

SAMPLING INSTRUCTION MANUAL FOR THE NHS MATERNITY SURVEY 2015

FOR TRUSTS USING A CONTRACTOR

THE CO-ORDINATION CENTRE FOR THE NHS PATIENT
SURVEY PROGRAMME

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Adherence to the procedures outlined in this document

It is not permissible to deviate from the agreed protocol as Section 251 approval has been granted for this project to provide a legal basis for trusts using a contractor to provide names and addresses to them. Any breach of the conditions of the support will be reported to the CQC and the Confidentiality Advisory Group at the Health Research Authority.

It is also not permissible to offer financial inducements or lottery prizes to respondents. Similarly, we do not recommend translation of questionnaires into other languages within the national survey. The terms of the ethical approval do not permit these types of alteration. Furthermore, such alterations might mean that the comparability of the survey would be compromised, and such results may not be acceptable for computation of the relevant measures within the Care Quality Commission assessments for that trust. If trusts want to make any adjustments to the method or materials set out in this guidance, they will need to seek local research ethics approval, and check with the Co-ordination Centre that the proposed alteration would not compromise comparability.

Updates

Before you start work on your survey, check that you have the latest version of this document, as there might be some small amendments from time to time (the date of the last update is on the front page). In the very unlikely event that there are any major changes, we will e-mail all trust contacts and contractors directly to inform them of the change.

This document is available from the Co-ordination Centre website at:
<http://www.nhssurveys.org/surveys/825>

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1 Compiling a list of women

This section explains how to draw a sample of women. This task will need to be carried out by a member of staff at your NHS Trust. The sample will normally be drawn from the Patient Administration System (PAS). Depending on your trust's hospital information systems, it may be that sample information will need to be linked between the Patient Administration System (PAS) and the clinical maternity databases. In addition, maternal records will need to be linked to infants' records to apply some of the exclusion criteria, in which case support from an IT specialist may be required. The sample list will also need to be checked to make sure that the necessary exclusions have been applied and the list will also have to be checked by the Demographic Batch Service (DBS) to identify deceased women and infants.

Please follow the instructions below carefully and allocate sufficient work time to check the sample with DBS and within the trust prior to each mailing.

Please note: It is essential that the person who draws the sample understands the importance of following these instructions carefully. Also, this person's line manager must give them the time and support they need to do the task properly. An incorrectly drawn sample can delay the start of the survey or can result in the questionnaires being sent to the wrong patients, both of which can have serious implications.

Please read all of this section before you start to compile your list of women.

Please note: your sample should only be used for the purposes of distributing the Maternity Survey 2015 and up to two reminder letters. This is because the precise use of the sample collated for the survey is described in the survey protocol that forms part of the ethical approval for the survey, and any additional use of the sample would therefore require a separate ethics application. For example, it would not be appropriate to send additional reminder letters to people in the sample, nor to contact them as a group either before or after the survey.

Please note: Approved contractors are not permitted to draw the sample for trusts, this is the responsibility of the trust. If a contractor draws the sample on behalf of the trust it will be considered a breach of the surveys Section 251 approval and action taken against both the trust and approved contractor will follow.

1.1 Compile a list of eligible women

Compile a list of all women who had a live birth consecutively between **1st February and 28th February 2015**.

Note

If there are **fewer than 300 eligible women** who had a live birth in February, then please contact the Co-ordination Centre on 01865 208127 for advice on including women who gave birth in January 2015. Please note that the *minimum* sample size is 300

The information you obtain about each woman will be used both for administering the survey and for sending to the tracing service (DBS) to check for any deaths. It saves time and effort if all the

information is gathered at the same time (See *Section 7.6 – Create the Sample File* for a list of the data fields that you will need to include in your sample file for the survey).

Who to include:

- All women **aged 16 years or over** at the time of delivery, who have had a live birth within the trust, irrespective of which facility they use.¹ Women who gave birth at a separate maternity unit should still be included in the sample.
- **All types of deliveries:** It is important that all women who had a baby in the time period are included in the survey, not just the ones with normal vaginal deliveries with no complications.
- **Multiparous and primiparous women:** Your sample should include both first-time mothers and women who had previously had a baby.
- **Women who delivered at home.** If home births are not recorded on the hospital information system, it will require a manual check of the records held by midwives.
- Include women even if their addresses are incomplete but still useable (e.g. no postcode).

Who to exclude:

The following women are **not** eligible to participate in the survey and should be **excluded** from your sample list:

- women who are under age 16 at the time of delivery;
- women who had any of the following ICD10 delivery outcomes **or their equivalents**²:
 - Z37.1 Single stillbirth;
 - Z37.3 Twins, one live; one stillbirth;
 - Z37.4 Twins, both stillbirths;
 - Z37.6 Other multiple births; some live; some stillbirths;
 - Z37.7 Other multiple births, all stillbirths;
- women whose infants have died since delivery³;
- women who have died during, or since, delivery;
- women who are in hospital, or whose baby is in hospital, at the time of drawing the sample;
- where possible, women who had a concealed pregnancy⁴;

¹ Exclude any women whose baby was born in a unit managed by a community provider if these cases are also included on your hospital databases.

² If you do not use ICD10 codes in your systems, please use the appropriate equivalents to the codes listed above

³ In order to apply this criterion, it is essential that maternal and infant records are linked. Death checks for infants will need to be run within the trust and by the DBS to ensure that deaths occurring both within the trust and outside trusts are detected.

⁴ If you do not record this information in your electronic systems, these women should be removed from the sample when the list is validated by member(s) of the midwifery team.

- where possible, women whose baby was taken into care (i.e. foster care, adopted)⁵;
- women who gave birth in a private maternity unit or wing;
- women who gave birth in a maternity unit managed by another provider;
- women without a UK postal address (but do not exclude if addresses are incomplete e.g. no postcode)⁶;
- any patient known to have requested their details are not used for any purpose other than their clinical care (if this is collected by your trust you should ensure that you remove those patients from your sample list at this stage).

1.2 Checks carried out by the trust

Once you have compiled your list of women, you should carry out the following checks before you send the list to the Demographic Batch Service to carry out a further check for deceased women or infants.

- **Delivery outcome.** Check that all women in the sample had a live birth;
- **Deceased mothers or infants.** Check that all women and their infants were discharged from the trust alive and that the trust does not have a record of either person's death from a subsequent admission or visit to the hospital. **This is an essential step to ensure that women and/or their families are not further traumatised by receiving a questionnaire asking about their pregnancy;**

⁵ If you do not record this information in your electronic systems, these women should be removed from the sample when the list is validated by member(s) of the midwifery team.

⁶ Women whose address is in the British Islands (Isle of Man, the Channel Islands) are eligible for inclusion in the survey.

Checks for deceased women and infants

One of the most reliable and up-to-date sources of information on patient deaths is your own trust's records. **It is essential that you check that your trust has no record of a woman or her baby having died at your trust.** Relatives are likely to be particularly upset if they receive a questionnaire or reminder from the trust where their relative died. Clearly, women or their baby may also have died at home or while under the care of another trust, so you still need to check with the tracing service (DBS) as well.

The methodology for this survey requires three stages of checks for deceased women/infants before the first mailing is sent out. The checks are carried out sequentially by:

- 1) the trust
- 2) DBS
- 3) again by the trust (for women or infants who may have died in hospital after submission of the sample to DBS).

Please note: Due to the sensitivity of the maternity survey, you **must** repeat these checks before the second and third mailings, and ensure that approved contractors are advised immediately if any women in the sample – or their baby - die during the survey period.

