

# NHS Rotherham Clinical Commissioning Group

Governing Body – 1 September 2021

## Information Asset and Dataflow Assurance Report to SIRO

Lead Executive:	Ian Atkinson – Executive Place Director and SIRO
Lead Officer:	Claire McInnes – Head of Information Governance
Lead GP:	Dr Richard Cullen – CCG Chair and GPIT Lead

### Purpose:

For noting – Assurance report for SIRO following the six-monthly review of Information Assets and Dataflows across the CCG

### Background:

Reviews of the Information Assets and Dataflows across the CCG take place on a six-monthly basis with Information Asset Owners.

A review has taken place in May/June 2021 and the enclosed paper is the Assurance Report to the Senior Information Risk Owner, providing assurance that the Information Asset and Dataflow registers are kept up to date and reviewed regularly to demonstrate compliance with Data Protection legislation.

### Analysis of key issues and of risks

- There are currently 46 assets identified on the Information Asset register.
- 5 information assets have not been reviewed in the last 12 months – action should be taken to review these as soon as possible to ensure that they remain up to date and risk assessed
- Of all assets reviewed, all risks are currently scored as acceptable against the CCG's risk appetite
  
- There are currently 71 data flows identified on the register.
- All existing data flows have a risk assessment template completed and an identified legal basis for the processing of personal information
- There are no identified risks for any of the data flows.
- Dataflows for 2 areas have not been reviewed within the last 12 months – CHC and Mental Health – action should be taken to review these as soon as possible to ensure that they are up to date and that any changes to how information is received have been reflected

### Patient, Public and Stakeholder Involvement:

N/A

### Equality Impact:

N/A

### Financial Implications:

N/A

<b>Human Resource Implications:</b>
N/A
<b>Procurement Advice:</b>
N/A
<b>Data Protection Impact Assessment:</b>
N/A
<b>Approval history:</b>
<b>Recommendations:</b>
Governing Body are asked to note the contents of the report and actions to be taken
<b>Paper is for Noting</b>

## **INFORMATION ASSET AND DATAFLOW ASSURANCE REPORT TO THE SIRO July 2021**

### **1. Purpose**

The purpose of this report is to provide assurances to the Senior Information Risk Owner (SIRO) and Information Governance Group that the Information Asset and Dataflow Register is kept up to date and is being reviewed regularly to demonstrate compliance with Data Protection legislation.

### **2. The Information Asset and Dataflow Register**

The CCG's Information Asset Register and Dataflow Register have now been combined into one document so that Dataflows and the associated lawful basis in which processing takes place can be easily identified against the appropriate Information Asset.

The purpose of the Information Asset and Dataflow Register is to identify the different types of information processed and stored by the organisation. It is an overview of all the information assets that exist within the organisation and the associated flows of information and is a useful tool for the SIRO and others for assessing risks to the information asset and dataflows and taking appropriate decisions.

### **3. Information Assets**

The CCG's information assets are documented and consist of items such as databases, web servers, software applications and physical paper records. Each asset has an identified Information Asset Owner (IAO) and, where applicable, an Information Asset Administrator (IAA). Each has a completed Information Asset form as per the new process at the CCG which is reviewed on a six-monthly basis. A new risk assessment has been undertaken on each asset following the completion of the new Information Asset form.

### **4. Data Flows**

Data flow mapping helps the CCG to understand what personal confidential information it receives, where it is held and how it is transferred. The CCG's data flows are documented and each has a dataflow mapping template. Each data flow has an identified contact lead. The CCG's Dataflows are recorded under the Dataflow tab of the Information Asset and Dataflow Register.

The aim of data flow mapping is to:

- Detail how the data is transferred and within which information asset it belongs
- Identify the legal basis for the processing of the information
- Ensure that any data we send or receive is secure in transit
- Understand the nature and justification of information flows to ensure we are only sending and receiving information that we really need to

## 5. Appendices

A summary list of Information Assets and the identified Asset Owners can be found at Appendix A.

