

# INFORMATION SHARING PROTOCOL

## SUMMARY SHEET



<b>Title of Agreement</b>		<b>Access to the Child Health Information System for Safeguarding purposes</b>			
<b>Organisation Name</b>	<b>Head Office Address</b>	<b>Phone</b>	<b>Email</b>	<b>Named Data Protection Officer</b>	<b>ICO Notification reference</b>
Essex County Council	County Hall. Chelmsford CM1 1QH	03330139824	<a href="mailto:DPO@Essex.gov.uk">DPO@Essex.gov.uk</a>	Paul Turner	<b>Z6034810</b>
PROVIDE	900 The Crescent. Colchester CO4 9QB	01206 587370	<a href="mailto:Stephen.woodford@nhs.net">Stephen.woodford@nhs.net</a>	Stephen Woodford	<b>Z2604172</b>
NHS England – Eastern Region	Victoria House. Fulbourn. Cambridge CB21 5XE	01138 254987	<a href="mailto:peter.manser@nhs.net">peter.manser@nhs.net</a>	Peter Manser	<b>Z2950066</b>
<b>Version Control</b>					
<b>Date Agreement comes into force</b>			01 June 2019		
<b>Date of Agreement review</b>			01 June 2022		
<b>Agreement owner (Organisation)</b>			Essex County Council		
<b>Agreement drawn up by (Author(s))</b>			Lauri Almond		
<b>Status of document – DRAFT/FOR APPROVAL/APPROVED</b>			APPROVED		
<b>Version</b>			V1.0		

## Whole Essex Information Sharing Framework

This Information Sharing Protocol is designed to ensure that information is shared in a way that is fair, transparent and in line with the rights and expectations of the people whose information you are sharing.

This protocol will help you to identify the issues you need to consider when deciding whether to share personal data. It should give you confidence to share personal data when it is appropriate to do so, but should also give you a clearer idea of when it is not acceptable to share data.

Specific benefits include:

- transparency for individuals whose data you wish to share as protocols are published here;
- minimised risk of breaking the law and consequent enforcement action by the Information Commissioner's Office (ICO) or other regulators;
- greater public trust and a better relationship by ensuring that legally required safeguards are in place and complied with;
- better protection for individuals when their data is shared;
- increased data sharing when this is necessary and beneficial;
- reduced reputational risk caused by the inappropriate or insecure sharing of personal data;
- a better understanding of when, or whether, it is acceptable to share information without people's knowledge or consent or in the face of objection; and reduced risk of questions, complaints and disputes about the way you share personal data.

Please ensure all sections of the template are fully completed with sufficient detail to provide assurance that the sharing is conducted lawfully, securely and ethically.

Item	Name/Link /Reference	Responsible Authority
Privacy Impact Assessment (PIA/DPIA)		
Supporting Standard Operating Procedure	NA	
Associated contract	NA	
Associated Policy Documents		
Other associated supporting documentation		

Published Information Sharing Protocols can be viewed on the [WEISF Portal](#).

1.	Purpose	REFERENCES
	<p>ECC Children &amp; Families have statutory duties under the Children Act 1989 to safeguard and promote the welfare of children. Under Section 11 of that Act, ECC Children &amp; Families are required to provide a mechanism for professionals, families and members of the community to express any safeguarding concerns they have for children and for these to be reviewed and decisions made by a qualified social worker about what action, if any, is necessary to safeguard or promote the welfare of that child. Section 11 also sets out the duties and responsibilities of partner agencies in supporting ECC Children &amp; Families in the discharge of their statutory safeguarding duties. It requires key partner agencies to co-operate with ECC Children &amp; Families Services and one form of co-operation would be the sharing of relevant and necessary information.</p> <p>The Children &amp; Families Hub provides a central point for safeguarding and welfare concerns about children to be received and reviewed in line with the legislative guidelines set out in the paragraphs above. In order to properly review referred concerns the Children &amp; Families Hub must know the identity of the child. In most cases those who share concerns with the Children &amp; Families Hub provide sufficient information for the child to be accurately identified.</p> <p>On a daily basis the Children &amp; Families Hub receives concerns about children where there is limited and insufficient information available to identify the child and their parents. These concerns are often submitted anonymously or from concerned members of the public who do not know the identity of the child. In these instances it is necessary to request cooperation from another partner agency who may hold information which would assist with the identification of a child.</p> <p>At present, the Child Health Information System (CHIS) is the only record, within the broader children’s services network, which centrally captures the personal details of children, across the full age range, who access universal health services and reside within the Essex county boundaries. Other agency databases for children accessing universal services are limited by age, geography and opt in/out arrangements.</p> <p>It is therefore necessary for the Children &amp; Families Hub to have frequent and timely ‘as and when required’ access to information held within the CHIS for the purposes of identifying children and contact details for their parent / carer where potential safeguarding and welfare concerns have been shared with ECC Children &amp; Families Service. The information required is limited to the child and parent / carer’s personal and contact details. Information about appointments, health needs or health professional’s opinions is not required for the purposes of identifying the child and will not be recorded on the records created or held by the Children &amp; Families Hub.</p> <p>The Children &amp; Families Hub will only record within its permanent records identifying information obtained from CHIS where it has been possible to accurately identify the child. Where more than one potential match of information is identified through CHIS the Children &amp; Families Hub will make additional enquiries to triangulate and clarify identify. Where it is not possible to accurately identify the child of concern no record of potential matches from CHIS will be made within Children &amp; Families records.</p>	<p>GDPR Go to article 5</p>

2. Information to be shared																	
<table border="1"> <tr> <td><b>Name</b></td> <td><b>Address</b></td> </tr> <tr> <td><b>Place and Date of Birth</b></td> <td><b>Contact details</b></td> </tr> <tr> <td><b>Ethnicity</b></td> <td><b>Record sharing preferences</b></td> </tr> <tr> <td><b>Groups and relationships</b></td> <td><b>Address history</b></td> </tr> <tr> <td><b>Registered and Previous G.P</b></td> <td><b>School details</b></td> </tr> <tr> <td><b>Gender</b></td> <td><b>Sharing consent overrides</b></td> </tr> <tr> <td><b>Patient alerts – such as LAC, CP etc...</b></td> <td></td> </tr> </table>		<b>Name</b>	<b>Address</b>	<b>Place and Date of Birth</b>	<b>Contact details</b>	<b>Ethnicity</b>	<b>Record sharing preferences</b>	<b>Groups and relationships</b>	<b>Address history</b>	<b>Registered and Previous G.P</b>	<b>School details</b>	<b>Gender</b>	<b>Sharing consent overrides</b>	<b>Patient alerts – such as LAC, CP etc...</b>		<p>GDPR Go to articles 6 - 9</p>	
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* This will be for active records only.																	
3. Legal Basis																	
<p><b>General Data Protection Regulation 2016 (GDPR) and Data Protection Act 2018.</b></p> <table border="1"> <thead> <tr> <th>Personal Data (identifiable data)</th> <th>Special Categories of Data (Sensitive identifiable data)</th> <th>Law Enforcement data (e.g. community safety partnerships)</th> </tr> </thead> <tbody> <tr> <td>Article 6:</td> <td>Article 9:</td> <td><b>DPA Part 3: NOT APPLICABLE</b></td> </tr> <tr> <td><i>Legal Obligation</i></td> <td><i>Health &amp; Social Care</i></td> <td>Choose an item.</td> </tr> <tr> <td><i>Vital Interests</i></td> <td><i>Substantial Public Interest</i></td> <td>Choose an item.</td> </tr> <tr> <td><i>Public Task</i></td> <td><i>Vital Interests</i></td> <td>Choose an item.</td> </tr> </tbody> </table>		Personal Data (identifiable data)	Special Categories of Data (Sensitive identifiable data)	Law Enforcement data (e.g. community safety partnerships)	Article 6:	Article 9:	<b>DPA Part 3: NOT APPLICABLE</b>	<i>Legal Obligation</i>	<i>Health &amp; Social Care</i>	Choose an item.	<i>Vital Interests</i>	<i>Substantial Public Interest</i>	Choose an item.	<i>Public Task</i>	<i>Vital Interests</i>	Choose an item.	<p>GDPR Go to articles 6-14</p>
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<p>Other legislation or statute as follows:</p> <ul style="list-style-type: none"> <li>• Care Act 2014</li> <li>• The Children Act 1989 – 2004</li> <li>• Human Rights Act 1998</li> </ul>																	