- **Women's ages.** Check that all women are aged 16 or over at the time of delivery;
- **Concealed pregnancy.** Exclude any women who are known to have had a concealed pregnancy;
- **Babies taken into care.** Exclude any women who are known to have had their baby taken into care;
- **Private maternity care.** Remove any women treated as private patients from the sample;
- **Postal addresses.** Exclude any women with addresses that are outside the UK;
- **Incomplete information.** Check for any records with incomplete information on key fields (such as surname and address) and remove those women. However, do not exclude anyone simply because you do not have a postcode for them. Only remove a woman if there is insufficient name or address information for the questionnaire to have a reasonable chance of being delivered. The more cases that are removed at this stage, the poorer the sample coverage and the greater the danger of bias;
- **Duplications.** Check that the same woman has not been included more than once;
- **Dissent.** Any patient known to have requested their details are not used for any purpose other than their clinical care (if this is collected by your trust you should ensure that you remove those patients from your sample list at this stage);
- **Opt-out following publicity / contact with 16 and 17 year olds:** Any women that were recorded by staff members to have decided to opt-out after seeing the publicity poster and/or the information sheet (i.e. given to women aged 16 and 17 years old by midwives).

1.3 Validating the sample

There is always a possibility that a patient's record has been incorrectly coded on the hospital's information system. To ensure that all women in the sample are eligible to participate in the survey, we recommend that once the list is drawn it is given to member(s) of the clinical midwifery team to check that the following women are not included: women who had a stillbirth; women whose baby has died following the birth; women who had a concealed pregnancy and/or women whose baby was taken into care.

1.4 Submit the patient list to the Demographics Batch Service (DBS)

Before sending out the questionnaires and reminders, the list of **women and their infants** should be checked for any deaths by the Demographics Batch Service (DBS).

The DBS enables users to submit and receive a file containing relevant patient records electronically using dedicated client software. The patient records in the file are matched against the NHS Spine Personal Demographics Service (PDS).⁷

Create a trace request file

Using your list of women and infants, you need to create a correctly-formatted batch trace request file to send to DBS. You should take advice from your local Trust PAS team on the correct format to submit files. Technical details on the file format are available from:

<http://systems.hscic.gov.uk/demographics>

For each woman and their infant(s) you will need to include as a minimum:

- NHS number and full date of birth (yyyymmdd) – this is the recommended approach *OR*
- Surname, first name, gender and date of birth and postcode (can be wildcarded e.g. LS1*)

Although residential postcode is not mandatory it is highly recommended to include it to avoid incorrect matches. Due to the way addresses are recorded throughout the NHS, it is very difficult to get an exact match on address lines. For this reason, **do not** include address lines in the trace request file.

Note

Please be aware that tracing services are not foolproof and even after your patient list has been checked for deaths, and despite the checks also carried out by your trust, some mothers and/or infants may die in the period between running the check and the questionnaire being delivered. You may find that some recently deceased mothers and/or infants remain in your sample. If this happens it is possible your trust may receive some calls from bereaved relatives, so you need to be prepared for this. Special sensitivity is required when dealing with telephone calls from bereaved relatives.

⁷ The PDS is a national electronic database of NHS patient demographic details. The PDS does not hold any clinical or sensitive data such as ethnicity or religion.

Submitting the trace request file

Please note that the DBS does **not** accept the transfer of files by encrypted emails or on physical media. Instead, **request and response files must be transferred electronically using the dedicated DBS client software**. The DBS client software should have already been installed on a server within your trust. Please speak to a member of your IT department or PAS team if you do not know how to access and use the application. If your IT department cannot help, contact the DBS implementation team at: demographics@hscic.gov.uk and they should be able to advise you.

If you have been set up to use DBS, then once you have created the request file, it should be placed in the client in-box. The DBS client will then send the file to the Spine and you will receive an email to say that file was received. The DBS processes the file overnight and it should be ready the following morning. You will be notified by email when the file has been processed. During periods of high demand for DBS service, it may take 48 hours for your file to be returned.

The response file

The DBS will return a header row, response body and trailer row. The response will be in two parts:

- The response containing all the data supplied in the request record, together with a trace outcome indicator. The main record is returned in all cases.
- An additional response, which is returned only when there is a single unique match. It is on this additional response that patients found to be deceased will be indicated.

