University Hospitals of North Midlands NHS

NHS Trust

Royal Stoke University Hospital
Quality, Safety and Compliance Department
Newcastle Road
Stoke-on-Trent
Staffordshire
ST4 6QG

Tel: 01782 676474
Email Helen.Grocott@uhns.nhs.uk

Ref: FOIA Reference 2015/314

Date: 14th December 2015

Barry Smith
request-280578-573df460@whatdotheyknow.com

Dear Mr Smith,

I am writing in response to your email dated 17th July 2015 requesting information under the Freedom of Information Act (2000) regarding information governance incidents.

We contacted you on 21st July to ask for your surname in order to validate your request. Your request was paused while we awaited this response. You responded on 17th November with your surname, and we continued to process your request.

When reporting an IG incident which is level 2 or above, the Trust uses the national reporting tool and therefore the set categories it provides. Internally, the Trust uses an electronic incident reporting system called Datix. Datix has set categories that incidents are recorded under. In order to answer your request I have downloaded a report of incidents concerning "confidentiality", "patient case notes or records", or "electronic patient record" under the following categories:

- Breach of confidentiality
- Insecure information
- Lost memory stick (encrypted)
- Lost memory stick (not encrypted)
- Lost hardware (encrypted)
- Lost hardware (not encrypted)
- Unauthorised access

Using the details from these reports I have re-categorised them using the categories you have provided. Under the FOI Act we are not required to create "new information" in order to answer a request, but hopefully by re-categorising our data to fit your criteria we have made this information as useful as possible for you. Please note, we were only able to do this due to the relatively small number of incident reports we had to consult.

As of 1st November 2014 University Hospitals of North Midlands NHS Trust (UHNM) manages two hospital sites – Royal Stoke University Hospital, and County Hospital (Stafford). Therefore the response below is for the two sites combined from that date where appropriate.

Q1   Please can you indicate for the period April 2014/ March 15 how many information governance incidents you had for the following national categories, and please indicate which ones were level 2 and above.

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Categories for April 2014/ March 15

• **Disclosed in error – Post**
• **Disclosed in error - Fax**
• **Disclosed in error - Email**
• **Disclosed in error – Other**
• **Lost in transit**
• **Lost or stolen hardware**
• **Lost or stolen paperwork**
• **Non secure disposal hardware**
• **Non secure disposal paperwork**
• **Uploaded to website in error**
• **Security failing - Technical (including hacking)**
• **Security failing - Organisational or Procedural**
• **Unauthorised Access**
• **Unauthorised Disclosure**
• **Corruption or inability to recover electronic data**
• **Misfiling**
• **Data Quality**

Please provide the results in a table with the following headings

• **Category**
• **Numbers of incidents April 2014/ March 2015**
• **Numbers of incidents level 2 or above**

A1

Category	Reported internally	Level 2	Total
Disclosed in error - post	5	0	5
Disclosed in error - fax	2	0	2
Disclosed in error - email	9	2	10
Disclosed in error - other	5	0	5
Lost in transit	0	0	0
Lost or stolen hardware	0	1	1
Lost or stolen paperwork	1	0	1
Non secure disposal hardware	0	0	0
Non secure disposal paperwork	0	1	1
Uploaded to website in error	1	0	1

Security failing - technical (including hacking)	0	0	0
Security failing - organisational or procedural	0	0	0
Unauthorised access	1	1	2
Unauthorised disclosure	0	0	0
Corruption or inability to recover electronic data	0	0	0
Misfiling	42	0	42
Data quality	0	0	0
Other	4	0	4
Total	**70**	**4**	**74**

Q2 **Please can you also provide this data for the time period of April 2015 to June 2015. Again please provide the results in a table with the following headings**

• **Category**
• **Numbers of incidents April 2015/June 2015**
• **Numbers of incidents level 2 or above**

A2

Category	Reported internally	Level 2	Total
Disclosed in error - post	1	0	1
Disclosed in error - fax	0	0	0
Disclosed in error - email	1	0	1
Disclosed in error - other	3	0	3
Lost in transit	0	0	0
Lost or stolen hardware	0	0	0
Lost or stolen paperwork	1	0	1
Non secure disposal hardware	0	0	0
Non secure disposal paperwork	1	0	1
Uploaded to website in error	0	0	0

Security failing - technical (including hacking)	0	0	0
Security failing - organisational or procedural	0	0	0
Unauthorised access	0	0	0
Unauthorised disclosure	0	0	0
Corruption or inability to recover electronic data	0	0	0
Misfiling	15	0	15
Data quality	0	0	0
Total	**22**	**0**	**22**

This letter confirms the completion of this request. A log of this request and a copy of this letter will be held by the Trust.

If you have any queries related to the response provided please in the first instance contact my office.

Should you have a complaint about the response or the handling of your request, please also contact my office to request a review of this. If having exhausted the Trust's FOIA complaints process you are still not satisfied, you are entitled to approach the Information Commissioner's Office (ICO) and request an assessment of the manner in which the Trust has managed your request.

The Information Commissioner may be contacted at:

Information Commissioner's Office, Wycliffe House, Water Lane, Wilmslow, Cheshire SK9 5AF or via www.ico.org.uk.

If following review of the responses I can be of any further assistance please contact my secretary on 01782 676474.

Yours,

Helen Grocott
Information Governance Manager