

## Adult Social services and Housing

### The Caldicott Guardian

#### Factsheet

#### What is a Caldicott Guardian

The role of the Caldicott Guardian originated from the [Report on the Review of Patient-Identifiable Information \(1997\)](#) produced by the Caldicott Committee, chaired by Dame Fiona Caldicott. The committee explored the use of patient's identifiable information held by NHS organisations.

The report concluded that each NHS organisation needed a Caldicott Guardian. A Caldicott Guardian is a senior person within each NHS organisation responsible for the oversight of the arrangements, in that organisation, for the use and sharing of clinical information.

Subsequent work extended the requirement in 2002 to appoint Caldicott Guardians into Councils with Social Service responsibilities.

#### Who should perform the role?

The person best equipped to be the Caldicott Guardian should fit one or more of these requirements:

1. Be a senior person within the Council's Social Care management team
2. It is preferable for a [Caldicott Guardian to be a health or social care professional](#) who has experience and knowledge of working with people drawing on care and support and managing the complexities of frontline practice
3. Have the responsibility for promoting information governance within the organisation

The current post holder in North Somerset Council is Gerald Hunt, Assistant Director Commissioning, Partnerships & Housing.



## **Caldicott Principles**

Six principles relating to data use and data-handling were established on which the role of the Caldicott Guardian was to be based. These key principles enable the safe and secure handling of people's personal data.

Principle 1: justify the purpose(s) for using confidential information.

Principle 2: do not use or transfer personally identifiable information unless it is absolutely necessary.

Principle 3: only use the minimum personally identifiable information that is required.

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

Principle 5: everybody must understand their responsibilities and obligations to respect client confidentiality.

Principle 6: understand and comply with the law.

## **When to involve the Caldicott Guardian**

The Caldicott Guardian's views must be sought ahead of:

- any new information sharing arrangements involving personal confidential data held by Adult Social Services and Housing.
  - any new project that involves the use of personal confidential data held by Adult Social Services and Housing.
  - any new system implementation and its access requirements, or any system access changes which involves the access to personal confidential data held by Adult Social Services and Housing.
  - any complex and contentious judgements as to whether it is lawful, necessary, and proportionate to share sensitive information, including disclosures that may be in the public interest. The Caldicott Guardian needs to be informed of all considerations made such as consent to share information and a person's capacity to consent (where relevant). This information can be used to inform any advice, judgments, and/or decisions.
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The level of involvement required by the Caldicott Guardian may differ depending on the sensitivity, volume or use of the data involved.

It is the responsibility of the Caldicott Guardian to determine their level of involvement, ensuring it is sufficient to make informed decisions.

The Caldicott Guardian should carefully document any advice offered, judgements or decisions made and the reasoning behind them in the interests of transparency and accountability.

## Feedback

If you are unhappy about any action or decision in relation to the Caldicott Guardian, you should initially talk to the person you normally deal with. If you are unable to resolve your complaint in this way, you can contact:

Complaints Manager,  
Adult Social Services and Housing,  
Town Hall,  
Walliscote Grove Road,  
Weston super Mare,  
BS23 1UJ  
Telephone: 01275 882171  
Email: [complaints.manager@n-somerset.gov.uk](mailto:complaints.manager@n-somerset.gov.uk)

## Accessibility

All North Somerset Council documents can also be made available in large print, audio, and other formats. Documents on our website can also be emailed to you as plain text files. Help is also available for people who require council information in languages other than English. Please email [adultspolicy@n-somerset.gov.uk](mailto:adultspolicy@n-somerset.gov.uk) ring 01934 888 888.

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