Further information is available from: <http://systems.hscic.gov.uk/demographics>

Note

Please be aware that tracing services are not foolproof and even after your patient list has been checked for deaths, and despite the checks also carried out by your trust, some patients may die in the period between running the check and the questionnaire being delivered. You may find that some recently deceased patients remain in your sample. You need to be prepared for this. Special sensitivity is required when dealing with telephone calls from bereaved relatives.

1.5 When the patient file is returned from DBS

The trace response file returned from DBS can be used to identify any women and/or babies that have died (indicated by a letter 'D') and therefore need to be deleted from the sample file. **If an infant has died but their mother is still alive, that record must be removed from the list.** This may reduce the numbers in your sample list slightly.

Important note: Due to the sensitivity of the maternity survey, please **exclude** any women from the sample if they (or their baby) could not be traced. If there are more than 5 records which are untraced, and therefore need to be removed from the sample, please contact the Co-ordination Centre for advice (mat.cc@pickereurope.ac.uk or 01865 208127).

1.6 Create the sample file

An example of the spreadsheet you should complete has been included below. This is available to be downloaded from our site (www.NHSSurveys.org) and is entitled “*Sample construction spreadsheet*”. The column headings will match to the validated spreadsheet for final submission of data produced by the Co-ordination Centre and so it will be advantageous for you to use this spreadsheet. Save this file as ‘**MAT15_samplefile_XXX**’ (where XXX is the Trustcode for your organisation).

This file has three purposes:

- 1) It will be used to keep a record of which women have not returned questionnaires so that reminders can be sent to them.
- 2) It will be used to generate weekly response rates for your trust that will be forwarded to the Co-ordination Centre, by your contractor, every Thursday from the **30th April 2015** until the closing date of the survey.
- 3) The anonymous data in this file (i.e. all the data **except** women’s name and address information) will form part of the file that your contractor will submit to the Co-ordination Centre when the survey is completed.

More details about the information required in this file are provided below.

Table 1 – Example: Sample construction spreadsheet

<i>Trust code</i>	<i>Record number</i>	<i>Title</i>	<i>Initials (or first name)</i>	<i>Surname</i>	<i>Address 1</i>	<i>Address 5</i>	<i>Full Postcode</i>	<i>Mother's Year of birth</i>	<i>Mother's Ethnic Group</i>	<i>Day of delivery</i>	<i>Month of delivery</i>	<i>Year of delivery</i>	<i>Actual Delivery Place</i>	<i>Place of birth: NHS Site code</i>	<i>CCG code</i>	<i>Postcode sector</i>	<i>Day of questionnaire being received</i>	<i>Month of questionnaire being received</i>	<i>Year of questionnaire being received</i>	<i>Outcome</i>	<i>Comments</i>
RNH	MAT15RTE0001	Miss	AM	Abbot			AB1 1YZ	1969	A	1	2	2015	2	RR115	03S	AB1 1				3	Informed that woman's baby had died
RNH	MAT15RTE0002	Ms	EC	Ahmed			AB2 6XZ	1978	J	3	2	2015	0	RTE03	03T	AB2 6	14	05	2015	1	
RNH	MAT15RTE0003		P	Lane			AB3 8PL	1989	B	3	2	2015	2	RR115		AB3 8				4	
RNH	MAT15RTE0339	Mrs	K	Yoo			AB4 7MX	1982	R	27	2	2015	1		03T	AB4 7					
RNH	MAT15RTE0340	Ms	F	Young			AB9 5ZX	1975	A	28	2	2015	0	RTE03	05G	AB9 5	19	06	2015	1	

Important note about Table 1

The headings of Table 1 are in three different colours:

Black headings: these columns contain information on patients' names, addresses and comments that may allow them to be identified. This information must not appear in any files sent to the Co-ordination Centre. This information, along with a copy of the patient record number should be removed from the sample file as soon as your sample is finalised and saved to a new file (your "mailing data" file).

Red italic headings: these columns should be completed during the sampling phase and submitted to your contractor who will submit them to the Co-ordination Centre prior to mailing (to allow for final inspection by the Co-ordination Centre).