The full Information Asset and Dataflow register at the time of writing this report can be found at Appendix B. The Information Asset and Dataflow register can be viewed at any time at: R:/25.Information Governance /!Asset Register

## 6. July 2021 Summary – Information Assets

There are currently 46 information assets identified on the register:

- 5 new information assets have been identified during this review (Medicines Management Team Database, MMT Medication Ordering Data, Coroners Notification, Covid 19 Patient Register Folder and the Data Processing Platform DPP)
- 1 information asset has been removed as is no longer in use – Scriptswitch Contract
- Risk assessments have been undertaken and the overall register has been reviewed.
- 5 information assets have not been reviewed in the last 12 months (highlighted in yellow in Appendix A)
- All risks are currently scored as acceptable.

## 7. July 2021 Summary – Data Flows

- There are currently 71 data flows identified on the register:
- 19 new data flows have been identified in this reporting period but it should be noted that 15 of these are the Commissioning datasets made available from NHS Digital – they are not controlled by the CCG and are made available under the CCG's Data Sharing Contract with NHS Digital – they have been added following NHS Digital's advice that they would expect to see the datasets documented within the CCG's Information Asset Register.
- All data flows have a risk assessment template completed and an identified legal basis for the processing of personal information
- 1 dataflow has been removed (Suicide notification – verdicts incoming) as this is currently on hold due to a change in suicide function
- There are no identified risks for any of the data flows.
- 10 dataflows have not been reviewed within the last 12 months – 4 belonging to Mental Health and 6 belonging to CHC

## APPENDIX A

### RCCG Information Asset

Information Asset Name	Information Asset Owner
SLAM	David Jenkinson
Blueteq	Stuart Lakin
ESR	Peter Smith
HML Portal	Peter Smith
NHS Jobs	Peter Smith
EASY Expenses System	Peter Smith
SBS	Matthew Jones
CEfF locked cabinet	Matthew Jones
NHSMail	Andrew Clayton
Internet	Gordon Laidlaw
Intranet	Gordon Laidlaw
Mental Health Folder	Sally-Anne Redhead
Mental Health Case Manager Database	Sally-Anne Redhead
Safeguarding Folder	Catherine Hall
Broadcare	Jane Newton
Europa	Alex Henderson-Dunk
Shared Drive	Andrew Clayton
Meetings - Operational Executive Folder	Alison Hague
Meetings - Strategic Clinical Executive	Alison Hague
Meetings - Governing Body Confidential Minutes	Alison Hague
Staff Personal Files (hard copy)	Alison Hague
Meetings - AQuA	Ruth Nutbrown
Meetings - Serious Incidents and Never Events Committee	Sue Cassin
Meetings - Remuneration Committee	Ruth Nutbrown
CCG Senior Managers & GPs - Senior Management - Chris Edwards	Chris Edwards
CCG Senior Managers & GPs - Senior Management - Ian Atkinson	Ian Atkinson
CCG Senior Managers & GPs - Senior Management - Ruth Nutbrown	Ruth Nutbrown
CCG Senior Managers & GPs - Senior Management - Sue Cassin	Sue Cassin
Finance Folder	Wendy Allott
Medicines Management Folder	Stuart Lakin
Co-Commissioning Folder	Jacqui Tuffnell
CHC Folder	Jane Newton
EPRR Folder	Ruth Nutbrown
Health & Safety Folder	Ruth Nutbrown
Legacy & Transition Project	Ruth Nutbrown
Complaints/ incidents	Ruth Nutbrown
FOI Database	Ruth Nutbrown
IPC folder	Emma Batten
SystemOne	Jane Newton
RAIDR	Alex Henderson-Dunk
S12 Solutions App	Matthew Jones
Medicines Management Team Database	Gwen Yale
MMT Medication Ordering Data	Gwen Yale
Coroners Notification	Sarah Hartley
Covid 19 Patient Register Folder	Alex Henderson-Dunk
Data Processing Platform (DPP)	Alex Henderson-Dunk

## APPENDIX B

### RCCG Information Asset and Dataflow Register



RCCG IAR 2021 for  
Assurance Report.xlsx