

Information Governance Incidents closed during 1st January to 31st. March 2018

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Information and technology
for better health and care

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Introduction

This is the published report of closed level 2¹ Information Governance Serious Incidents Requiring Investigation (IG SIRIs) recorded on the IG Toolkit Incident Reporting Tool. This type of report will be published on a quarterly basis as specified in the IG SIRI Publication Statement². It covers IG SIRI level 2 incidents closed during the period of 1st.January to 31st. March 2018, following investigation by the local organisation(s) concerned.

Content of the report

The report below consists of **45 closed incidents** reported to the Information Commissioner's Office (ICO), Department of Health (DH) and NHS England (NHSE) by Health or Adult Social Care organisations or suppliers (as advised within the [IG SIRI Guidance](#) issued 29th. 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 days³. In Appendix A is **1 incidents** that has 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 the Health and Social Care Information Centre (HSCIC) but are useful for gathering intelligence, analysing trends and learning from previous occurrences. Details of such incidents are held by the local organisations.

Next reports

The next closed level 2 IG SIRI report to be published will cover the period 1st April to 22nd. May 2018 – this shorter reporting period is due to the replacement of the old IG Incident Reporting tool by the new DSPT incident reporting tool.

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

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.

Closed level 2 incidents reported during 1st January to 31st. March 2018

ID	Organisation Name	Date of Closure	Details of Incident	Data
IGI/17900	Polar Speed Distribution	30-Mar-18	The monthly sales report for Barnet, Enfield and Haringey mental health trust contained patient information for Norfolk and Suffolk NHS Foundation Trust	NHS patient data. Name, DOB, medication.
IGI/17878	KING'S COLLEGE HOSPITAL NHS FOUNDATION TRUST	26-Mar-18	Normally the nurse transports the theatre list to another site. This process is directed by Lead Nurse as standard practice. As it was late the agency nurse took it home to take to other site in the morning. The nurse boarded her train leaving the bag containing the theatre list on the platform.	Theatre list containing: name, hospital number, DoB + Age, operation & laterality, Anaesthetic type; ward
IGI/17873	MERSEY CARE NHS FOUNDATION TRUST	05-Mar-18	Email containing service users detailed clinical and personal information sent securely to Cheshire <Redacted> west Cheshire instead of instead of Halton IDVA. West Cheshire IDVA team notified the Trust that they had received in error and had forwarded securely to correct Halton team address. (IDVA = Independent domestic violence advisor)	Referral form sent containing highly confidential service user clinical and personal information regarding a service user in medium secure unit. The email send securely via nhs.net account to cjsm.net secure site but incorrect email address.
IGI/17788	TEES, ESK AND WEAR VALLEYS NHS FOUNDATION TRUST	26-Feb-18	Nurse had been reviewing a patient's electronic records to write a summary of their care etc and emailed the two documents via two different emails to members of the Multi-Disciplinary Team via their NHS Mail accounts but also to her personal TalkTalk account so that she could read back through the document at home.	Two documents of 4 and 9 pages each containing significant information about a current detained inpatient on an Adult Mental Health ward including information about sexual offences, sexualised behaviour, presentation, risks, etc.

ID	Organisation Name	Date of Closure	Details of Incident	Data
IGI/17766	NOTTINGHAM UNIVERSITY HOSPITALS NHS TRUST	09-Mar-18	A member of staff accessed a patient's medical records for personal, non-work purposes between.	NHS patient data.
IGI/16722	UNIVERSITY HOSPITALS OF LEICESTER NHS TRUST	07-Mar-18	<p>An email was sent by the CEO's PA out to those invited to attend the Royal opening of the new ED floor. This included senior corporate individuals from UHL and from several companies outside UHL and in the surrounding areas.</p> <p>The email was sent to 40 email addresses. It had an attachment that contained the personal home addresses and birth dates of 15 of those on the list. No sensitive or health data was included in the attachment.</p> <p>The email was recalled approximately 18.5 hours later (the next morning) and a further email was sent out to apologise to all those involved and asking those who received the first email to delete it and to ignore all the information contained in the attachment.</p> <p>However, 11 recipients of the original email had already opened it.</p>	Personal home addresses and birth dates of 15 high level Trust employees and executives of local business partners.
IGI/16715	Sussex Community NHS Trust	19-Feb-18	A member of staff was completing a number of home visits with a supernumerary health care assistant as a teaching exercise. At the end of the day, it was realised that the list was lost.	8 patients – including the names, DOB, NHS Numbers, addresses, phone numbers and very brief note on the treatment required (1 or 2 lines max).