Green italic headings: these columns will be completed when the patient responds to the survey by your contractor (e.g. by returning a completed questionnaire), or when the trust is notified the patient will not be participating (patient deceased, moved address, too ill, or called to opt out).

The following information is compiled using hospital records:

- **Trust code** should be the three character code of your organisation (e.g. RNH), maintained by NHS Connecting for Health⁸;
- Title (Ms, Mrs, Miss, etc.);
- Initials (or First name);
- Surname;
- Address Fields⁹;
- Postcode

Note

The **Record Number**, **Title**, **Initials**, **Surname**, **Address** fields and **Postcode** are used for printing out address labels. You or your contractor can use the mail merge function in a word processing package for this purpose.

- The mother's **Year of Birth** should be included in the form of NNNN;
- The mother's **Ethnic Group** ¹⁰should be coded using the 17 item alphabetical coding specified by NHS Connecting for Health¹¹. The codes are as follow:

National Codes:

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

⁸ A data file of NHS Organisation Codes can be downloaded from the Health and Social Care Information Centre (HSCIC) website: <http://systems.hscic.gov.uk/data/ods/datadownloads>

⁹ The address should be held as separate fields (e.g. street, area, town, and county), consistent with the address format required by the DBS (formally NSTS).

¹⁰ It is acknowledged that hospital records might not always contain complete data on women's ethnic category. However, this field should be included wherever possible. This data is required in order to evaluate non-response from different ethnic categories. This is in keeping with the aims of the Care Quality Commission and Department of Health to be more responsive to all ethnic groups and to ensure all groups are appropriately represented in their assessments.

¹¹ These codes can be found in the NHS Data Dictionary provided by Connecting for Health on the following website:
http://www.datadictionary.nhs.uk/data_dictionary/attributes/e/end/ethnic_category_code_de.asp?shownav=1

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

- **Day** of delivery (1 or 2 digits, e.g. 7 or 26);
- **Month** of delivery (1 digit, i.e. 1 or 2);
- **Year** of delivery (4 digits; i.e. 2015);
- **Actual delivery place:** should be coded using the National Codes¹²:
 - 1 At a domestic address
 - 2 In NHS hospital - delivery facilities associated with CONSULTANT ward
 - 3 In NHS hospital - delivery facilities associated with GENERAL MEDICAL PRACTITIONER ward
 - 0 In NHS hospital - delivery facilities associated with MIDWIFE ward
 - 4 In NHS hospital - delivery facilities associated with CONSULTANT/ GENERAL MEDICAL PRACTITIONER/ MIDWIFE ward inclusive of any combination of two of the professionals mentioned
 - 7 In NHS hospital - ward or unit without delivery facilities
 - 6 In other hospital or institution
 - 8 None of the above
 - 9 Not known
- **NHS Site Code** of where the baby was delivered (i.e. to identify which hospital or maternity unit) should be coded using the five character NHS Trust Site Codes (maintained by the Health & Social Care Information Centre)¹³. This cell should be left blank for any deliveries that were not in hospital (i.e. where the 'actual delivery place' is coded 1 or 8). NHS Site Code should be left blank if 'actual delivery place' is coded 9, unless it is known that the delivery took place in hospital;
- **CCG code** – please provide the 3 character CCG code. This should be the CCG which will be billed for the care of the person using service. Please see: <http://systems.hscic.gov.uk/data/ods/datadownloads/othernhs>;

¹² The 'Actual place of delivery' codes can be found in the NHS Data Dictionary provided by Connecting for Health on the following website:
http://www.datadictionary.nhs.uk/data_dictionary/attributes/a/acc/actual_delivery_place_de.asp?shownav=1

¹³ A data file of NHS Trust Site Codes can be downloaded from the Health and Social Care Information Centre website: <http://systems.hscic.gov.uk/data/ods/datadownloads/othernhs>

- **Postcode sector:** Please record the mother's postcode '**sector**'. This is the first part of the postcode (i.e. the postcode 'area' and 'district' e.g. MK18) and just the number in the second part of the postcode (e.g. MK18 4). Please **do not include** the two alpha characters in the second part of the postcode

Additional information should also be entered on this spreadsheet. The details of this information are discussed below:

- 1) **Record Number (RN).** This is a unique serial number which must be allocated to each woman by the trust. It should take the following format: **MAT15XXXNNNN** where XXX is your trust's 3 digit trust code and NNNN is the unique 4 digit number relating to your sampled women, e.g., 0001, 0002.... The RN will be included on address labels and on questionnaires. Later, when questionnaires are returned (whether completed or not), your contractor will be able to use these numbers to monitor which women have returned their questionnaires and to identify any non-responders, who will need to be sent reminders. Please note: this number should be available in, and correctly referenced for, every patient dataset for this survey (e.g. sample file, mailing file, final data);
- 2) **Day of questionnaire being received.** This can only be completed by your contractor if and when a questionnaire is received.
- 3) **Month of questionnaire being received.** This can only be completed by your contractor if and when a questionnaire is received..
- 4) **Year of questionnaire being received.** This can only be completed by your contractor if and when a questionnaire is received.
- 5) The **Outcome** field will be used to record which questionnaires are returned to the freepost address, or are returned undelivered, or which women opt out of the survey, etc.
 - 1 = Returned useable questionnaire
 - 2 = Returned undelivered by the mail service or woman moved house
 - 3 = Woman or baby died
 - 4 = Woman reported too ill to complete questionnaire, opted out or returned blank questionnaire
 - 5 = Woman was not eligible to fill in questionnaire
 - 6 = Questionnaire not returned (reason not known).

The outcome column is left blank at first if the survey has not been returned (on table 1 you can see that Ms Yoo has not yet returned her questionnaire);

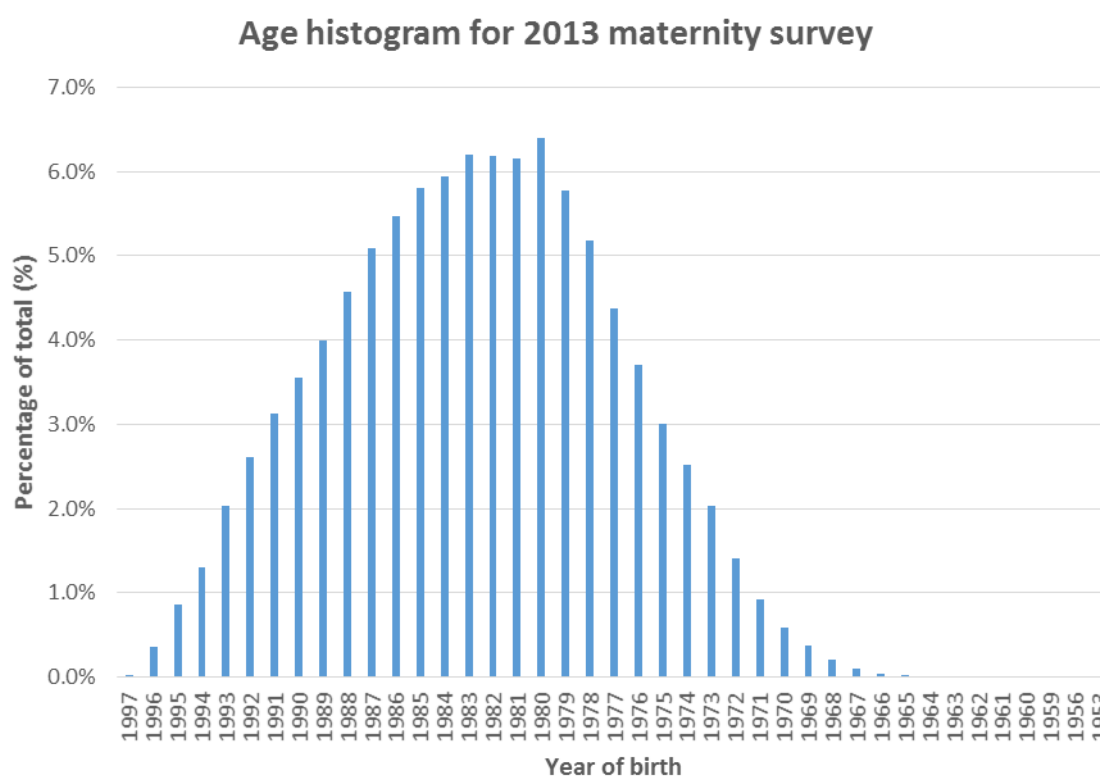
- 6) The **Comments** column is useful for recording any additional information that may be provided when someone calls the helpline.

