

Information Sharing Agreement – Derby Safeguarding Adults Board



Derby Safeguarding Adults Board

Information Sharing Agreement
Safeguarding Vulnerable Adults
Version 6.0

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All Information Sharing Agreements must be sent to Derby City Council Data Protection Officer for initial review and registration.

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This Information Sharing Agreement (ISA) is an agreement between all agencies working together under the remit of The Derby Safeguarding Adults Board to ensure the health, well-being and safeguarding of adults in need of care and support within city.

This agreement aims to facilitate the lawful and secure sharing of information between partner agencies and designated workers working to safeguard adults, children and young people.

1. List of Partners to the Agreement

- Derby City Council
- Derbyshire Constabulary
- Derby and Derbyshire Integrated Care Board
- Community Safety
- Derby Homes
- Derbyshire Community Healthcare Service
- Derbyshire Fire and Rescue Service
- Derbyshire Healthcare NHS Foundation Trust
- Derbyshire Office of the Police and Crime Commissioner
- DHU Health Care CIC
- Diocese of Derby
- East Midlands Ambulance Service
- Healthwatch Derby
- The Probation Service
- University Hospitals of Derby and Burton NHS Trust

The partners to this agreement are also bound by the conditions set out in the Derbyshire Partnership Forum Information Sharing Protocol

All partners to the agreement are Data Controllers in respect of the data the provided under this agreement.

2. Purpose of information sharing

Where there is specific information or concerns that an adult with care and support needs is being neglected, abused or exploited or there is a risk of neglect or abuse, information will be shared between the partners. It will be used to investigate the concerns and prevent the risk of neglect or abuse.

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Where there is a need to carry out multi-agency case files audit by DSAB for the purpose of assuring the quality of local systems and services in place for adults. Multi-agency case file audits identify good practice, questioning whether things could be done differently to improve the safeguarding adults' system.

Only relevant, accurate and proportionate information will be disclosed to help partners to carry out Safeguarding duties for which the data is required.

This agreement is underpinned by the following principles:

- The safety and well-being of adults with care and support needs is paramount in determining the need to share information
- The partners have a responsibility to reduce risk of harm, abuse or neglect to adults with care and support needs
- Joint working is the most effective route to improving outcomes for adults with care and support needs
- Information sharing is underpinned by the relevant partner agencies legislative framework, codes of professional conduct for managing confidential information and by policies for the assessment of risk and safeguarding adults with care and support needs

3. Information to be shared

The agreement concerns the following personal and/or sensitive information which needs to be shared for the purposes outlined in section 2.

- “Personal data” which identifies the alleged victim(s) or alleged perpetrator(s) of abuse or neglect e.g. name, date of birth, address
- “Special Category data” about the alleged victim(s) or alleged perpetrator(s) of abuse or neglect e.g. gender, religion, ethnicity
- Reasons for concerns and details of the alleged concerns e.g. type of abuse, location of abuse, levels of risk or urgency
- Information about the physical and or mental health of the alleged victim(s) or alleged perpetrator(s) e.g. mental capacity, communication needs
- Reports of any medical or social care assessments or examinations undertaken as part of the safeguarding adults' procedures e.g. eligibility for community care, psychiatric assessment
- Personal data which identifies professionals involved with the alleged victim(s) or alleged perpetrator(s)
- Personal data which identifies other people who may be at risk e.g. via employment, family, service
- Historical information held in records about the alleged victim(s) or alleged perpetrator(s) that may be relevant to the current safeguarding concern or case review e.g. previous safeguarding adults alert

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- Name and contact details of alerter (unless they have stated they wish to remain anonymous and this anonymity would not have a detrimental impact upon the safeguarding adults process)
- Name of employer or organisation if the concern relates to a paid worker or volunteer of a service provider
- The agreement also concerns aggregated data (e.g. statistics) which may be shared. In these situations, anonymised information should be used

4. Basis for information sharing – legislative context

Partners to this agreement will act within existing legislative standards when protecting adults with care and support needs. It will be necessary to share relevant information.

The processing of information will satisfy:

- UK General Data Protection Regulation (GDPR) See Appendix A
- Data Protection Act 2018
- Human Rights Act 1998
- Care Act 2014
- Common law duty of care
- Common law duty of Confidence
- Consent given by the Adult
- Derby Safeguarding Adults Procedures
- The Equalities Act 2010.
- Freedom of Information Act 2000
- Protection of Freedoms Act 2012
- The Mental Capacity Act 2005

Partners must meet the requirements of Article 6 of the UK GDPR, for the processing of personal data by virtue of subsections 1(a), (c), (d) and (e):

(a) the data subject has given explicit and informed consent to the processing of his or her personal data for one or more specific purposes

(c) processing is necessary for compliance with a legal obligation to which the controller is subject)

(d) the processing is necessary in order to protect the vital interests of the data subject or of another natural person

(e) the processing is necessary as being carried out 'in the exercise of official authority'. This covers public functions and powers that are set out in law; or to perform a specific task in the public interest that is set out in law.

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In the case of Special Category data, partners must also meet Article 9 condition by virtue of subsections 2 (a), (c) (b) and (j):

(a) the data subject has given their explicit consent to the processing of the personal data for one or more specified purposes, except where Union or Member State law provide that the prohibition referred to in paragraph 1 may not be lifted by the data subject;

The processing is necessary:

b) for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law in so far as it is authorised by domestic law (see section 10 of the 2018 Act) or a collective agreement pursuant to domestic law providing for appropriate safeguards for the fundamental rights and the interests of the data subject

(c) Is necessary to protect the vital interests of the data subject or of another natural person where the data subject is physically or legally incapable of giving consent

(j) processing is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes in accordance with Article 89(1) of the applied GDPR (as supplemented by section 19 of the 2018 Act) and is authorised by domestic law (see section 10 of that Act).]

Partners must meet the requirements of Article 10 of the UK GDPR, for the processing of personal data relating to criminal convictions and offences by virtue of subsections 1(a) and (b):

Processing of personal data relating to criminal convictions and offences or related security measures based on Article 6(1) shall be carried out only under the control of official authority or when the processing is authorised by domestic law providing for appropriate safeguards for the rights and freedoms of data subjects. Any comprehensive register of criminal convictions shall be kept only under the control of official authority.

(a)section 10 makes provision about when the requirement in paragraph 1 of this Article for authorisation by domestic law is met;

(b)section 11(2) makes provision about the meaning of “personal data relating to criminal convictions and offences or related security measures”

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Derbyshire Constabulary is a competent authority as defined in Schedule 7 of the Data Protection Act 2018 for the processing of personal data for law enforcement purposes. Derbyshire Constabulary complies with the lawfulness of processing requirements under Part 3 Chapter 1 s31. **The law enforcement purposes."**

For the purposes of this Part, "the law enforcement purposes" are the purposes of the prevention, investigation, detection or prosecution of criminal offences or the execution of criminal penalties, including the safeguarding against and the prevention of threats to public security.

Where Derbyshire Constabulary are sharing personal data with the partners to this agreement, who are not competent authorities, this occurs outside the law enforcement purposes and is undertaken to protect individuals.

Section 45 Care Act 2014

Supply of information

If a Safeguarding Adults Board (SAB) requests a person to supply information to it, or to some other person specified in the request, the person to whom the request is made must comply with the request if:

- (a) conditions 1 and 2 (see below) are met, and
- (b) condition 3 or 4 (see below) is met

(1) Condition 1 is that the request is made for the purpose of enabling or assisting the SAB to exercise its functions

(2) Condition 2 is that the request is made to a person whose functions or activities the SAB considers to be such that the person is likely to have information relevant to the exercise of a function by the SAB

(3) Condition 3 is that the information relates to:

- (a) the person to whom the request is made, or
- (b) a function or activity of that person, or
- (c) a person in respect of whom that person exercises a function or engages in an activity

(4) Condition 4 is that the information:

- (a) is information requested by the SAB from a person to whom information was supplied in compliance with another request under this section, and
- (b) is the same as, or is derived from, information so supplied

(5) Information may be used by the SAB, or other person to whom it is supplied under subsection (1) (see above), only for the purpose of enabling or assisting the SAB to exercise its functions

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Common law duty of care

The Police have a common law duty of care to protect the public and may share personal data where it is necessary to prevent harm.

