

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Substance Abuse and Mental Health Services Administration

FEB 17 2016

CONFIDENTIALITY CERTIFICATE

issued to

**OH Dept. of Mental Health and Addiction Services
Bureau of Research and Evaluation**

Conducting the

OH Healthy Youth Environments Survey (OHYES!)

In accordance with the provisions of section 301(d) of the Public Health Service Act (42 U.S.C. section 241(d)) this Certificate is issued in response to the request of the principal investigator, Kraig Knudsen, PhD. Chief, OH Dept. of MH and Addiction Services, Bureau of Research and Evaluation, 30 East Broad Street, 8th Floor, Columbus, OH 43215 to protect the privacy of evaluation subjects by withholding their identities from all persons not connected with the project. Dr. Knudsen is primarily responsible for the conduct of this project, which is funded under SAMHSA's grant numbers: SP020695, SM069536 and TI010041.

Under authority vested in the Secretary of Health & Human Services by that section, all persons who

1. are employed by the OH Dept. of MH and Addiction Services, Bureau of Research and Evaluation, and its contractors and cooperating agencies as indicated in the application and
2. have, in the course of that employment, access to information that would identify individuals who are the subjects of the project entitled "OHYES!"

are hereby authorized to protect the privacy of the individuals who are the subjects of that project by withholding their names and other identifying characteristics from all persons not connected with the conduct of that project.

Project Purpose

The purpose of this study is to assess and evaluate the state of OHIO's SAMHSA funded prevention efforts related to school aged children and adolescents. Participants will be recruited from all school districts in OH. Participants are surveyed only once. The survey is extensive, and includes mental health scales, questioning in areas of child and family functioning, substance use, school environment, and recreational activities. Passive consent is being obtained. Parents will be informed of the survey and have the option to withdraw their child's participation in the survey. The goal of the survey is to enroll at least 30,000 7th and 11th grade students during the fall and spring of 2015.

Project Location

The children's prevention services will take place in all 88 counties in OH.

As provided in section 301(d) of the Public Health Service Act (42 U.S.C. sec. 241 (d)):

“Persons so authorized to protect the privacy of such individuals may not be compelled in any Federal, State, or local civil, criminal, administrative, legislative, or other proceedings to identify such individuals.”

This authorization is applicable to all information obtained pursuant to the project entitled, “OHYES!” funded by SAMHSA's grant numbers SP020695, SM069536 and TI010041 that could identify the individuals who are subjects or respondents in the evaluation project.

The following conditions apply to the protection provided under this Certificate:

- (1) This Certificate does not authorize the OH Dept. of MH and Addiction Services, Bureau of Research and Evaluation to refuse to reveal identifying information concerning evaluation subjects if any of the following conditions exist:
 - (a) The subject (or, if he or she is legally incompetent, his or her guardian) consents in writing to disclosure of identifying information.
 - (b) If authorized DHHS personnel request identifying information for audit or program evaluation of a project funded by DHHS or for investigation of DHHS grantees or contractors.
- (2) This Certificate requires that there be no disclosures of identifying characteristics of evaluation subjects in any Federal, State, or local civil, criminal, administrative, legislative or other proceedings to compel disclosure of the identifying characteristics of such subjects, except as provided for in paragraph (1), above.
- (3) This Certificate does not otherwise govern the voluntary disclosure of identifying characteristics of evaluation subjects.

- (4) All evaluation subjects in the project will be given a fair, clear explanation of the protection this Certificate affords, and of the limitations and exceptions to the protection.
- (5) This project may also be subject to special rules for confidentiality of alcohol and drug abuse patient records, under section 543 of the Public Health Service Act (42 U.S.C. sec. 290dd-2), and implementing regulations at 42 CFR Part 2, which restrict voluntary disclosures of information from covered patient records.
- (6) This Certificate does not constitute an endorsement of the evaluation project.
- (7) The Certificate becomes effective as of the date of issuance or the commencement of the project, whichever is later, and will expire September 24, 2017, or sooner if the holder is notified of cancellation in accordance with the procedures set forth in 42 CFR section 2a.8. The protection afforded by this Certificate of Confidentiality is permanent for persons who participate as subjects in the evaluation during any time the Certificate is in effect.

2/9/2016
Date



Daryl Kade, Acting Director
Center for Behavioral Health Statistics and Quality