

# Caldicott Principles

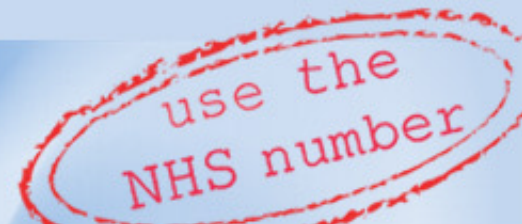
---

---

**Dr. Janine Brooks**  
**Caldicott Guardian**

---

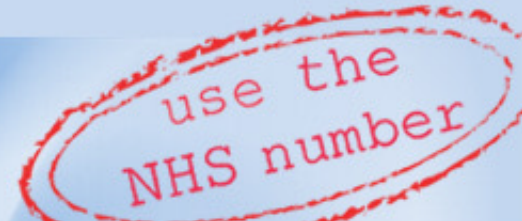
---



# Confidentiality

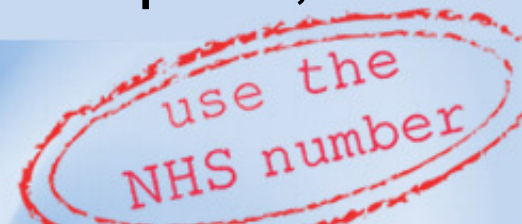
Patients/clients have the right to expect that information given in confidence will be used only for the purpose for which it was given and will not be released without their permission

(NB exceptional circumstances)



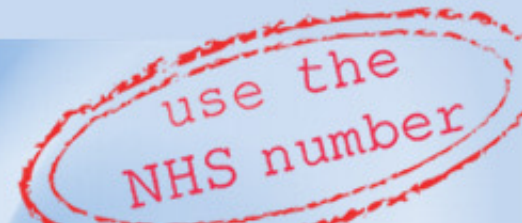
# Caldicott Principles

- Justify the purpose(s) [of sharing PI data, either within or outside the organisation]
- Only use PI data if absolutely necessary
- Use the minimum PI data necessary
- Access only on a strict need to know basis
- Everyone aware of their responsibilities
- Everyone understands the law and complies,



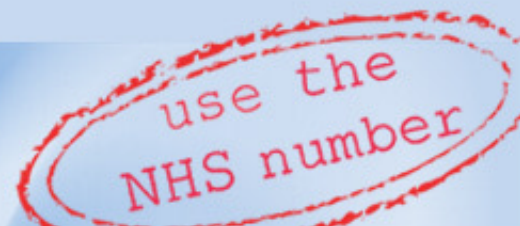
# FIONA C

- Formal justification of purpose
- Information transferred only when absolutely necessary
- Only the minimum required
- Need to know access controls
- All to understand their responsibilities
- Comply with and understand the law.



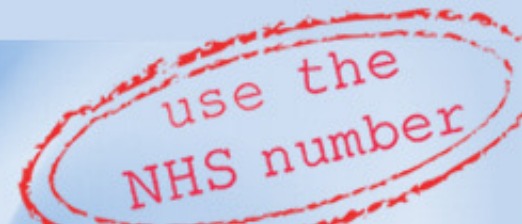
# Justify

- Every proposed use or transfer of patient-identifiable information within or from an organisation should be clearly defined and scrutinised, with continuing uses regularly reviewed by an appropriate guardian.



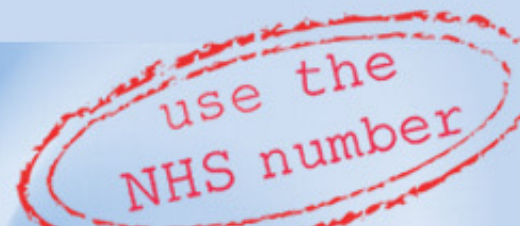
# Only use if necessary

- Patient-identifiable information items should not be used unless there is no alternative. Anonymised or aggregated data must be considered first. Then pseudonymised and only then patient identifiable.



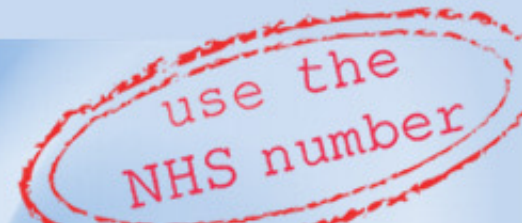
# Use the minimum

- Where use of patient-identifiable information is considered to be essential, each individual item of information should be justified with the aim of reducing identifiability.



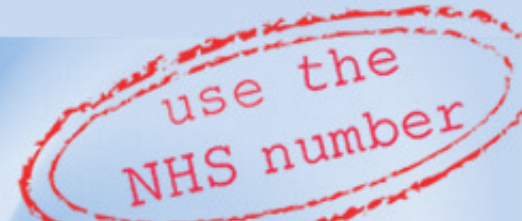
# Need to know

- Only those individuals who need access to patient-identifiable information to be able to do their job should have access to it, and they should only have access to the information items that they need to see.



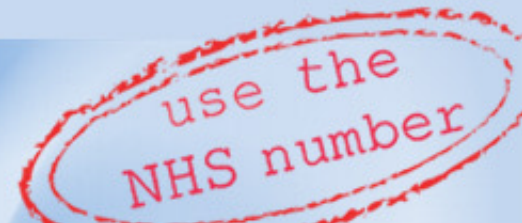
# Everyone aware

- Action should be taken to ensure that those handling patient-identifiable information - all staff - are aware of their responsibilities and obligations to respect patient confidentiality.



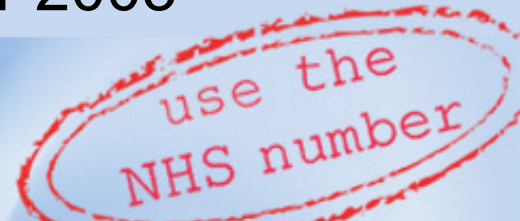
# Know the law

- Every use of patient-identifiable information must be lawful. Someone in each organisation should be responsible for ensuring that the organisation complies with legal requirement – the Caldicott Guardian and the Data Protection Manager.



# Some of the legal underpinning

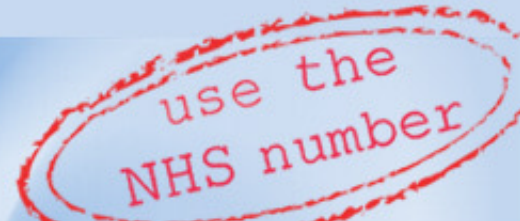
- Data Protection Act 1998
- Human Rights Act 1998
- Common Law duty of confidentiality
- Crime and Disorder Act 1998
- Children's Act 1989
- Access to Medical Report Act 1988
- Freedom of Information Act 2000
- Mental Health Act 1983
- NHS Code – Confidentiality, November 2003



# Duties of the Guardian (nutshell)

- Safeguarding confidentiality – fundamental to the relationship between patients and health care professionals.

NB Common law and statute impose obligations



# Questions and Answers?

