

Risk Stratification Action Plan
CAG 7-04(a)/2013 compliance for
Integrated Care Boards (ICBs)
(For ICB internal use)



Name of ICB:

Requirement
<i>To provide assurance that ICBs as the commissioner of the risk stratification service have appropriate agreements in place with their constituent GP practices or Primary Care Networks (PCNs) together with contractual levers in place to ensure that the risk stratification supplier (data processor) is acting in accordance with the conditions set out by CAG approval letter. ICB's will ensure that organisations undertaking data processing for risk stratification will meet the requirements set out below, which NHS England reserves the right to audit.</i>
Action
Please provide a copy of the agreement that you have in place with GP practices which shows that you are acting in accordance with the conditions set out in the CAG approval letter.
Response:

Requirement
<i>2.1 The relevant staff have read, understood and implemented the requirements within the risk stratification checklist referenced in Annex 2</i>
Action
Please can you provide confirmation of the above.
Response:

Requirement

2.2 Member GP practices are made aware of their responsibilities as data controllers, and have in place an agreement with the ICB in respect of the ICB acting as an agent of the GP practice in relation to the use of the GP data (and SUS data, where applicable) for the purposes of risk stratification

Action

Please provide a copy of the agreement with GP's in respect of the ICB acting as joint controllers with GP practice in relation to the use of the GP data (and SUS data, where applicable) for the purposes of risk stratification.

Response:**Requirement**

2.3 It has made arrangements to ensure that the public understand the proposed use of data for risk stratification purposes between a commissioner and a provider of NHS funded health services. (This may be achieved through fair processing notices by ICB and its member practices). This should include an explanation of risk stratification, clarity about who the data controller and data processors are, what type of data will be used for risk stratification, the rights individuals can exercise in relation to this i.e. the right to access their personal data and to object to its use for this purpose and how to exercise this right.

Action

Please provide a link below to the Fair Processing Notice (FPN) on your ICB website.

Response:

Requirement

2.4 It has agreed a process with GP Members on how patient objections will be handled.

Action

Please explain the process you have in place with GP Members for the handling of patient objections.

Response:**Requirement**

2.5 Risk stratification suppliers will process personal confidential data (PCD) in the following manner:

*Data is received in a “de-identified data for limited access” 4 form (i.e. NHS number as the patient identifier) or is pseudonymised on landing; AND
Processing is within a “closed box” with strict role-based access control; AND
Re-identification is solely for the purpose of direct care and is available only to those with a direct clinical care relationship with the patient. Any publication of data other than in accordance with 2.5.3 must be anonymised in line with the ICO Anonymisation Code of Practice*

Action

Please provide an explanation of how you process personal confidential data (PCD).

Response:**Requirement**

2.6 It has ensured that all staff handling data for the purpose of risk stratification are made aware and will operate in compliance with the requirements of Section 251 approval.

Action

Please provide a copy of the Standard Operating Procedure which is made available to staff and outlines how they must operate in compliance with the requirements of Section 251.

Response:

Requirement

2.7 The named risk stratification supplier processes the minimum data necessary (ie. The data specifications will have specific exclusions for sensitive information 5 (see Appendix 4) and will only utilise the minimum data necessary to identify the candidate risk cohorts).

Action

Please confirm that you are processing the minimum data necessary and will only utilise the minimum data necessary to identify the candidate risk cohorts.

Response:

Requirement

2.8 The named risk stratification supplier will provide a written procedure outlining a secure mechanism for receipt and processing of data within the risk stratification tool. These should include as a minimum the process for:

Receipt of data;

Retention period;

Role based access controls, authorisation and maintenance;

Induction and training processes for users;

How audit trails will be maintained and confidentiality audits may be undertaken.

Action

Please provide a copy of the written procedure outlining the secure mechanism for receipt and processing of data within the risk stratification tool.

Response:**Requirement**

2.9 Staff using the risk stratification toolset and reports will receive formal training and can demonstrate they are working in compliance to the written procedure

Action

Please provide a copy of the standard operation procedure for working with the risk stratification toolset and reports.

Response:**Requirement**

2.10 Staff handling patient confidential data are made aware of and will operate in compliance with the obligations set out in the confidentiality clauses in their contract of employment and, where applicable, their professional obligations. Any suspected data breach relating to risk stratification must be subject to the ICB's and NHS England's data breach reporting mechanisms.

Action

Please provide a copy of the process made available to staff handling patient confidential data to ensure that they operate in compliance with the obligations set out in the confidentiality clauses in their contract of employment.

Response:

Requirement

2.11 It has appropriate processes and contractual provisions with the risk stratification tool supplier to securely destroy all PCD held in manual or electronic form once deemed it is no longer necessary for the purpose of risk stratification.

Action

Please provide a copy of the contract for destruction of all Patient Confidential Data.

Response:**Requirement**

2.12 It works with risk stratification suppliers to make provision for the transition towards the exit strategy defined by NHS England

Action

Please provide confirmation that you are working with risk stratification suppliers to make provision for the transition towards the exit strategy.

Response:**Requirement**

2.13 It undertakes to carry out a check on its risk stratification suppliers and their processes to ensure that it has taken all reasonable organisational and technical measures to prevent unlawful processing of the PCD held for risk stratification purposes. Insert date of check below:

Action

Please provide a copy of the audit or check on risk stratification suppliers and the date this was conducted.

Response:

Requirement

2.14 It undertakes a Data Privacy Impact Assessment for risk stratification in accordance to the [ICO guidance](#).

Action

Please provide evidence of your Data Privacy Impact Assessment.

Response: