NHS STAFF SURVEY 2020

GUIDANCE FOR PARTICIPATING ORGANISATIONS

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1 Introduction

The NHS Staff Survey provides an opportunity for organisations to survey their staff in a consistent and systematic way. This makes it possible to build up a picture of staff experience and, with care, to compare and monitor change over time and to identify variations between different staff groups. Obtaining feedback from staff and taking account of their views and priorities is vital for driving real service improvements in the NHS.

All NHS trusts in England (foundation trusts, acute and specialist hospital trusts, ambulance service trusts, mental health, community and learning disability trusts) are required to participate in this survey. Clinical Commissioning Groups, Commissioning Support Units, Social Enterprises and other NHS bodies may choose to undertake the NHS Staff Survey on a voluntary basis. This requirement to participate may be subject to change.

2020 has not been “business as usual” for the NHS workforce. The NHS has never before experienced a year like this one. However, it remains vital that we understand the unique impact on NHS staff experience during the COVID-19 pandemic.

As a result, the 2020 NHS Staff Survey will continue to follow the same methodology and timings as in previous years, with many of the same questions being asked, in the same way, in order to maintain comparability of the data. Some changes have been made however, including the addition of some specific questions about the Covid-19 pandemic, in order to demonstrate the impact that the pandemic has had on the NHS.

It is worth noting that the focus for the survey this year is very much on understanding the different experience of staff and learning from that experience, rather than on performance management or comparisons against other organisations, who may have had very different experiences of the Covid-19 pandemic.

This is the manual for **organisations**; it focuses on organisations’ responsibilities during the course of the survey, as well as responding to a few of the common questions about the survey and report.

The content of this manual is based on the assumption that your survey contractor will be doing much of the survey set-up work on behalf of your organisation. If this is not the case, and you are only using a contractor to meet the minimum requirements, you should consult the contractor guidance manual for more detailed information on the survey process.

2 Immediate preparation for the 2020 survey

There are a number of key tasks that should be started as soon as possible to ensure that you are ready to conduct the survey:

- At the start of the process, it is important to identify two people within the organisation who will take responsibility for the survey and for communication with the Coordination Centre and Survey Contractor. **If you have not already informed the Coordination Centre of the names and contact details of these individuals, please do so immediately.**
- Update the internal staff database (ESR - Electronic Staff Record system), ensuring the accuracy of all information in preparation for selecting the staff sample (see Section **12**).
- If an online or mixed mode survey is being administered, staff email addresses should be updated and validated on your ESR (see Section **7**).
- Find and appoint a contractor to run the survey on your behalf.
- Inform the Coordination Centre of which survey contractor you have appointed.
- Organisations wanting to run an online or mixed mode survey **must** send written confirmation to their contractor that they meet all eligibility criteria (see Section **7**).
- Organisations have the option of **two** internal breakdowns (directorate / location / site etc.) to be included within the Coordination Centre directorate reports (see Section **11**). Details of the internal breakdowns should be included in the staff database supplied to contractors.
- Decide which (if any) additional question modules will be used in the survey (see Section **9.3**). The questions which make up the additional modules can be seen on the Staff Survey website http://www.nhsstaffsurveys.com/Page/1058/Survey-Documents/Survey-Documents/.
- Decide whether to include the optional values question within the questionnaire and, if so, decide exact question wording (see Section **9.2**).
- Decide whether to include any other local questions (see Section **9.4**).

3 Key changes to the NHS Staff Survey for 2020

There have been some important amendments to the guidance for the 2020 survey. Below you will find a summary of the key changes and a link to a relevant section in which you can find further details concerning the change.

3.1 Switching survey modes

For organisations running a mixed mode survey, contractors may now offer the option for staff receiving a paper questionnaire to opt to complete online instead. A link to the online survey with a personalised login for each staff member would be added to the letter that accompanies the paper questionnaire so that staff can immediately access and complete the survey online if they would like to. If the staff member takes part in the survey through both methods, the first response will be used.

If an organisation would like to provide the option for staff members receiving an online survey to switch to paper completion, they should speak to their contractor to see if this can be arranged.

Please see section **7.2** for more information.

3.2 Incentives

The guidance about incentive schemes has been amended to encourage organisations to consider the implications of using such a scheme. The guidance highlights the potential for additional costs and suggests that a more inclusive approach could be to reward groups, rather than individuals, or to offer a thank you to all staff, instead.

Please see section **8.2** for more information.

3.3 Changes to the questionnaire

There are some changes to the questionnaire this year, compared to 2019. The section 'Your personal development' has been removed completely and a new section called 'The Covid-19 pandemic' has been added. Some questions have been removed from other sections, and new questions have been added.

Please see section **9.1** for more information.

3.4 Survey communications

In the survey communications, the survey will be titled 'The 2020 NHS Staff Survey – Working through the pandemic'. The pre-approach, invite and reminder letters and email templates include text about the Covid-19 pandemic and acknowledge that the NHS has never before experienced a year like this one. They explain why much of the survey remains similar to previous years to maintain comparability and enable comparisons to previous years and also refer to the changes which have been made in order to better understand staff experience through the Covid-19 pandemic.

Please see section **10** for more information.

3.5 Eligibility criteria

There has been one change to the eligibility criteria this year. In the past, student nurses have not been eligible to take part in the survey. However, many organisations have put final year students on a substantive contract to work for the organisation during the pandemic. Any student nurses who remain on the payroll at your organisation on 1 September will therefore be eligible for the survey this year.

Please see section **12.1** for the full eligibility criteria.

3.6 Occupation Code Data

Organisations will be required to provide occupation code data when submitting their eligible staff list this year. Each employee will have a 3-character code that is used to define and identify their occupation in the NHS workforce. This data will be used by the Survey Coordination Centre and NHS England and NHS Improvement to explore the feasibility of using occupation code data from the ESR in future iterations of the survey. It will not be used to check staff eligibility in 2020.

Please see section **12.3** for more information.

4 Summary of minimum survey requirements

All participating organisations must follow a standard methodology as described in these guidance notes, and must fulfil the following minimum requirements:

- **An external organisation must be appointed to act as a survey contractor**. As a minimum, this organisation should be responsible for receipt of completed questionnaires, data entry and editing, and delivery of this data to the Coordination Centre. The deadline for appointing a contractor is **7 August 2020**.
- **A self-completion questionnaire.** Online and paper questionnaires must contain the full set of core questions (see Section **9** for more details on the questionnaire).
- **As a minimum, all participating organisations are required to survey a random sample of staff** (see **Appendix 2** for more details on sampling).
- **Questionnaires** (each labelled with a unique staff ID number) must be distributed to selected staff with two reminders (if a paper survey) or six reminders (if online) being sent to non-responding staff (see Section **13** for more details on the questionnaire distribution process).
- **Minimum fieldwork period.** Organisations and contractors must ensure that their survey has a fieldwork period of at least eight weeks. All staff must therefore receive their questionnaire by 5 October 2020 at the latest.
- **The closing date for the survey is Friday, 27 November 2020.**

There are a number of ways in which the survey can be adapted for local needs.

Organisations may:

- Conduct a survey with a larger staff sample (**Appendix 2**).
- Select and add additional question modules (Section **9.3**).
- Include their own local questions on other topical issues (Section **9.4**)

Please note that it is the responsibility of each participating organisation to comply with their responsibilities under the GDPR. The legal basis for processing personal data for the NHS Staff Survey is “for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller” (Article 6(1)(e)). The legal basis for processing sensitive personal data (e.g. ethnicity) is ‘covered in article 9(2)(h) under ‘the management of health or social care systems’. A document is available on our website, **here,** which contains further details about complying with the GDPR whilst participating in the NHS Staff Survey.

