NHS Digital

Information Governance Incidents closed during 1 April to 30 June 2016

Published December 2017

Information and technology for better health and care

Contents

Introduction

This is the twelfth published report of closed level 2[1] Information Governance Serious Incidents Requiring Investigation (IG SIRIs) recorded on the IG Toolkit Incident Reporting Tool. It covers IG SIRI level 2 incidents closed during the period of 1 April to 30 June 2016, following investigation by the local organisation(s) concerned.

Content of the report

The report consists of **25 closed incidents** reported to the Information Commissioner's Office (ICO), Department of Health (DH) and NHS England by Health or Adult Social Care organisations or suppliers - as advised within the IG SIRI Guidance issued 29 May 2015.

The report contains the organisation name, date the incident was closed, scale (e.g. the number of data subjects affected presented as a range), a description of the incident and data involved. All information displayed below is as reported by the organisation(s) concerned. Where necessary, personal information included within the incidents has been redacted.

An auto closure feature introduced in June 2015 closes all open incidents that have not been updated by the organisation for 90 days[2]. In Appendix A are **76 closed incidents** which have been auto-closed by the system.

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.

- This report does not include level 2 incidents which are still marked as open and therefore are still 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 NHS Digital but are useful for gathering intelligence, analysing trends and learning from previous occurrences. Details of such incidents are held by the local organisations.

Next report

The next closed level 2 IG SIRI report to be published will cover the period **1ˢᵗ. July to 30ᵗʰ. September 2016**.

---

[1] 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'.

[2] The organisation is notified by email 10 days in advance giving them time to update or close the incident before the auto closure occurs. If the organisation updates the record, it will not be auto closed. The organisation will also receive an email notification within 24 hours after auto closure, and if necessary can reopen the incident.

Closed level 2 incidents reported during 1st. April to 30th. June 2016

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
IGI/5721	SIRONA CARE & HEALTH	03-Jun-16	80	Due to personnel changes additional members of staff were required to be added to the daily distribution list from the local acute hospital in October 2015. Official request forms were completed by our ward clerk for three new members of staff and submitted to the hospital. The correct email address was provided on this form. This request was chased up by our ward clerk in January 2016 and again in May 2016. The email sent in May referenced the previous forms but also listed the three email addresses to be added in the body of the email. One of these email addresses contained a typo, and was listed as "firstnamelastname1@nhs.net" when it should have read "firstname.lastname1@nhs.net" as per the form originally provided. The email address added to the distribution list did not contain the full stop between the first and last names and as a result the emails were sent to an individual with the same name but working in a different NHS trust. This error was then recognised and the email address has been amended. The incident was raised through Sirona's internal adverse event reporting system.	Name, DOB, GP and GP Surgery details, NHS number, admission date. In some cases (approx. half) there was a "latest ward comments" field.
IGI/5654	EAST LANCASHIRE HOSPITALS NHS TRUST	03-Jun-16	24	MDT notes with patient sensitive information found in clear bin bag. The papers were not shredded; The bag was found by a cleaner in a staff/service lift and therefore not seen by members of public or other staff. The incident was immediately reported to the IG department	Patient personal information, treatment and diagnosis, patient labels.

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
				and the sensitive information secured. Putting patient sensitive data in a clear bag, even if shredded, is contrary to trust policy /procedures for disposal of confidential data.	
IGI/5678	SALISBURY NHS FOUNDATION TRUST	29-Jun-16	1	The Trust received an unencrypted email from another NHS organisation (non NHS.net to NHS.net email account) in connection with an SII report. The email had two documents attached. The first contained a scanned copy of an incident report they had submitted to the local CCG for which they had not received a response. The second contained the patient's name, date of birth and NHS Number. This email was then forwarded to the local CCG in an attempt to help the three NHS organisations identify the correct patient, investigate and resolve the patient's concerns/complaint. However, in trying to resolve the issue as quickly as possible for the patient, the member of staff inadvertently forwarded the email from a non-secure hospital email account to the CCG without using their NHS.net account or removing the document containing the patient's details. This resulted in an inappropriate disclosure of personal identifiable information to the CCG.	Incident Report and Patient Name, Date of Birth, NHS Number
IGI/5705	UNITED LINCOLNSHIRE HOSPITALS NHS TRUST	26-May-16	23	Paperwork found in shop next door to local surgery - handed into a doctor's surgery, where the practice manager then contacted the IG department to inform them. The paperwork was then sent in to the IG Team so the department could be identified and Business Unit advised of incident and assisted to investigate.	Patient lists from ward of around 20 patients (name, NHS number, diagnosis and treatment plan) and copies of three patient letters.

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
IGI/5607	DAYBROOK DENTAL SURGERY LTD	27-Jun-16	2	Phone call was received at practice this morning from an individual asking to speak with the practice manager. The patient was called back straight away as requested, patient wanted to make a formal complaint as she had a phone call over the weekend from another patient at the practice with the same name who had been sent both sets of clinical notes. The patient was horrified that another patient with the same name but different DOB and address could get hold of their personal information, and that it was a serious breach of data protection. I informed the patient that I will look into this and get some advice from the compliance team, patient wants phone call returned today to say how the matter has been dealt with.	Patient dental record card
IGI/5614	BARNSLEY HOSPITAL NHS FOUNDATION TRUST	24-Jun-16	10-15	Notebook containing patient details has been lost within the hospital. Nurse working at the Trust since mid-February had attended to a patient. During the consultation, the nurse will take details of the patient's medical history; details of pressure sores, wounds etc. including grade and apply a patient sticker alongside the information. This information is recorded in a notebook and transferred to a database upon return to their office. On this occasion, the nurse left ICU and returned to the ward to notice she had lost the notebook. An internal investigation is being undertaken to determine the root cause of the incident. A copy of this report will follow once complete.	NHS patient data

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
IGI/5625	BUCKINGHAMSHIRE HEALTHCARE NHS TRUST	08-Jun-16	6,000	An email was sent from the trust to a CSU and attached on second page of the Excel document was a full staff in post list for the trust. The recipient of the email has confirmed that the data has been confidentially deleted and no-one else in the organisation had access to it.	Data details contained name, dob, pay scale, ethnicity, DBS disclosure, sexual orientation, disability disclosure, religion along with employment start dates
IGI/5583	NHS BEDFORDSHIRE CCG	17-May-16	1	Notes had been sent to the CCG CHC team by local hospital. Beds CCG forwarded the notes to NHS England Independent Review Panel meeting. Within the pack was a page relating to another patient.	Continuing Healthcare papers
IGI/5538	EAST LANCASHIRE HOSPITALS NHS TRUST	03-Jun-16	23	Handover notes found in staff car park. Found and handed back by member of staff. The sheet had 23 names and 9 sheets containing sensitive and personal information and clinical details.	Clinical treatment and diagnosis details+ name , address, Dob, NHs number and hospital number
IGI/5528	ST GEORGE'S UNIVERSITY HOSPITALS NHS FOUNDATION TRUST	20-Jun-16	6	Email with PCD sent to incorrect address.	Complaints letters
IGI/5469	UNIVERSITY HOSPITALS BRISTOL NHS FOUNDATION TRUST	17-Jun-16	1	Post-natal mother given the wrong set of notes on discharge from hospital.	Patient's maternity medical records.

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
IGI/5447	THE HILLINGDON HOSPITALS NHS FOUNDATION TRUST	01-Jun-16	276	A member of staff had their car stolen from outside their property. The boot contained paper records in the form of an appointment diary which contained the following details:	Paper diary containing: 1. Hospital patient ID stickers (detailing name, DOB, address, telephone number, NHS number and hospital number) 2. Blood results (hand written not report). Trust encrypted laptop
IGI/5389	MERSEY CARE NHS FOUNDATION TRUST	07-Jun-16	1	Clinical documentation relating to 1 in-patient found left in meeting room. The patient who data related to was informed by other patient.	4 pages of documentation printed off from the electronic clinical information system for handover meeting relating to 1 in-patient. Documentation states patient name, date of birth, medication and gives details of current diagnosis and illicit drug use.
IGI/5423	CORNWALL PARTNERSHIP NHS FOUNDATION TRUST	28-Jun-16	14	Healthcare assistant accessed a total of 14 different patient records with no legitimate reason, over a period of several months. Once awareness of incident was raised access to systems was heavily restricted and Serious incident investigation has begun.	Accessed the Electronic Health care records for mental health patients
IGI/5355	DR RISHTON & PARTNERS	16-Jun-16	100-300	All types of Patient identifiable data is likely to be included - names, addresses, dates of birth, consultant letters, summary information from medical records, consultations, referral letters, medications etc.	NHS patient data
IGI/5515	LIFELINE PROJECT LTD (MANCHESTER)	01-Jun-16	15	The peer mentor had seen approximately 15 new receptions into HMP Holme House, and had recorded their name, prison number, date of birth, release / court date (if known) and whether	Paper recording form, containing name, prison number, date of birth, release / court date (if known) and whether the

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
				they wanted support from the drug and alcohol service. The file was apparently pushed under a locked door into an office, but then could not be found. A full search of the office and other areas has been undertaken. A new procedure has been put in place for handling data gathered by peer mentors.	individual wanted support from the drug and alcohol service.
IGI/5263	LINGFIELD SURGERY	25-May-16	19	First Community ICATS requested details of patients to confirm status of referrals. Email address provided was not nhs.net account. Email was copied to senior GP also with non nhs.net address.	19 patients name and date of birth.
IGI/5318	NHS DIGITAL	25-Apr-16	300	The issue reported by SWFT has never been reported by any SUS users before and was not as a result of any irregular or unapproved access steps being taken by the user. The user chose to use SUS configuration files 'published globally' by other trusts. The specific configuration files chosen by the user were ones published by trusts in Rotherham and Bristol and the user then chose to preview the data. This is a valid step that the user can take and should have returned data relating to SWFT patients, however returned a 100 record preview of data relating to patients from the trust from which the configuration file had originated. The reason that it was 100 records previewed is that this is the figure set by the preview functionality - if the user had wished to see a greater number of records, they would have be required to move to a different screen that would have returned data relating to their own trust (SWFT).	Local Patient Identifier/NHS number/Date of Birth/GP practice codes

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
				The user raised the issue immediately via an Information Governance escalation route and did not raise this at the time via the National Service Desk used for SUS issues. Dialogue between the user and the HSCIC SUS Team was established and there has been ongoing liaison between the user and the HSCIC SUS Team since then. The user twice accessed 100 Admitted Patient Care records relating to patients at Rotherham Hospital and twice accessed 100 Admitted Patient Care records relating to patients at University Hospitals Bristol, having tried two global configuration files. The data accessed by the user was identifiable and seen on screen only, not downloaded. In order to confirm the issue with the SUS system preview functionality, HSCIC SUS staff instructed staff at South Warwickshire to attempt to recreate the issue with both configuration files so that redacted screen shots could be shared with the HSCIC. This resulted in a further 200 records being viewed by staff locally, but confirmed the defect in the supplier application that provides front-end, 'portal' access for users.	
IGI/5228	WARRINGTON AND HALTON HOSPITALS NHS FOUNDATION TRUST	19-Apr-16	103	Ward handover sheets (marked confidential) were found in the former home of a carer who worked on multiple wards. The sheets were returned to the Trust.	Ward handover sheets containing a number of data items-name, dob and local identifier and some clinical detail. Circa 103 individuals named on handover sheets.

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
IGI/5205	EPSOM AND ST HELIER UNIVERSITY HOSPITALS NHS TRUST	05-May-16	43	A member of the public returned a handover document to the trust. The document consisted of 8 pages listing 43 patients. The document appears to have been taken home and placed in domestic waste by a member of staff. A ripped open bin bag was found by the member of the public with the document amongst the contents. An internal investigation is underway. The SIRO and joint medical directors are aware of the incident. The complainant has been updated and thanked for bringing this incident to our attention.	The data items for each patient were (not all clinical data completed for each patient): Full Name, Hospital No., Clinician, Admit date, Ward, Bed No., DoB, Age, Clinical detail, Jobs, Medication, Reason for Handover.
IGI/5119	BUCKINGHAMSHIRE HEALTHCARE NHS TRUST	04-May-16	204	A new Patient Administration System (PAS) called Medway was introduced into the Trust. The new system includes connectivity to the National Patient Demographic System - The Spine (PDS). The Trust was First of Type to use the PDS functionality in this version of the PAS. The design of the system functionality relating to the PDS was signed off by the HSCIC) in line with PDS standards. To register a patient, the user must select a patient from PDS. Once selected the system checks to see if the same patient is on the local database and provides a list of options to the user. The user then has the option to select an existing local record or create a completely new patient record in the local database. This incident refers to a number of cases where the user has selected an incorrect patient on the local database. This record is then overwritten with the latest details from PDS. To date, 204 records have been overwritten ("Confused") on the local system. This means	NHS patient data

