

## **Report of Health and Social Care sector Level 2 Information Governance Serious Incidents Requiring Investigation recorded and now closed during**

**01 June to 30 September 2013**

### **Purpose**

This is the first published report of closed level 2<sup>1</sup> Information Governance Serious Incidents Requiring Investigation (IG SIRIs) recorded on the IG Toolkit Incident Reporting Tool that, going forward, will be published on a quarterly basis as specified in the IG SIRI Publication Statement<sup>2</sup>.

The report below consists of **4** incidents reported to the Information Commissioner's Office (ICO), Department of Health (DH) and NHS England (NHSE) by Health or Social Care organisations or suppliers (as advised within the [IG SIRI Guidance](#) issued 1<sup>st</sup> June 2013). It covers IG SIRIs reported and closed during the period of the 01 June to 30 September 2013, following investigation by the local organisation(s) concerned. It contains the organisation name, date the incident occurred, scale (e.g. the number of data subjects affected presented as a range from and to), a description of the incident and data involved. All information displayed below is as reported by the organisation(s) concerned.

### **Please note:**

- A 'Closed' incident means that the incident has been investigated by the local organisation and no further action is required unless the ICO make a request.
- Closed incidents may still be under review by the ICO and any actions taken will be published on the [ICO website](#).
- June 2013 is included within this quarterly report as this was when the IG SIRI reporting tool was made available on the IG Toolkit website. However, future quarterly reports will only cover the specified 3 month period.
- This report does not include any incidents which may have been reported to the DH by Strategic Health Authority (SHA) IG Leads, as per the previous process, prior to the launch of the IG Toolkit Incident Reporting Tool (1<sup>st</sup> June 2013). This information should be available on local organisation websites.
- This report does not include level 2 incidents which are still marked as open and under investigation by the local organisation.
- Any near misses, Level 0 and 1 incidents voluntarily reported by organisations are also excluded as these incidents are not currently being monitored by the Health and Social Care Information Centre but are useful for gathering intelligence, analysing trends and learning from previous occurrences.

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<sup>1</sup> Level 2 IG SIRIs are sufficiently high profile cases or deemed a breach of the Data Protection Act or Common Law Duty of Confidentiality, and hence reportable to the Department of Health and Information Commissioner's Office. Organisations have used the IG SIRI assessment of severity facility to determine this level and report the incident. Further information on this can be found in the 'Checklist Guidance for Reporting, Managing and Investigating IG SIRIs'.

<sup>2</sup> <https://www.igt.hscic.gov.uk/resources/IGIncidentsPublicationStatement.pdf>.

## Next reports

The next level 2 IG SIRI closed report will be published by the end of January 2014 covering the period October to December 2013.

### Closed Level 2 IG SIRIs from 01 June to 30 September 2013

Organisation Name	Date of Incident	Scale of Incident	Details of Incident	Data
NHS South East Staffordshire and Seisdon Peninsula CCG	Aug-13	Information about less than 10 individuals	CCG employee received an e-mail with Patient Identifiable Information. The e-mail information was not encrypted and was transferred between different servers.	The e-mail included the patient's name, address and limited information with regard to home conditions and diagnosis
AVON AND WILTSHIRE MENTAL HEALTH PARTNERSHIP NHS TRUST	Jul-13	Information about less than 10 individuals	Assessment letter sent to incorrect address	Assessment letter contained the NHS number, a working mental health diagnosis, personal identifiable information and a range of sensitive information in relation to the patient's presentation, lifestyle and family history.
IPSWICH HOSPITAL NHS TRUST	Jul-13	Information about less than 10 individuals	Details of medical conditions of 5 patients have been accessed by a member of staff with no legitimate relationship. Information has then been divulged to third parties.	Medical diagnoses and procedures

Organisation Name	Date of Incident	Scale of Incident	Details of Incident	Data
NORFOLK AND SUFFOLK NHS FOUNDATION TRUST	Jun-13	Information about 11-50 individuals	An internal investigation concluded that an unknown member of the team had taken the handover sheet off the ward which is in breach of a Trust policy. This document was then "misplaced" at a different hospital site and found by a member of the public who alerted the ward staff and returned the handover sheet to the Trust for safe custody.	A handover sheet which contained patient identifiable information which referred to 15 acute later life ward patients, detailed patients names, date of birth and summary information about their mental health status.

**Information Governance Assurance Directorate**

**External IG Delivery Team**

**Health and Social Care Information Centre**