

Improving Access to Psychological Therapies (IAPT) Data Set

Frequently Asked Questions (FAQ's)

Pre-Deadline Processing

Version No: 1.4
Issue Date: 31/05/2013

Version History

Version	Date Issued	Brief Summary of Change	Owner's Name
1.1	24/02/2012	Initial user release	Nick Bridges
1.2	06/06/2012	Numerous additional items added	Nick Bridges
1.3	07/06/2012	<ul style="list-style-type: none">• Removal of duplicate item.• Addition of extra items describing use of Internet Explorer versions 6 or 7 and NHS number Modulus 11 check.	Nick Bridges
1.4	31/05/2013	<ul style="list-style-type: none">• Minor text changes, link updates and rebranding following review.	Aaron Leathley

Introduction

The purpose of this FAQ document is to help IAPT providers understand the data submission process associated with pre-deadline processing (which occurs following each data submission whilst the submission window remains open). Post-deadline processing occurs once the submission window is closed and issues associated with that stage will be dealt with in a separate document. At this time only pre-deadline processing is available, the release date for post deadline processing will be communicated in the future.

Please note this document includes some outstanding issues (which will be resolved at a later date). Sites need to be aware of these issues when using the Bureau Service Portal in order to deal with them appropriately.

For a detailed guide of the IAPT Data Set please view [IAPT User Guidance](#), which also provides instructions on how to prepare a submission and how to submit data using the Bureau Service Portal. This is currently in draft format, any comments you have on the document would be appreciated.

The latest version of the IAPT Intermediate Database can be downloaded from the Bureau Service Portal or obtained by contacting the Information Centre on:

Phone: 0845 300 6016

Email: enquiries@hscic.gov.uk

This document is a 'work in progress'. Items will be added / removed as the dataset develops and new issues are uncovered or issues are resolved. If you are aware of any additional items which should be included in the list of FAQ's please email them to iapt@hscic.gov.uk with 'FAQ item' in the subject line.

Submission Process

1) Data submission period

The current submission period is shown on the Bureau Service Portal (BSP) home page (<https://www.openexeter.nhs.uk/nhsia/index.jsp>). The full year submission timetable for the data set is shown on the Health and Social Care Information Centre (HSCIC) IAPT web page (<http://www.hscic.gov.uk/iapt>).

Both primary and refresh submissions can be made. Primary submissions are mandatory and refresh submissions are optional. Refreshes are recommended as they provide an opportunity to improve data quality and for late data to be submitted.

For further details on submission requirements and scenarios for constructing an IDB, please refer to the [IAPT User Guidance](#).

2) Intermediate data base construction and submission

When creating an IDB for submission the requirement is to include only a single unique Organisation Code (Code of Provider) per intermediate database (IDB). If a provider needs to submit on behalf of multiple providers, then the option (based on local decision) exists to either submit data for all of the providers under a single provider code (which code to use is a local decision), or obtain multiple portal logins, one per provider. These options are explained in more detail in Section 8.2 of the [IAPT User Guidance](#).

This section of the User Guidance also explains how to submit data to one or more commissioners. Providers can identify which commissioner they wish individual records to be assigned to within an IDB to flow to via the Organisation Code (Code of Commissioner) field in the Referral Table. Note that only one commissioner can be associated with a single referral in the IDB.

3) Internet Explorer problems

Internet Explorer version 6 or 7 should be used to connect to the BSP. More recent versions can cause issues with the upload process.

Bureau Service Portal

4) A file was processed on the Bureau Service Portal with the processing status as 'FAILED'.

When a file is processed and the status is 'FAILED', this indicates that something within the IDB did not align with the validation rules.

To understand what caused the IDB to fail, please click on 'View' under the column 'Summary Report'. Clicking on the tab 'Validation Failures' will show what caused the IDB to fail (see screenshot below).

The screenshot displays the IAPT Bureau Service Portal interface. At the top, there is a blue header with the text "Improving Access to Psychological Therapies (IAPT)" and the NHS logo with the tagline "Connecting for Health". Below the header, the user information is shown: "User: IAPT_02 (DORSET PCT) Logged in at 05/01/2012 14:49:58 as IAPT Provider". There are navigation links: "Open Exeter / BSP Home / IAPT Home / Back [Logout]".

The main content area shows a report title: "IAPT summary report for file N:\\Navins file\\Not So Happy Days IAPT IDB v1.1.0 28112011 - 10Records_Duplicate_LPTID.zip". Below the title is a navigation bar with tabs: "Summary", "Validation Failures", "Warnings", "Diagnostics", and "Aggregate counts". The "Validation Failures" tab is selected, and a message is displayed: "Patient had more than one record in the MPI table (duplicate PTID) 2 more...".

At the bottom of the report area, there are two buttons: "Download this report" and "Print this screen".

At the very bottom of the page, there is a footer with the text "IAPT_3" and "For assistance using this system, please email Exeter_helpdesk@nhs.net or telephone 01392 251289 © NHS Connecting For Health".

Once you have made any corrections, you can then re-submit the IDB for processing.