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
				that some patients have potentially incorrect information in their record. The patients have been identified and warning alerts placed on the local PAS and patient record systems. A plan is in place to resolve and correct the data quickly whilst keeping affected patients informed.	
IGI/5104	MERSEY CARE NHS FOUNDATION TRUST	05-Apr-16	11	Personal identifiable information left in ward meeting room relating to 11 patients on ward found by in-patient and handed in to staff.	Confidential health and security information relating to 11 patients on ward left in ward room unattended and found by patient on ward who handed into staff.
IGI/5255	NHS LITIGATION AUTHORITY	27-Apr-16	21	Correspondence to claimant solicitors contained other correspondence on multiple cases	The content of letters disclosed are as follows: 15 RPS Letters of Acknowledgment of CNF's to various claimant solicitors. 1 letter to DWP on CNST case disclosing information on a claim. 1 CNST Letter of Response 1 CNST Acceptance of Offer. 2 CNST Letters of Repudiation 1 CRU1
IGI/5054	SOUTHEND UNIVERSITY HOSPITAL NHS FOUNDATION TRUST	06-Apr-16	25	The regular bed state update email was sent to various internal Trust and external NHS recipients from the Trust's control room. Accidently attached was the spreadsheet used to track the bed state. This contained the following person identifiable data for 25 patients. On realisation of the error the email was recalled and	The attached spread sheet contained the following details: Name, Hospital Number, Age, Sex and Diagnosis/Notes

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
				senior management informed of incident. Internal reporting made via Trust Datix system and investigation instigated.	
IGI/5046	NHS BEDFORDSHIRE CCG	13-Apr-16	1	Family emailed a letter of complaint containing personal confidential and sensitive data about a family member who is subject to safeguarding to a CCG member of staff. The member of staff meant to forward the email internally. However he inadvertently forwarded it externally to a solicitor who had a similar name.	Email containing personal confidential and sensitive information

Appendix A

Incidents closed using the 'auto closure[3]' facility 1 April to 30 June 2016

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
IGI/5254	WORCESTERSHIRE ACUTE HOSPITALS NHS TRUST	14-Jun-16	20	The handover contained the names, age, consultant along with details of patient's diagnosis and treatment.	Names, age, consultant along with details of patients diagnosis and treatment
IGI/5137	THE NEWCASTLE UPON TYNE HOSPITALS NHS FOUNDATION TRUST	25-May-16	143	Medical records are transported by courier across three hospital sites. A courier collected 5 boxes containing the full medical records of 143 individual patients. As per the Trust contract the boxes should have been delivered to two hospital sites that evening. Records should never be left in vehicles overnight. The courier did however take the records home intending to deliver them early on the following day. He parked the van on a public road with the records still boxed in the back of the vehicle. He discovered the van was missing and reported it as stolen to the Police. The Trust is in the process of identifying all the patients and will contact them as soon as practicable. The Police investigation is underway and an incident review team is in place within the Trust.	Patient records
IGI/5276	MILTON KEYNES UNIVERSITY HOSPITAL NHS FOUNDATION TRUST	01-Jun-16	14	This is an ongoing complaint and the records were asked for by the relative in relation to this. Only records from the last admission were given. The records were vast containing over	Name age and medical information of 14 patients, 7 of which were living individuals

---

[3] The organisation is notified by email 10 days in advance giving them time to update or close the incident before the auto closure occurs. If the organisation updates the record, it will not be auto closed. The organisation will also receive an email notification within 24 hours after auto closure, and if necessary can reopen the incident.

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
				1500 documents. The records were checked by the IG officer to ensure that no other patient information was contained within the documentation. The relative was particularly difficult and demanding, contacting the department numerous times a day and was most unpleasant at times. The relative firstly requested copies of the deceased medical records. The relevant checks were made and the notes were issued. When the relative received these she complained that they were in-complete and we were withholding information and that she had been charged £75.00. The relative was charged £20 in the first instance in line with legislation; however no further charge was made. After investigation it turned out that the notes had not yet made their way to the scanning department and therefore were not available on the system when the IG Department first printed them, they had not deliberately been withheld. The IG Department went out of their way to print the rest of the notes that had been scanned in and the relative collected these the next day. The complaints department contacted IG to inform us that the relative had found information contained in the records of 14 other patients (Sepsis Sheet).	

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
IGI/5313	CORNWALL PARTNERSHIP NHS FOUNDATION TRUST	28-Jun-16	3	IG Department contacted over concerns about a Health visitor accessing their family member's records and providing care. Details of alleged instigator and victims were obtained and Caldicott approval gained for conducting an access audit of our KITS Rio system System audit revealed employee had accessed records of their daughter-in-law and grandchild. Alleged instigator is suspended from work and pending a full HR investigation and hearing. Further allegations raised to IG department concerning possible extended family members. IG department obtained family members names and gain Caldicott Guardian approval for further system audit. Audit information identifies that instigator accessed one further extended family member record that there is not currently a legitimate reason to do so. Throughout investigation evidence gathering has been conducted.	Health visitor information stored on our KITS Rio system. Instigator is a Health Visitor within the team that has access to provide care for this area of the county. No information was lost or damaged and no evidence information was printed from the system. Encrypted - Rio system is a NHS spine compliant system, with access only being granted through the use of a Smartcard with the relevant roles
IGI/5138	LEEDS AND YORK PARTNERSHIP NHS FOUNDATION TRUST	08-Jun-16	1	Gender ID service sent letter to wrong address. Reported by recipient who was an NHS employee, who destroyed it? Management Fact find undertaken. Address digits reversed from 41 to 14.	Patient letter from Gender ID service. Included referral to hormone clinic within the service.
IGI/5186	ST BARNABAS HOSPICE TRUST (LINCOLNSHIRE)	21-Apr-16	1	An informal comment from a senior manager prompted an investigation into unauthorised access to our clinical system (SystmOne). An audit of the access history to a single record was undertaken, and after removing the access	SystmOne clinical record

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
				events that were appropriate, we were left with four members of staff who did not have good cause to access the record. A lengthy investigation has been undertaken, and I will be acting as Disciplining Officer for the Trust and chairing four disciplinary proceedings under our Misconduct/Gross Misconduct arrangements. These are scheduled for approximately two weeks' time.	
IGI/5076	CAMBRIDGESHIRE COMMUNITY SERVICES NHS TRUST	22-Apr-16	18	An agency nurse ('the worker') visiting patients in the evening, saw their last patient before going on leave. When they returned from leave, they reported that they had misplaced their red bag. The worker has had a number of conversations with colleagues to try and establish the facts of this incident, however with each conversation; additional information has been uncovered relating to the incident and contents of the bag. As it stands, we have been able to establish the following: • The bag contained printed copies of the patient visit sheets for each of her shifts. • The information on these sheets included name, address, DOB and some information relating to the patient needs (e.g. change dressing) • There are 18 individual patients, of which, 6 use key safe codes/daglocks. • The worker's usual practice is to add to these sheets in handwriting as she goes	Patient name, address, DOB, some health related information (e.g. whether an injection is needed or dressing should be changed) possibly key safe codes

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
				about her shift. There is the presumption that she has added 'digilock' or keysafe codes associated with each of the patients as this is her usual practice. Age concerns have been made aware and the key codes have been changed. • The worker believed that the bag was last seen in the boot of her car, but she and other staff members have searched the office base and her car and home. The bag is so far still unaccounted for. The worker concerned is an agency member of staff and I have been advised that the appropriate checks with regards to mandatory training were carried out, as well as additional training given. The worker was also aware of the lone worker policy which advises on the use of paper information. The worker had been given a laptop (tough book) but preferred to print out and admitted that she knew that this was an inappropriate course of action.	
IGI/4980	MEDWAY COMMUNITY HEALTHCARE	08-Apr-16	1	Patient raised concerns that 2 members of staff have accessed her medical record and informed the member of staff's ex-husband of her telephone number and address and she is now being harassed by him. Patient raised concerns but reported that initial occurrence was in 2015.	Patients address and telephone number
IGI/5032	HINCHINGBROOKE HEALTH CARE NHS TRUST	08-Apr-16	1	Email received into the Trust claiming that a member of staff had accessed information about themselves and a friend. Initial investigation suggest that the member of staff	Although it hasn't been established exactly what information has been accessed, there is an audit

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
				has accessed the records of at least one of the individuals	trail on our PAS that shows access has been gained to electronic patient records.
IGI/5608	GREATER MANCHESTER WEST MENTAL HEALTH NHS FOUNDATION TRUST	13-May-16	1	A service user has lodged a complaint against Greater Manchester West Trust and Bolton Council regarding unauthorised access to his electronic medical records on the Trust electronic clinical system 'Paris' by a social worker employed by Bolton Council; the employee is known to the patient on a personal basis but the service user is not on the employee's caseload. Events: a social worker employed by Bolton council gained unauthorised access to a service user's medical records. The employee was known personally to the service user. The service user made a complaint to the Trust on suspecting unauthorised disclosure. An investigation, under the disciplinary policy, has been carried out and completed by Bolton Council. The conclusion of the investigation was reached and the IG Team at GMW were notified of the outcome; unauthorised access had been gained by the social worker. Disciplinary action has been undertaken by Bolton Council.	Patient's electronic medical record
IGI/5220	CARE PLUS GROUP	01-Apr-16	2	Completed Datix and awaiting call back from individual involved	SystmOne
IGI/4973	NHS SWALE CCG	13-May-16	1	A post ratification decision letter on eligibility for NHS Continuing Healthcare (not eligible) and the Decision Support Tool (DST) (which contains detailed personal health data and	NHS Patient Data pertaining to Continuing Healthcare including confidential medical history, personal ID and

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
				social care needs) was sent to an incorrect address. The error came to light when the family who had been expecting the letter telephoned the office to enquire why they had not received it. The incident was raised to management. The member of staff who made the error is away from the office and consequently has not as yet been spoken to establish the sequence of events and what checks were undertaken – however it has been established that the expected administration checks were done (i.e. the letter was double checked), but the data to which they were checking against was wrong. Further investigations will be undertaken to establish why the 'base' information was incorrectly recorded and what additional checks could have been undertaken to establish and correct the erroneous data. All post leaving the SAPT Team is stamped 'strictly private and confidential' and return to our address if received in error, but as yet the letter has not been returned. At this time we do not know if the data has in fact been received and viewed inappropriately by the incorrect recipient.	details of the person's health and social care needs
IGI/5012	BIRMINGHAM AND SOLIHULL MENTAL HEALTH NHS FOUNDATION TRUST	05-Apr-16	1	Staff member accessed records of a student nurse (without consent) who had advised she had previously been in services with the Trust.	Full client records relating to a student nurse who advised her manager she had previously been in services with the Trust. The Manager then accessed the students

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
					records without asking for consent; he then realised he probably shouldn't have done that and self-reported.
IGI/4978	CENTRAL LONDON COMMUNITY HEALTHCARE NHS TRUST	03-Jun-16	Not Known	When the School Nurse joined the service they had problems with accessing SystmOne records (CLCH). The School Nurse was working as School Nurse 2 days a week (CLCH) and a Health Visitor 2 days a week (LNWH) and therefore should've been able to access both modules in this dual role, however was intermittently able to access CLCH. The School Nurse was able to access certain children's records via LNWH Health Visiting module. The School Nurse has advised she contacted the support desk on several occasions to rectify this issue. The colleague understood that the data had been input on to the Health Visiting Module of LNWH however thought it was acceptable to do so. The School Nursing team have received 1 day classroom training on SystmOne and have had access to a 4/1 ratio floor walker. The School Nurse has kept A4 Notebooks for each of her schools (x 3) and one other notebook, where she has documented core group meetings, case conference meetings and health reviews with children. It's not clear whether this information has been entered onto SystmOne. Notebooks are currently locked in a filing cabinet in the school nursing office,	NHS Patient Data

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
				Wembley Health Centre. The Team Leader has the key.	
IGI/4982	ROYAL DEVON AND EXETER NHS FOUNDATION TRUST	12-Apr-16	2	Patient 1 in hospital for dermatological day case on discharge was given documentation relating to patient 2. Mistake was realised before incorrect documentation was given to patient 2. Patient 1 asked to return documentation. Patient 2 informed.	Personal details compromised - name, date of birth, address, GP details. Copy of consent form, nurse referral letter
IGI/4938	CYGNET HEALTH CARE LIMITED	22-Apr-16	50-100	An incident occurred that came to our attention in which an ex member of staff appears to have emailed details relating to members of staff held on our electronic system to her personal email address. The ex-employee was acting in a way that was not authorised by us and we have taken this matter extremely seriously and reported it to the Police. We had been asked by the Police not to contact anyone about this incident and not to disclose information to any third party until they had taken steps to investigate the matter fully. This is the reason that we have delayed contacting staff and the ICO until now.	There are 4 payroll files, 2 for the hospital and 2 for the grange. The grange files contain Name, NI No, bank account details, addresses and DOB. The hospital files are the same but do not contain bank account details.
IGI/4922	ROYAL FREE LONDON NHS FOUNDATION TRUST	23-Jun-16	151	Chronic fatigue service moved offices to a different building (trust premises). Lever-arch folders holding the medical assessment proformas of Fatigue service patients from A-Z were packed in crates in alphabetical order. After the move lever-arch folders marked A, A-B and E-F were missing and could not be found in either location. It appears that the lever-arch files were placed in a pedestal (damaged)	Medical assessment proformas containing patient data (Fatigue service) including: - Name - DoB - Address (for some) - Telephone number - Employment details though mot employer

