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# Regional Health and Social Care Information Sharing Agreement

Data Flow – PC200016 – SABP and Connected Care:

**Schedule K – Processing and Sharing Specification (signature required)**

# Schedule K – PC200016 – SABP and Connected Care Regional Health and Social Care Information Sharing Agreement

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## Schedule K – PC200016 – SABP and Connected Care

Sharing Requirement Identifier:	PC200016
Sharing Requirement Name:	SABP and Connected Care
Sharing Requirement Start Date:	May 2020
Sharing Requirement End Date:	30 April 2023
Sharing Organisation:	{{!org_es_:font(name=calibri,size=10)}}
Direct Care or Other Uses:	Direct care
Risk Sharing and Indemnity:	Out of scope
Sharing Data Controllership:	Joint control with Frimley Health NHS Foundation Trust as lead controller
Data Processor(s):	SoftCat - Graphnet - System C - Microsoft
Status:	Active
Version:	v1

## Summary of the Sharing Requirement Purpose

The Surrey and Borders Partnership NHS Foundation Trust (SABP) is extending its participation in the Connected Care shared care record service. To date SABP have been accessing Connected Care to consume information content via patient and user context launch (termed 'SSO') from SystmOne core business system and via portal, web browser, login.

The intention is to undertake an immediate, demanding timescale, supply of SABP Mental Health information into Connected Care. Connected Care is a system for sharing information about an individual's medical condition across subscribing health and social care organisations, giving you instant, secure access to health and social care records.

The Connected Care shared care record is a mature Integrated Digital Care Record (IDCR) service provided under the ICS programme with a principal geographic footprint covering Berkshire. There is considerable population and geographic overlap with Surrey in the east of the area including Frimley Health NHS Foundation Trust (FHFT) and Surrey Heath CCGs.

The purpose of the Berkshire Connected Care Interoperability solution is to enable information about an individual's medical condition and social care packages and requirements to be shared electronically across subscribing health and social care organisations in order to ensure that the care provided is safe and consistent with patients' existing risks, diagnoses, conditions, problems, medication and other treatment. These records are known locally as Connected Care.

Unless a patient has opted out from sharing and the sharing organisation has accepted the patient's opt-out the legal basis for sharing and viewing the shared records includes provisions of Section 251B of the Health and Social Care Act 2012 (as amended by the Health and Social Care (Safety and Quality) Act 2015):

2. The sharing organisation must ensure that the information is disclosed to:
  - (a) persons working for the sharing organisation
  - (b) any other relevant health or adult social care commissioner or provider with whom the sharing organisation communicates about the individual; and
3. So far as the sharing organisation considers that the disclosure is:
  - (a) likely to facilitate the provision to the individual of health services or adult social care in England
  - (b) in the individual's best interests.

Unless a patient has opted out from sharing and the sharing organisation has accepted the patients opt-out the legal basis for viewing the shared records is also provided by General Data Protection Regulation:

1. Article 6(1)e  
"processing is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller"; and
2. Article 9(2)h  
"processing is necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services".

## Summary of the Sharing Requirement Process

The technical platform for Connected Care is the CareCentric product from Graphnet Limited. CareCentric is a HSCN/COIN web based secure system that allows secure cross boundary access to patient information held in the shared records.

For the purposes of this schedule the sharing process is as follows:

1. The data for patients registered with GPs in the Surrey Heath and North East Hampshire and Farnham CCGs (Connected Care data) is extracted from Surrey and Borders Partnership NHS Foundation Trust (SABP) clinical system, SystemOne;
2. The Connected Care data extract process runs over night for most categories of data. However, where a data flow is categorised as contemporaneous the updates are applied to CareCentric as they happen in SystemOne;
3. Both the overnight extract data and the contemporaneous updates are securely transmitted over HSCN/COIN to the Graphnet CareCentric SFTP data repository by means of accredited, tried and proven data extraction, transfer and secure messaging processes;
4. Where data has been modified or deleted within the SystemOne clinical system these changes and deletions are reflected within the Connected Care data repository. For example, SYSTEMONE if a patient moves outside of the scope of Connected Care, then the patient's SABP Connected Care data is be flagged for deletion from CC.
5. Where a patient's opt-in/opt-out status has changed in the patient's GP clinical system these changes are also reflected in the update process and new data relating to the patient is not stored in the Connected Care data repository;
6. The Connected Care data is stored in the CareCentric data repository housed in the fully accredited and secure Graphnet data centre;
7. The Connected Care data is made available to and accessed by health and social care practitioners with a legitimate relationship with the individual, using the CareCentric system and within the constraints set by the Connected Care opt-in/opt-out and consent model; and
8. Subject to a legitimate relationship being established the data is made available through the CareCentric system for viewing by the users in the user organisations identified in this Schedule and in accordance with the User Service Profiles identified in this Schedule.

## Summary of the Sharing Requirement Privacy Arrangements

The privacy arrangements are considered satisfactory as:

1. Access to view data is managed in accordance with the RBAC (Role Based Access Control) arrangements for Connected Care. These are summarised in the section User Access Model below and in Sharing Service Profiles section;
2. The data is accessed in accordance with the opt-in/opt-out and consent model as summarised by points 3 to 6 below;
3. No data is made available for viewing where a patient has indicated to the patient's practice that the patient does not want their data to be shared and where the practice has recorded this election within the patient's record;
4. Where any of the data controller organisations other than the patient's practice are notified by the patient that the patient does not wish to have the patient's data shared the data controller organisation directs the patient to the patient's practice for the purposes of making this election;
5. Explicit consent to view the shared data relating to an individual who has not opted out is not required for the purpose of provision of care to the patient;
6. Data items are not made available for sharing where SABP has decided that the data items concerned are not to be shared;
7. Only the data as summarised in Shared Categories of Data below is extracted from the SystemOne clinical system. A detailed description of the extracted data is presented in the Sharing Dataset Definitions section;
8. Connected Care includes an audit trail showing which user accessed a data subject's records;
9. Key security aspects include:
  - a. the physical security of the system servers
  - b. the use of HSCN/COIN for all data transactions
  - c. 3-factor authentication for user access to the system
  - d. role based access profiles to control user permissions
  - e. the use of the Registration Authority for user authentication where applicable
  - f. the Local Authorities are compliant with equivalent PSN security standards; and

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10. Representatives from each of the participating partner organisations have completed a thorough review of data security measures and safeguards as well as a physical inspection of the Data Centre that will host the Connected Care solution. The group is satisfied that all appropriate technical and physical measures against unauthorised or unlawful access, accidental loss or destruction of care data are in place.

### The Sharing Organisations (data providers and data controllers)

For the purposes of this sharing requirement the sharing organisations may determine the purpose and use of the personal confidential data including creating, editing, archiving and deleting the data.

The sharing organisations are all organisations of all classes that have:

1. Signed the Regional Health and Social Care Information Sharing Agreement; and
2. Signed a copy of this Schedule to the Regional Health and Social Care Information Sharing Agreement.

### The User Organisations

The following classes of Regional Health and Social Care Information Sharing Agreement member organisations have committed to use the personal confidential data identified in this document at the point of care in a manner compliant with the Regional Health and Social Care Information Sharing Agreement and solely for the purposes defined in this document.

The user organisations include all practice organisations that have:

1. Have signed the Regional Health and Social Care Information Sharing Agreement; and
2. Is the patient's registered practice or are providing care on behalf of the patient's registered practice?

The other classes of user organisation are those organisations that have signed the Regional Health and Social Care Information Sharing Agreement and that are:

1. Independent sector health care providers (including primary care and GP alliances and networks);
2. Independent sector social care providers (adults and children);
3. Local authorities;
4. NHS Trusts, including:
  - a. Acute service providers
  - b. Community service providers
  - c. Emergency services
  - d. Mental health providers
  - e. Specialist service providers; and
5. Voluntary sector providers (commissioned or coordinated by Local Authority and NHS organisations).

### The User Access Model and Service Profiles

The level of detail and the categories of data that can be viewed are dependent on the sector in which the care and services are being provided and the service profile the user is allocated to. There are five user service profiles in the Connected Care role-based access control (RBAC) model. These are:

1. Clinical Practitioner;
2. Health Professional;
3. Social Worker;
4. Admin/Clinical Support; and
5. Clerical.

Details of the interaction between the service profiles and the data segments are summarised within the Sharing Service Profiles section.

### The Shared Categories of Data

The following categories of data are shared as part of the Regional Health and Social Care Information Sharing Agreement using the Connected Care solution.

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While a sharing agreement is only necessary for information regarded as personal confidential data, some of the data identified below is included for the purpose of completeness and not because the data is regarded as personal confidential data.

The categories of patient data shared from Surrey and Borders Partnership NHS Trust (SABP) SystemOne clinical system are:

1. Demographics
2. Mental Health:
  - a. CPA Episodes
  - b. CPA Level
  - c. Diagnosis
  - d. Mental Health Act
  - e. Early Intervention in Psychosis
3. Referrals
4. Risk Assessments
5. Risk Scores

Further details of each of these are provided in the attached Sharing Dataset Definitions.

Data that is shared by practices, the local authorities and other provider trusts for use alongside the abovementioned includes:

1. Person Details and Demographics;
2. Admissions;
3. Assessment;
4. Associated People;
5. Carer Details;
6. Diagnosis Details;
7. Diagnostic Tests;
8. Discharges;
9. DOLs (Deprivation of Liberty);
10. Early Interventions;
11. Electronic Documents;
12. Events;
13. Health Promotion;
14. Referrals Details;
15. Results;
16. Social / Family History; and
17. Service Planning.

Further details of each of these non-GP data sources are provided in the attached Annex D.4 Sharing Dataset Definitions.

Availability of these categories of data through Connected Care is to be phased in during the period of this sharing specification and not all of the data categories identified above are expected to be available through Connected Care immediately.

By design, the linked general practice data excludes particularly sensitive diagnoses and records.

### Summary of the Data Protection Impact Assessment

Surrey and Borders Partnership NHS Foundation Trust (SABP) has joined the local Shared Care Records programmes.

Shared Care Records are a local, digital shared care record for health and care professionals across the Integrated Care Systems. The Shared Care Records allow the secure sharing of health and care data between authorised health and care professionals for the purposes of delivering safer, quicker, more personalised and coordinated local health and care services. This is a text file-based type of integration dedicated to daily clinical shared data record exchange between SystemOne and Graphnet's signature software application product called Care Centric. This is to enable information about an individual's medical condition and social care packages and requirements to be shared electronically across subscribing health and social care organisations in order to

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ensure that the care provided is safe and consistent with patients' existing risks, diagnoses, conditions, problems, medication and other treatment.

Connected Care is the name of the system that enables access to health and social care records across Frimley ICS and Berkshire West ICP, with neighbouring partners' information from Hampshire. This will be for people registered with a GP in North East Hants and Farnham and Surrey Heath.

The scope of the data to be shared by SABP includes both children's and adult data from our multi-unit SystemOne structure including, our Main Services and Learning Disabilities Unit, Perinatal Mental Health Unit, and Adult Single Point of Access Unit. SABP has since extended the scope of data shared to I-Access (Drug and Alcohol) and GP Integrated Mental Health Services data.

SABP have consulted the following stakeholders during the completion of the DPIA:

- Data Protection Officer
- Caldicott Guardian and Chief Digital and Information Officer
- Communications Department
- Surrey and Borders SystemOne Users
- Wider SABP staff and Foundation Trust Governors
- Patient and Carer Advocacy Groups and Involvement Networks e.g.
  - Healthwatch
  - Forum of Carers and People who Use Services
  - Carers Action Group Foundation Trust Members
- People who use our services and carers

The scope of the data to be shared by SABP includes both children's and adult data from our multi-unit SystemOne structure including, our Main Services and Learning Disabilities Unit, Perinatal Mental Health Unit and Adult Single Point of Access Unit. The data sharing has now been extended to include our i-Access (Drug and Alcohol) and GP Integrated Mental Health Services data.

It is the recommendation of the Data Protection Impact Assessment that the sharing of information for Connected Care is appropriately secure. 14 areas of risk have been identified, documented and assessed in the DPIA and following further assessment of the risk mitigation measures the residual risk is considered low or medium.

### Summary of Consultations

As the uses of the identifiable data covered by this sharing requirement are restricted to the provision of care, no explicit and direct consultation has been carried with the public in respect of this sharing requirement.

However, patient groups were established in east and west Berkshire, and in Surrey for the specific purpose of commenting on the sharing planned and on the information governance put in place to protect the confidentiality of the data. These groups include CCG and Healthwatch patient representatives with other self-selecting volunteers to form groups that have current awareness with health and social care issues.

### Connected Care Consultations

As the uses of the identifiable data covered by this sharing requirement are restricted to the provision of care, no explicit and direct consultation has been carried with the public in respect of this sharing requirement.

However, patient groups were established previously for the specific purpose of commenting on the sharing planned and on the Information Governance put in place to protect the confidentiality of the data. These groups include CCG and Healthwatch patient representatives with other self-selecting volunteers to form groups that have current awareness with health and social care issues.

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### SABP Consultations

Early identification of key stakeholders and partners is essential to the success of any project or initiative as it allows for early engagement. This should occur at the outset of a project to ensure sufficient consultation has occurred prior to any key decisions being made however consultation can occur at any stage and throughout a project.

SABP key stakeholders, areas of consultation and method of consultation are in the table below:

Table 1: Stakeholder(s):	Areas for consultation: What did you consult on?	Method of consultation How was it done?	Outcome/Action What were the results of the consultation?
<b>Data Protection Officer</b>	DPIA and the Schedule Ks Processing and Sharing Specification	Emails and Teams meetings	Recommendations agreed.
<b>Caldicott Guardian and Chief Digital and Information Officer</b>	Approval and oversight of right to object process document for SABP	Emails Teams meetings	Approach agreed – this same approach will be asked of Connected Care
<b>Communications Department</b>	Development and approval of communications and engagement strategy	Emails Attendance at Weekly meetings	Communications awaiting go-live date for Connected Care Phase 2 to send out Comms to Users and Staff
<b>Surrey and Borders System One Users</b>	To satisfy the Common Law Duty of Confidentiality, and transparency.	Staff ebulletin newsletter article One-page briefing for 'Change agents' to support adoption conversations Quick Reference Guide	SABP Communications Department to co-ordinate this – go-live date will determine when publications go out
<b>Wider SABP staff and Foundation Trust Governors</b>	To satisfy the Common Law Duty of Confidentiality, and transparency.	Staff ebulletin newsletter article	SABP Communications Department to co-ordinate
<b>Patient and Carer Advocacy Groups and Involvement Networks e.g.</b>  <ul style="list-style-type: none"> <li>• Healthwatch</li> <li>• Forum of Carers and People who Use Services</li> <li>• Carers Action Group</li> <li>• Foundation Trust Members</li> </ul>	To satisfy the Common Law Duty of Confidentiality, and transparency.	<ul style="list-style-type: none"> <li>• Stakeholder briefing email</li> <li>• News item on website</li> <li>• Update Trust webpage: <a href="http://www.sabp.nhs.uk/sharing-your-info">www.sabp.nhs.uk/sharing-your-info</a></li> <li>• Twitter and Facebook</li> <li>• Updated public information leaflets:</li> <li>• Article in next available Trust newsletter</li> </ul> <p>Sharing of ICS materials:</p> <ul style="list-style-type: none"> <li>• Video animation Information leaflets standard / easy read</li> </ul>	<p>SABP Communications Department to co-ordinate</p> <p>Frimley have published their Shared Care Records animation and the link is below:</p> <p><a href="https://www.frimleyhealthandcare.org.uk/our-work/shared-care-record-how-your-data-is-used/">https://www.frimleyhealthandcare.org.uk/our-work/shared-care-record-how-your-data-is-used/</a></p>

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**Agreement Implementation Status**

On behalf of the Sharing Organisation I confirm that the information sharing arrangements described in this schedule are agreed and the information described in this schedule is to be made available to the User Organisations and individuals identified in this schedule starting on the Sharing Requirement Start Date and ending on the Sharing Requirement End Date.

Agreed by **{{!guardian\_es\_:font(name=calibri,size=10)}}**  
as Caldicott Guardian / Designated Officer / Data Protection Officer, for and  
on behalf of **{{!org\_es\_:font(name=calibri,size=10)}}**  
**{{!addr\_es\_:font(name=calibri,size=10)}}** **}}**.



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## Sharing Service Profiles

The data access capabilities of each of the Connected Care role profiles is presented in the table below

	User Group:	Clinical Practitioner	Health Professional	Social Worker	Admin/Clinical Support	Clerical
Demographics/ Allergies	Demographics	•	•	•	•	•
	Allergies	•	•	•	•	•
GP Medications	Repeat Medications	•	•	•	•	
	Medications Issued	•	•	•	•	
GP Problems	Active Problems	•	•	•		
	Past Problems	•	•	•		
	Additional Problems	•	•	•		
GP Results	Results	•	•			
GP Lifestyle	Alcohol	•	•	•	•	•
	Smoking	•	•	•	•	•
	Exercise/Diet	•	•	•	•	•
GP Vitals	Height/weight	•	•	•	•	•
	Blood Pressure	•	•	•	•	•
	Physiological Function	•	•	•	•	•
GP Additional Information	GP Encounters	•	•	•	•	
	Vaccs & Imms	•	•			
	Contraindications	•	•		•	
	OTC & Prophylactic Therapy	•	•	•	•	
	GP Family History	•	•	•	•	
	Child Health	•	•			
	Diabetes Diagnosis	•	•			
	Chronic Disease Monitoring	•	•			
	Medication Administration	•	•	•	•	
	Pregnancy, Birth & Post Natal	•	•			
Contraception & HRT	•	•				
Hospital Activity Summary	Outpatient Activity	•	•	•	•	•
	Inpatient Activity	•	•	•	•	•
	Emergency Activity	•	•	•	•	•
	Dianoses and Procedures	•	•			
Social Care Summary Summary	Case Details	•	•	•	•	
	Case Worker	•	•	•	•	
	Carer Details	•	•	•	•	
	Disabilities	•	•	•	•	
	Risks	•	•	•	•	
Community & Mental Health Summary	Next of Kin/Personal Contacts	•	•	•		
	Inpatient Activity	•	•	•		
	Outpatient Activity	•	•	•		
	Referrals	•	•	•	•	
	Inpatient Activity	•	•	•		
	Outpatient Activity	•	•	•		
	Personal Contacts	•	•	•	•	•
	Diagnoses	•	•	•		
	Care Programme Approach (CPA)	•	•	•		
	Mental Health Act (MHA)	•	•			
	Risk Summary	•	•	•		
Care Plans	•	•	•			

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**Sharing Dataset Definitions (SABP data)**

The table below provides detailed definitions for each of the categories of data that are sourced contemporaneously from SABP’s SystmOne clinical system via the Strategic Record Extract and presented for use through Connected Care or that are sourced overnight from SABP’s SystmOne clinical system via secure file transfer and presented for use through Connected Care.

<b>Data category</b>	<b>Data item</b>
<b>Person Details and Demographics</b>	NHS Number
	Date Of Birth
	Name
	Address
	Telephone
<b>Care Programme Approach (CPA)</b>	Episode Dates and Times
	Status (Y/N)
<b>Data category</b>	NHS Number
<b>Diagnoses</b>	Dates and Times
	ICD10 Code
	ICD10 Description
<b>DOLs</b>	Main professional
	Subject to DoLS? (Y/N)
<b>Inpatient Admissions and History</b>	Consultant
	Dates and Times
	Specialty
	Ward
<b>Mental Health Act</b>	MH Section Status
<b>Outpatient Appointments and History</b>	Dates and Times
	Location
	Outcome
	Type
<b>Referrals</b>	Dates and Times
	Service
	Team
<b>Risk Assessments</b>	Date Of Assessment
	Clinical Setting
	Assessor & Role
<b>Risk Scores</b>	Risk Description
	Risk Status/Value

End of Schedule K