



# CHUMS

## **Mental Health & Emotional Wellbeing Service**

Information Governance Policy

Implementation Date: May 2017

Revised February 2021

Review Date: February 2024

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**Mental Health & Emotional Wellbeing Service**  
*Information Governance Policy*



## CONTENTS

SECTION	Page
Contents	2
Introduction & Background	3
The Policy	4
Held Securely & Confidentially	5
Obtained Fairly & Efficiently	5
Recorded Accurately & Reliably	6
Used Effectively & Ethically	6
Shared Appropriately & Lawfully	6
Roles & Responsibilities	7
Implementation	8
Staff Training & Support	8
Information Governance Structure	9

APPENDICES		
<b>A</b>	Information Governance Code of Conduct	10
<b>B</b>	Guidance for Staff Managing Personal Information	16
<b>C</b>	Information Governance Management Framework	20

**CHUMS**  
**Mental Health & Emotional Wellbeing Service**  
*Information Governance Policy*



## **Introduction and Background**

This policy will outline CHUMS approach to Information Governance which seeks to ensure that information held by CHUMS is dealt with legally, securely, efficiently and effectively in order to deliver the best possible care to clients.

Implementation of this policy will ensure all staff comply with the law and best practice when handling personal and corporate information.

NHS Digital have launched a Data Security and Protection Toolkit in 2018 which focuses on the core 10 National Data Guardian standards.

The Toolkit provides a framework for managing information in line with the law, policy and best practice.

The Information Governance framework will enable CHUMS to meet its legislative requirements, and ensure operational and management information is timely, robust and reliable.

Full implementation of this policy will ensure all staff comply with the law and best practice when handling personal and corporate information.

The key drivers of Information Governance are to:

- Protect clients and staff.
- Meet legislative requirements.
- Ensure comprehensive, timely and accurate information at all levels.
- Comply with CHUMS risk management procedure.
- Make compliance as easy as possible for staff while providing a good level of training and awareness.

CHUMS will ensure that all staff are aware of this policy, particularly in relation to their own responsibilities. Staff must also familiarise themselves with other related Information Governance policies. These are:

- Information Sharing Policy
- Information Sharing Protocol
- Documentation Policy
- Confidentiality and Disclosure Policy
- Record Management Policy
- Clinical Records Policy
- Risk Assessment Policy
- Data Protection Policy
- Adverse Incident – Serious Incident Reporting Policy

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**Mental Health & Emotional Wellbeing Service**  
*Information Governance Policy*



- Parental Consent Policy
- Freedom of Information\*

\* Although this legislation does not directly apply to CHUMS as it is not a public body, requests for information may come via the NHS Community Services and other public bodies where CHUMS is contracted to provide services.

Information Governance (IG) supports and underpins the governance arrangements within CHUMS, including clinical, research, corporate and financial governance.

IG is a CHUMS wide issue. To develop information governance within CHUMS there are broadly five areas that need to be addressed:

- Policies
- Training
- Operational Practices
- Audit/compliance
- Performance Measurement.

IG encompasses seven key areas:

- Information Governance
- Clinical Information Assurance
- Management
- Confidentiality and Data Information
- Security Assurance
- Protection Assurance
- Corporate Information Assurance
- Secondary Use Assurance

IG covers:

All clients	All staff including volunteers
Information in any format	Health and corporate administrative records.
Current and future IT systems.	Relationships with external organisations.

### **The Policy**

This policy sets out that information must be:

- ***Held Securely and Confidentially***
- ***Obtained Fairly and Efficiently***
- ***Recorded Accurately and Reliably***
- ***Used Effectively and Ethically***
- ***Shared Appropriately and Lawfully***

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*Information Governance Policy*



**Held Securely and Confidentially**

Staff must ensure that all personal, sensitive and corporate information is held securely and confidentially. CHUMS systems demonstrate the importance CHUMS places on the security of client information.

Staff must ensure that all information is kept secure, either using an individual username and password, which must not be shared or used by another member of staff, by keeping information in locked filing cabinets or transporting information (client case-notes) securely. (See CHUMS Information Sharing policy).

Staff must ensure that all information is stored correctly on a CHUMS network drive, stored using correct filing structures and names. CHUMS undertakes comprehensive back up arrangements for all CHUMS data; therefore, it is imperative all information is stored on the CHUMS network drives.

Staff must ensure that information is only kept for as long as necessary (General Data Protection Regulations GDPR 2018) and when no longer needed is disposed of in accordance with CHUMS Records Management Policy using secure and confidential destruction methods.

Information Governance incidents of actual or potential breaches of confidentiality and security must be reported and investigated following CHUMS Adverse Incident – Serious Incident Reporting Policy.

**Obtained Fairly and Efficiently**

Staff should consider situations in which clients would be surprised to learn that their personal information was being used in a particular way – if so, they are not being effectively informed

Clients must be:

- Informed of how CHUMS uses their information e.g., research, training, audits etc.
- Given the opportunity to ask questions on how their information is used and with whom it is shared.

Staff must ensure that when a client decides to restrict the disclosure of their personal information, this decision is respected *and* recorded appropriately.

CHUMS will develop effective procedures for ensuring that questions raised by clients about how their information is used by CHUMS are answered.

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*Information Governance Policy*



**Recorded Accurately and Reliably**

CHUMS will develop procedures for staff on the capture and recording of information. All staff must ensure they familiarise themselves with and follow these procedures. See CHUMS Records Management Policy and Clinical Records Policy for further information.

CHUMS aims to collect all client information once and ensure that at this point of collection; the information is accurate and up to date.

CHUMS will ensure that all data standards will be set through clear and consistent definition of data items, in accordance with national standards.

CHUMS will promote information quality and effective records management through policies, procedures/user manuals and training.

To assure itself as to the quality of the information collected, CHUMS will undertake regular accuracy, completeness and validity checks on client information with 6 monthly clinical records audits.

**Used Effectively and Ethically**

CHUMS will ensure that all staff access to client information is based on a legitimate relationship between the client and the member of staff.

**Shared Appropriately and Lawfully**

The Freedom of Information (Fol) Act 2000 is part of the Government's commitment to greater openness and transparency in the public sector.

The Act provides members of the public with a general right of access to recorded information held by public authorities, subject to certain conditions and exemptions. Staff have a legal obligation to provide guidance and assistance to a person wishing to make a request under Fol for any corporate information.

CHUMS primarily collects and holds clients' information in relation to their care but is holding this information on behalf of the client. Clients, and any other individual about whom CHUMS holds information, have a legal right to access information relating to themselves held by CHUMS.

Comprehensive Subject Access Request procedures (see CHUMS Data Protection policy and Parental Consent policy) provide clear guidance to staff on how to deal with requests from individuals to access their information.

CHUMS has a legal obligation to ensure that all requests from individuals to access their information are dealt with within one calendar month from the date of the request.

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**Mental Health & Emotional Wellbeing Service**  
*Information Governance Policy*



CHUMS has a legal obligation to actively inform clients of how their information is used, give them the choice to give or withhold their consent on how their information is used and protect their identifiable information from unwarranted disclosure.

Protocols and policies have been established for controlled and appropriate sharing of client information with other agencies, taking account of relevant legislation (e.g., Health and Social Care Act, Crime and Disorder Act, Protection of Children Act) - see CHUMS Information Sharing Policy.

Staff must follow the standards and procedures set out in this protocol when disclosing confidential client information to organisations and agencies.

Staff who share information with other NHS organisations must ensure they attend relevant training sessions.

Staff must ensure that when sharing information, the Caldicott principles are applied. These are:

- Justify the purpose(s) of using confidential information.
- Only use it when absolutely necessary.
- Use the minimum that is required.
- Access should be on a strict need to know basis.
- Everyone must understand his or her responsibilities.
- Understand and comply with the law.
- The duty to share can be as important as the duty to protect patient- client confidentiality.
- A further principle will be introduced in Summer 2021.

Staff must obtain explicit consent from all clients before transferring their information outside of the EEA (European Economic Area). Whilst obtaining consent, CHUMS will ensure that the client is fully informed on how their information is used.

### **Roles and Responsibilities**

The Board has overall responsibility for CHUMS compliance with Data Protection. The Data Protection Officer is the nominated responsible officer for CHUMS for information governance together with matters regarding FoI (Freedom of Information) and PRA (Public Records Acts) although as CHUMS is not a public body these acts are not directly applicable.

The SIRO and Caldicott Guardian are supported by the Data Protection Officer and these role work collectively to ensure IG compliance across CHUMS.

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**Mental Health & Emotional Wellbeing Service**  
*Information Governance Policy*



**Implementation**

CHUMS is developing an Information Governance strategy, which will be reviewed annually and include an annual improvement plan.

A designated Senior Clinical Psychologist or BACP accredited Psychotherapist chairs the CHUMS Governance Committee. The group meets and reports to the CHUMS Board on a quarterly basis.

The Governance Committee is responsible for ensuring detailed annual action plans are developed and implemented to ensure that all IG requirements are met:

**Staff Training and Support**

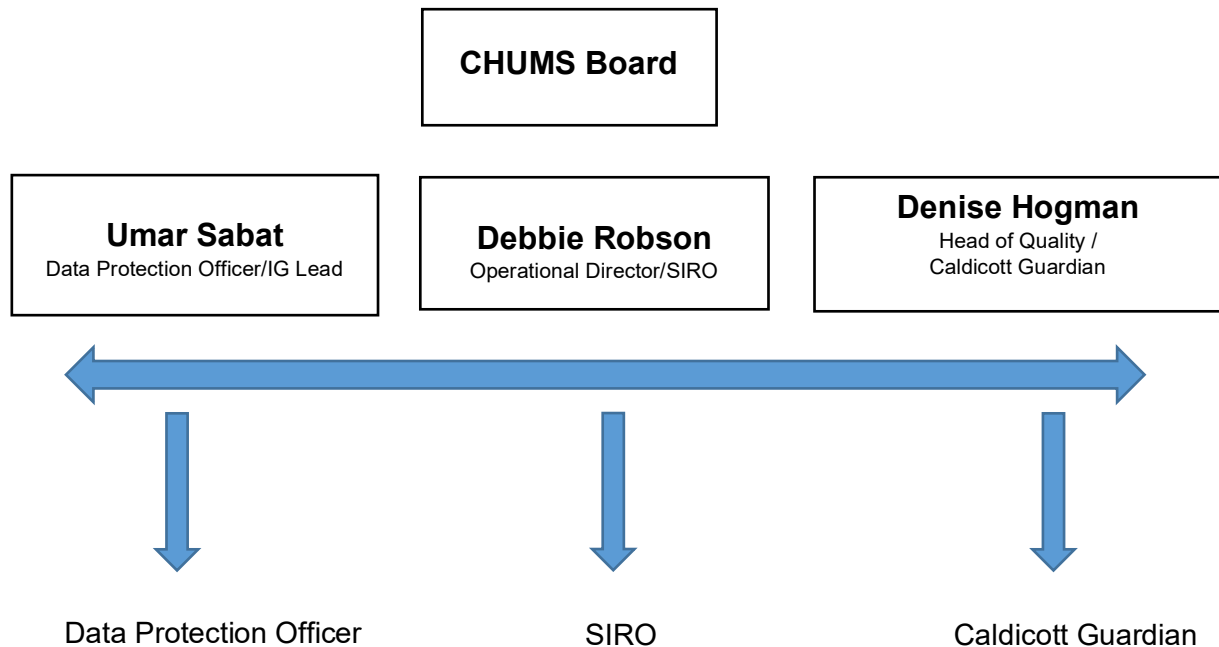
The Lead for Information Governance will develop and implement a CHUMS wide training programme to ensure awareness and compliance by all staff for all Information Governance requirements.

Policies within CHUMS M: Drive will provide staff with detailed information and advice on all aspects of Information Governance.





## Information Governance Management Structure



### **Governance Committee**

**Peter Hindley** – GP/Board Representative

**Vacant** – Clinical Director

**Umar Sabat** – Data Protection Officer/IG Lead

**Dee Hogman** – Head of Quality/Interim Chair of  
Governance Committee

**Debbie Robson** - Operational Director

**Ruth Banton** – Administrator/Notetaker

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**Mental Health & Emotional Wellbeing Service**  
*Information Governance Policy*



## **APPENDIX A**

### **Information Governance Code of Conduct**

**CHUMS** takes information security seriously and ensures that staff are aware of their responsibilities when handling all information that should be kept confidential.

Information is required to look after clients and manage services resources. It is also important for: Clinical Governance (corporate accountability for clinical performance) Corporate Governance (meeting standards of accountability and integrity), service planning and performance management.

We must manage information securely, efficiently and effectively, so we need suitable policies, procedures and management accountability to create a sound governance framework for information management.

***All staff are required to read and sign this document.***

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**Confidential information can be anything that relates to clients (e.g., health records, complaints, and serious untoward incidents), staff or any other person, held either on paper or electronically. Confidentiality is a general legal requirement that applies to all CHUMS staff when handling personal information about others as part of their job.**

There are many ways in which confidentiality could be breached, few are listed below this is not an exhaustive list:

- Accessing records you have no legitimate reason to see, for example your relatives and friends health records, even with their consent (unless it is within your job role to deal with such requests).
- Displaying information in a way that unauthorised people could see items;
  - leaving workstations unlocked
  - leaving records open, unattended or insecure.
- Holding conversations about individuals where others could overhear.
- Giving out confidential information in person, over the telephone, by fax or email to unauthorised people. When using emails, always double check that you are contacting the correct recipient, that any attachments are correct and appropriate. Always use a NEW email instead of reply in case earlier emails in the stream may lead to a data breach.

***Failure by staff to comply with these guidelines and CHUMS policy may lead to disciplinary action.***

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**Mental Health & Emotional Wellbeing Service**  
*Information Governance Policy*



***Transfer of Person Identifiable Data (PID) <sup>1a</sup>.      Portable Devices<sup>2</sup>***

<sup>1</sup> Portable devices should be used as transitional tools for PID only when absolutely necessary for work purposes. The use of any of these items will constitute a risk as they are highly susceptible to loss.

- Ensure the whole device is encrypted wherever possible. Contact IT Support to arrange.
- Store only the minimum amount of PID necessary for the current purpose on the device.
- Store PID only for the time when it is actively used.

Person-identifiable data (PID) covers client or staff information and can include the following:

- Name, address, full postcode, date of birth, financial details of clients or staff.
- Pictures, photographs, videos, audiotapes or other images of clients; copies of passports, birth certificates of staff.
- NHS number and local client identifiable codes; national insurance number or payroll number of staff.
- Anything else that may be used to identify an individual directly or indirectly, e.g., rare diseases, drug treatments or statistical analyses with very small numbers within a small population.

<sup>1</sup> Portable devices can include, laptops and handheld computers, mobile phones, tablets and other mobile devices, optical discs (DVD / CD), solid state memory cards and memory sticks. As technology changes this is not an exhaustive list.

- Delete PID from the device immediately after use.
- Ensure the device is physically secure when unattended.
- Whilst working on CHUMS site use the CHUMS network not a portable device or the local hard drive to store data.
- Do not use portable devices for permanent storage of data. Any data on the device should be backed up on the CHUMS network.

**Post/Courier**

- Send PID in a sealed envelope and mark it as “Private and Confidential”.
- The envelope must display the recipient’s name, job title and full contact details.
- To transfer sensitive or bulk data, use special delivery (tracked) by post or a courier.
- If using a courier ensure that CHUMS has a contract with the courier company.
- Include a return name and address in the top left-hand corner on the back of the envelope.

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**Mental Health & Emotional Wellbeing Service**  
*Information Governance Policy*



### **Email**

- When emailing within the organisation ensure PID is sent between CHUMS accounts: @chums.uk.com.
- Do not use personal email accounts (e.g., Hotmail) to send or receive PID.
- All bulk transfers of PID should be approved by the IG team before commencement then sent via secure file transfer.

***This is currently under review.***

### **Telephone**

Disclosure of PID via telephone should be the exception rather than standard practice:

- Always confirm the identity of the other party before disclosing information.
- Dial back arrangements should be used to ascertain the person is authorised to receive the data.
- The member of staff should ensure that they know the reason why the other party requires the information.
- Recorded telephone messages must be received into a secured, password protected voicemail box.
- For times of absence, a deputy should be appointed, and an administrator password made available.
- Any logbooks used to record phone messages should be stored securely.

### **Fax**

When faxing PID, a safe haven fax1 should be used. If you are unsure whether the machine you are using is a safe haven fax or not, use the following procedures:

- Anonymise PID wherever possible. If this is not possible, use NHS number instead of name, DOB etc.
- Telephone the recipient of the fax to let them know you are sending them PID.
- Always double check the fax number before you hit the send button.
- The cover sheet should state who the information is for and be marked "Private and Confidential".
- Request a report sheet to confirm that the transmission was successful.
- If necessary, contact the recipient to ensure they have received the fax.
- Never leave the fax machine unattended whilst the fax is being transmitted.

### **Records Management**

- Do not store confidential CHUMS data on the M: drive or desktop; use a secure/restricted shared drive folder, your H drive (where appropriate), or approved CHUMS software (e.g., PCMIS®).
- When not in use, always lock paper-based information securely away.

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**Mental Health & Emotional Wellbeing Service**  
*Information Governance Policy*



- Emails containing PID must be filed appropriately on receipt e.g., in the health record or staff file and then deleted from the mailbox.
- Information should be disposed of in accordance with the CHUMS Records Management policy and only in confidential waste bins.

### **Laptops**

All CHUMS laptops should be encrypted, and the guidelines for portable devices apply (see section 1a). PID should only be stored on a laptop when absolutely necessary for work purposes, and good practice guidelines for securing your laptop are as follows:

- When using a laptop to store PID:
  - Always lock it (**CTRL+ALT+DEL**) when you leave your desk.
  - When you are transporting or not using the device make sure it is switched off.
- Do not leave laptops in insecure areas and use lockable rooms and storage facilities, where available.
- Take extra care of laptops used or transported in busy public places.
- Carry laptops in protective anonymous bags or cases (i.e., without manufacturer logos).
- When travelling ensure that laptops are stored securely out of sight, but avoid placing them in locations where they could be easily forgotten e.g. overhead racks.

### **More Information**

Further information is available as follows:

- Data Protection Policy
- Information Sharing Policy
- Information Sharing Protocol
- Confidentiality & Disclosure Policy
- Retention & Disposal Policy
- Freedom of Information Act
- Information Governance Quick Reference Guide
- FAQs

**CHUMS**  
**Mental Health & Emotional Wellbeing Service**  
*Information Governance Policy*



For advice and guidance contact the Information Governance team.

**Information Governance incidents (e.g., loss of information, breaches of confidentiality) must be reported in line with CHUMS Adverse Incident-Serious Reporting policy and to the Information Governance Team immediately.**

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Declaration – to be signed by all staff and volunteers.

I have read and understood the above information and will handle confidential information in line with CHUMS Policies, the current Data Protection Act, General Data Protection Regulation (GDPR) and the Freedom of Information Act 2000.

I understand that my failure to comply with these guidelines and CHUMS policies may lead to disciplinary action being taken against me.

**Name:** .....

**Signature:** .....

**Service:** .....

**Date:** .....

Please sign and return to HR Lead.

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**Mental Health & Emotional Wellbeing Service**  
*Information Governance Policy*



**Further Guidance**

- The current Data Protection Act and General Data Protection Regulation (GDPR).
- Freedom of Information Act 2000 and the supporting Codes of Practice.
- Section 251 National Health Service Act 2006.
- Confidentiality: NHS Code of Practice. Records Management: NHS Code of Practice ISO 17799 Information Security.
- Caldicott Guardian Manual 2010.
- The Computer Misuse Act (1990).
- Human Rights Act (1998).
- Regulation of Investigatory Powers Act 2000.
- Public Records Act 1958.

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**Mental Health & Emotional Wellbeing Service**  
*Information Governance Policy*



## **Appendix B**

### **IG Guidance for Staff Managing Personal Information**

#### **Introduction**

All CHUMS staff have a responsibility for managing and sharing information appropriately and in ways that comply with legal requirements. This includes all personal information, which is covered by the Data Protection Act and which must be handled in a way that protects the confidentiality and rights of individuals.

The following guidance is designed to help staff understand how personal information is defined, how it should be handled and the restrictions that apply.

***If you are unsure, please always seek advice from line manager before providing any information.***

#### **What is “Personal Information”?**

Personal information (also known as person identifiable data – PID) incorporates:

- Everything that could identify an individual – e.g., home address, National Insurance number, salary, etc.
- Any opinions expressed by or about an individual.
- The intentions of someone else regarding an individual.

**The General Data Protection Regulation defines the following types of information as being particularly sensitive personal information – which must never be shared without consent:**

- An individual's racial or ethnic origin.
- His/her political opinions.
- His/her religious beliefs or other beliefs of a similar nature.
- Whether he/she is a member of a trade union (within the meaning of the M1 Trade Union and Labour Relations (Consolidation) Act 1992).
- His/her physical or mental health or condition.
- His/her sexual life and orientation.
- The commission or alleged commission by him/her of any offence.
- Any proceedings for any offence committed or alleged to have been committed by him/her, the disposal of such proceedings or the sentence of any court in such proceedings.

#### **What are the restrictions that apply to the handling of personal information?**

Under the Data Protection Regulations state, any person referred to in any data has legal rights over the use of that data and that data should, therefore, not be shared without their consent.





### **Who does personal information apply to?**

The same definitions and restrictions relating to personal information apply to all individuals for whom CHUMS, or individual employees, hold information. These include:

- All staff.
- All tenants.
- All customers.
- All service users and their families.
- And all others.

### **The following conditions apply to the managing and sharing of personal information:**

- Personal information held by CHUMS is held for specific officially registered purposes only.
- The use of sharing of personal information for other purposes could be breaking the law.
- All CHUMS staff are personally responsible for ensuring that any information shared with others does not breach the Data Protection Regulations, NHS Code of Confidentiality or other laws and codes.
- If you share information with someone outside the company and that person uses the information in a way that breaches the Data Protection Regulations, you and the company remain accountable.

### **Information that is NOT personal**

In the case of an employee, information that relates to certain aspects of their employment is not classed as personal – including:

- Work contact details.
- Job description.
- Employee number.
- Decisions they have made as part of their role (e.g., recorded in the minutes of a meeting).

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**Mental Health & Emotional Wellbeing Service**  
*Information Governance Policy*



**What should I do if someone asks me for personal data relating to another person?**

Personal information that is provided by an individual should only be used for the specific purpose for which it has been provided. For instance, employees provide HR with their bank account details for use by payroll only. This information cannot be provided to anyone else or used for any other purpose.

If someone asks you for information about another individual – whether the person asking is someone inside the organisation – such as by another member of staff (internal requests) or someone outside the company (external requests) – you need to make sure it is appropriate to share it.

In some cases, you can seek consent from the person who is in the data. However, this is not always possible or desirable (for example if the information has been formally requested in order to investigate possible fraud or by a body with statutory powers such as the police or HM Revenue and Customs).

**Responding to internal requests for information**

If someone from within the company asks you for information about someone else, you should always ask:

- Do you understand what they do?
- Why do they need the data?
- Does the purpose for which they want the information match the purpose for which the information was provided?
- Could they manage with less information than they are asking for, or could you anonymise it by removing any information that could be deemed to be personal?

***If you are unsure, please always seek advice from your line manager before providing any information.***

**Responding to external requests**

All requests from any individual for personal information about themselves should be treated as a subject access request under the Data Protection Regulations.

Any request from any person for any other information about the company or its business should be referred to the Operational Director. This will be treated as a freedom of information request under the Freedom of Information Act (2000).

The release of personal data to outside companies/organisations is only permitted in situations where the company has a contract and/or data processing agreement in place to ensure they only use the data for the purpose specified.

**CHUMS**  
**Mental Health & Emotional Wellbeing Service**  
*Information Governance Policy*



***If you are unsure, please always seek advice from your line manager before providing any information.***

**More information**

For further guidance on the handling of personal information and/or other aspects of information governance, please contact Debbie Robson Operational Director, Information Governance Lead, by email to [debbie.robson@chums.uk.com](mailto:debbie.robson@chums.uk.com)

You can find more information on the Data Protection Act 2018 at:  
M:\Projects\Information Governance:

- M:\Projects\Data Protection including GDPR.
- <https://ico.org.uk/for-organisations/guide-to-the-general-data-protection-regulation-gdpr/>

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*Information Governance Policy*



**Appendix C**

INFORMATION GOVERNANCE MANAGEMENT FRAMEWORK		
Heading	Requirement	Notes
Senior Roles	<ul style="list-style-type: none"> <li>• Senior Information Risk Owner (SIRO): Operational Director</li> <li>• IG/SIRO Support: Risk &amp; Security Lead (Data Protection Officer)</li> <li>• Governance Project Lead Caldicott Guardian</li> </ul>	Due to the size of CHUMS, some roles are combined.
Key Policies	<ul style="list-style-type: none"> <li>• Information Sharing Policy</li> <li>• Documentation Policy</li> <li>• Confidentiality and Disclosure Policy</li> <li>• Records Management Policy</li> <li>• Clinical Records Policy</li> <li>• Risk Assessment Policy</li> <li>• Data Protection Policy</li> <li>• Adverse Incident – Serious Incident Reporting Policy</li> <li>• Parental Consent Policy</li> <li>• Duty of Candour</li> </ul>	
Key Governance Bodies	<b>Board</b> <ul style="list-style-type: none"> <li>• CEO</li> <li>• Operations Director</li> <li>• Risk &amp; Security Lead</li> </ul>	
Resources	<ul style="list-style-type: none"> <li>• CEO</li> <li>• Operations Director</li> <li>• Clinical Director</li> <li>• Finance Director</li> <li>• HR-Admin Lead</li> <li>• Risk &amp; Security Lead</li> </ul>	
Governance Framework	<ul style="list-style-type: none"> <li>• Staff Induction and Training</li> <li>• Contracts of Employment</li> <li>• Related Policies (above)</li> <li>• Managers and Departmental Heads</li> <li>• This should include staff contracts, contracts with third parties, Information Asset Owner arrangements,</li> <li>• Departmental Leads</li> </ul>	
Training & Guidance	<ul style="list-style-type: none"> <li>• Staff Code of Conduct</li> <li>• Training for all staff</li> <li>• Organisation Security Policy</li> <li>• Training for specialist IG roles</li> </ul>	

**CHUMS**  
**Mental Health & Emotional Wellbeing Service**  
*Information Governance Policy*



	<ul style="list-style-type: none"><li>• All relevant policies</li></ul>	
Incident Management	<ul style="list-style-type: none"><li>• Adverse Incident – Serious Incident reporting Policy</li></ul>	

**Authorised**

**Signature:** \_\_\_\_\_ **Name (print):** Dawn Hewitt

**Position:** Chief Executive Officer **Date:** \_\_\_\_\_

**Governance Committee Authorisation**

Signature \*

Name Print: Dee Hogman

Position/Role: Head of Quality/Chair of Governance Committee

Date: February 2021

Date of Review: February 2024