1.7 Distribution of ages

You should check that women of all ages are included in your sample, especially for those aged 16, 17 or 18 years. We have found this age group is the most likely to be excluded due to poor sampling. It is possible there may not be any young women in your sample, but this should be confirmed by checking your original sample (before exclusion criteria were applied) and your sampling techniques.

Check that your sampled women's ages cover the full range of expected ages. Ideally, you should do this by checking the distribution of ages on a histogram (See Figure 1). For most trusts the histogram is likely to start with a relatively small number of women aged under 20 years, and then rise steeply and form a plateau (representing a large number of women aged between 25 and 35 years) before entering a fairly gradual decline, with a small number of women aged over 40 years.

Figure 1 - Age Histogram for 2013 Maternity Survey



1.8 Check for other sample errors

The most common sampling errors made in previous maternity surveys resulted from trusts:

- Excluding women aged 16-17 years;
- Excluding women who had a home birth;
- Incorrect ethnicity coding;
- Missing some sample information, such as year of birth data;
- Postcode in incorrect format or with too many digits;
- Incorrect site codes submitted.

Using the guidance correctly will prevent any errors and may reduce delays caused by mis-sampling.

1.9 Separating mailing details from sample information

At this point you should transfer the names, address and postcode for each woman in the sample to a new file. The record number for each woman should be copied to the new file, so that the two datasets are connected using the unique record number. It is essential to ensure this number is correctly applied to the two datasets. Save this new file as “**MAT15_mailingdata_XXX**” (where XXX is your Trustcode).

This file should be used for mailing purposes: it will be used to check for deceased women & infants prior to reminder mailings and will be cross-referenced with the sample file (**MAT15_samplefile_XXX**) to identify women who will need to be sent reminders¹⁴

As this “**MAT15_mailingdata_XXX**” file will only be used occasionally during the survey, we recommend you keep this file encrypted. The mailing data file should be destroyed when the survey is complete. This should be done with all other files created for the survey (aside from the survey response file).

Remember

For patient confidentiality reasons, **it is essential that you do not keep patient name and full address details in the same file as their survey response data.** (Please note: the postcode sector field should be kept in the sample file).

Table 2 – Example mailing file

<i>Record number</i>	Title	Initials (or First name)	Surname	Address1	Address2	Address3	Address4	Address5	Postcode
MAT15RTE1001	Mrs	AM	Abbot	14 Station Road	London				AB1 1YZ
MAT15RTE1002	Ms	EC	Ahmed	Flat 7	Short Street	Oxford			AB2 6XZ
					--				
MAT15RTE1338	Miss	K	Yoo	The Maltings	Birch Road	Little Abington	Cambridge	Cambs	AB4 7MX
MAT15RTE1339	Ms	F	Young	634 Tyne Road	Moorfields	Tyne and Wear			AB9 5ZX

¹⁴ As shown in Table 1, the ‘outcome’ field in the sample file is used to record which questionnaires are returned completed, or are returned undelivered, or which women opt out, etc.

1.10 The sample declaration form

As per the other surveys within the patient survey programme, one of the requirements of the Section 251 Approval for the Maternity Survey 2015 is the completion of a Sample Declaration Form (see Appendix 3). This form is to be completed by the person drawing the sample and must be counter signed by the Caldicott Guardian: it is a checklist of different steps that must be actioned before the sample is ready for submission.

