

Information Governance Policy

Introduction

This policy sets out Serenta Homecare's approach for the governance of information within Serenta Homecare

Information Governance is a framework that brings together all the statutory and mandatory requirements, and best practice standards that apply to the handling of information, allowing:

- Implementation of central advice and guidelines.
- Compliance with the law.
- Self-assessment audits and assurance processes to measure and report performance.
- Client assurance and confidence in Serenta Homecare's management of Client data

Purpose

Information is a vital asset to the organisation. It is used on a daily basis for the clinical management of individual Clients and the efficient management of services and resources. It plays a key part in clinical governance, financial management, service planning, measuring outcomes and performance.

It is of paramount importance to ensure that information is effectively managed, that it is reliable and available at the point of need, appropriately retained and retrievable for future need and that staff are effectively trained and understand their responsibilities for it.

This policy, supported by a series of policies and procedures, management accountability and structures, provides a robust governance framework for information management.

The following principles apply to information within Serenta Homecare:

- Do** share relevant information with those supporting Client care.
- Do** keep records in accordance with the management of healthcare records policy.
- Do** transfer information securely.
- Do** attend IG training annually.
- Do** check and update Client demographic data every time we have contact with a Client.
- Do not** allow personal information to be misused. All incidents must be reported on Datix.
- Do not** fax any documentation that contains Client information unless it is to a dedicated "safe haven" fax.
- Do not** ignore incorrect / inaccurate records.
- Do not** keep records beyond retention periods.

Scope

This policy applies to all staff including temporary staff and agency workers employed or contracted by Serenta Homecare.

Definitions

1 Types of Data:

1.1.1 Personal information (or data)

Personal data means data which relates to a living individual who can be identified from that data, or from other information which comes into the possession of the data controller, and includes any expression of opinion about the individual and any indication of the intentions of the data controller or any other person in respect of the individual.

1.1.2 Special Category Data

- Racial or ethnical origin of the data subject
- Political opinions
- Religious or philosophical beliefs
- Whether a member of a trade union
- Data concerning health
- Data concerning a natural person's sex life or sexual orientation
- Processing of genetic data
- Biometric data for the purpose of uniquely identifying a natural person

1.2 Abbreviations used:

Information Governance (IG)

Serenta Homecare organisation (Serenta Homecare)

Integrated Governance & Quality Committee (IG&QC)

Serenta Homecare Information Governance Group (TIGG)

1.3 Caldicott Principles

1. Justify the purpose for using confidential information
2. Don't use personal confidential information unless it is absolutely necessary
3. Use the minimum necessary personal confidential information
4. Access to personal confidential data should be on a strict need to know basis
5. Everyone with access to personal confidential data should be aware of their responsibilities
6. Comply with the law
7. The duty to share information can be as important as the duty to protect Client confidentiality

Roles and responsibilities

1.4 Committees

- 1.4.1 The Serenta Homecare Board is ultimately responsible for Information Governance within the organisation and is also responsible for ensuring that sufficient resources are provided to support the requirements of this policy.
- 1.4.2 The Serenta Homecare Information Governance Group provides assurance to the Serenta Homecare Board on compliance with the standards set out in the NHS Data Security and Protection Toolkit
- 1.4.3 The Information Governance Group responsible for implementing the standards set out in the NHS Data Security and Protection Toolkit, which Serenta Homecare aims to comply with at all times. The committee will ensure the development and maintenance of policies, standards, procedures and guidance, and review hospital performance against this policy to measure compliance and progress.

1.5 Individual Officers

- 1.5.1 The Director of Clinical and Commercial Services is the Accountable Officer with responsibility for ensuring Serenta Homecare's overall compliance with statutory obligations.
- 1.5.2 The Senior Information Risk Owner has overall responsibility delegated from the Director of Clinical and Commercial Services for ensuring that effective systems and processes are in place to deliver the Information Governance agenda. The SIRO will:
 - Take overall ownership of Serenta Homecare's IG risks
 - Ensure annual assessments are arranged and carried out
 - Ensure annual assessment improvement plans are implemented
 - Ensure that appropriate training is made available to all staff
 - Report IG incidents to the IRGQ Committee and Serenta Homecare board on a quarterly basis
 - Take ownership of the Information Asset Register and Data Flow mapping and receive reports from allocated Information Asset Owners. Report to the Board.
- 1.5.3 The Data Protection Officer is an independent role and will:
 - Monitor the organisation's compliance with the UK GDPR and the Data Protection Act 2018
 - Provide advice and assistance with regards to the completion of Data Protection Impact Assessments
 - Act as a contact point for the Information Commissioner's office and members of the public on matters relating to data protection
 - Provide advice on compliance with UK GDPR and the Data Protection Act 2018

1.5.4 The Caldicott Guardian is responsible for ensuring that Serenta Homecare handles confidential Client information in accordance with ethical and legal standards of practice. The Caldicott Guardian will:

