Community Mental Health Survey 2017: Trust Webinar

17th January 2017
Agenda

- Survey overview – what’s new for 2017?
- Section 251
- Practicalities of administration
- Sampling process and submission
- Timetable
- Questions and Answers
Survey overview – what’s new for 2017?
Survey overview – what’s new for 2017?: Questionnaire

- CQC’s contact number added to the cover page:

  Questions or help?
  If you have any questions, please call the survey helpline on <insert helpline number>.

  If you have concerns about the care you or others have received please contact the Care Quality Commission (CQC) on 03000 61 61 61.

- There are no changes to the questions or response options.
Survey overview – what’s new for 2017?: Exclusion criteria

- New this year, and in line with other surveys in the programme, you will need to exclude any service users who are part of the Multi-Agent Risk Assessment Conference (MARAC)
- Please use the information you have available to you to identify these and only exclude those specifically flagged as MARAC
Survey overview – what’s new for 2017?:
Sample declaration form

- New this year, the Sample Declaration Form will be in Excel format to enable electronic sign-off
- There are some changes / clarifications to the declaration form (more details later)
Survey overview – what’s new for 2017?: Submission of sample file

- Previous requirement for Trusts using a contractor to split the sample drawn into a ‘sample file’ and ‘mailing file’, to reduce the impact of any breach.

- Proposal submitted to the CAG in August 2016 led to a change in process (CAG reference: 16/CAG/0041)

- **Trusts using a contractor** do not split the file, contractors will do this at a later stage.

- **In-house trusts must** still split their sample and mailing data.
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: Topics to cover

- Recording dissent and removing service users;
- Submission of sample files;
- Care cluster codes process;
- Sample declaration form and process.
Section 251 requirements: Recording dissent

- Information about how to opt out must be available to all service users and logged in a consistent manner;

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

- Trusts are asked to display the dissent poster until start of fieldwork, allowing service users to opt out of the survey [http://www.nhssurveys.org/surveys/1025](http://www.nhssurveys.org/surveys/1025)

- Service users who have indicated dissent (ie. that they do not wish for their details to be used for any purpose other than for their clinical care) must be excluded from the sample
Section 251 requirements: Single mailing and sampling file (Trusts using a contractor)

- **Trusts using a contractor** must send a single file containing both mailing and sampling information to contractors
  - Submit in encrypted format via contractor’s secure FTP site with password protection – submit password by phone

- The Co-ordination Centre must not receive any mailing data
  - Contractors will separate the combined file into a mailing file and sample file sending only the sample file to the Co-ordination Centre for approval

- Care Cluster code will be in a separate file as before and sent directly from all trusts to the Co-ordination Centre via the Co-ordination Centre’s secure FTP site
  - Care Cluster code must not be sent to contractors.
Section 251 requirements: Separate mailing and sample files (In-house trusts)

- As in previous years, In-house trusts will create separate mailing and sample files and send only the sample file to the Co-ordination Centre.

- Care Cluster code will be in a separate file as before and sent directly from all trusts to the Co-ordination Centre.

- Both submitted via Co-ordination Centre’s secure FTP site – submit password by phone.
Section 251 requirements: Mailing and sample file information

- Mailing file contains:
  - Trust code
  - Service User Record Number
  - Title (Mr, Mrs, Ms, etc)
  - First name
  - Surname
  - Address fields
  - Full postcode

Save as **MH17_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

Save as **MH17_samplefile_XXX**

Reminder:

- **Trusts using a contractor** will send their contractor one file containing both mailing and sample data;
- **In-house trusts** will send the sample file only to the Co-ordination Centre
- Care cluster code must **not** be included
Section 251 requirements: Care cluster file

- 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 **MH17_CareCluster_XXX** (where XXX is your trust code)

- Co-ordination Centre will request this directly from all trusts (ie both those using a contractor and those choosing to carry out the survey in-house) after sample approval. Submitted via Co-ordination Centre’s secure ftp – full instructions for submitting care cluster data to follow in ebulletin to trusts.
Section 251 requirements: Sample declaration form and process

- Includes a checklist and signed declaration to be completed by the Trust

- **Trusted using a contractor** – this must be emailed to the survey contractor and approved **before** the combined mailing and sample file is submitted;

- **In-house trusts** – this must be emailed to the Co-ordination Centre and approved **before** the sample file only 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.
  - 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.