5) A file was processed on the Bureau Service Portal with the processing status as 'ERROR – referred to Support'.

When a file is processed and the status is 'ERROR – referred to Support', this indicates that an unknown error has occurred outside of the normal validation rules (see screenshot below):

y Days Version 2.mdb	Primary	000627	14/09/2011 10:19:43	IAPT_02	Error	Referred to support						
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When you receive this message, you should contact the Exeter Helpdesk:

Phone: 01392 251289

Email: Exeter.helpdesk@hscic.gov.uk

Please provide them with the details of the file including its BSP Unique ID available on the Upload screen (see screenshot below):

Existing uploads for current period

File name	File type	BSP Unique ID	Date & time uploaded	Upload by	Processing status	Output status	Summary report	Download extract	Downloaded on	Last download by	Last good file
y Days Version 2.mdb	Primary	000600	02/01/2012 10:03:33	IAPT_02	Failed	Failed	View				
sion 2-September.mdb	Not for Submission	000663	15/09/2011 08:55:14	IAPT_02	Processed	Complete with warnings	View	Download extract			
sion 2-September.mdb	Primary	000643	14/09/2011 11:49:12	IAPT_02	Processed	Complete with warnings	View	Download extract	15/09/2011	IAPT_02	Yes
sion 2-September.mdb	Primary	000641	14/09/2011 11:35:07	IAPT_02	Processed	Complete with warnings	View		14/09/2011	IAPT_02	
sion 2-September.mdb	Primary	000638	14/09/2011 11:20:35	IAPT_02	Failed	Failed	View				
sion 2-September.mdb	Primary	000635	14/09/2011 11:17:01	IAPT_02	Failed	Failed	View				
sion 2-September.mdb	Primary	000634	14/09/2011 11:15:18	IAPT_02	Failed	Failed	View				
y Days Version 2.mdb	Primary	000627	14/09/2011 10:19:43	IAPT_02	Error	Referred to support					
sion 2-September.mdb	Primary	000626	14/09/2011 10:10:09	IAPT_02	Processed	Complete with warnings	View				
sion 2-September.mdb	Primary	000623	14/09/2011 09:50:20	IAPT_02	Processed	Complete with warnings	View				
sion 2-September.mdb	Primary	000622	14/09/2011 09:44:24	IAPT_02	Processed	Complete with warnings	View		14/09/2011	IAPT_02	

Validations, Warnings and Diagnostics

6) Are Scottish GP Practices valid codes within the IAPT IDB?

Scottish GP Practices are currently out of scope for IAPT and where Scottish GP Practices are submitted these would provide a warning messaging stating 'Patient with invalid/null GMPC'.

7) Failure message for invalid/null Provider codes?

When an IAPT IDB is processed and the submission fails with the message 'Submission of an invalid/null ODS provider code' this indicates that the Provider code column was left blank or the Provider code was not a valid code.

Provider codes must be used as defined by the latest National ODS list:

<http://www.connectingforhealth.nhs.uk/systemsandservices/data/ods/d/atafiles>

Please note, some providers may be required to register additional organisations (if submitting on behalf of other provider organisations, see FAQ 2), which they can do by speaking directly with the ODS Team.

8) I have entered valid postcodes but I am getting a warning indicating there are invalid postcodes present?

All Postcodes must be formatted as specified in the NHS Data Dictionary. Providers must ensure that they conform to the eight character Postcode format, that is:

- The fifth character is always a space, and separates the outward and inward parts of the Postcode.
- The outward part of the Postcode is left-justified and can contain 2, 3 or 4 characters, and is space-filled in character positions 3 and 4 where required.
- The inward part of the Postcode is always 3 characters

The examples below illustrate the correct structure of a postcode:

	Postcode character							
	1	2	3	4	5	6	7	8
Example 1: AB1 2CD	A	B	1			2	C	D
Example 2: AB34 5EF	A	B	3	4		5	E	F

For further information in relation to formatting of Postcodes, please see the NHS Data Dictionary website:

http://www.datadictionary.nhs.uk/web_site_content/supporting_information/nhs_postcode_directory.asp?shownav=1)

9) If I submit a postcode pre-fixed with ZZ99 in my IAPT IDB, will this be treated as a valid code?

You are able to submit ZZ99 postcodes in your IAPT IDB. Once your IDB has been processed, postcodes that begin with ZZ99 will be treated as valid postcodes and these will be shown on the Diagnostic screen. You will receive a warning message regarding these postcodes as it is anticipated that the submission of 'ZZ99' postcodes will be treated as invalid at a later stage.

10) Are records which have been populated with invalid Ethnicity codes being validated or highlighted as warnings?

Not all the items within the IAPT Dataset are validated or produce a warning message following processing. Items that are not validated or warned against during portal processing will be identified within the VODIM (Valid, Other, Default, Invalid and Missing) data quality reports.

11) Why do I have a lot of warning being generated for invalid or missing NHS Numbers?