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			<p>Thorough search completed but the list could not be found.</p> <p>The list contained the details of 8 patients – including the names, DOB, NHS Numbers, addresses, phone numbers and very brief note on the treatment required (1 or 2 lines max).</p>	
IGI/16711	Marie Curie (London)	20-Mar-18	<p>This incident occurred in the North East nursing region. A Marie Curie Nurse (MCN) retained handover information after each shift - a total of seven patients. The information should have been posted to a Marie Curie freepost address to be shredded as per process. The MCN had kept the information in case she was re-allocated to the same patients.</p>	Patient information (handover details) relating to seven patients.
IGI/16685	PENNINE CARE NHS FOUNDATION TRUST	26-Mar-18	<p>The original clinical information had been typed up by the treating psychologist with the correct patient information. It had been emailed to the administrator and asked to be put into a clinical letter format. Unfortunately, the administrator attached the clinical information to the wrong patient.</p>	Psychology assessment with full name, address, dob and GP details.
IGI/16638	PENNINE CARE NHS FOUNDATION TRUST	26-Mar-18	<p>A telephone call was received informing the MHL office that a lady had received a letter not intending for her. It was addressed to the correct person, was marked private and confidential and had a return to label on the reverse of the</p>	MH Law letter containing NHS number, patient name, name of ward, Doctors name and section 3 standard letter details,

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			envelope but this person opened it in error. She contacted the MH Law office and returned the letter. The address had been cross checked with the section papers received and PARIS (EPR). The addresses both corresponded and procedures were followed.	
IGI/17786	LEEDS AND YORK PARTNERSHIP NHS FOUNDATION TRUST	29-Mar-18	GP Surgery contacted service to inform that a discharge letter for one patient containing the identity and information relating to another. As discharge letter was also copied to patient's home address, a breach resulted. Data included mental health and forensic information including a release from prison date. On investigation resulted from the over-typing of a previously used document.	1 discharge summary, including mental health and forensic information
IGI/16706	TEES, ESK AND WEAR VALLEYS NHS FOUNDATION TRUST	19-Mar-18	One file of copied staff confidential information was sent via internal post from the HR Department to a Locality Manager based at another Trust site. The file was sealed within an approved plastic mailer and addressed appropriately with the recipient's details and return address using the Trust's internal mail stickers. The envelope was marked "Private & Confidential". The file did not reach its intended recipient, which was raised as an incident 28 days after it had been sent. This was the second incident involving the loss of post either entering or leaving this department within two weeks.	Copies of confidential staff information; letters to the individual inviting them to formal meetings under the trust capability procedure including home address, records of discussions during those meetings including issue of a sanction, details of concerns and a performance action plan to address this, records of observations of the staff, supervision notes, brief work history and brief references to sickness absence/ family situations.
IGI/16615	CHRISTCHURCH GROUP	23-Feb-18	A letter was received from the Nuffield Orthopaedic Centre addressed to the Manager of Orchard House. It is a General	NHS Patient Data

