Community Mental Health Survey 2016: Trust Webinar

14th January 2016

picker
Institute Europe

Agenda

- Survey overview – what's new for 2016? [10 min]

- Section 251 [10 min]

- Practicalities of administration [10 min]

- Sampling process and submission [10 min]

- Timetable [5 min]

- Questions and Answers [10 min]

Survey overview – what's new for 2016?

Survey overview – what's new for 2016?: Questionnaire (i)

- Additional response option:

17. **In the last 12 months**, have the people you see for your care or services changed?

Please **do not** include stopping care completely.

1 ☐ Yes → Go to 18
2 ☐ Yes, but this was because I requested the change → Go to 21
3 ☐ Yes, but this was because I moved home → Go to 21
4 ☐ No → Go to 21
5 ☐ My care has started but not changed → Go to 21
6 ☐ Don't know / not sure → Go to 21

- Two new questions around 'explanations':

18. Were the reasons for this change explained to you at the time?

1 ☐ Yes, completely
2 ☐ Yes, to some extent
3 ☐ No
4 ☐ No explanation was needed

- Following 'In the last 12 months, have you received any treatments or therapies for your mental health needs that do not involve medicines?'…

31. Were these treatments or therapies explained to you in a way you could understand?

1 ☐ Yes, completely
2 ☐ Yes, to some extent
3 ☐ No
4 ☐ No explanation was needed

Survey overview – what's new for 2016?: Questionnaire (ii)

- Three questions from the 2015 survey removed:

- Section title 'Other areas of life' changed to 'Support and wellbeing'

34. In the last 12 months, did NHS mental health services give you any **help or advice** with **finding support** for **finding or keeping accommodation**?

38. Do the people you see through NHS mental health services understand **what is important to you** in your life?

40. Do the people you see through NHS mental health services help you **feel hopeful** about the things that are important to you?

Survey overview – what's new for 2016?: Covering letters

- Rewritten in a more informal style whilst retaining important information around data protection, anonymity, confidentiality and so on

Survey overview – what's new for 2016?: Sample declaration form

- Some changes made:
  - minimise risk of S251 breaches;
  - accurately record number of dissenters.

- More details in 'Sampling process & submission' section…

Survey overview – what's new for 2016?: Outcome code (In-house trusts only)

- New code introduced:
  - Code '7 – service user deceased prior to fieldwork'
    - Should be logged if user highlighted as deceased after sample declaration signed off but prior to any mailings being sent out

  - Code '3 – service user died' should be used for service users identified as deceased after fieldwork has started

Section 251

Section 251:
Approval & adherence to instructions

- Full approval of Section 251 of the NHS Act 2006 from the Confidentiality Advisory Group (CAG) on behalf of the Secretary of State has been granted;

- Allows the common law duty of confidentiality to be put aside in order to enable the processing of patient identifiable information without consent;
  - Provides a legal basis for trusts using a contractor to provide names and addresses to them;

- In-house trusts – though information is not shared, standard practices & procedures must be followed to protect confidentiality

Any deviation from the methodology outlined in the survey instructions may render the approval invalid and CQC is obliged to take a number of steps

Section 251: Requirements

- Recording dissent and removing service users;

- Separate mailing and sample files from trusts to contractors;

- Care cluster codes process;

- Sample declaration form and process.

Section 251 requirements: Recording dissent

- Must be asked of all service users and logged in a consistent manner;

- As data controller, the Trust must be satisfied that appropriate consent mechanisms are in place;

- In addition, Trusts to display the dissent poster until start of fieldwork, allowing service users to opt out of the survey http://www.nhssurveys.org/surveys/886

- Service users who have indicated dissent must not be included in the sample

Section 251 requirements: Separate mailing and sample files (i)

- This is a non-negotiable requirement of the survey's Section 251 approval;

- Failure to comply will result in this being counted as a breach;

- CQC and CAG will be notified of any breaches: follow-up action taken as necessary.