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
				which, unknown to some of the staff involved in the move, had been identified for disposal. The pedestal was then taken to a dump/recycling facility where it was shredded and later incinerated. Comprehensive search for the lever-arch files was undertaken. Dump/recycling site where furniture was taken has confirmed that all furniture is 'shredded' including any contents and then taken to an incinerator.	- Benefits including housing details - Medical details could cover a sexual (including abuse, and sometimes abuser) and psychiatric history
IGI/4855	IPSWICH HOSPITAL NHS TRUST	30-Jun-16	16	Complaint received from patient who suspected 3x members of staff have accessed her records and given out her address to unauthorised individuals. 1 member of staff has been found to have accessed her record without a legitimate work purpose.	ED Discharge Summary patient letters safeguarding info
IGI/5222	EPSOM AND ST HELIER UNIVERSITY HOSPITALS NHS TRUST	05-May-16	24	A quantity of non-health record confidential information was being authorised for destruction and a box of 24 patient records was incorrectly included on the list of material to be destroyed. This error was identified when a request was made to recall a patient's note that was in the box of destroyed notes.	NHS inpatient and outpatient data held in paper form.
IGI/5218	CARE PLUS GROUP	01-Apr-16	0	Left computer unlocked with access to all data protected information for more than a reasonable amount of time. Asked receptionist where manager was, who stated he left just after 12 so locked the computer.	Computer was left unlocked. Therefore information could of been seen around staff files or disciplinary and hearing information
IGI/5219	CARE PLUS GROUP	24-May-16	1	Email received from worker, regards a student currently and their suitability of placement. The nature of the concern was past substance	Facebook and verbal conversations

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
				misuse which came from a reliable source not stated in the email. When asked if they have spoken to the student about this allegation they had not but told the student they were not suitable for a placement. Staff have now spoken to student as part of making sure the student and organisation are being open and honest, student was very upset and confirmed this was past behaviour. That has resulted in others knowing about the student's private life and the fear of social services involvement. The student has now gone to the police re breach of confidentiality and defamation of character. Police have requested copy of email Discussed the email we received and spoke with worker regarding the email. The university requesting a joint meeting. Informed student of reporting of incidents.	
IGI/5203	FRIMLEY HEALTH NHS FOUNDATION TRUST	25-May-16	2500	Member of staff took handover sheets home for a period of 1.5 years. Handover sheets contained the name, hospital number, clinical details of the patient.	Patient, name, hospital number, clinical condition and treatment being provided. In some cases the patient's address.
IGI/4778	BIRMINGHAM WOMEN'S NHS FOUNDATION TRUST	30-Jun-16	3	Dr left briefcase containing 12 patient files; camera and dictaphone on a train. The briefcase was later retrieved having been collected by the train manager and handed in to a lost property office. The briefcase was sent by courier back to the Dr's residential address. When they looked through the case, the contents were intact with the exception of the camera. The camera had patient photographs	The paper records were found intact however some images of patients were on the stolen camera (3)

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
				(of head, hands and feet) of 5 patients.	
IGI/4754	THE NEWCASTLE UPON TYNE HOSPITALS NHS FOUNDATION TRUST	13-Jun-16	19	The staff member has undergone a disciplinary hearing for other non-related offences and has been dismissed from the Trust. As part of the investigation it came to light that the individual had inappropriately accessed medical records. When questioned at the disciplinary hearing the individual admitted that he had checked medical records belonging to colleagues, friends and also relatives of friends, at the request of other friends. The individual admitted to inappropriately accessing 19 medical records in a number of electronic records systems. Medical details relating to four of those people accessed have reportedly been shared with friends (at least one person's data has been shared via a social network). The member of staff, as part of his job role did have legitimate access to the electronic systems. He had undertaken all mandatory training and had signed the Trust's confidentiality agreement, so was fully aware of his actions.	Patient and staff.
IGI/4755	SOUTH TEES HOSPITALS NHS TRUST	05-May-16	1	Error in entering patient number into the patient administration system resulted in incorrect patient details being used to populate the letter.	Sensitive data relating to physical health.
IGI/4658	CHESHIRE AND WIRRAL PARTNERSHIP NHS FOUNDATION TRUST	23-Jun-16	210	A member of staff accidentally left a book in a patient's home which contained information relating to 210 individuals, 77 of which have some form of identifiable information. The level of information involved varied from just name, to basic demographics to more detailed	210 full patient names 77 of which have some form of identifiable information attached to them ranging from date of birth, address, telephone number, some

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
				information. The family of the patient whose home it was left in realised what it was and contacted the service immediately and it has been returned. All data subjects involved have been informed.	names have limited clinical information e.g. 2 or 3 words, some have a short sentence and some have up to two pages of clinical information.
IGI/4596	SOUTH TEES HOSPITALS NHS TRUST	05-May-16	7	Letter contained sensitive information relating to health of the data subject. The incorrect house number had been typed on the letter. Recipient rang the trust to report that she had received the letter.	Formal complaint response letter containing sensitive medical information relating to the patient.
IGI/4753	CAMBRIDGE UNIVERSITY HOSPITALS NHS FOUNDATION TRUST	10-May-16	1	Patient received another patient's blood results in the post.	blood results
IGI/4752	CAMBRIDGE UNIVERSITY HOSPITALS NHS FOUNDATION TRUST	10-May-16	74	Fly tipping found to belong to two people living in the same house, one of these individuals' works at the Trust.	Handover sheet
IGI/4751	CAMBRIDGE UNIVERSITY HOSPITALS NHS FOUNDATION TRUST	10-May-16	1	Patient was discharged home with a different patient's discharge letter.	Discharge letter
IGI/5217	CARE PLUS GROUP	01-Apr-16	2	Patient presented late for script. Recovery worker needed to complete Safeguarding Paperwork as instructed by Case Manager. Recovery worker entered the information onto the wrong patient. Involved manager. All Safeguarding information deleted and put onto the correct client. Checks have been undertaken and the individual involved has not completed the Information Governance Training. Error discussed in individual	Information recorded in the wrong patient record

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
				supervision. Staff member to undertake IG training as they have not currently completed this. Incorrect notes redacted and correct information entered.	
IGI/4507	CAMBRIDGE UNIVERSITY HOSPITALS NHS FOUNDATION TRUST	10-May-16	30	Patient was found to have a handover sheet in their belongings when being discharged from the ward. A nurse was supporting the patient and noticed the handover sheet in their bag	Handover sheet
IGI/4468	CAMBRIDGE UNIVERSITY HOSPITALS NHS FOUNDATION TRUST	10-May-16	14	A handover sheet was found in the drive of a member of public's house, they returned the handover sheet in the post to the Trust. The road was a main road leading from the Trust site. The handover sheet was printed for the acute medicine team. Returned back to the Trust.	Patient data - clinical information (summary) full name and age
IGI/4508	CAMBRIDGE UNIVERSITY HOSPITALS NHS FOUNDATION TRUST	10-May-16	1	Patient received another patient's letter in an envelope addressed to them.	Clinical letter
IGI/4392	EAST SUSSEX HEALTHCARE NHS TRUST	05-Apr-16	6,500	Spreadsheet emailed via encrypted email (sent nhs.net to nhs.net) from one NHS trust to another, document was also password protected. There were several named sheets, but an unnamed one contained sensitive fields about staff that wasn't necessary.	Fields include religion, sexual orientation, ethnicity
IGI/4370	ROYAL DEVON AND EXETER NHS FOUNDATION TRUST	22-Jun-16	1	A member of staff needed to contact a GP surgery about a 2-year old girl as there were safeguarding concerns. She rang the wrong number and left a message on the answerphone with personal details of the patient. The recipient rang us to report that we had rung the wrong number.	Child's name, date of birth and an indication that there might be safeguarding issues.