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			<p>Clinic Letter and contains personal sensitive information for a resident of Oakleaf Care, Hartwell Ltd. It includes the details of the history and care of the resident. The resident is not known to us however the author of the letter is an ex-Consultant to our service.</p>	
IGI/16693	EAST LANCASHIRE HOSPITALS NHS TRUST	22-Mar-18	<p>Handover sheet found at 4 pm. Bank staff member dropped the sheet outside her home at approximately 8 am when she returned home from her night shift.</p>	<p>Very limited PID information regarding 20 patients. Information contained name, RXR, (local Hospital number) and age.</p> <p>Information also contained clinical information, assessments and recommendations</p>
IGI/16586	HERTFORDSHIRE PARTNERSHIP UNIVERSITY NHS FOUNDATION TRUST	06-Mar-18	<p>An incorrectly addressed letter was sent on to Hand in hands, a service involved with the data subject. The letter contained a confidential psychological report which included a high quantity of sensitive information about the service user's personal history, including criminal offences and convictions. It contained all personal identifying information. The letter was sent to an address which was not fully complete. The letter sent did not contain the Team leader or name of the provider, only his name and the address of the business centre. It was marked as Private & Confidential however we have been informed by the providers solicitor that the receptionist at the address opened the letter and read it to identify the intended recipient.</p> <p>The breach has reached a level 2 due to a compliant being made to the ICO by the recipient.</p>	<p>The letter contained a confidential psychological report which included a high quantity of sensitive information about the service user's personal history, including criminal offences and convictions. It contained all personal identifying information.</p>

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IGI/16698	SOUTH TEES HOSPITALS NHS TRUST	05-Mar-18	Patient letter containing details of infertility sent to wrong person. Wrong person's surname dob and address used in the subject field.	Fertility/IVF information - highly sensitive and confidential
IGI/17842	GLOUCESTERSHIRE CARE SERVICES NHS TRUST	13-Mar-18	A member of GCS Facilities staff entered an anti-room to the linen room in Cirencester hospital, where they discovered on the floor, 3 ward handover sheets	Patient data, Names, Dates of Birth, condition admitted for, and ongoing medical concerns
IGI/16480	DORSET HEALTHCARE UNIVERSITY NHS FOUNDATION TRUST	01-Mar-18	<p>Staff member driven home without realising she had left the laptop bag containing work laptop and paperwork at work in the car park. They became aware of this incident when they woke up the following morning and could not locate their laptop. They recalled all events of the previous day and knew the last known location of the laptop was the car park at Kings Park. The laptop contains paper notes containing patient information and a Dorset Healthcare laptop and charger. The laptop bag contains notes relating to patients at Talbot, Village and Panton Practice virtual Ward MDT's and a notepad containing patient information that were not contained within a bag with a privacy disclaimer which are provided by the department.</p> <p>The member of staff reported this as per Trust procedures as soon as she became aware. Loss of laptop reported to IT and access to the laptop device removed. Loss of laptop reported to police.</p>	<p>Health and Social Care Information Talbot notes contained 10 sets of patient information Village notes contained 10 sets of patient information and 4 additional notes in notebook Panton notes contained 18 sets of patient information Notebook contains patient notes from various practice meetings. unknown quantities suspected to contain a large number of patient details.</p>

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			<p>A Trust car park contractor found the laptop bag and contents in the early hours of the morning and took it home.</p> <p>The contractor opened the laptop bag and found some headed paper at the top of the bag with a contact number. The contractor called the number and left a voice message as the office was not open over the weekend. The contractor subsequently confirmed he did not look through the rest of the bag and kept it safe.</p> <p>Trust staff telephoned the contractor on Monday morning and collected the laptop from his home address.</p>	
IGI/16444	CORNWALL PARTNERSHIP NHS FOUNDATION TRUST	01-Mar-18	Trust IG team contacted by IG Lead for other NHS Trust to report repeated emails being sent in error, that contained sensitive patient data.	NHS Patient data
IGI/16456	SHREWSBURY AND TELFORD HOSPITAL NHS TRUST	28-Feb-18	A book used by the outreach team is not in the place it was left on the ITU Unit. The book is used by the team when a 'critically ill' patient is identified and potentially requiring a bed on ITU. Apparently, the team note the patients details and then go to the respective ward to follow up. There is every chance that the book has been picked up with patient case notes etc. but hasn't been found following retracing of steps.	The IG manager has been assured that there is minimal clinical data in the book
IGI/16567	THE NEWCASTLE UPON TYNE HOSPITALS NHS FOUNDATION TRUST	12-Mar-18	A patient appointment letter was sent out and received by a patient. The patient contacted the department to advise that on	Patient