5 Survey timetable

Due to the delay in publishing this guidance caused by Covid-19, we understand that some of these deadlines may be challenging. Please get in touch with your contractor if you have any concerns.

Please note, survey contractors may set earlier deadlines for organisations than those set out below. You should liaise with your contractor to determine any such requirements.

Date (2020)	Step of survey implementation	By whom?	Section in guidance
By 7 August	Appoint a survey contractor to administer the survey and notify the Coordination Centre.	Organisation	**4**
By 14 August	Contractors running the online survey must send a test link to the Coordination Centre.	Contractor	**N/A**
By 14 August	Choose at least **two** individuals within the organisation who will take responsibility for the survey and inform the Coordination Centre of their contact details**, even if they are the same as 2019**.	Organisation	**N/A**
By 14 August	Make sure your staff lists are comprehensive and up to date. If the online or mixed mode option is being used, you must ensure staff email addresses are valid and up to date.	Organisation	**7 and 12**
By 21 August	Decide on the precise content of the questionnaire and communicate this to your contractor (all organisations must include the core questions).	Organisation	**9**
By 21 August	Decide on what internal breakdowns (e.g. directorate, department or location) you will use, and make sure this information is included in the staff list.	Organisation	**11**
By 21 August	Agree with your contractor which survey mode (online, paper or mixed mode) is to be used.	Organisation and contractor	**7**
By 28 August	Inform the post room(s) of the forthcoming questionnaire distribution and reminders, ensuring that they are aware of the importance of the survey and the likely volume of post.	Organisation	**13**
1 September	Draw your staff list and provide required information to contractor.	Organisation	**12**
1 September	Survey contractors provide a list of participating organisations to the Coordination Centre, also confirming benchmarking group and survey mode.	Contractor	**N/A**
17 September	Contractors submit first weekly monitoring data sheet. These should then be submitted every Thursday for the remainder of fieldwork.	Contractor	**N/A**
By 18 September	Contractors should aim to submit all samples to the Coordination Centre by this date.	Contractor	**N/A**
By 30 September	**Pre-approach letter/email.** If you are using a pre-approach letter or email, send these to staff one to two weeks before the first mailing.	Contractor	**10**
	Paper surveys	Contractor	**10 and 13**

Date (2020)	Step of survey implementation	By whom?	Section in guidance
	The following dates are for the mandatory fieldwork period. **It is strongly recommended that fieldwork is started earlier.**		
By 5 October	Initial mailing (including questionnaire)		
2-3 weeks after initial mailing	First reminder		
2-3 weeks after first reminder	Second reminder (including questionnaire)		
	Online surveys The following dates are for the mandatory fieldwork period. **It is strongly recommended that fieldwork is started earlier.** Time between mailings must always adhere to that specified in the guidance.		
By 5 October	Initial mailing	Contractor	**10 and 13**
By 19 October	First online reminder		
By 26 October	Second online reminder		
By 2 November	Third online reminder		
By 9 November	Fourth online reminder		
By 16 November	Fifth online reminder		
By 23 November	Sixth (final) online reminder		
By 9 October	Contractors to submit the list of organisations they require historical data for to the Coordination Centre.	Contractor	**N/A**
By 23 October	Contractors to submit permissions for receiving historical data to the Coordination Centre.	Contractors	**N/A**
By 20 November	Deadline for submitting list of leavers/ineligible to contractor.	Organisation	**12.5**
27 November	**Close of fieldwork.**	Contractor	**N/A**
4 December	**Data submitted to Coordination Centre.**	Contractor	**N/A**

6 Mandatory minimum fieldwork period

To increase the quality of data provided to organisations, a minimum mandatory fieldwork period exists. Organisations receive a greater number of responses with increased fieldwork time, as this allows for more time to notify staff and allow them to respond.

In 2020, the survey closing date is 27 November 2020. Initial mailings **must** therefore be completed by **5 October 2020**, which allows for the mandated eight-week fieldwork period. While the Coordination Centre understands that sampling queries and technical issues can slow the process of sample approval and survey mailing, the initial mailing must allow for a **minimum of eight weeks of fieldwork.** You should work with your contractor to ensure you provide the staff lists early enough to meet this requirement, allowing time for the necessary sample checks by contractors and the Coordination Centre. Organisations running the paper survey must ensure that questionnaires are distributed to staff in time to adhere to the mandatory minimum fieldwork period.

Please note: the eight week period is mandatory as a minimum, **but, where possible, it is strongly recommended that you start your survey earlier in order to have a fieldwork period longer than eight weeks.**

There are two very important reasons to adhere to a minimum mandatory fieldwork period:

- **Representativeness.** It is crucial that all organisations have data that represents the actual demographic make-up of their staff. Shorter response periods are known to have a particular negative impact on response rates from certain groups, such as black and minority ethnic (BME) staff. Additionally, in relation to online surveys, staff members who do not ordinarily work at a computer as part of their day job may find it challenging to find time to complete the survey.
- **Comparability.** Due to seasonal variation and the length of time between the sample date and the survey date, any organisation that goes into field late will risk being rendered incomparable with other organisations that have adhered to the fieldwork dates. Delays can also cause higher rates of staff ineligibility, as more staff sampled on 1 September may have since left the organisation, impacting on the number of responses received as well as data quality, representativeness and usefulness.

7 Online or mixed mode eligibility criteria

Organisations participating in the NHS Staff Survey are able to conduct a paper survey, an online survey, or a mixed mode survey combining paper and online options. If your organisation has staff with active email addresses, your organisation can, but is not obliged to, run the survey online.

Please note: Any eligible staff member who does not meet the requirements for the online mode **must** be included in the sample for their organisation and **must** be sent a paper questionnaire and reminders to the timings specified in the survey timetable. All survey contractors are therefore required to be able to provide paper questionnaires and reminders, where necessary.

You are encouraged to target paper and online surveys to the staff groups you deem most appropriate for each mode.

Organisations making use of this flexible mixed mode approach will need to provide mode information (i.e. paper or online) to their contractor along with their staff list.

Organisations that wish to implement this approach are encouraged to engage with staff groups with lower response rates to find out which method is preferred, prior to drawing their staff list. Contractors may also be able to advise you on which staff groups typically respond better on paper.

For organisations running a mixed mode survey, contractors may offer the option for staff receiving a paper questionnaire to opt to complete online instead (see section **7.2**).

Staff who receive a paper survey will receive paper versions of the letters and reminders and those who receive an online survey will receive email versions.

All surveys must still conform to the minimum sample requirements (see **Appendix 2**); extended samples and census data will be accepted by the Coordination Centre provided that the organisation adopts and adheres to a consistent approach. The Coordination Centre reserves the right to reject additional data which follows a different methodology to the basic sample.

7.1 Criteria for organisations that want to run the survey online or mixed mode

Organisations **must** meet **all** the criteria below in order to be allowed to run the online or mixed mode option and have their data included in national reporting. Before undertaking an online or mixed mode survey, you must confirm with your contractor that all the criteria have been met.

The organisation **must**:

- Have accurate, up-to-date and active organisation email addresses (for example an nhs.net or organisation specific email address) for all staff groups to whom you intend to administer the online survey or online element of the mixed mode survey.
    - Eligible staff who are on temporary leave (e.g. staff on maternity or paternity leave, and suspended staff) from an organisation when the sample is drawn must have a personal email that can be used (i.e. they have provided permission for their employer to use this for purposes including the Staff Survey) if their organisation wants them to be sent an online survey.
      Work email addresses can only be used for staff on temporary leave where:
        - the staff member has agreed to Staff Survey materials being sent to their work email in advance of going on leave, **and**
        - in advance of going on leave the staff member is notified that the Staff Survey will be sent to their work email (including the time frames of when they should be expecting it).

