

Meeting: Governing Body			
Meeting Date	23 March 2022	Action	Approve
Item No.	7.2	Confidential	No
Title	Caldicott Principles		
Presented By	Will Blandamer, Executive Director for Strategic Commissioning		
Author	Jacque Williams, Interim Information Governance and Risk Strategic Advisor		
Clinical Lead			

Executive Summary

Bury CCG are required to adhere to the Caldicott Principles and UK Data Protection legislation when handling patient identifiable information.

This document establishes the responsibilities for Caldicott Guardianship and provides reference to the Caldicott principles, for the purpose of ensuring both colleagues and the public have a full appreciation of the role within the wider Information Governance framework.

The Caldicott Principles document was considered by the Information Governance Steering Group, prior to submission to the Audit Committee on 4 March 2022 for recommendation to the Governing Body.

Recommendations

It is recommended that the Governing Body;

- Approve the Caldicott Principles as described in the document for publication to the CCG website.

Links to CCG Strategic Objectives

SO1 - To support the Borough through a robust emergency response to the Covid-19 pandemic.	<input type="checkbox"/>
SO2 - To deliver our role in the Bury 2030 local industrial strategy priorities and recovery.	<input type="checkbox"/>
SO3 - To deliver improved outcomes through a programme of transformation to establish the capabilities required to deliver the 2030 vision.	<input checked="" type="checkbox"/>
SO4 - To secure financial sustainability through the delivery of the agreed budget strategy.	<input type="checkbox"/>

Links to CCG Strategic Objectives
Does this report seek to address any of the risks included on the Governing Body Assurance Framework? If yes, state which risk below:
GBAF

Implications						
Are there any quality, safeguarding or patient experience implications?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input checked="" type="checkbox"/>
Has any engagement (clinical, stakeholder or public/patient) been undertaken in relation to this report?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input checked="" type="checkbox"/>
Have any departments/organisations who will be affected been consulted ?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input checked="" type="checkbox"/>
Are there any conflicts of interest arising from the proposal or decision being requested?	Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>	N/A	<input type="checkbox"/>
Are there any financial Implications?	Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>	N/A	<input type="checkbox"/>
Is an Equality, Privacy or Quality Impact Assessment required?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input checked="" type="checkbox"/>
If yes, has an Equality, Privacy or Quality Impact Assessment been completed?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input checked="" type="checkbox"/>
If yes, please give details below:						
If no, please detail below the reason for not completing an Equality, Privacy or Quality Impact Assessment:						
Are there any associated risks including Conflicts of Interest?	Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>	N/A	<input type="checkbox"/>
Are the risks on the CCG's risk register?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>	N/A	<input checked="" type="checkbox"/>

Governance and Reporting		
Meeting	Date	Outcome
N/A		

Bury CCG Caldicott Principles

Introduction

This document describes the requirements for Bury NHS CCG to adhere to the Caldicott Principles, when handling patient identifiable information. It establishes the responsibilities for Caldicott Guardianship and provides reference to the Caldicott principles.

The Caldicott Guardian

The Caldicott Guardian is a senior person within a health and social care organisation, responsible for protecting the confidentiality of patient's health and care information and ensuring it is used legally, ethically and appropriately. They act as an advocate for information sharing at a strategic level and play a key role in the following areas:

- Ensuring that the organisation and its partner organisations satisfy the highest practical standards for handling patient and service user information;
- Acting as the 'conscience' of the organisation in relation to information sharing and supporting work to enable information sharing where it is appropriate to do so; and
- Advising on options for lawful and ethical processing of information.

Caldicott Guardian and Data Protection Officer

The UK General Data Protection Regulation (UK GDPR) and the Data Protection Act 2018 exist to maintain a balance between the rights of individuals to privacy and the ability to use personal and sensitive data for organisational purposes. This legislation forms the basis of day-to-day responsibilities held by the Data Protection Officer. The Caldicott Guardian, however, is accountable for the compliance of the CCG's Governing Body to the Caldicott Principles, ensuring both legal and ethical considerations are taken into account.

It is therefore vital that both roles work in unity to convey a clear message to the organisation regarding the approach to handling personal identifiable data under both the UK legislation and Caldicott Principles

The Caldicott Guardian for Bury CCG is:

Will Blandamer, Executive Director of Strategic Commissioning
email: W.Blandamer@bury.gov.uk

The Caldicott Principles

The Caldicott Principles safeguard the integrity, confidentiality, and availability of sensitive information, particularly in a clinical or social care setting where accurate, relevant information

is essential to delivering good quality treatment and services.

The eight Caldicott Principles, as depicted by the UK Caldicott Guardian Council, are listed below:

- **Principle 1 - Justify the purpose(s) for using confidential information**

Every use or transfer of personal confidential data within or from an organisation should be clearly defined, scrutinised and documented, with continuing uses regularly reviewed, by an appropriate guardian.

- **Principle 2 - Don't use personal confidential data unless it is absolutely necessary**

Personal confidential data items should not be included unless it is essential for the specified purpose(s) of that flow. The need for patients to be identified should be considered at each stage of satisfying the purpose(s).

- **Principle 3 - Use the minimum necessary personal confidential data**

Where use of personal confidential data is considered to be essential, the inclusion of each individual item of data should be considered and justified so that the minimum amount of personal confidential data is transferred or accessible as is necessary for a given function to be carried out.

- **Principle 4 - Access to personal confidential data should be on a strict need-to-know basis**

Only those individuals who need access to personal confidential data should have access to it, and they should only have access to the data items that they need to see. This may mean introducing access controls or splitting data flows where one data flow is used for several purposes.

- **Principle 5 - Everyone with access to personal confidential data should be aware of their responsibilities**

Action should be taken to ensure that those handling personal confidential data - both clinical and non-clinical staff - are made fully aware of their responsibilities and obligations to respect the confidentiality of patients and service users.

- **Principle 6 - Comply with the law**

Every use of personal confidential data must be lawful. All individuals handling personal confidential data should be responsible for ensuring that the organisation complies with legal requirements.

- **Principle 7 - The duty to share information can be as important as the duty to protect patient confidentiality**

Health and social care professionals should have the confidence to share information in the best interests of their patients within the framework set out by these principles. They should be supported by the policies of their employers, regulators and professional bodies.

- **Principle 8- Inform patients and service users about how their confidential information is used**

A range of steps should be taken to ensure no surprises for patients and service users, so they can have clear expectations about how and why their confidential information is used, and what choices they have about this. These steps will vary depending on the use: as a minimum, this should include providing accessible, relevant and appropriate information - in some cases, greater engagement will be required.

Further documentation relating to the use of patient data can be found [here](#).

Jacque Williams

Interim Information Governance and Risk Strategic Advisor

Jacqueline.williams44@nhs.net

March 2022