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			<p>the back of the letter there was printed an appointment letter addressed to another patient. The letters were not routine appointments: both patients were being called back to discuss the results of previous tests.</p> <p>This was human error where a letter should have been printed single sided but the setting on the PC was inadvertently left on double sided. A similar incident occurred recently which was discussed at a staff meeting; staff were made aware of the seriousness of this type of incident and that they must follow procedures when printing. This incident resulted in an error by a different member of staff.</p>	
IGI/16425	Marie Curie (London)	20-Mar-18	<p>Following job interviews in a Marie Curie hospice in Bradford candidates' documents were sent via Royal Mail to the hospital who are the employing trust. Documents were sent on 22.12.17.</p> <p>The documents sent included copies of two candidates' driving licence, passport, General Medical Council, registration, qualifications, Medical Defence Union certificate, utility bills as well as copies of the interview notes.</p> <p>Internal post to the local acute trust is available but was not used and the documents were not sent via registered post or special delivery.</p> <p>On 04.01.18 notification was received that the documents had not been received by the intended recipient.</p>	Two candidates' driving licence, passport, General Medical Council, registration, qualifications, Medical Defence Union certificate and utility bills as well as copies of the interview notes.
IGI/16339	LINCOLNSHIRE	06-Mar-	The admin member of staff accessed the	Access gained to full mental health patient

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	PARTNERSHIP NHS FOUNDATION TRUST	18	full mental health records of a close relative who is a patient of the team in which she works, 26 times between March and December. There was no legitimate need for her to access the records. Staff are provided with a code of conduct on employment to advise them that this is not permitted, it is contained in policies, it is covered in Induction training and annual refresh training. A full investigation has been commissioned to determine the facts of the case in conjunction with the human resources department. The clinical system audit trail log has been downloaded to provide detail of the access undertaken.	record - full details of content of record not yet determined - this will be met through full investigation to determine if there are any highly sensitive elements of the record.
IGI/16291	AINTREE UNIVERSITY HOSPITAL NHS FOUNDATION TRUST	15-Jan-18	Member of clerical staff received a WhatsApp text message from a colleague containing an image of a baby scan photo. The WhatsApp text instructed her to hold and push down to see the text. She read the text on the image which was a screenshot of a post from Facebook stating this person had found an extra scan on the bottom of her baby scan pictures that was from another patient. The post named the other woman and Aintree Hospital and was put on Facebook to locate the woman. Her colleague also reported in a second text message that her friend had shared it publicly. Patient concerned was identified, lady that posted the image was contacted immediately and asked to remove the image from Facebook, she confirmed that she was happy to do so. Information	A scan image of an unborn baby with patient's name and date of birth was not removed from print out and subsequently given to next patient as part of their scans. Uploaded to Facebook to trace the correct patient following information received by a clerical officer and speaking to the Patient who posted the Facebook post.

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			<p>governance contacted immediately via e - mail and made aware as Datix was down at the time.</p> <p>Staff concerned made aware and asked to complete reflection, reviewed equipment and discussed how this occurred. Attempt made to contact patient involved and apologise. Investigation being undertaken by IG & IS Manager.</p>	
IGI/16378	NOTTINGHAM UNIVERSITY HOSPITALS NHS TRUST	09-Mar-18	<p>Two staff members accessed one of their colleague's occupational health record via the diary. Following pre-investigative interviews and audits it has been discovered that one staff member also accessed a number of other colleagues' records.</p>	Staff data.
IGI/16581	Nottinghamshire Healthcare NHS Foundation Trust	07-Mar-18	<p>The Admin Officer addressed the letter to the named Social Worker, but the address used was for a private training company based in Bakewell. Although the envelope had been stamped as 'private and confidential' and included a return address on the back, it was opened by a representative from the training company. They contacted xx to report receipt of the letter and have since returned it.</p> <p>IG Investigation undertaken. Human error led to the incorrect address being selected as destination address. The department have since revisited and reviewed the procedures and practice and amendments have been put in place to mitigate the risk of another occurrence. Additional steps for checks are now in place and the</p>	<p>Information regarding the patient and family members which includes -</p> <ul style="list-style-type: none"> demographics physical health mental health contact with health services

