**Inpatient survey 2016 sampling declaration: trusts using a contractor**

This declaration is to be signed by your trust’s Caldicott Guardian and the member of staff responsible for drawing the sample of patients as set out in the ‘Inpatient Survey Instruction Manual’. **This checklist will be used for audit purposes to ensure that the sample conforms to the instructions and if all steps are completed will greatly help avoid any breaches of confidentiality occurring.**

This declaration is also available to complete online. Trusts wishing to complete the declaration online will need to provide the Co-ordination Centre with the names and email addresses for the person drawing their sample and the trust’s Caldicott Guardian. Unique links will be sent to these named individuals by email.

The national survey has received ‘section 251 approval’ from the Health Research Authority to enable data to be transferred to survey contractors for the purposes of this survey only. In order to be operating under that approval, you must follow the steps outlined below, otherwise the ’approval’ will not apply. For more information on the approval requirements and confidentiality, please refer to the survey instruction manual (<http://www.nhssurveys.org/surveys/935>).

**For staff drawing the sample:**

Please complete this form once you have drawn your sample of patients. You must send this form to your approved contractor **before** you send your anonymised sample file and separate mailing file. Your approved contractor will check the form and confirm that you can submit your samples to them. Following checking of your sample file, your contractor will complete the final two questions on the form (titled “section for approved contractors”), and will send both the form and sample file to the Co-ordination Centre on your behalf.

Please confirm that the following tasks have been completed on behalf of your NHS trust by **initialling and ticking the boxes** and **signing the declaration**:

|  |  |
| --- | --- |
| A sample of up to 1250 inpatients who attended in July 2016 has been drawn according to the instructions in this sampling instruction manual. | Initials |
| Have you **excluded** the following groups?  Patients who did not stay overnight  Deceased patients  Patients known to be current inpatients  Patients under the age of 16 at the time of sampling  Obstetrics/Maternity service users  Patients admitted for planned termination of pregnancy  Psychiatry patients  Private patients or NHS patients treated at private hospitals  Patients without a UK postal address  Any patient known to have requested their details are not used for any purpose other than their clinical care, including requests made following sight of survey pre-publicity | Confirmed |
| Have you **included** the following groups?  All eligible patients who had at least one overnight stay  Patients born in 2000 who were 16 at the time of sampling  Patients treated by a consultant with main specialty 500 or 501, who were not actually treated for obstetrics and maternity  Patients whose address is incomplete, but contains enough information to have a reasonable chance of being delivered  Patients with an address in the UK, but not England (Wales, Scotland, Northern Ireland, Isle of Man, Channel Islands, etc.), including military personnel | Confirmed |
| **Please check your extraction code/data logic,** to ensure you **do not exclude** ANY patients simply because they are missing an item of data or are NULL for a sample data field. | Initials |
| **Please check your extraction code/data logic again,** to ensure you have not accidentally excluded any eligible patient groups, or any other patient groups not specified in the sampling instructions. | Initials |

|  |  |  |
| --- | --- | --- |
| Please check that your sample consists of **the most recently discharged, eligible patients, counting back from the 31st July (inclusive)**: You must not use admission dates, or a random number generator, or any other criteria to select which eligible patients you include in your sample. | Initials | |
| Patients who indicated dissent have been removed from the sample (PALS team and Survey Lead to check records). | Initials | |
| Please record how many dissenting patients were removed:  **(If none were removed, please record as 0)** | Initials | Total |
| The sample has been checked by the Demographic Batch Service (DBS) | Initials & Date | |
| How many records were **submitted to DBS** for checking, in total? | Initials | Total |
| How many records **could not be matched** by DBS? | Initials | Total |
| The sample has been checked by Trust staff as outlined in the instruction manual. | Initials & Date | |
| The sample and mailing files have been separated, with no identifiable information (patient name and address) in the sample file. | Initials | |
| The sample file has been prepared and is ready to send to the Co-ordination Centre alongside this form for the sample checking, and no name or address details are contained within the sample file.  The only fields within the sample file are: NHS trust code  Patient record number (THIS IS NOT THE NHS NUMBER – it is a unique reference for this survey only)  Year of birth  Gender  Ethnic category  Day, month, and year of admission  Day, month, and year of discharge  Length of stay  Main specialty on discharge  Treatment Function Code  ICD10 chapter code  Treatment centre admission  Route of admission  NHS site code on admission  NHS site code on discharge  CCG code | Initials | |

**Please note** you will be required to amend or update the sample and mailing files if any errors or deviations are identified during the sample check conducted by your approved contractor and then by the Survey Co-ordination Centre.

**You will also be sending a separate mailing file to your contractor- that file will contain the names and addresses.** If sample files are sent to your approved contractor mistakenly containing patients’ names and addresses, or any other directly identifiable data, your contractor is obliged to report this to the Care Quality Commission. Your trust will have to consider logging the incident as a serious incident on the Information Governance Toolkit - see the ‘Guidance for Reporting, Managing and Investigation Information Governance Serious Incidents Requiring Investigation’. The Confidentiality Advisory Group at the Heath Research Authority will also be notified by CQC.

**Declaration by trust staff drawing the sample**

**I understand that any errors with the way the sample has been drawn may limit, or prevent, the use of the survey data. Where data cannot be used, this would mean survey results would not be available for my trust in 2016 and may increase my trust's level of risk within CQC’s risk monitoring tools.** I confirm that the above steps have been completed and that the sample has been drawn in accordance with the survey instructions.

Trust name:

Contact name

Contact signature

Contact email address Contact phone number

**Declaration by Caldicott Guardian**

I confirm that the above steps have been completed and all steps have been followed.

Name

Signature

Contact email address Contact phone number

Section for **approved contractors**:

Please write in how many patients in the sample were replaced:

Please note the reason(s) for these replacements: