

A photograph of Addenbrooke's Hospital in Cambridge, UK, with a green field in the foreground. The NHS logo is visible in the top right corner of the image.

Addenbrooke's Hospital  
Cambridge University Hospitals NHS Foundation Trust

# Managing a Data Loss in the NHS

**Michelle Ellerbeck**  
**Information Governance Lead**

## National guidance

- **DH: Checklist for Reporting, Managing and Investigating Information Governance Serious Untoward Incidents – Jan 10**
- **ICO Guidance: Notification of Data Security Breaches to the ICO**
- **ICO Guidance: Guidance on data security breach management**

## Number of SUI for 2008/09

- **April 08**  
**Lost USB/Paper records on way to work**  
**1300 patient details**  
**Level 3**
- **Jan 09**  
**USB found in car at car wash**  
**741 patient details**  
**Level 3**

## Number of SUI for 2009/10

- **April 09**  
4 discharge letters sent to the wrong fax  
4 patient details  
Level 1
- **July 09**  
Missing case load file from therapies  
20 patient details  
Level 2
- **Jan 10**  
Theft of paper diary  
42 patient details  
Level 3
- **Feb 10**  
Confidential waste disposed of incorrectly  
20 patient reports  
Level 1

## Key actions

- **Incident reported – verbally or incident form**
- **Gather facts of the incident**
- **Decide if SUI**

# SUI categories

0	1	2	3	4	5
No significant reflection on any individual or body. Media interest very unlikely	Damage to an individuals reputation possible, media internets e.g. celebrity involved	Damage to a Teams reputation. Some local media interest that may not go public.	Damage to a services reputation. Low key local medial coverage	Damage to an organisations reputation. Low key local media coverage	Damage to NHS reputation. National media coverage
Minor breach of confidentiality. Only single individual affected	Potentially serious breach. Less than 5 people affected or risk assessed as low e.g. files encrypted	Serious potential breach & risk assessed as high e.g. unencrypted clinical records lost. Up to 20 people affected	Serious breach of confidentiality e.g. up to 100 people affected	Serious breach with either particular sensitivity e.g. sexual health details or up to 1000 people affected	Serious breach with potential for ID theft or over 1000 people affected

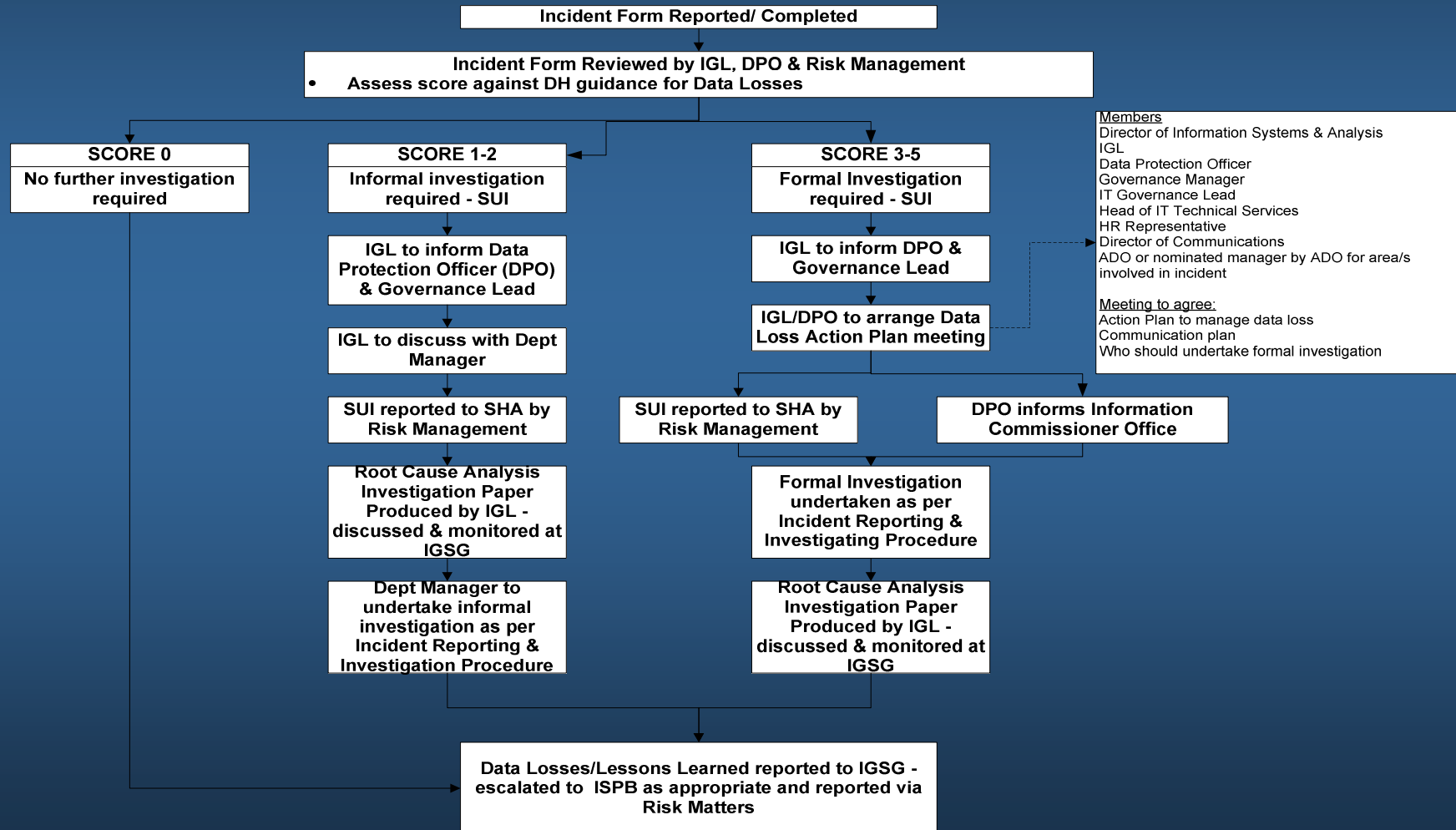
## Key actions – Score 0

- **Treat as local incident**
- **Identify any actions e.g. communication**
- **Log incident on 'Incident Log'**

## Key actions - SUI

- Complete risk assessment for incident
- Convene data loss meeting (level 3-5)
- Submit SUI forms to PCT
- HR investigation
- Investigate incident
- Communication plan
- Draft letter to ICO (level 3-5)
- Action plan
- Root cause analysis report
- Monitor action plan via IGSG
- Close incident
- Records of incident

**Data Protection Investigation Procedure**



## Informing patients

- Can the individuals be identified
- Case by case judgement on whether the individuals should be informed

### Individuals should be informed

- Verbally or in writing
- Letter template
- Helpline
- Script

## What happens when you receive an Undertaking from the Information Commissioners Office

- SUI – what happened
- Work program to review existing procedures & introduce new processes

Information risk assessment process

Update mobile device policy

Install McAfee Device Management

Review policies – Information Security & Home Working

Information governance code of conduct

Keep it safe campaign

## Lessons learned

- Procedure developed from first data loss SUI
- All incidents treated fairly
- Plan of action can be put in place quickly
- Evidence of action taken
- Staff have not stopped reporting incidents
- High level support – valuable & important
- **COMMUNICATION**
- Managing risk
- IGSG membership

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**Any Questions?**