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Hard copies of questionnaire and covering letters to be submitted to Co-ordination Centre by 6\textsuperscript{th} March 2017

**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/1030](http://www.nhssurveys.org/surveys/1030)
- Sampling handbooks [http://www.nhssurveys.org/surveys/1033](http://www.nhssurveys.org/surveys/1033)

In-house trusts only:

- Fieldwork
  - Weekly monitoring updates to Co-ordination Centre from 2\textsuperscript{nd} March 2017

- 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 signed by the person preparing the sample file and by the Caldicott Guardian;

- Emailed to the survey contractor (Trusts using a contractor) / Co-ordination Centre (In-house trusts) before file is submitted;

- Survey contractor (or Co-ordination Centre) must approve the form and give permission before the file is sent;

- Now in Excel to enable forms to be signed off electronically: http://www.nhssurveys.org/surveys/1032

- Submit sample file passwords by phone.
Sampling process and submission: Sample declaration form (ii)

SECTION A: Number of service users aged 18+ at this Trust
(A) Total service user population aged 18+ before inclusion and exclusion criteria have been applied and before dissenters have been removed
(B) Total number of service users aged 18+ who have indicated dissent
(C) Total service user population minus those who have indicated dissent (enter the figure for A minus B)

Population of service users before inclusion and exclusion criteria has been applied.
Number of dissenters
Number of service users minus those who have dissented (A-B)

ENSURE YOU REMOVE ANY DISSENTERS BEFORE NOW APPLYING ALL THE INCLUSION AND EXCLUSION CRITERIA. ENTER THE FIGURES FOR SECTION B

SECTION B: Service users at this Trust who meet the eligibility criteria
(D) Total number of service users at the Trust who used services between 1st September and 30th November 2016, and meet all other eligibility criteria
(E) Number of service users on new CPA
(F) Number of service users not on new CPA
(G) Number of service users where CPA status not known

All service users who meet the inclusion and exclusion criteria (not including the dissenters)
The sum of boxes E, F and G must equal the figure in box D

The figure at D is everyone at your trust who is eligible and should be the sum of E, F and G.

SECTION C: Sample of service users included in the 2017 survey
(H) Number of service users in the sample
(I) Number of service users in this sample on new CPA
(J) Number of service users in this sample not on new CPA
(K) 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 I, J and K must equal the figure in box H

The figure at H will be 850 for the majority of trusts and should be the sum of I, J and K.
Sampling process and submission: Sample declaration form (iii)

- **Trusts using a contractor** - Section at the end for contractors to complete:
  - Any records that were replaced eg for service users that were identified as ineligible during the contractor’s sample checking are logged
  - Do not replace any users identified as deceased during this time – log as outcome code 7

- Declares that only the standard sample of 850 and required variable fields are being submitted
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 (e.g., those with dementia) or including ineligible users (e.g., those with telephone only contact)

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

- **Section 251 breaches**
  - Trusts sending care cluster data to contractors;
  - Trusts sending mailing data to the Co-ordination Centre.

For a full review of the types of errors made in 2016, please download the ‘Sampling & care cluster errors report’: [http://www.nhssurveys.org/survey/1742](http://www.nhssurveys.org/survey/1742)
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 **MH17XXXNNNN**
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 a **single** sample and mailing file to contractor.

Contractor checks the file and responds to trust with queries / approval.

Contractor creates **separate** sample and mailing files.

Once the declaration form is approved the sample file only is 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 MH17XXXNNNN 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.

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.

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

Co-ordination Centre requests Care Cluster file from trust.
Timetable
Timetable

- Confirm who you have appointed as your contractor
  - By 20th January 2017

- Submission of samples to Co-ordination Centre
  - 16th January – 10th February 2017

- Fieldwork
  - 20th February – 23rd June 2017

In-house trusts only:

- Hard copies of questionnaire & covering letters to Co-ordination Centre
  - By 6th March 2017

- Weekly monitoring
  - From Thursday 2nd March 2017

- Data submission deadline inc. free text comments
  - Friday 30th June 2017
Q&A