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
IGI/4315	ROYAL CORNWALL HOSPITALS NHS TRUST	07-Apr-16	24	The email address auto select was not checked which lead to the wrong staff group being selected. The Trust has an Email Policy which is readily available which outlines the need for care and attention when sending confidential information. Several staff within the Department are embarrassed that the details relating to the periods and frequency of sickness has been disclosed. Two staff have been clearly identified as breaching Trust Policy with regard to the number of incidents during a three month period. This would alert those staff who accessed the files that these individuals should be going through a disciplinary process. Disclosure of employee number could lead to identify theft if those who have accessed the file used this along with other information they may have access to, to contact the Payroll dept., although this is unlikely.	The files identify the names, sickness periods, Employee number, FTE days lost, spells, latest absence dates, absence percentage and Bradford scores of staff. There are some staff members that are showing as having had 3 separate sickness periods within 3 months, under Trust policy that would initiate a disciplinary process.
IGI/4317	CAMBRIDGE UNIVERSITY HOSPITALS NHS FOUNDATION TRUST	10-May-16	30	Patient on the ward had left at their bedside a handover sheet by a member of staff.	Handover sheet
IGI/4450	CENTRAL LONDON COMMUNITY HEALTHCARE NHS TRUST	03-Jun-16	1	New birth notification received containing an incorrect NHS number for the mother who had the same name and date of birth. Not picked up till the 2nd child was born.	Mothers universal health visiting records added to the wrong person GP notes
IGI/4311	CAMBRIDGESHIRE COMMUNITY SERVICES	22-Apr-16	1	Letter contained information pertaining to a different person than on the letter header;	Patient data - fully identifiable.

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
	NHS TRUST			details included treatment options and follow up information. Also enclosed within the envelope was a blood test form containing PID and limited past medical history. It is understood that a deviation in process may have contributed to this error, to be investigated as part of the RCA.	Clinical information/medical history.
IGI/4911	THE NEWCASTLE UPON TYNE HOSPITALS NHS FOUNDATION TRUST	05-Apr-16	approx. 20	The complainant contacted the Trust as he suspected that his girlfriend's parent or parents had looked at his medical records. Both parents were employed by the Trust.	Patient
IGI/4226	CAMBRIDGE UNIVERSITY HOSPITALS NHS FOUNDATION TRUST	10-May-16	1	EPR held a temporary address for this patient, temporary address was incorrect. Clinical letter issued to temporary address.	clinical letter
IGI/4193	CAMBRIDGE UNIVERSITY HOSPITALS NHS FOUNDATION TRUST	10-May-16	1	Discharging two patients whose paper work was right next to each other, due to shortage of staff and pressure to discharge have accidently given the wrong family the wrong red book for their baby even after checking I had the right paperwork, their address and hospital number has been given out to the wrong people.	Baby book
IGI/4180	CAMBRIDGE UNIVERSITY HOSPITALS NHS FOUNDATION TRUST	10-May-16	1	Letter returned to Immunology department that was sent to the wrong person. The recipient contacted the Trust.	Clinical letter
IGI/4179	CAMBRIDGE UNIVERSITY HOSPITALS NHS FOUNDATION TRUST	10-May-16	50	Play team found stacks of white scrap paper that had been cut in half and placed in playroom for children to draw on with patient identifiable information on from ICU. This paper included theatre lists. blood transfusion orders with names and DOB's etc.	Various documents - theatre lists, blood forms etc. - all included patient identifiable data
IGI/4174	AVON AND WILTSHIRE	18-May-	1	Wrong address entered on prescription chart,	prescription details and

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
	MENTAL HEALTH PARTNERSHIP NHS TRUST	16		disclosed to third party	demographics
IGI/4175	CENTRAL LONDON COMMUNITY HEALTHCARE NHS TRUST	03-Jun-16	13	A member of the public contacted the PALs team and advised that she had found page 1 of a patient visit sheet which contained patient information along with key safe codes on her doorstep. The sheet contained information of 13 patients.	Date of visit Full name Address Medical condition and some information from their care plans 6 out of the 13 had key codes (handwritten with further details of where the second key safe is kept for one of the key codes)
IGI/4244	ROYAL DEVON AND EXETER NHS FOUNDATION TRUST	22-Jun-16	2	Two emails, both of which contained clinical information, were sent by different members of staff in different areas to a group email in error (entitled "PACS-Users"). This group actually contained the addresses of hundreds of contacts inside and outside the Trust: in other Trusts, NHS England, and CCGs etc. All the recipients were NHS members of staff and not members of the public. Some emails used encrypted NHSmail, others did not.	Email 1: diagnosis and treatment of an identified patient for an injured hand Email 2: Request for an X-ray of a foetus for an identified patient.
IGI/4119	COLCHESTER HOSPITAL UNIVERSITY NHS FOUNDATION TRUST	11-May-16	1	Community midwife attended a woman's house for a first visit following discharge from hospital postnatally. Woman had been sent home with her purple maternity folder containing her correct notes. PLUS another woman's whole folder containing all of the woman's antenatal, intrapartum and postnatal notes, scan reports, ICP, CTGs etc.	Patient's maternity notes

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
IGI/4216	SOUTH TEES HOSPITALS NHS TRUST	05-May-16	634	The trust authorised the destruction of health records that had reached the retention period of 8 years after the last episode of care. Maternity records that had been included in the general medical record had not been removed prior to destruction. These should have been retained for 25 years.	Paper medical records relating to maternity care
IGI/4184	CAMBRIDGESHIRE COMMUNITY SERVICES NHS TRUST	22-Apr-16	1	A copy of a patient's report was posted to another patient (2 separate envelopes with the same patient label). The member of staff was unable to use a window envelope which is the usual process as the letter contained an attachment. The patient took the incorrect report to the GP surgery who returned it to the service.	Patient report containing name, address, DOB, NHS number and speech and language treatment plan.
IGI/4103	CAMBRIDGE UNIVERSITY HOSPITALS NHS FOUNDATION TRUST	10-May-16	1	Patient contacted the hospital because they had received another patient's letter in the post.	clinic letter
IGI/4476	EAST OF ENGLAND AMBULANCE SERVICE NHS TRUST	25-Apr-16	10	The running sheet single-staffed vehicle was found in the corridor at Broomfield Hospital. The running sheet contained patient names, addresses and clinical conditions, together with the clinic attending. This was reported to the Trust by the Hospital's IG manager.	Patient's names, addresses and clinical conditions.
IGI/4109	ROYAL CORNWALL HOSPITALS NHS TRUST	15-Jun-16	201	Bin bag containing confidential information was donated to Oxfam. 167 separate RCHT patients and 34 patients from another NHS Trust were identified in the paperwork.	Basis demographics, NHS Numbers, Dates of Birth, detailed clinical information, theatre lists, On Take Registers and Out Patient clinic lists.