- **Check the staff email addresses are up to date for 2020, even if you ran an online or mixed mode survey in 2019.**
- Be confident that **all** staff access these email addresses on a regular basis and therefore it is feasible to expect to get responses to the survey from these email addresses.
- Be able to extract email addresses from your Electronic Staff Record (ESR) system with ease. If you have to cross-reference records or enter email addresses manually then you should **not** run the online or mixed mode option.
- Be confident that you can extract your staff list, with accurate up-to-date email addresses, as of 1 September 2020.
- Allow staff time to complete the survey in work time on a work computer (for staff who wish to do this).
- Be able to implement a communications plan to ensure that staff are aware that they will be receiving a link to the survey by email.
- Commit to providing your contractor with updates to email addresses throughout fieldwork.
- Send written confirmation to your contractor, signed by the survey lead, that your organisation meets all of the above eligibility criteria for running an online survey.

Contractors are required to provide the Coordination Centre with data throughout the fieldwork period identifying the number of staff who have so far never received a survey email. The Coordination Centre will monitor this data to identify organisations that have a high level of undelivered surveys. Data quality can be substantially impacted by an organisation having a high proportion of staff who never receive a survey email. Therefore, if you do not act to resolve this issue by providing your contractor with updated email addresses you may be required to run a mixed-mode, or paper only, survey the following year.

The Coordination Centre will only accept data from organisations that issue the correct number of reminders to non-responding staff and follow all other requirements of the methodology set out in this guidance.

7.2 Switching survey modes

For organisations running a mixed mode survey, contractors may offer the option for staff receiving a paper questionnaire to opt to complete online instead. In the letter that accompanies the paper questionnaire, contractors can provide details of a link to the online survey, along with a personalised login for each staff member so that they can immediately access and complete the survey online.

If a staff member opting to do this takes part in the survey through both methods (i.e. paper and online), the first response will be used and their second response will be treated as a duplication.

Organisations who wish to provide the option for staff members receiving an online survey to switch to paper completion should speak to their contractor to see if this might be possible.

8 Improving response rates

Achieving a good response rate to the NHS Staff Survey is important for the quality and utility of the findings, as the higher the survey response rate, the more confident we can be that the survey findings are representative of NHS staff as a whole, and the more use can be made of the data at trust level. Non-responding staff may have different characteristics and views from staff who do respond, so the higher the proportion of staff who respond, the higher the probability that the survey findings are a true reflection of staff views as a whole.

However, please note that there will be no expectations on organisations to improve their response rates compared to previous years due to the impact of the pandemic. Whilst organisations should do what they can to support engagement with the staff survey, there should be no pressure on HR or OD teams to commit resource which may be better used elsewhere this year, merely to drive higher response rates.

Some information about increasing response rates is provided below, and further resources are available in the 'improving response rates' section of the NHS Staff Survey website at www.nhsstaffsurveys.com/Page/1058/Survey-Documents/Survey-Documents/.

8.1 Confidentiality concerns

One of the key barriers to achieving good response rates is concern among staff members about the confidentiality of the survey and the need for the bar code on the questionnaire. It is therefore recommended that all organisations include information about the following in their communications to staff, and that managers are encouraged to discuss this with staff using the template responses below:

> **Q: If I fill in the questionnaire, will my response be kept confidential?**
>
> **A:** Yes. You will post your completed questionnaire directly to the independent survey contractor appointed by <*insert name of your organisation*>. <*Insert name of your organisation*> does not have access to the questionnaires or to any personal data (including names and addresses). The report that is sent back to <*insert name of your organisation*> presents the survey findings in summary form, and does not reveal the identity of the staff surveyed.
>
> **Q: Why does the questionnaire need an identification number and bar code?**
>
> **A:** You have been given a unique identification (ID) number so that your name and work contact details are not on the questionnaire. Survey contractors use the ID numbers to ensure that reminder letters are only sent to staff who have not returned a questionnaire.
>
> As staff return their completed questionnaires directly to an external survey contractor, there is no way that anyone in a NHS trust/organisation will be able to link data with a particular ID number or individual. Organisations will only receive reports of the summary survey findings. If a questionnaire is returned with the ID number obscured or removed, data cannot be included in the survey findings as, without the ID number, it is not possible to assign data to the correct NHS trust/organisation.

For further information, see the FAQs at http://www.nhsstaffsurveys.com/ or contact the Coordination Centre on 01865 208 141.

8.2 Incentives

Incentive schemes can be used by organisations to encourage staff to complete the survey. The use of such schemes is at the discretion of the organisation, however you must **fully consider the possible risks** of any incentive scheme prior to implementation.

Most importantly, if you wish to use an incentive scheme linked to survey completion by specific members of staff (e.g. a prize draw that rewards a specific member of staff for completing the survey), you should be aware this could undermine the perceived confidentiality and anonymity of the survey, as it can be taken to suggest that the organisation has access to the survey data.

All organisations running incentive schemes, particularly those linked to individual survey completion, must take care that their communications to staff regarding the scheme do not undermine staff confidence and that their responses are confidential and anonymous.

Please note, prize draws **MUST** be handled by the contractor, and it is recommended that communications to staff note that this is the case. They can be resource intensive for contractors to administer, so may result in additional cost.

In some organisations, staff have particular concerns or suspicions about confidentiality in general and in such cases incentive schemes that link to individual survey completion can increase these concerns and lead to reduced response rates and less accurate responses. If this is considered likely, you should not run such an incentive scheme.

A more inclusive alternative to incentive schemes that identify specific respondents is to use a scheme that rewards groups, rather than individuals. For example, incentives could be given to departments, or a ‘thank you’ could be given to all staff, such as a free drink or snack, based on completing the staff survey.

8.3 Online surveys: email deliverability

One of the key factors in attaining a high response rate if running an online or mixed mode survey is ensuring that the survey emails are actually received by staff.

Email accuracy

It is **vital** that you ensure the accuracy of email addresses you provide to your contractor for use in the survey mailings, and make sure that only active email addresses are provided. This checking process should be started in good time before the survey commences and should be repeated each year, even if an online survey was run the previous year.

Following the initial survey mailing, there will be a two week gap before the first reminder is sent out. You must use this time to provide correct email addresses to your contractor for any staff members whose email addresses did not work in the initial mailing (i.e. a bounceback was received).

Please note, when survey email addresses are updated, it is strongly recommended that you also update this in your ESR (Electronic Staff Record) system. This can save a substantial amount of time in future surveys and also help with other organisation activity such as the Staff Friends and Family Test.

Mailbox space

Staff should be encouraged through internal communications to ensure they have sufficient space in their mailboxes to actually receive the email. This is likely to be particularly an issue for groups of staff who do not use their email accounts as part of their day to day work.

Firewalls and spam filters

To avoid survey mailings being stopped by firewalls and spam filters, **you should liaise with your IT department about these prior to the survey and make all possible efforts to ensure the survey emails are allowed through.** To help with this process, it is recommended that contractors confirm relevant details including the email subject lines and sender email address that will be used with all organisations prior to the start of the survey.

9 The questionnaire

Please note that the following points apply to paper, online and mixed mode surveys.

The questionnaire has **three** components, **one** of which is compulsory:

- A set of core (compulsory) questions, which must be asked in all organisations.
- Additional question modules (optional).
- Local questions (optional).

If further additional optional or local questions are added, the questionnaire must be limited to a maximum of 16 A4 sides, although it is recommended that no more than 12 A4 sides are used. A questionnaire that is longer than this will have an adverse effect on response rates. The same logic should be applied to online or mixed mode surveys; introducing too many questions may adversely affect the response rate.

All participating organisations **must** include the **full** set of core questions in their questionnaire, but also have the option of selecting the additional question modules. These can be put together using the Questionnaire Compilation Tool available on the NHS Staff Surveys website (www.nhsstaffsurveys.com). Typically, creating a questionnaire should be done by the contractor appointed by the organisation.