This may be because NHS numbers on your local systems require cleansing. Systems may have recently introduced functionality to prevent the entry of incorrect NHS numbers, but legacy data may exist which is incorrect and needs amending. Amongst the NHS number checks undertaken is Modulus 11 to verify that the number has the correct format and structure.

http://www.datadictionary.nhs.uk/data_dictionary/data_field_notes/n/nhs/nhs_number_de.asp?query=nhs_number&rank=100&shownav=1

12) The following warning is being generated for patients with no NHS number (NHSNO) and an NHS Number Indicator Status Code (NHSNOSTATUS) of 07 (number not present). Is this correct?

“Patients without a valid NHS number but have a NHS number indicator code”

The system generates this warning message where there is no NHS number and NHSNOSTATUS of 03, 04, 05, 06 or 07. This message can be ignored as ONLY those records with an NHSNOSTATUS of 01 (number present and verified) or 02 (number present but not traced) should have a valid NHS number provided; if an NHS number is not provided in these two cases then validation failure will occur.

Please consult the NHS Number tracing service for further details on validating NHS numbers and updating status indicator codes. System suppliers should be consulted on how required updates should be applied to data held within local systems.

<http://www.connectingforhealth.nhs.uk/systemsandservices/demographics>

13) On our system, when a referral is recorded but not accepted by the service, we are unable to populate an End Date (Date of End of IAPT Care Pathway). How should we populate this field to stop warning messages following data processing?

If your system is unable to capture an End Date when a referral is not accepted by the Service, then we advise that these records be populated with the date the referral was received (Date Referral Received).

14) I have unintentionally entered invalid codes in a number of fields but these have been reported as valid codes on the Diagnostic screen – Is this correct?

It has been identified that in some instances the BSP system is processing codes incorrectly. Any codes which are out of scope of the permissible list of values in the IAPT Data Set are incorrectly being reported as valid codes.

This issue will be fixed in a future release of the BSP.

15)The system is generating one of the following warnings when the EMPSUPPORTREFERRAL (employment support referral date) and EMPSUPPORTIND (employment support indicator) fields in the appointment table are both blank. Is this correct?

- **“Appointments with employment support referral date but no employment support indicator”**
- **“Appointments with employment suitability indicator but no employment support referral date”**

Although these warnings do match the scenario, we are aware the system is generating them to deal with both fields being blank. This is under review and may be changed in a future release.

16)The following warning is being generated when EMPSUPPORTIND (employment support indicator) is marked as N ("Not suitable"). Does this make sense given the patient would never receive an employment support referral date (EMPSUPPORTREFERRAL) when they are unsuitable for employment support?

“Appointments with employment suitability indicator but no employment support referral date”

The warning is unhelpful in this scenario. This is under review and may be changed in a future release.

17)Warnings are being generated when outcome scores (such as PHQ9 or GAD) are null for appointments which the patient was not present or the appointment did not take place (ATTENDANCE of 2, 3, 4, or 7). Is this correct?

This is a known issue and we will be looking to implement changes that will stop a warning being produced where there was no contact with the patient (and so no opportunity to collect an outcome score).

18)Why is a warning being generated for a missing primary diagnosis if a patient has not yet been assessed (i.e. they are on the care pathway and have not yet moved on from the referral stage)?

This is a known issue and we will be looking to implement changes that will stop this warning being produced in future.

19)Why is a warning generated for referrals where ENDDATE is null if the referral has an ENDCODE of 05 i.e. 'Not Suitable for Service'?

Please provide an ENDDATE as well as ENDCODE. ENDDATE may be the date on which the decision was made that the patient was not suitable for service.

20)I have data recorded in my local system as say 02, 03 or 04. I extract data from my system as csv files and import it into Excel to check data quality, then import into the intermediate database to submit via the BSP. In the intermediate database the data shows as 2, 3 or 4, with the preceding zero removed, which causes problems. Why is this occurring?

Following the export of data from local systems it should be imported directly into the intermediate database such as to retain field properties and values ('02' rather than '2' for example). Data quality can be checked within Access. The use of Excel as an intermediary will remove some field properties.

21)Diagnostic counts provided by the portal do not seem to match the data I have submitted. I appear to have a far better level of data completeness for instance than is reported. Why is this occurring?

Diagnostic counts only use data which passes the dataset inclusion rules. If you for instance include additional data items (such as additional appointments) which are outside of the inclusion rules (such as, in the case of appointments, before or after the current reporting period) then they are not used in the calculation of diagnostic counts. Inclusion rules are available from <http://www.hscic.gov.uk/iapt>

22) If no outcome score is recorded what should I submit?

Leave scores as null when no scores were taken or patient refuses to provide a score during an appointment. Submission of a 0 (zero) will be seen as representing a score of 0. A null score for a PHQ, GAD or W&SAS score will result in a warning message.

Pre-deadline extract

23) I have downloaded my pre-deadline extract from the Bureau Service Portal and have noticed that 'End_Processing_Date' in the Header CSV has not been populated – is this correct?

End_Processing_Date will only be populated following post-deadline processing (which occurs after the submission window has closed).

The provider extract describes the content of the data available for download.

<http://www.hscic.gov.uk/iapt>