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
IGI/4149	HULL AND EAST YORKSHIRE HOSPITALS NHS TRUST	18-Apr-16	1	Agency Worker accessed own record on Trust PAS System.	Own Medical Record
IGI/4010	MEDWAY COMMUNITY HEALTHCARE	08-Apr-16	18	Patient records left at clinic, they were subsequently handed in to one of our other services by the venue caretaker. This was reported by the service.	18 patient records containing patient names, date of birth, NHS number, medical history and observations
IGI/4907	CARE PLUS GROUP	01-Apr-16	10	Prior to starting work I went to my car to get my mobile technology bag. After looking in my car it was no longer there. The previous night I had placed my bag with all my mobile tech in the boot of my car. I went out for the evening and didn't notice any damage to my car and then returned home for the evening. No signs of a break in or forced entry. .A member of the public returned the bag that contained the laptop to the surgery. The bag was found in a field. The bag contained some of the accessory cables however no computer. On further investigation the bag had patient records. The loss of patient records was not reported in the original incident and has only been highlighted since getting the data bag back.	Paper records
IGI/3870	ROYAL DEVON AND EXETER NHS FOUNDATION TRUST	22-Jun-16	2	Member of staff returned to car. Placed backpack containing patient documentation on ground whilst he attached his bicycle to vehicle. Forgot to pick backpack up and drove off. Member of public saw this from a distance and retrieved the backpack, opened it, identified	NHS patient data

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
				Trust logo and name and handed the bag and contents to Trust receipt Backpack contained: Trust laptop, encrypted with McAfee Endpoint Encryption to AES 256 bit standard. Patient case notes file (paper version). Several emails concerning patient. All documentation contains PID and physical health details concerning patient and relatives. As member of public opened the backpack and looked at documentation patient confidentiality breached.	
IGI/4025	DEVON PARTNERSHIP NHS TRUST	11-May-16	Not known	Mobile equipment stolen from Trust premises during a burglary. There was a burglary at premises occupied by a community mental health team which comprises employees from Devon Partnership NHS Trust and Southern Devon Health and Care NHS Trust working in partnership. 11 laptops, 3 tablets and 2 mobile phones were stolen.	At the time of the incident the Trust believed all laptops to have been encrypted. However, 2 laptops had encryption removed by a service provider and were therefore not encrypted. They are believed to have some limited identifiable information stored on them but the details have not been possible to verify.
IGI/3812	ST HELENS AND KNOWSLEY HOSPITALS NHS TRUST	26-Apr-16	61	St Helens and Knowsley Teaching Hospitals NHS Trust was notified that an Information Governance Breach had occurred within one of its directorates. The breach relates to a Patient Safety Council (PSC) Paper which contained patient identifiable data paper being sent out via email with the agenda and other supporting papers.	ID MONTH HOSP NO WARD PATIENT NAME SITE GRADE COMMENT AVOIDABLE/UNAVOIDABLE 1 April 012345K 1A Heel 2 received Avoidable

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
				The offending paper contained information on 61 patients the data contained was as below, I have used false data– ID MONTH HOSP NO WARD PATIENT NAME SITE GRADE COMMENT AVOIDABLE/UNAVOIDABLE 1 April 012345K 1A Heel 2 received Avoidable The email was sent out by a member of the Trusts administrative staff to the PSC mailing list. The mailing list contained 59 people – 49 of the recipients were internal however the other 10 recipients that the paper was sent to were external recipients. The breach was noticed prior to the meeting taking place and as a result the papers were amended before the PSC meeting had taken place, the Trust had replacement copies printed with the above identifiers removed, the Trust ensured that it collected all the offending copies brought by members to the meeting, and we have contacted all 10 of the external recipients to ask them that all electronic copies of the papers they received are to be destroyed. We can confirm that the copies are in the process of being destroyed. The Information Governance team were informed of this incident and in line with our incident reporting procedures the SIRO, Caldicott Guardian and Chief Executive were all briefed on the incident.	

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
				In line with our incident reporting procedure all staff involved with this breach have been interviewed and we have launched a full SUI investigation. The Trust places a great deal of value on its information and therefore the Trust is reporting this breach to you in line with its Information Governance procedures.	
IGI/3802	ROYAL DEVON AND EXETER NHS FOUNDATION TRUST	22-Jun-16	1	Secretary printed a number of Clinic letters from the Clinical Document Management (CDM) system and organised them by consultant. She then placed the letters in the Paediatric Consultant's folder and sent them through for signature. When the consultant returned the signed letters she photocopied the letter intended for the GP and parent of patient (patient is a minor). Secretary had prepared a number of envelopes for correspondence and realized she had a surplus envelope. She suspected that she had placed more than one letter into a single envelope and she checked all but one envelope, a B3 envelope without a window, and this one is what was received by the incorrect recipient. Secretary believes she inadvertently attached the letter for child's parent to a letter and questionnaire intended for another patient's parent in the B3 envelope. The letter included the child's name, date of birth, full postal address, NHS and Hospital Numbers. Names of: mother, step-father, siblings, social worker, other clinician. Reference to child's Attention Deficit Hyperactivity Disorder assessment, educational	Patient (child) mental health details Third party physical and mental health details Identity of third parties

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
				psychology assessment and learning difficulties. Reference to mother's physical and mental health.	
IGI/3941	POOLE HOSPITALS NHS TRUST	18-May-16	15	Patient ward handover sheet found by a staff member, main corridor dermatology. Sheet which contained 15 patient names, hospital number, Ward and a very small amount of non-sensitive medical information, this was passed through to senior consultant and securely destroyed.	Sheet which contained 15 patient names, hospital number, Ward and a very small amount of non-sensitive medical information.
IGI/3939	POOLE HOSPITALS NHS TRUST	18-May-16	12	Sheet which contained 12 patient names, hospital number, Ward and a very small amount of non-sensitive medical information, this was passed through to IG when reporting incident. On further investigation it was evident that the document belonged to a member of the medical consulting team.	Patient Ward handover sheet found by a staff member, by computer in public area within stroke unit.
IGI/3940	POOLE HOSPITALS NHS TRUST	18-May-16	1	Patient was discharged home with incorrect patient stroke care file, containing demographic information, a photograph of another patient, also included were care guidance. The patient immediately alerted staff to the error upon returning home. The file was securely returned to the Trust, and the correct file was delivered to the patient. No harm occurred.	Patient stroke care file, containing demographic information, a photograph of another patient, also included were care guidance.
IGI/3671	THE WHITTINGTON HOSPITAL NHS TRUST	14-Apr-16	36	A doctor's handover sheet was found by a staff member in Archway tube station. The handover sheet was from a paediatric ward.	32 patients: Full name, hospital number, DoB, age, brief situation summary, brief background, brief assessment summary and treatment summary. 4 patients: Full name only.

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
IGI/3484	BIRMINGHAM AND SOLIHULL MENTAL HEALTH NHS FOUNDATION TRUST	20-Apr-16	2	Staff looked at own electronic record and that of a family member.	Full mental health records
IGI/3638	DEVON PARTNERSHIP NHS TRUST	11-May-16	12 data subjects	Paperwork with some clinical information found in street (appears to be handover notes). Member of the public (Nurse at another hospital nearby) handed papers to member of staff who she knew works for this Trust. Member of public stated that she had found the papers at the bus stop close to the hospital the previous day. Member of staff recognised the names, retained the papers to ensure their security and reported this as an incident.	Ward handover notes relating to 12 identified individuals. Limited information but confidential health details.
IGI/3938	POOLE HOSPITALS NHS TRUST	18-May-16	1	Set of patient medical notes were found left in back pocket of patient wheel chair within central dome area of the Trust. Medical driver discovered this and immediately took file to Trust discharge lounge where the file was securely taken to appropriate ward where the patient had been transferred to. Patient was being transferred internally, these duties would normally be carried out by porters but on this occasion, this was not the case. It must have been carried out by medical staff. No unauthorised access was made to the data.	Set of patient medical notes
IGI/3338	THE WHITTINGTON HOSPITAL NHS TRUST	14-Apr-16	11703	An email, with an attachment, was, sent twice to a non-secure Haringey Council employee email address (former Trust employee). The attachment contained non-sensitive personal confidential data. The Council employee contacted the Trust to state they have received	1,010 staff data disclosed in error: Surname, Forename, Specialty
10,693 patient data disclosed in error: Surname, Forename, DoB, and RiO ID

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
				this in error.	
IGI/3486	BIRMINGHAM AND SOLIHULL MENTAL HEALTH NHS FOUNDATION TRUST	05-Apr-16	3	Inappropriate use of system access by staff	National GP System
IGI/4905	CARE PLUS GROUP	01-Apr-16	1	Following a client attending his appointment where his prescription was on hold. A fax was sent to the chemist requesting they release the hold by the non-medical prescriber. Approximately 5 minutes later a phone call was received from a bath company advising they had received a fax in error and they would shred it. On checking the fax receipt the last digit of the fax number was "7" it should have been "1" therefore human error on inputting. Fax was destroyed. Fax has been shredded by receiver - reporter has been made aware of a second fax machine which has all the chemists on speed dial therefore any future faxes can be sent via this route; therefore eliminating future errors. Chemist has been telephoned advising them to release the client's prescription. Staff advised to exercise greater caution when faxing patient identifiable data.	Service user prescription
IGI/3475	THE WHITTINGTON HOSPITAL NHS TRUST	07-Apr-16	1	When a child becomes a Look After Child, the local authorities Looked After Children's team are responsible for notifying the Children's Looked After Health team. An initial health assessment must be completed within 28 days of a child being placed in care. The initial health assessment, once completed, is circulated to the social worker, GP, Consultant (if applicable),	Forename Surname Date of Birth NHS No. Sensitive medical information.

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
				universal children's services and the carer and/or, if, the patient is over 14 directly to the patient if requested. In this incident, the initial health assessment was circulated to the social worker, GP, Consultant at Great Ormond Street Hospital, and in this case, as the client was 17 years of age, she requested the report to be sent directly to herself. The report was addressed to the client, not the foster carer. Unfortunately the London Borough of Islington (local authority) provided the Trust with the address of a different foster carer. The Trust will ascertain the reason why another foster carer's address was given as part of the investigation. There is an assumption that the placement may have changed. The initial health assessment completed was sent to the wrong foster carer's address. The address was provided to the Trust by the Placements team within the local authority. The initial health assessment was returned by the foster carer to the Foster Care Agency which was then returned to the Trust. The envelope had been opened.	
IGI/5451	BIRMINGHAM AND SOLIHULL MENTAL HEALTH NHS FOUNDATION TRUST	27-Jun-16	01	Inappropriate access to patient record in RiO.	Patient Name, details of care, Date of birth

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
IGI/4904	CARE PLUS GROUP	01-Apr-16	Not known	Car was broken into on driveway at clinician's home address. The rear side passenger door window was smashed and their work bag was taken from the foot well behind the driver's seat. The work bag contained a support plan belonging to a service user and an A4 note pad with written notes referring to service users. Discussion held with HR and HOS. Agreed this would proceed as a disciplinary matter. Chief Operating Officer was made aware. On finding the break in staff member contacted the police immediately and informed them of the theft. Staff member contacted manager and informed that there was paperwork relating to a service user in it. Manager advised staff member to contact the police again to inform them that the bag contained confidential details. Police contacted. Staff member was informed by the police that a police officer would visit them.	Paper support plan of a service user and an A4 note pad with written notes referring to service users.
IGI/4906	CARE PLUS GROUP	01-Apr-16	1	Employability team and HR team notified of potential breach. Requested information from admin on duty as to why notes where accessed for reasoning and explanation. Then senior nurse in charge informed of incident of notes open and unsure of reasoning. Staff member who accessed records - new member to team - employability apprentice - has been employed for 2 weeks. SystmOne audit trail accessed - patients records were opened for 2 mins - no other patient with similar name recorded as attending GP OOH's - patients prior to and after this event did not	patient record SystmOne

ID	Organisation Name	Date of Closure	Volume	Details of Incident	Data
				have any similar sounding names. The patient record opened was that of a 12 year old child - who had Safeguarding information in the record. Staff member on duty. Will need investigation into incident.	
IGI/2108	BUCKINGHAMSHIRE HEALTHCARE NHS TRUST	08-Jun-16	7	A member of staff was found to have taken pictures of patient records which included patient identifiable data on his personal mobile phone; 7 patients were identifiable. The member of staff is currently not working within the Trust.	Records included extracts of patient records for 7 patients and patient identifiable data such as hospital numbers, names and addresses.