9.1 Core questions

The core questionnaire has changed, compared to 2019. The section 'Your personal development' has been removed completely and a new section called 'The Covid-19 pandemic' has been added. Some questions have been removed from certain sections and some new questions have been added. The core questionnaire is broken down into the following categories:

- **YOUR JOB**
  - Questions about the respondent's experiences of working at their organisation and in the NHS, including: team working, involvement in decision making, job satisfaction and how engaged staff are in their jobs.
- **YOUR MANAGERS**
  - Questions relating to immediate managers, senior managers, feedback from management, communication and support from management.
- **YOUR HEALTH, WELL-BEING AND SAFETY AT WORK**
  - Questions about the impact of job role on health, pressure to come to work when feeling ill, working hours, witnessing incidents and errors, raising concerns at work, physical violence, and harassment/discrimination.
- **YOUR ORGANISATION**
  - Questions relating to the organisation as a whole, including whether staff would recommend their organisation for treatment or as a place to work, safety at work and whether staff feel safe to speak up.
- **THE COVID-19 PANDEMIC**
  - Questions about staff experience during the Covid-19 pandemic, including working on Covid-19 specific wards or areas, redeployment, remote working, shielding and two qualitative questions about lessons learnt and what worked well during Covid-19.
- **BACKGROUND INFORMATION**
  - Questions about the respondent's age, gender, ethnic background, sexual orientation / identity, religious cultural beliefs, caring responsibility and

occupational group. This information is used to help understand whether different groups of people have different experiences of working in the NHS.

9.2 Optional values question

Organisations have the option of including an extra question on values which can be tailored to your organisation using the questionnaire compilation tool:

32. Are you aware of your organisation's statement of values?

- 1 ☐ Yes, definitely
- 2 ☐ Yes, to some extent
- 3 ☐ No

If YES, please answer parts b and c below; if NO, go to Question 33

	Never	Rarely	Sometimes	Often	Always
b. Do managers demonstrate the values at work?	☐ 1	☐ 2	☐ 3	☐ 4	☐ 5
c. Do other colleagues demonstrate the values at work?	☐ 1	☐ 2	☐ 3	☐ 4	☐ 5

You can substitute more effective wording in place of the “your organisation’s statement of values” part of the question (the text surrounded by the red box in the example above). Parts b and c of this question are not editable. **ONLY the text in the red box may be edited.** If you want to edit this question further, or add any other questions on values, this should be done by adding a local question, which will appear at the end of the questionnaire.

It is recommended that all organisations choosing to use this question do change the editable text, to ensure this is understood by staff, and to help make sure they are thinking about the correct set of organisation values, rather than professional or other values statements they may be aware of.

If your organisation’s values statement has a name, it is recommended you include this. For example, if an imaginary organisation called Town Hospital NHS Trust had a publicised list of values that staff are expected to adhere to called the RESPECT values, they could edit the text so question 32a asks: “Are you aware of Town Hospital NHS Trust’s ‘RESPECT’ values?”

Due to the variation in context and question wording between organisations, the findings from this question will not be benchmarked. You will need to agree with your contractor the exact wording of this question and where it is to be placed in the questionnaire.

9.3 Additional question modules

The Additional Question Modules can be added to the questionnaire. These cover:

- **LEADERSHIP AND CAREER DEVELOPMENT**

  This module focuses on a number of the principles found in the NHS Leadership Framework. This framework has been designed by the National Leadership Council to help NHS organisations develop the leadership skills of their healthcare staff, with the primary objective of improving patient care and outcomes. Questions relate to career progression, becoming a leader, and feeling part of the organisation’s vision for the future. The module was expanded in 2014 to include questions on “potential and development”.

- **HEALTH AND SAFETY**

  Promoting a healthy and safe work environment is an important domain in the NHS Outcomes Framework: ‘treating and caring for people in a safe environment and protecting them from avoidable harm’ (Domain 5). Questions relate to respondents’ working environment, safety culture, and the implementation of safety processes.

- **PATIENT EXPERIENCE**

  This module provides a different approach to looking at staff and patient experience. Instead of exploring links between survey data sets, this module takes questions from the NHS patient survey programme and adapts them for use with NHS staff. Questions look at whether respondents believe patients are treated with respect and dignity, have confidence in the staff treating them, and are included in decisions.

9.4 Local questions

You can create additional local questions to add to the end of your questionnaire. These should be discussed with your contractor.

For example, one area in which you may want to consider adding additional questions is health and wellbeing. There is a large drive across the NHS to improve the health and wellbeing of staff. Additional health and wellbeing questions may allow you to better understand the type of support required by your staff, the impact and the reach of your organisation's current initiatives and help to shape your thinking on what sort of initiatives and interventions to deliver in the future. They may also allow you to compare and contrast the impact and access across different staff groups, departments and demographics within your organisation.

The Coordination Centre has created some guidance on constructing questions on health and wellbeing, as well as a number of recommended questions. This guidance can be found at: http://www.nhsstaffsurveys.com/Page/1058/Survey-Documents/Survey-Documents/.

10 Covering letters / emails and reminders

10.1 Covering and reminder letters / emails

Staff who receive a paper survey should receive paper versions of the letters and reminders, while staff who receive an online survey should receive email versions of the letters and reminders.

There are four different types of letter designed for use in the paper survey:

- An optional pre-approach letter.
- A covering letter.
- A first reminder letter.
- A second reminder letter.

For the online survey, eight email templates have been created:

- An optional pre-approach email.
- An initial email.
- Six reminder emails.

Please note: paper letters should have a minimum font size of 11.

The text for these covering and reminder letters and emails has been prepared by the Coordination Centre and is downloadable from the survey documents page of the Staff Survey website http://www.nhsstaffsurveys.com/Page/1058/Survey-Documents/Survey-Documents/

It is worth noting that the wording of these letters has been amended this year. The letters will be titled 'The 2020 NHS Staff Survey – Working through the pandemic'.

It is important that these letters/emails remain as standardised as possible to maintain the comparability of data between different organisations. However, small amendments are allowed. Specific sections of the letters/emails can be edited and these are presented on the templates in blue text. It is possible to:

- Use personal salutations in covering letters/emails - i.e. addressing staff by name ('Dear Dr Smith'). Please note that the decision to use personal salutations should only be made if you are certain that your ESR records are complete and allow for the use of staff names without error.
- Add a short paragraph to explain how your organisation will use the results to understand the impact of the pandemic on staff experience and/or how it has used results from previous surveys. It is very important you publicise the action you will or have taken; otherwise staff cannot appreciate how the survey can improve working conditions. On the paper invite, this should not be so long as to push the first bullet point on confidentiality onto page two and thus we recommend using around three lines.
- Add information about incentives, if applicable.

You should communicate with your contractor about what you would like included in these sections of the letters/emails.

10.2 Email subject lines

Organisations and contractors are encouraged to carefully consider the subject lines used for emails which are sent to staff. It is important to make sure that these are easily understood by staff. Possible subject lines include: *NHS Staff Survey 2020*, or *[Organisation Name] Staff Survey*, or *NHS Staff Survey: Invitation*, or *NHS Staff Survey 2020 – working through the* *pandemic.* Similarly, it is important to consider the email address from which the survey gets sent to staff, as if this does not look relevant, some staff may not open the email.

Consideration should be given to the possible impact of subject lines and email addresses on the likelihood of emails getting stopped by spam filters and firewalls.

You may also wish to notify staff of the subject line and sender email address through internal communications, so that staff know what to look out for.

