

**Freedom of Information Request - 1136**

In your request you asked for the following information: -

- 1) How many confidentiality and data breaches have there been at your Trust in:  
a) 2011; b) 2010; c) 2009
- 2) Breaking it down into each year, could you please provide details of what happened in each case.

In response to the above: -

Since April 2010 the Trust has recorded incidents in relation to Information Governance under specific headings (see page below), incidents are then graded in relation to the harm caused (see page 3), incidents are then investigated and actioned appropriately. It is important to note that not all instances result in a breach of confidentiality i.e. information could be reported missed and later found in a secure location.

Question 1 -

The number of confidentiality and data breaches at the Trust are as follows:

- a) 2011 (to date) – 59
- b) 2010 – 70
- c) 2009 – The Trust did not record confidentiality breaches under specific incident codes until 2010; therefore, this information is not held.

Question 2 -

Please see pages 4 to 8 for a list of reported actual and suspected breaches of confidentiality and data breaches including year, incident code and harm caused.

**Information Governance Incident Reporting Codes**

- G1A Confidentiality Incident - Within Staff (Verbal)
- G1B Confidentiality Incident - Within The Hospital (Verbal)
- G1C Confidentiality Incident - Outside The Hospital (Verbal)
- G2A Patient Information Inaccurate (Written Or Electronic)
- G2B Patient Information Lost Or Missing Sections (Written Or Electronic)
- G2C Unauthorised Disclosure Or Use Of Patient Information (Written, Verbal Or Electronic)
- G2D Patient Information Left In Insecure Area Of The Trust
- G2E Patient Information Found Outside The Trust
- G3A Misfiled/Inaccurate/Illegible Staff Or Corporate Information (Written Or Electronic)
- G3B Lost/Missing Staff Or Corporate Information (Written Or Electronic)
- G3C Unauthorised Disclosure Or Use Of Staff Or Corporate Information (Written, Verbal Or Electronic)
- G4A Unauthorised Destruction Of Information (Written Or Electronic)
- G4B Theft Of Information (Written Or Electronic)
- G4C Information Incident - Suspicious Request For Information (Written, Verbal Or Electronic)
- G4D Information Incident - Breach In Safe Haven Policy/Other IG Policy
- G4E Information Incident - Caused By External Provider/Other Party
- G5A Password Incident - Unauthorised Use/Disclosure
- G5B E-Mail Incident - Incorrect Recipient/Unauthorised Use
- G5C Removable Media Incident - Unauthorised Use

The Trust grades the severity of an incident (harm caused) using a table based on the SUI Guidance provided by the Department of Health.

Governance / Information Governance					
Descriptor	No Harm (Insignificant)	Low Harm (Minor)	Moderate Harm	Major Harm	Catastrophic Harm
<b>Information Governance</b>	Potentially serious breach. Less than 5 people affected or risk assessed as low, e.g. files were encrypted	Serious potential breach & risk assessed 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 Serious breach with either particular sensitivity e.g. sexual health details with over 1000 people affected
<b>Public Confidence in Information Security</b>	Damage to an individual's reputation. Possible media interest, e.g. celebrity involved	Damage to a team's reputation. Some local media interest that may not go public	Damage to a services reputation/ Low key local media coverage.	Damage to an organisation's reputation/ Local media coverage.	Damage to NHS reputation/ National media coverage.
<b>Inspection / Statutory Duty</b>	Small number of recommendations which focus on minor quality improvement issues / No or minimal impact or breach of guidance / statutory duty nor concerns in relation to regulatory standards	Minor recommendations which can be implemented by low level of management action Breach of Statutory legislation Enquiry from Regulator Breach of Statutory legislation No audit trail to demonstrate that objectives are being met (NICE; HSE; NSF etc.)	Challenging recommendations which can be addressed with appropriate action plans Single breach of statutory duty Non-compliance with standards 50% of objectives within standards met Moderate SUI reportable to the Regulator Improvement notice served Audit from Regulator	Enforcement notice Information notice Multiple breaches of statutory duty Improvement Notice Critical Report Low performance rating Major non compliance with regulatory standards	Multiple breaches of statutory duty Prosecution Fine from Regulator Severely critical report Zero performance rating Complete systems change required No objectives / standards being met Damages Claim / Identity Theft Loss of Registration with CQC

Year	Cause 1	Actual Impact
2010-2011	G1A - Within Staff (Verbal)	1 - No Harm
2010-2011	G1C - Outside The Hospital (Verbal)	1 - No Harm
2010-2011	G1C - Outside The Hospital (Verbal)	1 - No Harm
2010-2011	G2A Patient Information Inaccurate (Written Or Electronic)	1 - No Harm
2010-2011	G2A - Patient Information Inaccurate	1 - No Harm
2010-2011	G2A - Patient Information Inaccurate	1 - No Harm
2010-2011	G2A - Patient Information Inaccurate	1 - No Harm
2010-2011	G2A - Patient Information Inaccurate	1 - No Harm
2010-2011	G2A - Patient Information Inaccurate	1 - No Harm
2010-2011	G2A - Patient Information Inaccurate	3 - Moderate Harm
2010-2011	G2A - Patient Information Inaccurate	2 - Low Harm
2010-2011	G2A - Patient Information Inaccurate	1 - No Harm
2010-2011	G2A - Patient Information Inaccurate	1 - No Harm
2010-2011	G2B - Patient Information Lost Or Missing Sections	1 - No Harm
2010-2011	G2C Unauthorised Disclosure Or Use Of Patient Information	1 - No Harm
2010-2011	G2C Unauthorised Disclosure Or Use Of Patient Information	1 - No Harm
2010-2011	G2C Unauthorised Disclosure Or Use Of Patient Information	1 - No Harm
2010-2011	G2C Unauthorised Disclosure Or Use Of Patient Information	2 - Low Harm
2010-2011	G2C Unauthorised Disclosure Or Use Of Patient Information	1 - No Harm
2010-2011	G2C Unauthorised Disclosure Or Use Of Patient Information	1 - No Harm
2010-2011	G2C Unauthorised Disclosure Or Use Of Patient Information	1 - No Harm
2010-2011	G2C Unauthorised Disclosure Or Use Of Patient Information	1 - No Harm
2010-2011	G2C Unauthorised Disclosure Or Use Of Patient Information	1 - No Harm
2010-2011	G2C Unauthorised Disclosure Or Use Of Patient Information	1 - No Harm
2010-2011	G2C Unauthorised Disclosure Or Use Of Patient Information	2 - Low Harm
2010-2011	G2C Unauthorised Disclosure Or Use Of Patient Information	1 - No Harm

Year	Cause 1	Actual Impact
2010-2011	G2C Unauthorised Disclosure Or Use Of Patient Information	2 - Low Harm
2010-2011	G2C Unauthorised Disclosure Or Use Of Patient Information	2 - Low Harm
2010-2011	G2C Unauthorised Disclosure Or Use Of Patient Information	1 - No Harm
2010-2011	G2C Unauthorised Disclosure Or Use Of Patient Information	1 - No Harm
2010-2011	G2C Unauthorised Disclosure Or Use Of Patient Information	3 - Moderate Harm
2010-2011	G2C Unauthorised Disclosure Or Use Of Patient Information	2 - Low Harm
2010-2011	G2C Unauthorised Disclosure Or Use Of Patient Information	1 - No Harm
2010-2011	G2D - Patient Information Left In Unsecure Area Of The Trust	1 - No Harm
2010-2011	G2D - Patient Information Left In Unsecure Area Of The Trust	2 - Low Harm
2010-2011	G2D - Patient Information Left In Unsecure Area Of The Trust	1 - No Harm
2010-2011	G2D - Patient Information Left In Unsecure Area Of The Trust	1 - No Harm
2010-2011	G2D - Patient Information Left In Unsecure Area Of The Trust	1 - No Harm
2010-2011	G2D - Patient Information Left In Unsecure Area Of The Trust	1 - No Harm
2010-2011	G2D - Patient Information Left In Unsecure Area Of The Trust	1 - No Harm
2010-2011	G2D - Patient Information Left In Unsecure Area Of The Trust	1 - No Harm
2010-2011	G2D - Patient Information Left In Unsecure Area Of The Trust	2 - Low Harm
2010-2011	G2D - Patient Information Left In Unsecure Area Of The Trust	2 - Low Harm
2010-2011	G2D - Patient Information Left In Unsecure Area Of The Trust	3 - Moderate Harm
2010-2011	G2D - Patient Information Left In Unsecure Area Of The Trust	1 - No Harm
2010-2011	G2D - Patient Information Left In Unsecure Area Of The Trust	1 - No Harm
2010-2011	G3A - Misfiled/Inaccurate/Illegible Staff Or Corporate Information	1 - No Harm
2010-2011	G3A - Misfiled/Inaccurate/Illegible Staff Or Corporate Information	1 - No Harm
2010-2011	G3B - Lost/Missing Staff Or Corporate Information	1 - No Harm
2010-2011	G3B - Lost/Missing Staff Or Corporate Information	1 - No Harm
2010-2011	G3B - Lost/Missing Staff Or Corporate Information	1 - No Harm

Year	Cause 1	Actual Impact
2010-2011	G3C - Unauthorised Disclosure Or Use Of Staff Or Corporate Information	1 - No Harm
2010-2011	G3C - Unauthorised Disclosure Or Use Of Staff Or Corporate Information	1 - No Harm
2010-2011	G3C - Unauthorised Disclosure Or Use Of Staff Or Corporate Information	1 - No Harm
2010-2011	G4B - Theft Of Information	1 - No Harm
2010-2011	G4B - Theft Of Information	1 - No Harm
2010-2011	G4C - Suspicious Request For Information	1 - No Harm
2010-2011	G4C - Suspicious Request For Information	1 - No Harm
2010-2011	G4C - Suspicious Request For Information	1 - No Harm
2010-2011	G4D - Breach In Safe Haven Policy/Other IG Policy	1 - No Harm
2010-2011	G4D - Breach In Safe Haven Policy/Other IG Policy	1 - No Harm
2010-2011	G4E - Caused By External Provider/Other Party	1 - No Harm
2010-2011	G4E - Caused By External Provider/Other Party	1 - No Harm
2010-2011	G4E - Caused By External Provider/Other Party	1 - No Harm
2010-2011	G5A - Password Incident - Unauthorised Use/Disclosure	1 - No Harm
2010-2011	G5B - E-Mail Incident - Incorrect Recipient/Unauthorised Use	1 - No Harm
2010-2011	G5B - E-Mail Incident - Incorrect Recipient/Unauthorised Use	1 - No Harm
2010-2011	G3C - Unauthorised Disclosure Or Use Of Staff Or Corporate Information	1 - No Harm
2010-2011	G2D - Patient Information Left In Unsecure Area Of The Trust	2 - Low Harm
2011-2012	G1A - Within Staff (Verbal)	1 - No Harm
2011-2012	G1A - Within Staff (Verbal)	1 - No Harm
2011-2012	G1C - Outside The Hospital (Verbal)	1 - No Harm
2011-2012	G1C - Outside The Hospital (Verbal)	1 - No Harm
2011-2012	G1C - Outside The Hospital (Verbal)	1 - No Harm
2011-2012	G2A - Patient Information Inaccurate	1 - No Harm
2011-2012	G2A - Patient Information Inaccurate	1 - No Harm
2011-2012	G2A - Patient Information Inaccurate	1 - No Harm

Year	Cause 1	Actual Impact
2011-2012	G2A - Patient Information Inaccurate	1 - No Harm
2011-2012	G2A - Patient Information Inaccurate	1 - No Harm
2011-2012	G2A - Patient Information Inaccurate	1 - No Harm
2011-2012	G2A - Patient Information Inaccurate	1 - No Harm
2011-2012	G2A - Patient Information Inaccurate	1 - No Harm
2011-2012	G2B - Patient Information Lost Or Missing Sections	1 - No Harm
2011-2012	G2B - Patient Information Lost Or Missing Sections	1 - No Harm
2011-2012	G2B - Patient Information Lost Or Missing Sections	2 - Low Harm
2011-2012	G2B - Patient Information Lost Or Missing Sections	1 - No Harm
2011-2012	G2C Unauthorised Disclosure Or Use Of Patient Information	1 - No Harm
2011-2012	G2C Unauthorised Disclosure Or Use Of Patient Information	1 - No Harm
2011-2012	G2C Unauthorised Disclosure Or Use Of Patient Information	1 - No Harm
2011-2012	G2C Unauthorised Disclosure Or Use Of Patient Information	1 - No Harm
2011-2012	G2C Unauthorised Disclosure Or Use Of Patient Information	1 - No Harm
2011-2012	G2C Unauthorised Disclosure Or Use Of Patient Information	1 - No Harm
2011-2012	G2C Unauthorised Disclosure Or Use Of Patient Information	2 - Low Harm
2011-2012	G2C Unauthorised Disclosure Or Use Of Patient Information	1 - No Harm
2011-2012	G2C Unauthorised Disclosure Or Use Of Patient Information	2 - Low Harm
2011-2012	G2C Unauthorised Disclosure Or Use Of Patient Information	2 - Low Harm
2011-2012	G2C Unauthorised Disclosure Or Use Of Patient Information	2 - Low Harm
2011-2012	G2C Unauthorised Disclosure Or Use Of Patient Information	1 - No Harm
2011-2012	G2C Unauthorised Disclosure Or Use Of Patient Information	2 - Low Harm
2011-2012	G2D - Patient Information Left In Unsecure Area Of The Trust	1 - No Harm
2011-2012	G2D - Patient Information Left In Unsecure Area Of The Trust	1 - No Harm
2011-2012	G2D - Patient Information Left In Unsecure Area Of The Trust	1 - No Harm
2011-2012	G2D - Patient Information Left In Unsecure Area Of The Trust	1 - No Harm

Year	Cause 1	Actual Impact
2011-2012	G2D - Patient Information Left In Unsecure Area Of The Trust	1 - No Harm
2011-2012	G2D - Patient Information Left In Unsecure Area Of The Trust	1 - No Harm
2011-2012	G2D - Patient Information Left In Unsecure Area Of The Trust	1 - No Harm
2011-2012	G2D - Patient Information Left In Unsecure Area Of The Trust	1 - No Harm
2011-2012	G2D - Patient Information Left In Unsecure Area Of The Trust	1 - No Harm
2011-2012	G2D - Patient Information Left In Unsecure Area Of The Trust	1 - No Harm
2011-2012	G2D - Patient Information Left In Unsecure Area Of The Trust	1 - No Harm
2011-2012	G2D - Patient Information Left In Unsecure Area Of The Trust	1 - No Harm
2011-2012	G2D - Patient Information Left In Unsecure Area Of The Trust	1 - No Harm
2011-2012	G2D - Patient Information Left In Unsecure Area Of The Trust	1 - No Harm
2011-2012	G2D - Patient Information Left In Unsecure Area Of The Trust	1 - No Harm
2011-2012	G2D - Patient Information Left In Unsecure Area Of The Trust	2 - Low Harm
2011-2012	G2D - Patient Information Left In Unsecure Area Of The Trust	1 - No Harm
2011-2012	G2D - Patient Information Left In Unsecure Area Of The Trust	1 - No Harm
2011-2012	G2D - Patient Information Left In Unsecure Area Of The Trust	2 - Low Harm
2011-2012	G2E - Patient Information Found Outside Of Trust	1 - No Harm
2011-2012	G3A - Misfiled/Inaccurate/Illegible Staff Or Corporate Information	1 - No Harm
2011-2012	G3C - Unauthorised Disclosure Or Use Of Staff Or Corporate Information	1 - No Harm
2011-2012	G4C - Suspicious Request For Information	1 - No Harm
2011-2012	G4E - Caused By External Provider/Other Party	1 - No Harm
2011-2012	G4E - Caused By External Provider/Other Party	1 - No Harm
2011-2012	G4E - Caused By External Provider/Other Party	1 - No Harm
2011-2012	G4E - Caused By External Provider/Other Party	1 - No Harm
2011-2012	G5B - E-Mail Incident - Incorrect Recipient/Unauthorised Use	1 - No Harm
2011-2012	G5B - E-Mail Incident - Incorrect Recipient/Unauthorised Use	1 - No Harm