Appendix D

The Caldicott Principles

1. Everyone must justify the purpose(s) for which patient-identifiable information is used

   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.

2. Do not use patient-identifiable information unless it is absolutely necessary

   Patient-identifiable information items should not be included unless it is essential for the specified purpose(s) of that flow. The need for patients to be identified should be considered at each stage of satisfying the purpose(s).

3. Only use the minimum necessary for the purpose

   Where use of the patient-identifiable is considered to be essential, the inclusion of each individual item of information should be considered and justified so that the minimum amount of identifiable information is transferred or accessible as is necessary for a given function to be carried out.

4. Access to patient-identifiable information should be on a strict “need to know” basis

   Only those individuals who need access to patient-identifiable information should have access to it, and they should only have access to the information items that they need to see. This may mean introducing access controls or splitting information flows where one information flow is used for several purposes.

5. Everyone with access to patient-identifiable information should be aware of their responsibilities

   Every use of patient-identifiable information must be lawful. Someone in each organisation handling patient information should be responsible for ensuring that the organisation complies with the legal requirements.

6. Everyone with access to patient identifiable information should understand and comply with Data Protection and Security legislation

   Every use of patient-identifiable information must be lawful. Someone in each organisation handling patient information should be responsible for ensuring that the organisation complies with the legal requirements.

7. The duty to share information can be as important as the duty to protect patient confidentiality

   Health and social care professionals should have the confidence to share information in the best interests of their patients within the framework set out by these principles. They should be supported by the policies of their employers, regulators and professional bodies. Caldicott Guardians are senior staff in the NHS and Social Services appointed to protect patient information. The Caldicott Guardian for Salisbury NHS Foundation Trust is the Medical Director. Further information can be found in the Caldicott Guardian Pages on the Department of Health web site. Additional supporting information about data transfer outside the Trust is available within the Policy Processing Personal Identifiable Information by an External Company Outside and within the UK/EEA. Further information is available from the Information Commissioner - Use and Disclosure of Health Data.