10.3 Chief Executive letters / emails

In previous years, some organisations opted to include an additional letter/email from their CEO or other high-level management. Such communications can be beneficial if they emphasise the importance of the Staff Survey to the organisation's management and discuss the impact the survey can have. If such a letter or email is to be used, the following guidance must be followed:

- If a chief executive letter is sent along with **paper survey mailings**, the envelope must be packed such that the official covering letter is seen first when the respondent opens the envelope.
- If a chief executive email is sent along with **online survey mailings**, this must be accessed via a link embedded in the official survey email. **It is not acceptable for the chief executive letter to be added to the bottom of the official email,** as this makes the email too long. **It is also not acceptable for the letter to be included as an attachment to the official survey emails,** as including attachments increases the file size of the email and risks reducing email deliverability.

11 Breakdown of results by directorate / department / site

The directorate report produced by the Coordination Centre can include up to two breakdowns by directorate, department, location or any other staff categorisation your organisation wishes to include. For simplicity, these categorisations are usually referred to by the Coordination Centre as ‘directorates’. The directorate reports provide theme scores for each directorate, comparing these to the organisation mean. For details on the breakdowns provided by the Coordination Centre as standard, please refer to Section **14**.

In order to have directorate breakdowns included in your organisation’s report, sufficient information needs to be included on the staff lists supplied to your contractor and the Coordination Centre.

Section **12** outlines how to prepare a staff list for the survey. If directorate breakdowns are used, **each staff member must be included in one, and only one, of the categories in each breakdown**. It is not permissible to leave this field blank for any staff members in the sample, if a staff member does not fit into any of the groups, then an ‘other’ category should be created.

The Coordination Centre does not report results from any group if there are 10 or fewer responses in that group. Therefore, it is important that enough staff are included in each directorate to ensure that there are a sufficient number of responses for results to be displayed. You should take into account your organisation’s response rate when making these decisions.

Directorates submitted to the Coordination Centre **must have a minimum of 11 staff**, but it is recommended that they contain more to ensure a minimum of 11 *responses* in each. This requirement only applies to the directorates that are sent to the Coordination Centre. However, please note that your contractor is not allowed to provide results or response rate information to your organisation on groups with fewer than 11 staff.

In general, **we recommend a limit of 12 categories to a breakdown** (e.g. 12 directorates, 12 locations). If there are substantially more than this, we suggest combining some of the smaller categories. This will ensure that less data is suppressed due to low numbers, and your organisation still receives useful staff group breakdowns.

The maximum number of categories permitted in each directorate breakdown is 24, but this number would only be suitable for very large organisations.

Care must be taken by the organisation and contractor to provide the Coordination Centre with only those directorate breakdowns the organisation wishes to be included in the directorate report, which will be publicly available.

As part of the data submission, organisations/contractors must provide the Coordination Centre with the name of the directorate in question. The length of these should be sufficiently short to fit into the report format as it is. Due to the format of the reports, **directorate category names should be 36 characters or fewer** (including spaces). Longer names may be cut off.

12 Preparation of staff lists

One of the first steps in conducting the Staff Survey is to compile a list of all staff that are eligible to participate. **Please note that preparation of this staff list is the responsibility of the organisation, not of the contractor.**

If an online or mixed mode survey is being administered a valid staff email address will be required for each member of staff. Preparation of the staff list needs to be carried out by a staff member who is familiar with both the structure of staff records and Microsoft Excel. We advise that organisations ensure that staff lists are comprehensive and up to date by **14 August 2020**.

12.1 Who should be on this list?

- All full time and part-time staff who are directly employed by the organisation on **1 September 2020** (even if the sample is drawn after this point);
- Staff on fixed term contracts;
- Student nurses (**new for this year**), as long as they are employed by the organisation on 1 September 2020;
- Staff on secondment to a different organisation, but only if they are still being paid by the participating organisation **and** have been out on secondment for less than one year;
- Hosted staff (staff seconded to the participating organisation from elsewhere, e.g. social care staff seconded from the local authority) who have a substantive contract with the organisation, but only if they are on the participating organisation's payroll, are currently being paid by the participating organisation;
- Any staff member meeting the above criteria who is on parental leave (maternity or paternity leave);
- Any staff member meeting the above criteria who is suspended.

12.2 Who should <u>not</u> be on this list?

- Staff who started working at the organisation **after** 1 September 2020;
- Staff who are on long-term sick leave (at least 90 days) on 1 September 2020;
- Staff on **unpaid** career breaks;
- All staff employed by sub-contracted organisations or outside contractors (this includes staff employed through wholly owned subsidiaries);
- Bank or locum staff (unless they also have substantive organisation contracts);
- Seconded staff who are **not** being paid by the participating organisation (e.g. social care staff who are on the payroll of the local authority and are not being paid by the participating organisation);
- Student nurses who are not employed by the organisation 1 September 2020
    - Please note: **other 'student' and trainee/training staff**, such as student health visitors and midwives **should be included**, as long as they are on the payroll **and** not classified as student nurses;
- Non-executive directors (e.g. typically "Chair", "Chairman" are in this category);
- Staff who work under a 'retention of employment' (RoE) model – these are staff who hold a contract with an organisation, but are paid and managed day to day by an independent contractor.

For detail on the reasons some of these staff groups are excluded from the survey, please see **Appendix 1**.

Please ensure that:

- No eligible staff members have been omitted from the list. This could potentially happen if, for example, staff records are kept separately for different departments or sites within the organisation. The Chief Executive should be included if they meet all other eligibility criteria.
- The list does not contain duplicate or redundant names and email addresses.
- All ineligible staff have been excluded from the list.

In previous years, a surprisingly large number of surveys have been sent to staff no longer working for or not known at the organisation and to those on long-term sick leave. These surveys can upset the staff who receive them and will cost the organisation both time and money. It is vital that you ensure that staff lists are accurate and up-to-date before sampling.

If human resources provision is shared between multiple organisations, then it is important that separate staff lists are created for **each organisation**, not one overall sample for the provision. The staff list for each organisation should be consistent with the instructions above. Clinical Commissioning Groups (CCGs) running a joint survey are permitted to submit a combined staff list.

Please note: **Commissioning Support Units (CSUs)** running the survey on behalf of Clinical Commissioning Groups (CCGs) must submit separate staff lists for each CCG rather than submitting one staff list as the CSU. Staff lists submitted as the CSU should only include eligible employees of the CSU itself.

12.3 Inclusion of Occupation Code Data

In addition to the information collected in previous years (Name, Staff Group, Address etc.), organisations will also be required to provide occupation code data from their ESR system this year. Occupation Codes are a set of codes used to define and identify the NHS workforce.

Each employee will have a 3-character NHS Occupation Code. Organisations should include the code for each employee in their staff list submission. Some examples include:

Occupation Code
A8A
S1B
H1*
…

This data will be used by the Survey Coordination Centre and NHS England and NHS Improvement to explore the feasibility of using occupation code data from the ESR in future iterations of the survey and will not be used to check staff eligibility.

For further information on the NHS Occupation Codes please visit **here**.

