health on behalf of the Secretary of State through monitoring and control of infectious disease and other risks to the public's health as per the Health and Social Care Act 2012. The lawful basis to collect GUMCAD data without patient consent is set out within regulation 3 of the Health Service (Control of Patient Information) Regulations 2002. This processing has been approved by the PHE Caldicott Office.

Information for the public explaining the need for and use of data collected by PHE is provided in PHE's Personal Information Charter:

www.gov.uk/government/organisations/public-health-england/about/personal-information-charter

Some patients may express concern about supplying their data to a sexual health service and/or their data being reported to PHE. If so, patients are entitled to 'opt out' of automatic inclusion in GUMCAD. This can be facilitated by:

- the patient using an alias to register at the sexual health service
- data being removed from the GUMCAD extract prior to submission to PHE
- data being removed from PHE's GUMCAD archive after submission if the patient's requests this via the sexual health clinic. Requests may not always be possible if records have been archived for a significant amount of time

Please contact PHE for any queries relating to patient confidentiality and anonymity:

gumcad@phe.gov.uk

7. Contact information

Contact the GUMCAD Team at PHE:

Public Health England
HIV & STI Department
61 Colindale Avenue
London
NW9 5EQ
Tel: 0208 3267 7469
Email: gumcad@phe.gov.uk

Data Coordination Board

This information standard (DCB0139) has been approved for publication by the Department of Health and Social Care under [section 250 of the Health and Social Care Act 2012](#).

Assurance that this information standard meets the requirements of the Act and is appropriate for the use specified in the specification document has been provided by the Data Coordination Board (DCB), a sub-group of the Digital Delivery Board.

This information standard comprises the following documents:

- Requirements Specification
- Implementation Guidance
- Change Specification.

An Information Standards Notice (DCB0139 Amd 21/2017) has been issued as a notification of use and implementation timescales. Please read this alongside the documents for the standard.

The controlled versions of these documents can be found on the [NHS Digital website](#). Any copies held outside of that area, in whatever format (e.g. paper, email attachment), are considered to have passed out of control and should be checked for currency and validity.

Date of publication: 25 June 2018