

Information Sharing



Session outline

- Information sharing guidance
- Framework for protocols
- Principles for senior managers
- Guidance for operational staff
- Care Direct example
- Steps towards a protocol
- Next steps



DPA + Caldicott Procedures

- Protect data relating to all living individuals
- Person identifiable data includes:
 - full postcode, NHS no, NI number
- Sensitive personal data includes:
 - medical diagnosis
 - information in social services file
 - personal financial details



Information Sharing Guidance

- LAC(2002)2 'Caldicott in Social Care'
- DCA work on a high level protocol
- Guidance on information sharing for IRT
- Locally developed protocols



A General Framework for Information Sharing

- Framework to develop protocols between social care and health
- three tier model
- set of principles for senior managers and operational staff



Three-tier model

- 1. High level overarching protocol
- 2. Middle tier focusing on purposes of information sharing
- 3. Detailed, specific information sharing agreements



Three tier model

High level

- Signatories commit to share information lawfully and effectively
- Defines general parameters

Middle tier

- Each group of agencies sign up to given purpose = information community



Three tier model

Lower tier

- Detailed, specific information sharing agreements
- Define processes
- Identify: routes for information requests; auditing methods for access; details of information to be shared



Principles for Senior Managers

- Purposes for which information will be shared
- Principles of information management
- Legal framework
- Principles underpinning information sharing



Caldicott Principles

- Justify purpose of using information
- Use it when absolutely necessary
- Use only minimum required
- Access on strictly need-to-know basis
- Everyone understands responsibilities
- Everyone complies with law



High level purposes for information sharing

- Delivery of integrated health and social care services
- Management and planning of services

Purposes for sharing information

- Provision of appropriate services
- Improving health of community
- Investigating complaints; research



First data principle

Conditions for processing information

- Fairly obtained and processed
- Give client information when obtaining data
 - identity of person or organisation
 - how information may be used
 - who it may be disclosed to



First data principle

Retention

- only keep for as long as necessary

Accuracy

- up to date, validated

Relevance

- adequate, relevant, not excessive



Guidance for operational staff

- Operational procedures
 - consent
 - need to know
 - transfer of information
- Individuals' rights
 - subject access
 - right to prevent processing
 - right to compensation



Consent and need-to-know

Consent

- Obtained by trained staff
- Client can limit information
- Client's right to see/amend records

Need-to-know

- Access only if essential
- Defined by role



Care Direct

“ In all but exceptional cases the explicit consent of the person must be sought before information is passed to another person or organisation”

Safehaven procedures

Phones

- No hands free “speaker phones”
- Headsets within helpdesk area



Care Direct

Tape recorders - operate with headphones

Fax machines - via autofax within CAS; safe and secure location; manual transmission system

Email - CAS closed secure network using NHS Net
- encryption outside NHS Net



Steps towards a Protocol

- Protocol management procedures
 - formal approval and adoption
 - review
 - monitoring
 - reporting breaches
- Contractual agreement
 - indemnity



Steps towards a protocol

Senior level group - approve,
maintain, review protocols

Chief Officers/Board + CG

- formally adopt

Designated individual - formal
review; investigate breaches

Caldicott Guardian - monitor
compliance



Steps towards a protocol

Contract

- implement, adhere to procedures + structures
- ensure specific protocols consistent with general protocol; ensure audit

Indemnity agreement

- Indemnify each other against costs

Certification - all parties sign



What it doesn't contain

- Templates for protocols!
- Though there are some good models in Annex 4
- No guarantee that any one protocol will be appropriate to another situation



Next steps

- Analyse responses
- checklist of areas to be covered by protocols
- evaluation tool
- use these to identify individual protocols most suitable for adaptation as standard



Social Care IG Toolkit

- Aim to launch by April 2004
- ADSS partner in providing practical advice (reference groups)
- May initially concentrate on one client group (eg older people)
- Part of the Social Care Information Governance Project



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