You must submit your sample declaration form to your contractor **before** you submit your sample file and separate mailing file to your contractor. Your contractor will confirm that they are happy to receive these files before you send them. **Do not send your sample file (or separate mailing file) until your contractor has confirmed they have approved the sample declaration form.**

1.11 Sharing the sample file with an approved contractor

If you are working with an approved contractor and have a contract in place relating to the transfer of patient identifiable information (i.e. women's names and addresses) both the sample file ("MAT15_samplefile_XXX") and the mailing file ("MAT15_mailingdata_XXX") file should be sent to the contractor staff in encrypted format (see *Section 4.5 – Patients' names and addresses*).

If you are working with an approved contractor, but have chosen to mail out the questionnaires yourself, within the trust, you should supply them with just the sample file (this will resemble *Table 1 – Sample construction spreadsheet* but with the women's names, addresses and postcodes removed). The contractor can use this list to record the outcome codes, but you should ensure that the contractor is kept up to date with any information that comes directly to the trust about maternal or infant deaths, etc.

You should not be transferring all the data in one file: separate files are required for the transfer of patient identifiable data (the mailing file) and the anonymised sample file. **If you transfer one file containing both mailing and sample information to your approved contractor, this will constitute a breach of Section 251 and action will be taken against your trust including reporting this matter to the Confidentiality Advisory Group.**

1.12 Sample checking

Once you have submitted your sample declaration form to your contractor, and they are happy to receive your separate sample and mailing files, the contractor will undertake their own internal checks on the data. You may well get some queries from your contractor so please respond to these quickly as they cannot submit the sample file to us in the Co-ordination Centre until they have resolved those queries with you.

The Co-ordination Centre will then check the sample file, sent to us by your contractor, and we will respond to them with any queries. They may come back to you for clarification, and please respond quickly to those queries so the sample can be approved and mailing can begin.

Contractors will set deadlines for when they will need your sample file by, however, the Co-ordination Centre will be checking these files between **6th April and 1st May so we must have received your file from your contractor within this time frame.**

Trusts which have not submitted their sample for checking by the **8th May 2015** will be contacted by the Co-ordination Centre directly to discuss any problems you are having and how we can help with the process. However, if samples are not received by the **15th May 2015**, then we are required to notify the Care Quality Commission of this and they will contact you to discuss any implications for inclusion in Care Quality Commission produced data.

Appendix 1: Sample declaration form

NHS Maternity Survey 2015

This declaration is to be signed by your trust's Caldicott Guardian, and the member of staff responsible for drawing the sample of women who gave birth at your trust as set out in the 'Instruction manual for the NHS National Maternity Survey 2015'. 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.

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/>).

For staff drawing the sample:

Please complete this form once you have drawn your sample of women who gave birth at your trust. 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 sample 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 the boxes** and **signing the declaration**:

A sample of all women who gave birth at your trust during February 2015 (as well as some women who gave birth in January 2015 if appropriate) has been drawn according to the instructions in the instruction manual.	Initials
Women who indicated dissent have been removed from the sample (PALS team and Survey Lead to check records).	Initials
PLEASE WRITE IN HOW MANY WERE REMOVED:	
The sample has been checked by the Demographic Batch Service (DBS)	Initials & Date
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 (name and address) in the sample file.	Initials
<p>The sample file has been prepared and is ready to send to your approved contractor alongside this form for the sample checking, and no name or address details are contained within the sample file.</p> <p>The only fields within the sample file are:</p> <p>NHS Trust code</p> <p>Patient Record Number (THIS IS NOT THE NHS NUMBER – the URN for the survey)</p> <p>Mother's year of birth</p> <p>Mother's ethnic category</p> <p>Day, month, and year of delivery</p> <p>Actual delivery place</p> <p>Place of birth: NHS site code</p> <p>CCG Code</p> <p>Postcode sector (e.g. AB12 3 – Do not include the final two letters of the full postcode)</p>	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 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 and 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 and phone number**

Section for **approved contractors**:

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

Please note the reason(s) for these replacements: