



Dumfries and Galloway
IJB Audit and Risk Committee

Date: 9th March 2020

This Report relates to
Item 10 on the Agenda

Data Sharing (Risk Update)

Paper presented by Name(s)
Graham Gault

For Noting

Author:	Graham Gault, General Manager ICT, NHS. graham.gault@nhs.net , 07736955274
List of Background Papers:	
Appendices:	Appendix 1: Data Sharing Risk Log

<p>1.</p> <p>1.1</p>	<p>Introduction</p> <p>This paper presents the newly compiled Risk Register for Data Sharing between NHS and DGC as key operating bodies of the IJB. The paper is the first attempt and will mature as the level of Data Sharing increase over time.</p>				
<p>2.</p> <p>2.1</p>	<p>Recommendations</p> <p>The IJB Audit and Risk Committee is asked to:</p> <ul style="list-style-type: none"> To note the risks identified and to sign off the listed risks as acceptable in terms of Management approach at this early stage of the initiative. 				
<p>3.</p> <p>3.1</p> <p>3.2</p> <p>3.3</p>	<p>Background and Main Report</p> <p>A Data Sharing Board has been created to oversee the recommendations asked by the DGC Scrutiny Committee to improve the level of sharing data across the Partnership.</p> <p>The work to date has been slow and is now picking up hence the need for a suitably detailed Risk Register to be created.</p> <p>The risks cover Technical, Management, Information Governance and General Recommendations made by the Scrutiny Committee.</p>				
<p>4.</p> <p>4.1</p>	<p>Legal and Risk Implications</p> <p>The ISP is key to specifying how the sharing of data is allowed (or not) between the two Organisations. The normal compliance with the Data Protection Act and other Legal good practice guidance has been made to allow initial levels of data to be shared. There are risks to both Organisations in working together on this joint programme to uphold our responsibilities within the remit of Information Governance.</p>				
<p>5.</p> <p>5.1</p>	<p>Consultation</p> <p>All members of the Data Sharing Board are being consulted on this Risk Register and associated processes..</p>				
<p>6.</p>	<p>Glossary</p> <table border="1" data-bbox="304 1536 1501 1615"> <tr> <td data-bbox="304 1536 437 1576">EQIA</td> <td data-bbox="437 1536 1501 1576">Equalities Impact Assessment</td> </tr> <tr> <td data-bbox="304 1576 437 1615">IJB</td> <td data-bbox="437 1576 1501 1615">Integration Joint Board</td> </tr> </table>	EQIA	Equalities Impact Assessment	IJB	Integration Joint Board
EQIA	Equalities Impact Assessment				
IJB	Integration Joint Board				

Appendix 1 Con'd

SERVICE DELIVERY RISKS

Feb-20 = last accessed/Updated

Risk	Description of risk	Required by?	Likelihood	Likelihood sco	Impact	Current		Risk Strategy	Risk Owner	No	Comments	
						Impact sed	Risk					
8	INFORMATION GOVERNANCE: The Information Governance using the ISP cannot be agreed between the NHS and DGC and therefore does not allow Users to Use the developed solution.	31-Dec-18	Possibly Occur	3	Major	4	High	12	Manage	DGC Legal Dept. NHS CLO	1 2 3 4 5 6	1 ISP has now been updated and signed.
9	MANAGEMENT: The PORTAL is not used by the user community in NHS/DGC.	31-Dec-18	Possibly Occur	3	Moderate	3	Medium	9	Manage	H Collington	1 2 3 4 5 6	1 Reports on access to the PORTAL are provided to Senior Ops Manager and demonstrate improving picture 2 Presenting Health information within Mosaic will reduce complexity for Social Work
10	TECHNICAL: Patient matching not effective due to Demographic Discrepancies. Incorrect / inaccurate information shared or disclosed.	ASAP	Possibly Occur	3	Moderate	3	Medium	9	Manage	DGC + NHS	1 2 3 4 5 6	1 still to get process in place, Reassess when testing
11	MANAGEMENT: Information not shared within appropriate timescales. Information not available when decisions are made by NHS/DGC teams.	N/A	Possibly Occur	3	Major	4	High	12	Manage	DGC + NHS	1 2 3 4 5 6	1 Needs to be planned so it doesn't happen 2 COOs are receiving weekly reports to monitor progress.
12	INFORMATION GOVERNANCE: The implementation of, or the actual Information Sharing Agreement, is incorrect. Resulting in either too much information being shared than is appropriate, or not enough information to positively affect the care offered. This must be	N/A	Possibly Occur	3	Moderate	3	Medium	9	Manage	DGC Legal Dept. NHS CLO	1 2 3 4 5 6	1 Agreement in place based on initial clinical view of what is needed 2 This will change when it is actually used
13	INFORMATION GOVERNANCE: The Chronology of Significant Events stays independently managed across organisations so key information may be missed.	N/A	Will probably occur	4	Moderate	3	High	12	Manage	DGC + NHS	1 2 3 4 5 6	1 This has not been fully agreed at present 2 Need specification from the Service users, and clarity from the Public Protection Committees.
14	TECHNICAL: Orion PORTAL are unable to present Mosaic Information within the Portal.	Jul-20	Possibly Occur	3	Moderate	3	Medium	9	Manage	General Manager ICT - NHS	1 2 3 4 5 6	1 To be planned so this is addressed in parallel to the availability of the MOSAIC
15	MANAGEMENT: Funding availability is not in line with the requirements of the requirements/ Changes made by the Service.	Ongoing	Possibly Occur	3	Major	4	Medium	9	Manage	COOs	1 2 3 4 5 6	1 To be planned so this is addressed in parallel to the availability of the MOSAIC 2 Provide ahead of required requirements a proposal to COOs.