12.4 Format of the staff list spreadsheet

The staff list should be in Excel spreadsheet format, with one employee per row. The first row should be used for column headings (Name, Staff Group, Address etc.) and there should be no blank rows. **Each employee should appear only once on the spreadsheet** with the following information:

- Organisation ID (NHS trust/organisation code).
- Staff ID (generated from organisation records or assigned by contractor).
- Full name.
- Sufficient address details – this needs to be sufficiently detailed to enable a questionnaire to be sent to each individual via the internal mail. As in previous years, it is permissible to send questionnaires to home addresses of staff who do not have a permanent work address.
- Email address (online only) – for delivery of the online or mixed mode survey.
- Directorate, department or division (or whatever breakdown or breakdowns are required for the report). Up to two directorate breakdowns can be submitted to the Coordination Centre for use in national reporting (and contractors may permit more for use in local reporting). This information is not mandatory.
- Location (if the questionnaires are to be separated into batches for different post rooms).
- Ethnic background – as in previous years, this information is collected so responses from different ethnic groups can be monitored. As usual, the following coding should be used:

  White
  A British
  B Irish
  C Any other White background
  Mixed
  D White and Black Caribbean
  E White and Black African
  F White and Asian
  G Any other mixed background
  Asian or Asian British
  H Indian
  J Pakistani
  K Bangladeshi
  L Any other Asian background
  Black or Black British
  M Caribbean
  N African
  P Any other Black background
  Other Ethnic Groups
  R Chinese
  S Any other ethnic group
  Z Not stated

- Job title and staff group – information on job title and staff group will not be included in the standard Coordination Centre report but will be used for sample checking and will be valuable in monitoring response rates.
- Occupation Code (**new for this year**) – this will be a 3-character code and will be used to check the feasibility of using occupation code data from the ESR in future iterations of the survey and will not be used to check staff eligibility. See section **12.3** for more detail.
- Maternity – please identify women on maternity leave in the staff list. Please note: this data will be used by the contractor to ensure women on maternity leave have been included.

→ Once the staff list has been compiled in Excel, it will need to be passed to the survey contractor or the person in the organisation responsible for creating the staff sample or census file, who will then create the file in accordance with the instructions in **Appendix 2**.

12.5 Submitting data on leavers and ineligible staff

Once your mailings have begun you **must** submit a list of leavers and ineligible staff to your contractor. This list can be submitted at any point during fieldwork but the deadline for submission is **20 November 2020.** The list must include the following:

- Staff who were included in the sample in error as they did not meet the eligibility criteria on 1 September.
- Staff who left the organisation on or after 1 September but on or before first mailing was distributed.
- Staff who moved on to long term sick leave (90 days), died, or went on an unpaid career break after 1 September but before the first mailing.

This list should include the staff ID number, the reason the staff member is on the list (e.g. left the organisation), and the date this reason took effect (e.g. date they left the organisation).

Submitting data on staff who have left the organisation, moved on to long term sick leave (90 days), died, or went on an unpaid career break **after** fieldwork began is recommended, but not mandatory.

13 Distribution of questionnaires and reminders

Organisations running a mixed mode survey should distribute the first paper and online mailing as close to each other as possible, and both modes must be distributed to staff by the first day of the mandatory fieldwork period.

Paper

Survey documents should be distributed to employees with permanent work addresses using the internal post (or other internal distribution mechanisms). Where staff members do not have permanent work addresses, or where there is no primary address (e.g. staff that work across multiple sites), survey documents may be distributed to home addresses. When sending staff survey documents to home addresses, only the name and home address of staff should be displayed. It is the participating organisation's responsibility to ensure that no reference to employees' job title or work location is included in such address fields, i.e. to ensure that such information is not displayed on envelopes posted to home addresses.

Surveys must be distributed to staff by the first day of mandatory fieldwork period.

It is recognised that many organisations are based in multiple locations, each with its own post room, and in these cases it is preferable that survey packs be arranged into separate batches for the separate locations. It is the responsibility of organisations to ensure their contractor has sufficient information (provided with the staff list) to enable them to do this.

Post room(s) play a crucial part in the internal distribution of paper questionnaires and reminders. It is important therefore that you inform your post room(s) that their workload will increase over the survey period. In particular, the post room(s) should be warned in advance of the dates they will receive each survey mailing.

In previous years, the organisations with the best response rates had survey leads within the organisations who took ownership of the distribution process themselves, and kept in close contact with the post room staff, to ensure that distribution went smoothly and according to timetable.

Online

Survey emails should be sent to staff members' organisational email addresses where possible, but it is acceptable for non-work email addresses to be used if necessary, for example for staff on parental leave, provided that staff have given permission for their non-work email to be used.

14 Reports of the survey findings

The Coordination Centre will provide a benchmark report and an optional directorate report (see Section **11**) on the survey results for each organisation. Organisation results will be benchmarked against data collected from other organisations of a similar type. Please note: these reports only use responses from the core questionnaire - local questions and questions from the optional modules **will not** be included in this report.

The results contained within the benchmark reports will also be available online via our interactive reporting tool (www.nhsstaffsurveyresults.com). This reporting tool will also present national level results.

The Coordination Centre will work with NHS England and NHS Improvement and Contractors and organisations to develop appropriate organisation level reporting for the new qualitative questions in the survey. Further information and guidance on this will be issued as soon as possible.

Certain organisation level (local) results are published exclusively through online dashboards, these include:

- Staff survey data required for Workforce Equality Standards (WDES & WRES)
- Local result breakdowns by:
    - Age
    - Disability
    - Ethnic background (detailed)
    - Ethnic background (summary)
    - Gender
    - Occupational group (detailed)
    - Occupational group (summary)
    - Parental / caring responsibilities
    - Part time / Full time
    - Patient facing role
    - Religion
    - Sexuality

For more detail on the presentation and format of these dashboards, please refer to our online results page: http://www.nhsstaffsurveyresults.com/

Some organisations may want to commission additional analysis of their own data (which could include directorate breakdowns), before the Coordination Centre benchmark reports are published. This must be negotiated separately with your survey contractor.

Organisations can use data supplied by their contractor to start developing action plans or for internal purposes. However, the benchmark reports produced by the Coordination Centre are benchmarked against other organisations of a similar type – accordingly, in order to make fair comparison in the benchmark reports, the data from each organisation will be weighted. This means that it is possible that results given in the benchmark reports produced by the Coordination Centre could differ slightly from those given in any earlier reports produced by survey contractors. Hence, we ask that organisations do not release Staff Survey findings externally (e.g. to local media) until the results are published on the NHS Staff Survey website.

14.1 Embargo on results

Any results received by a participating organisation prior to the publication date specified by the Coordination Centre **must not** be shared externally. Results may not be shared with any person or organisation external to the participating organisation prior to the publication date.

Please note that this embargo covers results provided both by contractors and the Coordination Centre. Results provided by the Coordination Centre should not be shared with contractors prior to the publication date.

Failure to adhere to this embargo may mean that results cannot be shared with organisations prior to the publication date in future years.

Participating organisations can however share their results internally for management information, use them to create action plans, or for other internal purposes. The key is that the data is not passed outside the organisation, therefore any internal circulation is advised to be limited (e.g. sharing results received before the publication date with all staff members is not recommended).

Appendix 1 Eligibility criteria: why are certain groups excluded?

The staff list is designed to include all members of staff who are consistently and regularly employed by the organisation they will be responding about. Although some of these issues are not exactly the same in trusts conducting a census rather than a random sample, it is very important that staff eligibility criteria are identical across all organisations taking part, as this is necessary to enable comparisons to be made between results of the different organisations.

Staff on long term sick leave are not included due to ethical concerns (to avoid disturbing and causing distress to these staff members). Although not all staff on long term sick leave will necessarily feel this way, a standardised approach is needed to ensure comparability between organisations.

Bank staff are not included for a number of reasons. Many NHS organisations use bank staff employed by external agencies, who would therefore not be classified as employees of the participating organisation and would not be included in the survey. This means that if bank staff were included in the survey for those NHS organisations who employ them directly, their survey population would not be comparable to those where bank staff are not included.

Additionally, many bank staff work for more than one organisation at the same time and/or hold multiple positions in different departments at a single organisation. This is problematic because the questionnaire is very specific in sections (for instance, referring to "your immediate manager" for a series of questions), and answers must be attributable to one organisation to be of use for improvement. Moreover, many of the questions in the questionnaire do not apply to bank staff, while there are a number of aspects key to bank staff experience that are not covered by the current questionnaire.

Staff employed through wholly owned subsidiaries (WOS) are excluded as they are not directly employed by the participating organisation, and therefore do not meet the eligibility criteria. Staff employed through WOS can still be included in a local sample but not in the sample for the national survey. If your organisation would like to include WOS staff in your local survey, please discuss with your contractor if they are able to do so.

Staff who started at the organisation after 1 September 2020 are not included for several reasons. The methodology of the NHS Staff Survey is based on a fixed point sampling strategy, where all eligible staff working in a participating organisation on 1 September have a chance of being included in the survey. This includes staff that started at the organisation on 1 September, as well as those who are soon to leave after this date. This means the survey represents the population of the NHS workforce on that date.

If staff who joined the organisation after 1 September were included, this would no longer be the case, and new-starters would be proportionally over-represented in the results.

Adding staff who joined the organisation after 1 September would also not work where organisations select a random sample of their staff if running only the basic sample. Selecting a random sample relies on having the full list of eligible staff to select from, in which staff who have not yet started cannot be included, as many of them will not be known about at that stage. Whilst the random sample problem does not exist for organisations running a census, it is vital that the eligibility criteria at all organisations is the same: if this differed between organisations running a census and a sample, then their data would not be comparable.

Finally, including staff who started after 1 September would cause serious logistical problems for the contractors, and would also mean that the checks carried out prior to fieldwork would need to be repeated by contractors and the Coordination Centre multiple times (and with approximately 300 organisations included in the survey, this is not feasible).

Appendix 2 Creating the staff sample or census file

Please note: extended samples and census data can be included in benchmark reports provided the same fieldwork methodology is used as the basic sample.

Basic and extended samples

It is important that random sampling is used to select the basic sample. Random sampling provides a statistically valid way to gather data from a manageable portion of the population. It allows us to take results obtained in the sample and use them as a reliable estimate of what is true for the relevant population. Organisations wanting to survey an extended sample (that is the basic sample plus extra staff) must select the extra staff using random sampling.

The random sample of employees must be selected in accordance with the following detailed instructions. The minimum sample size is referred to as the basic sample throughout these instructions.

Note: it is strongly recommended that contractors draw samples for organisations. In this case you should provide a full list of eligible staff to your contractor who will then draw the sample. Contractors may need to amend the data sharing agreement they have with organisations who just wish to use a sample to ensure that they are allowed to receive their full list of eligible staff. Organisations are allowed access to their sample (even if drawn for them by a contractor) to allow them to run checks for leavers and other staff who should have their mailing stopped (as described in Section **12.5**).

A. The size of the basic sample

The size of **the basic sample is 1,250 for all organisations**. Organisations with fewer than 1,250 eligible staff must conduct a census (include all eligible staff).

The minimum sample size has been designed to ensure that the survey findings will give a statistically representative picture of the views of all staff in the organisation.

B. Instructions for preparing the sample / census file.

The following steps give detailed instructions of how to prepare the staff sample/census file, and, if necessary, draw a random sample using Excel.

Please note that organisations with fewer than 1,250 eligible employees should conduct a census: all staff members should be included in the survey. Consequently there is no need for such organisations to draw a random sample. Organisations with fewer than 1,250 eligible employees should therefore skip steps d-h inclusive below, larger organisations opting to conduct a census can also skip steps d-h.

a) Row 1 to be used for column headings

The first row should be for column headings, such as “Name”, “Address”, “Site”, “Occupation code” etc.

b) One employee per row

Each subsequent row (beginning with row 2) should contain the details of one employee. Any blank rows, or rows containing other information (e.g. sub-headings) should be deleted.

c) Remove any irrelevant data

Delete any columns containing data irrelevant to the survey which will not be used later in the process (e.g. pay scale). However, please keep any information about job title or staff group, as this will be very useful in analysing the survey findings, and will also enable organisations to detect any problems with the response rates of particular staff groups during the survey period. Information on directorate / department / division / location (as discussed in Section **11** should be retained throughout).

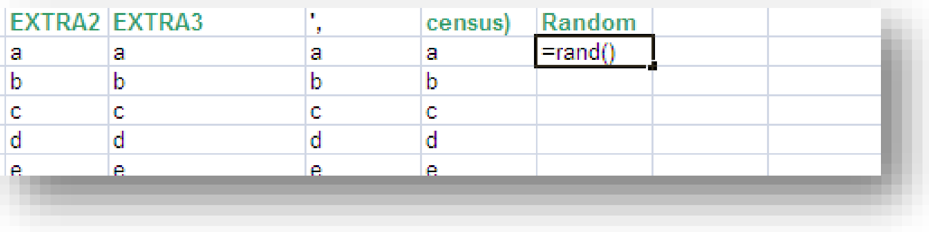
→ If you are conducting a census (i.e. sending a questionnaire to all eligible staff, including if you have fewer than 1,250 eligible staff in total) you should now skip to step i. If you are selecting a random sample (either basic or extended), please continue on to step d.

d) Insert a random number generator column

Go to the first blank column. Give it the heading "Random" by inserting this in the first row. This column will be the random number generator, necessary to do the sampling.

e) Generate first random number

In the second cell of the "Random" column (i.e. the row containing the details of the first employee) enter the text "= rand()" (without the quotation marks). Press 'Enter' and this should generate a random number between 0 and 1.



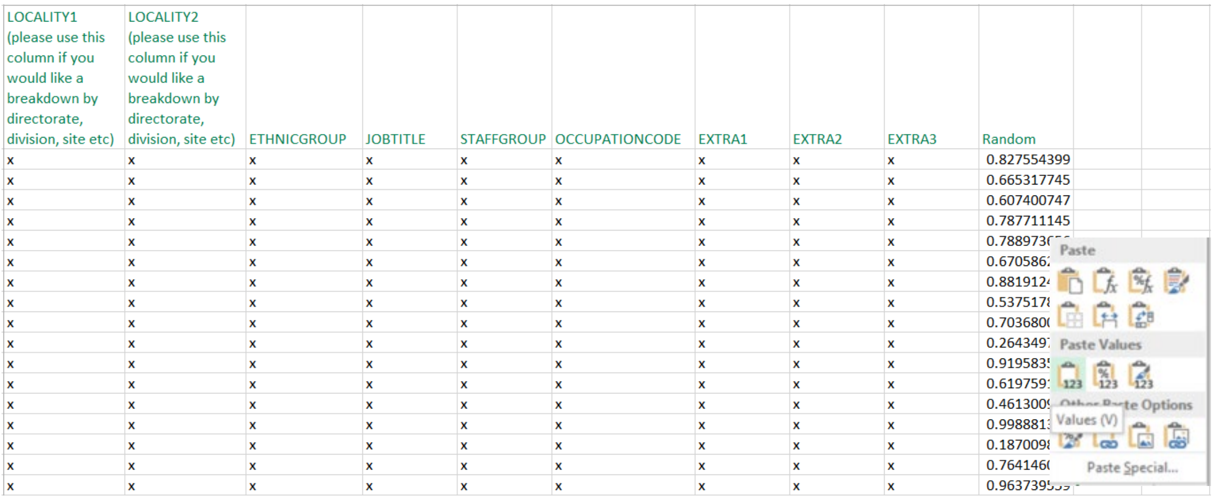
EXTRA2	EXTRA3	',	census)	Random		
a	a	a	a	=rand()		
b	b	b	b			
c	c	c	c			
d	d	d	d			
e	e	e	e			

f) Repeat this random number generation for all cells in that column

The simplest way to do this is to click on the first random number cell, then click on the small black square at the bottom-right corner of the cell. Then drag this down to the last row containing employee details. When the mouse is released, a random number between 0 and 1 is generated for each cell. Press F9 to ensure that a set of random numbers is properly calculated.

g) Finalise the list of random numbers

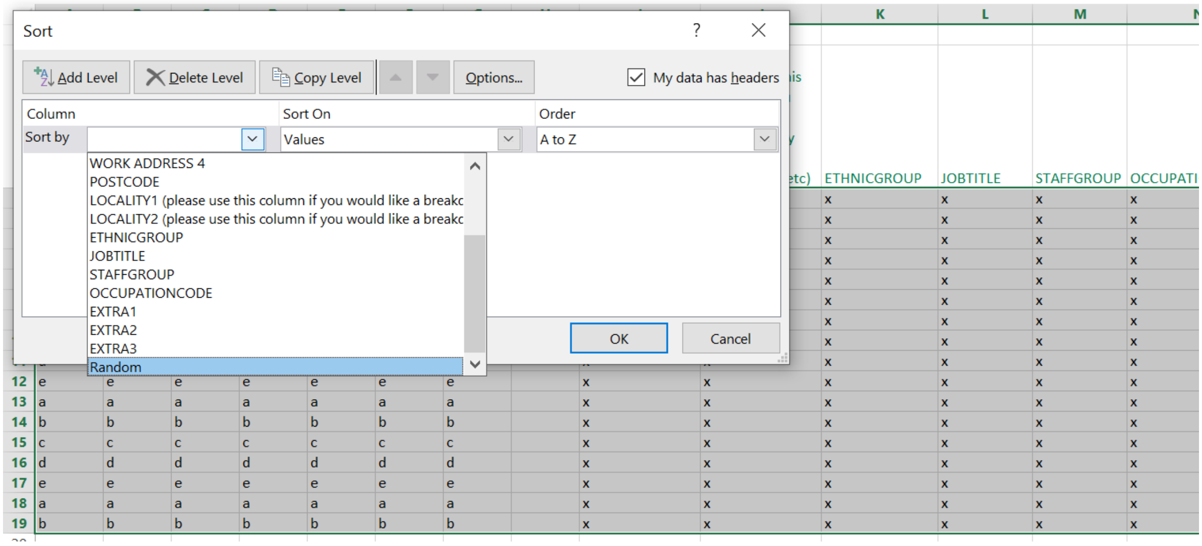
Select the column of random numbers and copy them (either by pressing Ctrl + C or by using the 'copy' button in Excel). This column will then need to be pasted as values into a new column to remove the 'random' formula. Use the 'paste special' command and select 'values' to do this: the original column of random numbers can then be deleted. Doing this will ensure that the random numbers do not change when you sort the data, which will be necessary if you later need to check that the sample was drawn correctly.



LOCALITY1 (please use this column if you would like a breakdown by directorate, division, site etc)	LOCALITY2 (please use this column if you would like a breakdown by directorate, division, site etc)	ETHNICGROUP	JOBTITLE	STAFFGROUP	OCCUPATIONCODE	EXTRA1	EXTRA2	EXTRA3	Random
x	x	x	x	x	x	x	x	x	0.827554399
x	x	x	x	x	x	x	x	x	0.665317745
x	x	x	x	x	x	x	x	x	0.607400747
x	x	x	x	x	x	x	x	x	0.787711145
x	x	x	x	x	x	x	x	x	0.788973
x	x	x	x	x	x	x	x	x	0.670586
x	x	x	x	x	x	x	x	x	0.881912
x	x	x	x	x	x	x	x	x	0.537517
x	x	x	x	x	x	x	x	x	0.703680
x	x	x	x	x	x	x	x	x	0.264349
x	x	x	x	x	x	x	x	x	0.919583
x	x	x	x	x	x	x	x	x	0.619759
x	x	x	x	x	x	x	x	x	0.461300
x	x	x	x	x	x	x	x	x	0.998881
x	x	x	x	x	x	x	x	x	0.187009
x	x	x	x	x	x	x	x	x	0.764146
x	x	x	x	x	x	x	x	x	0.963739

h) Sort the data from lowest to highest random number

Return to the top of the list. Highlight all columns by clicking and dragging across the column headers (either letters – A, B, C etc. – or numbers – 1, 2, 3 etc.). Then click on "Data" > "Sort". Ensure "Header row" is selected. Then use the first drop down menu under "Sort by" to choose the row entitled "Random". Click OK.



i) Select the staff to participate in the survey

The data should now be sorted into a random order. The next stage is to select your staff sample. If there are to be *x* employees in the survey, select the first *x* + 1 rows (including the column heading row), by dragging over rows 1 to *x* + 1.

- If you are using the **basic sample**, *x* will be 1,250, so you will need to select rows 1 to 1251 inclusive.
- If you are using an **extended sample**, *x* will be the total number of people you wish to include in your survey, which will be more than 1,250.
- If you are conducting a **census**, you should select all rows.

Copy and paste the information selected into a new worksheet.

j) Allocate a unique identification number to each selected employee

In the new worksheet containing only the selected employees, you now need to add ID numbers to the data. Choose the first blank column in the new worksheet. Give it the title "ID Number". In the first cell of this column (beneath the column heading cell), enter the value "1". Make a note of the location of this cell: for instance, if it is column G, row, 2, the location is G2.

k) Allocate consecutive ID numbers to each selected employee

In the cell below this, enter the text "= G2 + 1" (without the quotation marks), substituting for G2 if appropriate. This should generate the value "2" when you press enter. Click back on this cell, and click on the small black square at the bottom-right corner of the cell. Then drag this down to the last row containing employee details. When released, a sequence of ID numbers from 1 to *x* should be generated.

l) Fix the ID number values by replicating them in the next column

This stage is very important to ensure that each selected employee is permanently linked to a unique ID number.

Highlight (select) all the ID numbers, along with the column heading. Click on "Edit" > "Copy". Then click on the first cell to the right of this column (in the first row), and click "Edit" > "Paste Special". Click on "Values" and "OK". This will replicate the ID numbers. Delete the original column of ID numbers; these are liable to change if the file is re-sorted.

SUM | f_x =C3+1

	A	B	C	D	E	F	G	H	I	J	K
1	Staff survey 2011. Headings in black are required, headings in green are optional.										
2	Trust Name	Trust ID	STAFF ID (Please use a staff ID or assign a unique record number)	POST ROOM (Help your post room by batching surveys in a logical order depending on where staff work eg finance, HR, ward 6 etc)	TITLE	FIRSTNAME	LASTNAME	WORK ADDRESS 1	WORK ADDRESS 2	WORK ADDRESS 3	WORK ADDRESS 4
3			1								
4			=C3+1								
5			3								
6			4								
7			5								
8			6								
9			7								
10			8								
11			9								
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m) Sample file quality checks

Before submission to your contractor for sample checks, please double-check that the sample has been selected and identified correctly. Please conduct the following checks on the sample:

- Each member of the sample has an allocated ID number.
- No ID numbers are duplicated.
- The sample adheres to all eligibility criteria, and **does not** include any staff on long-term sick leave, student nurses, bank staff and staff working for external contractors, non-payroll staff or non-executive directors.
- The sample is in a random order (i.e. it is not structured so that all occupational groups are together, or is in alphabetical order).
- The proportion of staff in different staff groups or departments (where this information is available) appears appropriate for the organisation – for example, if 50% of an organisation's employees are nurses, then approximately 50% of the sample should be nurses as well.
- If the survey is being run online or mixed mode there should be a valid email address for each member of staff that is accessed on a regular basis. Email addresses should also be screened for duplicates.

If for any reason you wish to conduct a census or extended sample but only want to submit the basic sample to the Coordination Centre for including in the national survey, the first 1,250 records must be separated into a separate file for submission. Please note that the Coordination Centre will only be able to accept data matching the approved sample file. If you want to include a census in the national reporting, the Coordination Centre must see the census file at sample checking. Similarly, if you only want a basic sample submitted to the Coordination Centre, this must be what is submitted at sample checking stage.

→ If someone within the organisation has created the staff sample or census file, as outlined above, please now provide the file to your survey contractor, so that they can run the appropriate checks and submit it to the Coordination Centre.