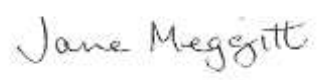


Agenda Item: 15.0

<h2 style="margin: 0;">Governing Body Meeting</h2> <p style="margin: 0;"><i>Held in Public</i></p>	<h2 style="margin: 0;">Report</h2> <p style="margin: 0;">Date of Meeting: 5.7.18</p>
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Report Title	Caldicott Guardian Report		
Report Author	Presented By	Responsible Director	
Dr Chris Marshall Locality Chair, Caldicott Guardian	Dr Chris Marshall, Locality Chair, Caldicott Guardian	Jane Meggitt, Director of Governance, Risk and Corporate Services Signature: 	
Purpose for presenting report	This outlines the Caldicott Report for Bedfordshire CCG 2017/18.		
Action Required:	For information only		
Approval Route:			
Further Assurance:			
Which Strategic Objectives does this report provide evidence for?			Please Tick √
We will commission high quality, safe and sustainable models of care that deliver effective clinical outcomes and patient experience using evidence based decisions and best practice			
We will ensure that there is a financially sustainable and affordable healthcare system in Bedfordshire.			
We will lead, engage and operate as an effective place based and STP wide system partner to achieve greater integration of care delivery.			
We will support local people and stakeholders to have an influence on services we commission to ensure our decisions are informed and shaped by local views and insights.			
We will operate and manage our Governing Body to the highest standards of accountability and transparency.			√
Implications/Assessments	Yes	No	N/A
Have any financial implications been signed off by the Chief Finance Officer?			√
Have any quality implications been signed off by the Director of Nursing & Quality?			√
Have any privacy implications been signed off by the Head of Information Governance?			
Have any conflicts of interest implications been signed off by the Corporate Office?			√
Have any public engagement implications been signed off by the Head of Communications & Engagement?			√
Has an Equality Impact Assessment been carried out?			√
Key Risks			

Executive Summary	<i>This report outlines the work undertaken by the CCG information governance team in 2017/18 including detailing information governance breaches plus the work plan for 2018/19.</i>
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Introduction

Bedfordshire CCG has a responsibility to ensure robust information governance systems and processes are in place to protect staff and corporate information governance. This report provides assurance to the Governing Body across the key areas of information governance including but not limited to Confidentiality, Data Protection and Information Security.

This report covers the period April 2017 to March 2018.

Background

The CCG IG team provides the following strategic and operational support:

- Provision of training to support the Data Protection and Access to Health Records Act (including confidentiality issues).
- Advice and guidance regarding personal confidential data sharing, confidentiality and relevant legislation
- Support the Caldicott Guardian function
- Production of relevant strategies, policies and procedures e.g information governance, information sharing, records management.
- Completion of the information governance toolkit
- Monitoring compliance with legislation and ensuring appropriate action is taken where non-compliance is identified e.g information governance incidents
- Provision of reports to senior management and/or identified group/committee within CCG
- Maintenance of professional standards.

Discussion

Information Governance (IG) Toolkit

The NHS Digital information governance toolkit is the mechanism which NHS and related organisations demonstrate their compliance with the statutory number of information governance requirements of which there are 28 for CCGs.

The CCG current information governance toolkit submission is version 14.1 for 2017/18. This has been submitted to NHS Digital with a compliance of 80% as against 79% for 2016/17.

Information Governance incidents

There have been 10 information governance incidents during 2017/18.

- 1 level 2 incident reportable to the Information Commissioner's Office (ICO)
- 6 level 1 incidents (internal investigation only)
- 3 level 0s (near misses)

The level 2 incident – Mental Health team member forwarded an email containing details of patient's assessment, name, address, date of birth, NHS number and contact details to another member of staff who should not have had access to patient level data.

Investigation undertaken and report submitted to ICO. ICO were assured with the investigation of the incident and no further action required.

Key achievements

- Development of information assets and data flows spreadsheets resulting in the IG team having a greater understanding of how data is flowing across the CCG.
- A suite of updated information governance policies.
- More frequent and higher quality information governance awareness training sessions – positive feedback from staff.
- TIAA (the CCG internal auditors) IG audit gave positive assurance to the CCG in regard to IG toolkit compliance.

Key objectives for 2018/19

- New style NHS Digital information governance toolkit being introduced early Summer. There will be a need to understand new requirements and ensure we reach compliance by March 2019.
- Introduction of General Data Protection Regulations (GDPR) 2018 and new data protection bill. Guidance is still being issued by IG Alliance. Action plan in place to reach compliance, this is discussed monthly at the IM&T Programme Board.
- Sustainable Transformation Plan (STP) IG data sharing initiatives – ensure these are monitored and reported IM&T Programme Board.
- GDPR Data Protection Officer (DPO) which is Head of IG – development of this role into the CCG.
- Audit of CCG files and folders to determine who is the file owner, who has access to the files, what data is held, any patient identifiable data stored without a legal basis, what data needs archiving or destroying in accordance with national records management guidance. This will be an ongoing piece of work linking into a GDPR CCG information management audit.

Recommendation

This report gives assurance to the Governing Body of:

- Data Protection Act 1998 has been implemented and adhered to within the CCG.
- GDPR action plan in place ensuring CCG is compliant by 25 May 2018.