**Community Mental Health Survey 2016: Sample Declaration – In-house Trusts**

This declaration is to be signed by your trust’s Caldicott Guardian, and the members of staff responsible for drawing and checking the sample of service users as set out in the instruction manual for the survey.

**This checklist will be used for audit purposes to ensure that the sample conforms to the instruction manual and if all steps are completed, will greatly help avoid any breaches of confidentiality occurring.**

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. Although in-house trusts are not undertaking this, we expect them to follow the standard practices and procedures outlined here, in the interest of protecting patient confidentiality and maintaining high standards. For example, trusts must not send service user identifiable data such as names and/or addresses to the Co-ordination Centre. 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/891>

**For staff drawing the sample:**

Please complete this form once you have drawn your sample. You must sendthis checklist to the Co-ordination Centre (mh.cc@pickereurope.ac.uk) **before** you send your sample file. The Co-ordination Centre will confirm that you are able to send your sample file to them once they have checked this form. **PLEASE NOTE: the sample file will not be opened unless this form is submitted fully complete.**

If you have decided to use additional sample variables for analysis or include more than 850 records in your sample, these must not be included in the anonymised sample file that you provide to the Co-ordination Centre. Additional sample variables, and / or additional sample records, other than those required for the national survey, are not covered by the Section 251 approval.

**Community Mental Health Survey 2016**

**Sample Declaration Form – In-House Trusts**

Please provide the information requested in each of the boxes on this form. This will be used for audit purposes to ensure that the sample conforms to the instruction manual.

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

|  |  |  |
| --- | --- | --- |
|  | Total service user population before dissenters removed |  |
|  | Total number of service users removed due to dissent |  |

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

|  |  |  |
| --- | --- | --- |
|  | Total number of eligible service users at the Trust who used services between 1st September and 30th November 2015, and meet all other eligibility criteria  |  |
|  | Number of service users on new CPA |  |
|  | Number of service users not on new CPA |  |
|  | Number of service users where CPA status not known |  |

**SECTION C: sample of service users included in 2016 survey**

|  |  |  |
| --- | --- | --- |
|  | Number of service users in the sample[[1]](#footnote-1)♦ |  |
|  | Number of service users in this sample on new CPA |  |
|  | Number of service users in this sample not on new CPA |  |
|  | Number of service users in this sample where CPA status not known |  |

**CPA definitions**

This Trust’s implementation definitions of CPA are as follows:

|  |  |  |
| --- | --- | --- |
|  | On new CPA: |  |
|  (J) | Not on new CPA: |  |

**SECTION D: Submission of sample to Co-ordination Centre**

Please complete this form once you have drawn your sample but **before** you have submitted your sample to the Co-ordination Centre. Please send this form to the Co-ordination Centre who will confirm receipt before you are able to send your anonymised sample file (mh.cc@PickerEurope.ac.uk).

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

|  |  |
| --- | --- |
| The sample has been checked by the Demographic Batch Service (DBS) |  |
| A random sample of 850 service users has been drawn exactly in line with the step by step processin the instruction manual, and all exclusion and inclusion criteria applied correctly |  |
| The sample has been drawn and then checked by a different member of staff at the Trust. |  |
| The sample and mailing files have been separated, with no identifiable information (name and address) in the sample file (also referred to as the anonymised file). |  |
| Mental Health Care Cluster data has been removed from the main sample data and will be submitted to the Co-ordination Centre separately. |  |
| The anonymised sample file contains the following variables ONLY:NHS Trust codeService User Record Number (**THIS IS NOT THE NHS NUMBER – the SURN for the survey**)Year of birthGenderEthnic categoryDay, month and year of last contactCPA statusCCG code |  |
| **The anonymised sample file does not contain any additional service user records over the** **basic sample size of 850 records OR any additional sample variables** |  |
| The sample file has been prepared and is ready to send to the Co-ordination Centre **once** confirmation has been given by them |  |

**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 the Survey Co-ordination Centre.

If sample files are sent to the Survey Co-ordination Centre mistakenly containing names and addresses, or any other directly identifiable data, the Co-ordination Centre are 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’.

**Declaration**

The above information is accurate. I confirm that the sample has been drawn in accordance with the instruction manual. I confirm that the sample has been drawn from all databases of service users held by this Trust. I confirm that the sample reflects the proportion of service users who were on CPA and those not on CPA between 1st September and 30th November 2015.

|  |  |  |  |
| --- | --- | --- | --- |
| Signed: |  | Date: |  |
| Name of person drawing sample: |  | Trust name: |  |
| Email address: |  | Telephone: |  |

|  |  |  |  |
| --- | --- | --- | --- |
| Signed: |  | Date: |  |
| Name of person checking sample: |  | Trust name: |  |
| Email address: |  | Telephone: |  |

|  |  |  |  |
| --- | --- | --- | --- |
| Signed: |  | Date: |  |
| Caldicott Guardian: |  | Email address: |  |

1. ♦ For almost all Trusts, this figure will be 850 and (G) should be equal to the sum of (H), (I) and (J) [↑](#footnote-ref-1)