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			person dictating the letter must provide the destination address at the time of dictation.	
IGI/16295	THE QUEEN ELIZABETH HOSPITAL KING'S LYNN NHS FOUNDATION TRUST	09-Feb-18	Ward Handover Sheet containing the confidential details of 11 patients found on the Springwood Estate by a member of staff.	Ward, Consultant, Patient name, Hospital number, Age, presenting complaint, Investigations, Plan and Date seen.
IGI/16579	AVON AND WILTSHIRE MENTAL HEALTH PARTNERSHIP NHS TRUST	31-Jan-18	Lost historic record; following a subject access request it was established that a historic patient record was missing. Traced to location in 2008, never traced back to library.	NHS patient information
IGI/16219	TAMESIDE HOSPITAL NHS FOUNDATION TRUST	27-Feb-18	<p>Staff member attached incorrect pdf document to an email which contained sensitive information; record (X-ray report) was sent via an email attachment as part of a subject access request relating to another patient. The staff member immediately reported the incident to their line manager, the Organisation was also notified by the recipient of the email. The recipient has since confirmed they have deleted the document which was sent in error.</p> <p>Actions have already been taken to reduce to risk of further occurrence within the Department which include: Reinforcement of safe email protocols Double checking of all email attachments involving patient identifiable data prior to sending. Learning from this incident will be shared via various Trust Communications to all staff. The staff member involved has been</p>	PDF x-ray results of patient

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			<p>informed of their error and confirmation has been received that staff member involved had completed their IG mandatory training prior to the incident. An assessment of the circumstances of the patient who had their data sent in error is being undertaken and notification will be addressed accordingly.</p>	
IGI/15163	Buckinghamshire Healthcare NHS Trust	29-Jan-18	<p>A member of the admin staff who works within the Health Visitor teams accessed patient records, related to children, who were not appropriate clients for her day to day work.</p> <p>Two verbal complaints have been received expressing concerns that the staff member had accessed the records inappropriately, i.e. looking in children's records that were not necessary for her day to day work. One complaint was related to allegedly sharing information about a child's meetings who is on a child protection plan. The other complaint reported that the staff member had shared texts about a child with her.</p>	Name and address and meeting dates and potentially details of confidential child health meetings.
IGI/15148	Suffolk GP Federation CIC	04-Jan-18	<p>A member of the administrative team for a recently acquired practice for the Federation has repeatedly accessed records relating to her daughter to obtain results of a smear test. The staff member in question had also made similar requests of her colleagues who have also accessed the record without noting a reason for access. The staff member had recently had induction Information Governance</p>	Minimum - test results area Possibly full record - tbc following further investigation.

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			training and had an employment contract with a confidentiality clause. The staff member has been suspended pending investigation and HR meetings.	
IGI/15172	Taurus Healthcare Ltd	17-Jan-18	Picked up on routine consent audit. GP accessed 32 patients records on redacted from their own surgery via Emis switch. Emis advised that the configuration switcher is a standard feature on every computer that has Emis. Checked through every patient record on the audit trail to find out if any records had been altered, one patient had had their consultation notes edited by the GP.	Patient GP records
IGI/16198	Polar Speed Distribution	04-Jan-18	A sales report of all medication dispensed for each Mental Health Trust is produced and forwarded to the Trust HCP contact monthly. This report is extracted from our patient management system and is then manually filtered into patient specific details for each Trust. in this case the manual filtering of the report was not completed correctly.	patient name, address, DOB and medication supplied.
IGI/15106	NHS SOUTH, CENTRAL AND WEST COMMISSIONING SUPPORT UNIT	05-Feb-18	Swindon Child Health Information Service sent an immunisation invitation letter out for a child who is in the process of being adopted. The letter went to the home address of the biological grandmother but was addressed using what will be the child's new adopted name which means the biological family are now aware of the new adoptive name details. The local authority are taking urgent safeguarding action to protect the child. CHIS team were made aware of the incident by Social Work	NHS patient data

