

Introduction of Caldicott Guardians

Caldicott Guardians get their name and inspiration from the 1997 'Report of the Review of Patient-Identifiable Information'. The Caldicott Committee made 16 recommendations to improve the security and confidentiality of patient identifiable information. One of the recommendations was that:

"a senior person, preferably a health professional, should be nominated in each health organisation to act as a guardian, responsible for safeguarding the confidentiality of patient information." The appointment of a Caldicott Guardian was mandated for the NHS by a Health Service Circular: HSC 1999/012 and was subsequently introduced into Social Care in 2002.

Our Caldicott Guardian

The Caldicott Guardian for adult social care is Simon Richards Head of Adult Safeguarding & Practice Development. Simon can be contacted at simon.richards@sheffield.gov.uk or by phone on: 27 36622

Principles continued..

Principle 4: Access to personally identifiable information should be on a strict need to know basis.

Principle 5: Everyone should be aware of their responsibilities.

Principle 6: Understand and comply with the law. Every use of personally identifiable information must be lawful.

Principle 7: The duty to share information can be as important as the duty to protect confidentiality and official policies should support this.

What is a Caldicott Guardian?

A Guardian is a senior person within a health or social care organisation who makes sure that personal information about people who use its services is processed legally, ethically and appropriately, and that confidentiality is maintained. Guardians provide leadership and informed guidance on complex matters involving confidentiality and information sharing. The Guardian's role is a strategic one that requires someone with sufficient experience and seniority to represent and champion confidentiality issues at Board/senior management team level and, where appropriate, throughout the organisation's overall governance framework.

Relevant Legislation

The Guardian needs to be familiar with the common law duty of confidentiality, the Caldicott principles and legislation. The primary legislation is the General Data Protection Regulation and the Data Protection Act.

Responsibilities

The Guardian acts as the conscience of the organisation, ensuring that both legal and ethical considerations are taken into account, particularly when deciding whether to share confidential information. The role is strategic, advisory and operational. The Caldicott Report set out general principles that health and social care organisations should use when reviewing the use of people's information - as set out in 5/6.

Caldicott Guardians

Caldicott Principles

Principle 1: Justify the purpose(s). Every proposed use or transfer of personally identifiable information within or from an organisation should be clearly defined and scrutinised, with continuing uses regularly reviewed by the appropriate guardian.

Principle 2: Do not use personally identifiable information unless absolutely necessary.

Principle 3: Use the minimum personally identifiable information

Further guidance

Further guidance is available on [Caldicott Guardian Manual](#).