Section 251 requirements: Separate mailing and sample files (ii)

- Mailing file contains:
  - Service user record number
  - Title
  - First name
  - Surname
  - Address fields
  - Full postcode

- Must not contain sample information or care cluster information

- Save as **MH16_mailingdata_XXX** where XXX is your 3 digit trust code

- Sample file contains:
  - Trust code
  - Service User Record Number
  - Year of birth
  - Gender
  - Ethnic category
  - Day, month and year of last contact
  - CPA status
  - CCG code

- Must not contain any service user identifiable information or care cluster;

- Save as **MH16_samplefile_XXX**

- Sent to contractors with AES-256 Encryption

Section 251 requirements: Care cluster codes

- Care cluster file contains:
  - Trust code
  - Service user record number
  - Care cluster code

- Must not contain any other information;

- Must not be submitted to contractors;

- Save as **MH16_CareCluster_XXX**

- Co-ordination Centre will request this directly from trusts after sample approval. Submitted via secure ftp – full instructions for submitting care cluster data to follow in ebulletin to trusts.

Section 251 requirements: Sample declaration form and process

- Replaced the Chief Executive Declaration last year, to include additional steps to help prevent Section 251 breaches;

- To be completed by the Trust, includes a checklist and signed declaration;

- Must be emailed to the survey contractor (or Co-ordination Centre if you are In-house) **before** the sample file is submitted;

- Discussed further in 'Sampling process and submission'…

Practicalities of administration

Practicalities of administration (i) (In-house trusts only)

- Questionnaire
  - 8 pages, 2 columns of questions, booklet style and centre-stapled;
  - Question and response option numbering, ordering and wording to be replicated exactly. Also blue boxes around important notes;
  - Only the CQC and NHS logos should appear.

- Covering letters
  - Wording exactly as per the template (text in yellow to be edited);
  - To be printed on trust headed paper.

> Hard copies of questionnaire and covering letters to be submitted to Co-ordination Centre by 26th February 2016
> **Do not include any service user name or address information**

- Envelopes
  - Must not have any indication of trust name.

- CQC flyer
  - A5 sheet, provided by CQC, to be included in first and third mailings.

Practicalities of administration (ii)

- Survey instruction manuals http://www.nhssurveys.org/surveys/891 and sampling handbooks http://www.nhssurveys.org/surveys/894

- <u>In-house trusts only:</u>

- Fieldwork
    - Weekly monitoring updates to Co-ordination Centre from 3rd March

- Free text comments
    - Must be included in full (only unreadable comments should be ****);
    - Submit along with the other response data by the deadline

Sampling process & submission

Sampling process and submission: sample declaration form (i)

- Must be completed by the NHS trust: signed by the person preparing the sample file, **a second person within the trust who checks it** AND by the Caldicott Guardian.

- Must be emailed to the survey contractor (or Co-ordination Centre if In-house) **before** the sample file is submitted;

- Survey contractor (or Co-ordination Centre) must approve the form and give permission for the sample file to be sent;

- Versions for trusts using a contractor and In-house trusts http://www.nhssurveys.org/surveys/893

Sampling process and submission: Sample declaration form (ii)

SECTION A: Service users at this Trust who have indicated dissent

(A) Total service user population before dissenters removed

(B) Total number of service users removed due to dissent

Population of service users aged 18+ at the time of preparing the sample (before other eligibility criteria applied)

Number of dissenters

SECTION B: Service users at this Trust who meet the eligibility criteria

(C) Total number of eligible service users at the Trust who used services between 1st September and 30th November 2015, and meet all other eligibility criteria*

(D) Number of service users on new CPA

(E) Number of service users not on new CPA

(F) Number of service users where CPA status not known

All service users who meet the inclusion and exclusion criteria, minus any dissenters

The sum of boxes D, E and F must equal the figure indicated at box C

SECTION C: sample of service users included in 2016 survey

(G) Number of service users in the sample*

(H) Number of service users in this sample on new CPA

(I) Number of service users in this sample not on new CPA

(J) Number of service users in this sample where CPA status not known

It is expected this will be 850 for all trusts

The sum of boxes H, I and J must equal the figure indicated at box G

Sampling process and submission: sample declaration form (iii)

- **New** - trusts will need to sign the declaration at Section D to indicate that the sample has been **checked** by someone within the trust;

- Please submit passwords **by phone**

Sampling process and submission: Potential errors or S251 breach

- **Major errors**
  - Not drawing a **random** sample;
  - Holding service user details across more than one system;
  - Sorting, filtering and copying data incorrectly;
  - Excluding eligible service users (eg those with dementia) or including ineligible users (eg those with telephone only contact)

- **Minor errors**
  - Including scheduled appointment dates, rather than actual attendances

- **Section 251 breaches**
  - Trusts uploading care cluster data to contractors' ftp site;
  - Trusts uploading mailing files to the Co-ordination Centre ftp site.

For a full review of the types of errors made in 2015, please download the 'Sampling & care cluster errors report':
http://www.nhssurveys.org/survey/1640

Sampling process & submission: Overview – Trusts using a contractor

Trust compiles random sample of **900** service users and submits to Demographic Batch Service.
Assign SURNs in the format **MH16XXXNNNN**
where XXX = your 3 digit trust code and NNNN is a unique number from 0001 to 0900.
Remove information relating to care cluster.

⬇

Trust removes any service users identified as deceased, then draws a random sample of **850** from the remaining records. Trust submits sample declaration form to contractor

⬇

Contractor checks sample declaration form

⬇

If sample declaration form is approved, trust submits **separate** sample and mailing files to contractor

⬇

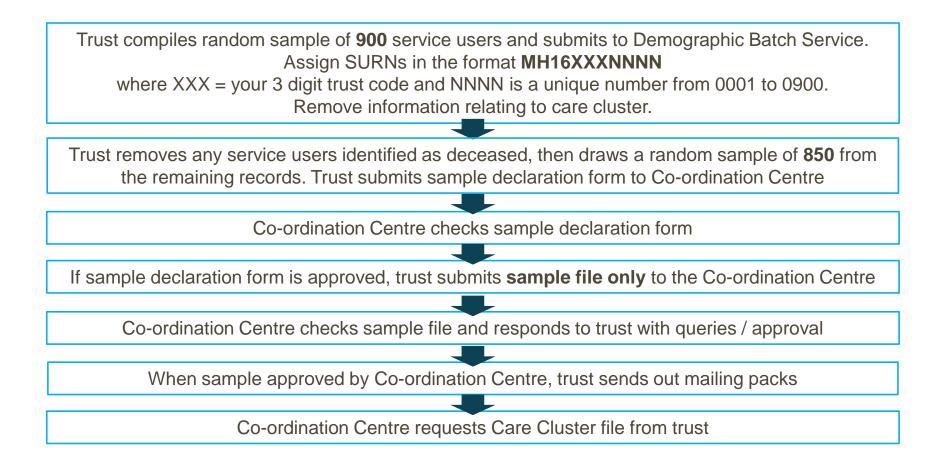Contractor checks sample file and responds to trust with queries / approval

⬇

Once approved, the declaration form and then the sample are then submitted by the contractor to the Co-ordination Centre for final approval

⬇

Co-ordination Centre checks sample and sends queries / approval to contractor

⬇

When approved by Co-ordination Centre, contractor sends out mailing packs for trust

⬇

Co-ordination Centre requests Care Cluster file directly from trust

Sampling process & submission: Overview – In-house trusts

Trust compiles random sample of **900** service users and submits to Demographic Batch Service.
Assign SURNs in the format **MH16XXXNNNN**
where XXX = your 3 digit trust code and NNNN is a unique number from 0001 to 0900.
Remove information relating to care cluster.

↓

Trust removes any service users identified as deceased, then draws a random sample of **850** from the remaining records. Trust submits sample declaration form to Co-ordination Centre

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Co-ordination Centre checks sample declaration form

↓

If sample declaration form is approved, trust submits **sample file only** to the Co-ordination Centre

↓

Co-ordination Centre checks sample file and responds to trust with queries / approval

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When sample approved by Co-ordination Centre, trust sends out mailing packs

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Co-ordination Centre requests Care Cluster file from trust

Timetable

Timetable

- Confirm who you have appointed as your contractor
  - **By 19th January 2016**

- Submission of samples to Co-ordination Centre
  - **18th January – 19th February* 2016**
    - *Revision from earlier stated end date of 12th Feb*

- Fieldwork
  - **22nd February – 24th June 2016**

- <u>In-house trusts only:</u>
- Hard copies of questionnaire & covering letters to Co-ordination Centre
  - **By 26th February 2016**

- Weekly monitoring
  - **From Thursday 3rd March 2016**

- Date submission deadline inc. free text comments
  - **Friday 1st July 2016**

Q&A

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