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			<p>Team Central South who contacted Swindon Borough Council in the first instance. Swindon CHIS obtained the address and name from the PDS system which is the correct process to follow. Both the address and name had recently been updated on PDS and the name change coincided with a visit to the GP. Swindon CHIS had received no notification from Social Services that this was a looked after child nor that the adoptive process was underway for this child.</p>	
IGI/15100	NHS England	01-Feb-18	<p>An individual phoned into the complaints team to make a complaint. Notes from the conversation were recorded by a member of complaints team in order to send back a summary to the caller and to get their consent to forward on their details to their GP in order for the GP to respond to the complaint.</p> <p>The notes contained detailed health information about the complainants daughter and also concerns by the GP in regards to proposed referrals onto social care for the daughter.</p> <p>Unfortunately the notes that were made were not forwarded to the complainant but to a completely different member of the public.</p>	Patient complaint notes
IGI/16197	Polar Speed Distribution	04-Jan-18	<p>A sales report of all medication dispensed for each Mental Health NHS Trust is produced and sent monthly. this report is sent to the HCP's responsible for the</p>	patient name. address, DOB, medication supplied,

ID	Organisation Name	Date of Closure	Details of Incident	Data
			<p>homecare service. This report is extracted from our patient management system and then needs to be manually filtered to produce individual Trust reports. in this case the manual filtering of the report was not completed correctly.</p>	
IGI/15080	EAST LANCASHIRE HOSPITALS NHS TRUST	05-Feb-18	<p>Patient 1 attended dating scan and gave member of staff another patient, (patient 2) handheld notes which she found entwined with her own the previous week.</p> <p>Patient 1 informed the staff member that she had contacted patient 2 to inform her that she had her handheld notes, she reassured her that she had not read the paperwork as she fully understood about confidentiality and would return the notes to the hospital when she attended her next appointment. Patient 1 stated that she had not read the notes, as she fully understands the importance of confidentiality. Notes were kept securely within her own notes.</p> <p>Both patients attended a previous appointment.</p>	Clinical information associated with the pregnancy
IGI/15043	SOUTH WEST YORKSHIRE PARTNERSHIP FOUNDATION NHS TRUST	04-Jan-18	<p>A community nurse was visiting a patient at home: she had left a self-help booklet with the patient the week before. The patient's husband advised there was a letter about another patient stapled to one of the pages of the booklet. As well as identifying information such as name, DoB and home address, the letter includes information about the subject's mental</p>	One letter from the community mental health service to the patient's GP outlining the medication prescribed.

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			health condition, medication and details of behavioural issues. The patient and her husband both advised they had not read the letter.	
IGI/15076	HEART OF ENGLAND NHS FOUNDATION TRUST	15-Jan-18	Member of staff accessed her own, her daughter's and possibly other patients records without a legitimate reason and shared her account details with staff from another organisation.	Patient information
IGI/15063	NHS England	25-Jan-18	An e-mail was sent out to approx. 300 patients who had agreed to complete an on-line survey. The e-mail was sent BCC however it had an excel attachment detailing all the e-mail addresses. No further information was involved.	Personal email addresses
IGI/15138	GLOUCESTERSHIRE CARE SERVICES NHS TRUST	03-Jan-18	The ward handover sheet (one sheet) belonged to a Healthcare Assistant who had gone downstairs for her break in the staff room, with the sheet in her pocket. The sheet contained 22 patients who were on the ward. The HCA had been off the ward for less than 10 minutes before the sheet was handed in. The information on the sheet included patients' name, age, date of admission, reason for admission, past medical history and plan (whether referred to social work, or occupational therapy, etc).	NHS patient data: service users' name, age, date of admission, past medical history and planned care.
IGI/16249	NHS Bradford Districts CCG	11-Jan-18	Local incident reference redacted . A member of staff had been processing book tokens (£20 per patient) which were to be given to patients who had successfully completed a diabetes education programme (this programme has specific funding and has been running	Patient name Patient address Data identifies that the patients have a specific condition (diabetes)