- Provide advice and guidance on appropriate use of Client information, particularly where confidential Client information may be disclosed to third parties
- Act as the conscience of the organisation
- Facilitate and enable information sharing and advise on options for lawful and ethical processing of information
- Ensure that confidentiality issues are appropriately reflected in Serenta Homecare' policies and procedures for staff
- Ensure the Caldicott Principles are adhered to by all staff, at all times within Serenta Homecare organisation
- Complete training as necessary for this role

1.5.5 Department Managers/Leads are accountable to the Director of Clinical and Commercial Services for ensuring the effective implementation of this policy within their department. All department managers will:

- Promote effective information management within their department
- Ensure that all staff in their department comply with Caldicott principles at all times
- Maintain a register of information assets, and regularly assess the risk to these assets (information assets may include CAD databases, filing cabinets, fax machines)
- Maintain a record of flows of Client identifiable information
- Ensure there is a legal basis for sharing/ disclosing personal identifiable information
- Ensure that their staff are familiar with this policy
- Ensure that their staff complete mandatory IG training annually

1.5.6 All staff including temporary staff and contracted agency staff with access to Client identifiable data, are responsible for ensuring they are aware of the Information Governance requirements and for ensuring they comply with these on a day-to-day basis.

1. Policy and procedural requirements

There are four key strands to Information Governance that this policy and supporting policies address:

- Openness
- Legal Compliance
- Information Security

- Quality Assurance

6.1 Openness

- 6.1.1 Non-confidential information on Serenta Homecare and its services is available to Clients through a variety of media in line with The Freedom of Information Act 2000.
- 6.1.2 Clients have ready access to information relating to them under the Data Protection Act 2018 and UK GDPR, this includes both facts and opinions.
- 6.1.3 Procedures and arrangements are in place for handling requests and queries from Clients under Subject Access Requests.

6.2 Legal Compliance

- 6.2.1 Serenta Homecare regards all identifiable personal information relating to Clients as confidential and Serenta Homecare will ensure that procedures are in place in to ensure compliance with common law of confidentiality.
- 6.2.2 Personal information relating to staff is confidential, except where national policy on accountability and openness requires otherwise.
- 6.2.3 Serenta Homecare maintains policies to ensure compliance with the Data Protection Act 2018, Human Rights Act 1998, the Common Law Duty of Confidentiality and Freedom of Information Act 2000.
- 6.2.4 Serenta Homecare maintains policies for the controlled and lawful sharing of Client information with third parties working in partnership to provide healthcare services.

6.3 Information Security

- 6.3.1 Information security is the responsibility of managers and staff to ensure they follow guidelines and best practice. Serenta Homecare maintains an Information Security Policy that sets out, in detail, everyone's responsibility and best practice for the management of Serenta Homecare's IT system and information assets.
- 6.3.2 Serenta Homecare promotes information security practice to its staff through training, policies and procedures.
- 6.3.3 Serenta Homecare encourages incident reporting and will monitor and investigate all reported instances of actual or potential breaches of confidentiality and information security.

6.4 Data Quality Assurance

- 6.4.1 Information quality is an important part of the Information Governance agenda in terms of data quality and integrity. Quality is defined as "fit for purpose" and all staff need to ensure that data is accurate and relevant.
- 6.4.2 Good quality data means that data is recorded in full, as accurately as possible and in a timely manner. Timely data entry will help avoid discrepancies and

inaccuracies. Where it is not possible to enter data in real time this data should be recorded as soon after the event as possible.

- 6.4.3 Data should not be duplicated unless absolutely necessary and this fact should be recorded in the original data. If duplicated the data owner must ensure that all copies of the data are kept up to date and synchronised.
- 6.4.4 Serenta Homecare will establish and maintain procedures for the management of health care records.
- 6.4.5 Managers will take ownership of, and seek to improve, the quality of information in their services.
- 6.4.6 Wherever possible, the member of staff responsible for recording information should ensure that quality and accuracy of that information.

Policy review

- 7.1 **Compliance Monitoring** - Serenta Homecare will monitor staff compliance against this policy through the monitoring of incidents related to breaches of confidentiality, loss of personal information.
- 7.2 **Review** - This policy is reviewed every 2 years from the date of publication or sooner should any relevant changes to practice are required to be included and/or implemented.

2. Relevant legislation, national guidance and associated documents

Legislation

- Human Rights Act 1998
- Data Protection Act 2018
- UK General Data Protection Regulation (UK GDPR)
- Freedom of Information Act 2000
- Access to Health Records Act 1990
- The Common Law Duty of Confidentiality

National Guidance

- ISO/IEC 27001: 2015 and ISO/IEC 27002: 2015 (Information Security Standards)
- Records Management for Health and Social Care 2016

Associated Documents

- Healthcare Records Management Policy

Document Control

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Author: Fran Beardsmore