- The Crime & Disorder Act 1998
- Mental Capacity Act 2005
- Learning & Skills Act 2000
- Criminal Justice Act 2003
- Working Together to Safeguard Children
- Tackling Sexual Exploitation

#### 4. Responsibilities

For the purposes of this Protocol the responsibilities are defined as follows: For help go to <a href="https://eur-lex.europa.eu/legal-content/EN/TXT/HTML/?uri=CELEX:32016R0679&amp;from=EN">https://eur-lex.europa.eu/legal-content/EN/TXT/HTML/?uri=CELEX:32016R0679&amp;from=EN</a> Articles 24 – 29 where these roles are explained.	Tick box	Organisation Name(s)
The Sole Data Controller for this sharing is:	<input checked="" type="checkbox"/>	PROVIDE
The Joint Data Controllers for this sharing are:	<input type="checkbox"/>	
In the case of <b>Joint Data Controllers</b> , the designated single contact point for Individuals is:	<input type="checkbox"/>	
Data Processors party to this protocol are (please list):	<input type="checkbox"/>	

GDPR  
Go to articles  
13-14, 24 - 31

This Protocol will be reviewed one year after it comes into operation to ensure that it remains fit for purpose. The review will be initiated by Essex County Council.

#### 5. Subject Rights

Essex Partner Agencies' Information Sharing Agreements are made publicly available on the Whole Essex Information Sharing Framework website to enable compliance with article 12 of the GDPR.

It is each Partner's responsibility to ensure that they can comply with all of the rights applicable to the sharing of the personal information. It is for the organisation initiating the ISP to identify which rights apply, and then each Partner to ensure they have the appropriate processes in place.

<p style="text-align: center;"><b>Subject Rights</b></p> <p style="text-align: center;"><b>Select the applicable rights for this sharing according to the legal basis you are relying on</b></p>	Processes are in place to enact this right - please check the box	<p>GDPR</p> <p>Go to articles 12 – 15</p>              <p>GDPR</p> <p>Go to article 16 &amp; 22</p>
GDPR Article 13&14 – <b>Right to be Informed</b> – Individuals must be informed about how their data is being used. This sharing must be reflected in your privacy notices to ensure transparency.	<input checked="" type="checkbox"/>	
GDPR Article 15 – <b>Right of Access</b> – Individuals have the right to request access to the information about them held by each Partner	<input checked="" type="checkbox"/>	
GDPR Article 16 – <b>Right to Rectification</b> – Individuals have the right to have factually inaccurate data corrected, and incomplete data completed.	<input checked="" type="checkbox"/>	
GDPR Article 17 (1)(b)&(e) – <b>Right to be forgotten</b> – This right may apply where the sharing is based on Consent, Contract or Legitimate Interests, or where a Court Order has demanded that the information for an individual must no longer be processed. Should either circumstance occur, the receiving Partner must notify all Data Controllers party to this protocol, providing sufficient information for the individual to be identified, and explaining the basis for the application, to enable all Partners to take the appropriate action.	<input type="checkbox"/>	
GDPR Article 18 – <b>Right to Restriction</b> – Individuals shall have the right to restrict the use of their data pending investigation into complaints.	<input checked="" type="checkbox"/>	
GDPR Article 19 – <b>Notification</b> – Data Controllers must notify the data subjects and other recipients of the personal data under the terms of this protocol of any rectification or restrict, unless it involves disproportionate effort.	<input checked="" type="checkbox"/>	
Article 21 – <b>The Right to Object</b> – Individuals have the right to object to any processing which relies on Consent, Legitimate Interests, or Public Task as its legal basis for processing. This right does not apply where processing is required by law (section 3). Individuals will always have a right to object to Direct Marketing, regardless of the legal basis for processing.	<input type="checkbox"/>	
Article 22 – <b>Automated Decision Making including Profiling</b> – the Individual has the right to request that a human being makes a decision rather than a computer, unless it is required by law.	<input type="checkbox"/>	
<b>Freedom of Information (FOI) Act 2000</b> or <b>Environmental Information Regulations (EIR) 2004</b> relates to data requested from a Public Authority by a member of the public. It is best practice to seek advice from the originating organisation prior to release. This allows the originating organisation to rely on any statutory exemption/exception and to identify any perceived harms. However, the decision to release data under the FOI Act or EIR is the responsibility of the agency	<input checked="" type="checkbox"/>	

that received the request.			
<b>6.</b>	<b>Security of Information</b>		
<b>Security measures in place</b>		GDPR articles 30 - 45	
There are good quality access control systems in place			<input checked="" type="checkbox"/>
Paper information is stored securely			<input checked="" type="checkbox"/>
Paper and electronic information is securely destroyed with destruction log for electronic information			<input checked="" type="checkbox"/>
Laptops and removable media such as memory sticks are secured when not in use			<input checked="" type="checkbox"/>
Technical security appropriate to the type of information being processed is applied			<input checked="" type="checkbox"/>
Arrangements are in place to meet the requirements for confidentiality, integrity and availability			<input checked="" type="checkbox"/>
Disaster recovery arrangements are in place			<input checked="" type="checkbox"/>
Encryption of personal data is fully implemented			<input checked="" type="checkbox"/>
Data minimisation has been considered			<input checked="" type="checkbox"/>
Can pseudonymised or anonymised data be used to meet your processing needs?			<input type="checkbox"/>
There are sufficient access controls for systems/networks in place			<input checked="" type="checkbox"/>
Routine and regular penetration tests are carried out			<input checked="" type="checkbox"/>
Article 40 Codes of Conduct are adhered to (where applicable)			<input type="checkbox"/>
Appropriate security is applied to external routes into the organisation; for example, internet firewalls and remote access solutions		<input checked="" type="checkbox"/>	
Confirm entry in Records of Processing Activity		<input checked="" type="checkbox"/>	
<p>Personal information will be securely shared via read only access to the CHIS system via N3 connection (or HSCN replacement)</p> <p>Partners receiving information will:</p> <ul style="list-style-type: none"> <li>• Ensure that their employees are appropriately trained to understand their responsibilities to maintain confidentiality and privacy;</li> <li>• Protect the physical security of the shared information;</li> <li>• Restrict access to data to those that require it, and take reasonable steps to ensure the reliability of</li> </ul>			

- employees who have access to data, for instance, ensuring that all staff have appropriate background checks
- Maintain an up to date policy for handling personal data which is available to all staff
  - Have a process in place to handle any security incidents involving personal data, including notifying relevant third parties of any incidents
  - Ensure any 3<sup>rd</sup> party processing is agreed as part of this protocol and governed by a robust contract and detailed written instructions for processing.

**International Transfers (NOT applicable)**

If any personal data is to be transferred outside of the EEA, please ensure you capture the relevant supporting adequacy decision for such a transfer here (articles 40-43).

Adequacy Decision in place <a href="https://ec.europa.eu/info/law/law-topic/data-protection/data-transfers-outside-eu/adequacy-protection-personal-data-non-eu-countries_en">https://ec.europa.eu/info/law/law-topic/data-protection/data-transfers-outside-eu/adequacy-protection-personal-data-non-eu-countries_en</a>	Date of approval by EU Commission is:	[Provide hyperlink here]
ICO Approved standard contract clauses in place <a href="https://ico.org.uk/media/1571/model_contract_clauses_international_transfers_of_personal_data.pdf">https://ico.org.uk/media/1571/model_contract_clauses_international_transfers_of_personal_data.pdf</a>	Date of approval by ICO is:	[Provide hyperlink here]
ICO Approved Binding Corporate Rules in place <a href="https://ico.org.uk/for-organisations/guide-to-data-protection/binding-corporate-rules/">https://ico.org.uk/for-organisations/guide-to-data-protection/binding-corporate-rules/</a>	Date of approval by ICO is:	[Provide hyperlink here]
The Individuals have given explicit consent to the transfer and understand the risks associated with the transfer	Confirm this consent has been recorded appropriately	√ / ✕
The receiving organisation in a 3rd country is bound by an approved Code of Conduct recognised by the EU	Date of approval by ICO is:	[Provide hyperlink here]

ICO guidance on International Transfers can be found at <https://ico.org.uk/for-organisations/guide-to-the-general-data-protection-regulation-gdpr/international-transfers/>

**7. Format and Frequency**

- The format the information will be shared in is read only access to the TPP SystemOne Mid Essex CHIS unit via N3/HSCN



replacement

- The frequency with which the information will be shared is as and when required

If a shared system is being used by partners:

- What system is being shared? **TPP SystemOne**
- Who is the owner of the system? **PROVIDE**

## 8. Data Retention

Information will be retained in accordance with each partners' published data retention policy available on their websites, and in any event no longer than is necessary.

GDPR  
Go to article 5

## 9. Data Accuracy

Please check this box to confirm that your organisation has processes in place to ensure that data is regularly checked for accuracy, and any anomalies are resolved

GDPR  
Go to articles 5, 16 - 18

## 10. Breach Notification

Where a security breach linked to the sharing of data under this protocol is likely to adversely affect an Individual, all involved Partners must be informed within 48 hours of the breach being detected. The email addresses on page 1 should be used to contact the Partners. The decision to notify the ICO can only be made after consultation with any other affected Partner to this protocol, and notification to the ICO must be made within 72 hours of the breach being detected. Where agreement to notify cannot be reached within this timeframe, the final decision will rest with the Protocol owner as depicted on page 1 of this document.

All involved Partners should consult on the need to inform the Individual, so that all risks are fully considered and agreement is reached as to when, how and by whom such contact should be made. Where agreement to notify cannot be reached, the final decision will rest with the Protocol owner as depicted on page 1 of this document.

All Partners to this protocol must ensure that robust policy and procedures are in place to manage security incidents, including the need to consult Partners where the breach directly relates to information shared under this protocol.

GDPR  
Go to articles 33, 34, 77 - 84

<b>11.</b>	<b>Complaints</b>	
<p>Partner agencies will use their standard organisational procedures to deal with complaints from the public arising from information sharing under this protocol.</p>		<p>GDPR Go to articles 16 – 22 &amp; 77</p>
<b>12.</b>	<b>Commencement of Protocol</b>	
<p>This Protocol shall commence upon date of the signing of a copy of the Protocol by the signatory partners. The relevant information can be shared between signatory partners from the date the Protocol commences.</p>		
<b>13.</b>	<b>Withdrawal from the Protocol</b>	
<p>Any partner may withdraw from this Protocol upon giving 4 weeks written notice to the WEISF administration team <a href="mailto:weisf@essex.gov.uk">weisf@essex.gov.uk</a>. The WEISF administration team will notify other Partners to the Protocol. The Partner must continue to comply with the terms of this Protocol in respect of any information that the partner has obtained through being a signatory. Information, which is no longer relevant, should be returned or destroyed in an appropriate secure manner.</p>		
<b>14.</b>	<b>Agreement</b>	

This Protocol must be approved by the responsible person within the organisation (SIRO/Caldicott Guardian/Chief Information Officer).

Approver Name	
Organisation Name	
Date of Agreement	

**Please submit this Protocol to [weisf@essex.gov.uk](mailto:weisf@essex.gov.uk) with list of approved signatories. The Protocol will then be published on [weisf.essex.gov.uk](http://weisf.essex.gov.uk).**

**Email approvals will only be accepted from an authorised signatory role from each organisation. Please see the list of authorised roles per organisation on [WEISF.essex.gov.uk](http://WEISF.essex.gov.uk)**