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			<p>for 2 years - this was the last batch of patients). At the end of the day, the documents (which included patient names, addresses and referenced the fact that they had diabetes) and the book tokens were left, in error, in a box (the lid of a paper box) on her desk; she stated that there was other paperwork on top of the documents / book tokens and that the contents of the box were not obvious. When the member of staff returned to work the next day she realised (i) that she had left the documents on her desk and not in a locked cupboard as per the correct procedure and (ii) that the documents were no longer on her desk. The member of staff immediately informed her manager who completed and submitted an incident form.</p> <p>The member of staff stated that she knew the correct procedure to be followed - no PCD to be left unattended and to be locked away when not in use - but had not been feeling very well that day which may have contributed to the oversight of leaving the documents on her desk. The member of staff has worked for the CCG and predecessor organisations for many years - there have been no known similar incidents involving this member of staff. It was later identified that the member of staff was several month's late in updating her IG / Data Security training.</p>	
IGI/13939	CARE IN MIND LTD (AF5C)	22-Jan-18	A young person stole their personal file from one of our residential houses; the	The data in the file is likely to include Care plans about the young person, risk

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			<p>incident is still under investigation however the file taken was the young persons 'live file' which contains her care plans, daily notes and risk management plans. The young person was visiting the house yesterday evening with her mother to collect her belongings as she was no longer resident at the house. She requested her file which the staff refused to give at the time, but the staff explained the process of how to request her records. She then pushed passed the staff member and went downstairs to the office and took her file out of the filing cabinet where the file was stored and took this off the premises. The incident has been reported to the Police.</p> <p>Established that the young person had taken two files. One being her 'live file' containing - risk assessment, RMP, MDT service review, Care Plan Pack, Recovery STAR, CPA minutes. Also contained additional information for the young person; college admission documents, provisional licence application, GMP charge sheet and provisional court date for young person, contact sheet with list of names and contact details of individual involved in young person's care, daily notes and incident reports.</p> <p>The other file that was taken was the young person's healthcare medication file. All this documentation relates to the young</p>	<p>management plans about the young person and their daily notes. Also healthcare/medication file as detailed above.</p>

ID	Organisation Name	Date of Closure	Details of Incident	Data
			<p>person.</p> <p>At this moment in time the only information that relates to other people is contained in the incident reports/daily notes where there may be mention of other people including staff and other young people in our care who this young people may have been involved in an incident with. These are by initials only but would probably be identifiable to the young person.</p> <p>CQC are being informed in today. Still awaiting Police information.</p> <p>Will update as further information comes to light.</p>	
IGI/13905	IPSWICH HOSPITAL NHS TRUST	10-Jan-18	A member of staff has accessed patient records without a legitimate reason within their role to do so. Staff has accessed a VIP patient record, her own record and possibly her family members without consent or legitimate reason	medical records on Evolve ISS staff member has accessed VIP record on Lorenzo
IGI/13879	Birmingham Community Healthcare NHS Foundation Trust	04-Jan-18	56 letters sent to parents which contained the previous name only of children required to attend immunisation. The process used to extract the required level of data from the child health system did not exclude the use of data marked for deletion. This resulted in the data being used to generate the required appointment letters, which in turn contained the previous names of the children concerned.	Appointment request/reminder for immunisations containing Patient First name, Surname only with no further identifiable or sensitive data.

Appendix A – Incidents closed using the ‘auto closure’ facility 1st. January to 31st. March 2018.

ID	Organisation Name	Date of Closure	Details of Incident	Data
IGI/16370	LEEDS AND YORK PARTNERSHIP NHS FOUNDATION TRUST	29-Mar-18	Yorkshire Centre for Eating Disorders - Admin & Support Services. Appointment letter sent to wrong address - delivered to neighbour.	1 appointment letter for Eating Disorders Service.