Common law duty of Confidence

This means that anyone proposing to disclose information not publicly available and obtained in circumstances giving rise to a duty of confidence, will need to establish whether there is an overriding justification for so doing. If not, it is necessary to obtain the informed consent of the person who supplied the information. This will need to be assessed on a case by case basis and legal advice should be sought in any case of doubt.

Consent

Consent may be defined as “...any freely given specific and informed indication of his wishes by which the data subject signifies his agreement to personal data relating to him being processed”.

When disclosing personal information many of the data protection issues surrounding disclosure can be avoided if the informed consent of the individual has been sought and obtained. This is particularly significant if the personal information to be shared identifies victims or witnesses and consideration should be given to the effects of any disclosure of personal data on third parties.

It will not always be the case that the prevention and detection of crime or public safety constitutes an overriding public interest for the exchange of personal information.

5. Exchange of information

Information will be exchanged when a partner organisation believes that an adult with care and support needs is being abused, exploited or neglected or is at risk of neglect or abuse.

Any partner organisation that needs to refer an adult with care and support needs will contact Derby City Council Adult Social Care and verbally inform them when there are concerns. When this happens, the organisation giving the information will always confirm the identity of the person in Adult Social Care receiving the information by making the telephone call via the Derby Council switchboard or recognised contact details such as The Multi-Agency Safeguarding Hub (MASH). See Appendix C.

The partner organisation will complete the Safeguarding Adults Referral Form and send it to Derby City MASH by secure email such as Egress, CJSM, GCSX or other secure email solutions. Partners can also submit a referral by completing the online referral form on www.derbysab.org. Fax is not a secure method to send personal and sensitive data.

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Consent

With regard to adults with care and support needs, consideration should be given to seeking consent to the sharing of information before disclosure to Derby City MASH.

In some circumstances information about a person may be disclosed without their consent. When overriding a person's wish for confidentiality, staff will be clear as to why this is being overridden and will document their reasons for doing so. Such reasons may include, but is not limited to the following:

- the adult with care and support needs lacks mental capacity to make an informed decision
- there is a risk of harm to the adult with care and support needs
- there is potential risk of harm to others
- an alleged abuser is an employee of any partner agency or voluntary worker with access to other adults with care and support needs
- it is necessary for the detection and prevention of crimes for example theft and anti-social behaviour affecting communities where vulnerable people live or frequent
- the condition for information sharing regarding the Domestic Violence Multi Agency Risk Assessment Conferences (MARAC) is met: 'to identify those victims who are of a high risk of serious harm, personal harm, or injury from domestic violence which is life threatening and or traumatic and from which recovery whether physical or physiological can be expected to be difficult or impossible'

6. Terms of use of the information

The information that is shared will be used to assess the circumstances of the adult with care and support needs and the risk of neglect or abuse to that adult with care and support needs.

Information will be shared on a need to know basis only.

Any sharing of personal information must comply with the fair processing conditions outlined in the UK General Data Protection Regulation (UK GDPR) and any supporting data protection legislation. Consequently:

- Information shall only be obtained for the purposes detailed in section 2
- adequate, relevant and limited to what is necessary in relation to the purposes for which they are processed ('data minimisation')
- accurate and, where necessary, kept up to date; every reasonable step must be taken to ensure that personal data that are inaccurate, having regard to the purposes for which they are processed, are erased or rectified without delay ('accuracy')

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- kept in a form which permits identification of data subjects for no longer than is necessary for the purposes for which the personal data are processed; personal data may be stored for longer periods insofar as the personal data will be processed solely for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes in accordance with Article 89(1) subject to implementation of the appropriate technical and organisational measures required by this Regulation in order to safeguard the rights and freedoms of the data subject ('storage limitation')
- processed in a manner that ensures appropriate security of the personal data, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organisational measures ('integrity and confidentiality')
- information will be processed for specified, explicit and legitimate purposes and not further processed in a manner that is incompatible with those purposes; further processing for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes shall, in accordance with Article 89(1), not be considered to be incompatible with the initial purposes.
- For retention and destruction please see section 8 below

The disclosure of the information must lead to a proportionate response when protecting a vulnerable person or persons.

Caldicott Principles will also apply to the processing of the information (see Appendix B):

- Where it is reasonably determined that further information is necessary to fulfil statutory duties and/or other requirements this Agreement will be reviewed in full or in part as appropriate
- Whenever possible data shared, should be anonymised, unless requested at personal level
- Information on children, young people and adults will be shared with industry standard security
- All parties will store "person identifiable" data shared between both partners on secure systems which can only be accessed by a restricted number of appropriate staff with appropriate security safeguards
- All parties will use the data supplied for the purposes stated and will not pass such data to third party organisations outside the remit of specified partners in agreement without prior written consent
- It is also prohibited under this agreement for sub-processors to be used without the prior consent of the Data Controller
- All parties will comply with their obligations under the Freedom of Information Act 2000 and may consult with the other party if necessary if requests relate to information shared but will remain responsible for responding to the request

7. Information and Data Quality Information

Each partner must recognise the importance of decision making based on information derived from robust systems and processes. All processes will be designed to support good quality data.

Information shared must be fit for purpose, which means that it must be adequate, relevant and not contain excessive detail which is beyond that required for the agreed purpose.

Information discovered to be inaccurate, out-of-date or inadequate for the purposes detailed in section 2 should be notified to the Data Controller – the original partner who has provided the information – who will be responsible for correcting the data and notifying all other recipients of the information who must make sure the correction is made.

Each partner will keep appropriate records of the sources of information to provide for this.

No secondary use or other use may be made unless the consent of the disclosing partner to that secondary use is sought and granted.

8. Data retention review and disposal

Each partner to this agreement will ensure that they have in place policies and procedures governing:

- The secure storage of all personal information within their manual and electronic storage systems
- Electronic copies of information should only be held on encrypted devices or servers and should not be transferred to portable devices unless such devices are fully encrypted, and their use is necessary for the provision of services under this agreement
- The retention of information held in manual and electronic systems
- Information processed under this agreement will only be retained for a minimum period as necessary in relation to the purpose for which it has been provided and then securely destroyed when that period comes to an end
- The secure disposal of electronic and manually held information
- Each agency will ensure that personal and personal sensitive information is securely removed from their systems and that printed documentation is securely destroyed at the end of its retention period
- Electronic information should be securely destroyed by the physical destruction of the storage media or by the use of electronic shredding software that meets government standards or ISO 27001 to ensure permanent deletion
- Hard copy information should be destroyed by cross-cut shredding and secure recycling of the paper waste

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- Must destroy all personal data when no longer required for the purpose for which it was provided in accordance with their own secure destruction policy
- Information will be retained for a period not exceeding 5 years after the death of the adult with care and support needs, either for legal or operational reasons
- The information will be reviewed every year to confirm that it remains accurate and relevant by the Derby Safeguarding Adults Board

9. Access and Security

Each Partner will make sure that appropriate technical and organisational measures are taken against unauthorised or unlawful processing of personal data and against accidental loss or destruction of, or damage to, personal data.

The information supplied to Derby City MASH will be stored electronically on LAS (LiquidLogic Adult System). Access to the LAS database is strictly controlled by Derby City Council. Derby City Council classifies information assets in accordance with the Government Security Classifications.

In particular, each partner shall make sure that measures are in place to do everything reasonable to:

- make accidental compromise or damage unlikely during storage, handling, use, processing transmission or transport
- deter deliberate compromise or opportunist attack
- securely dispose of or destroy the data in a manner to make reconstruction unlikely
- promote confidentiality in order to avoid unauthorised access
- be ready and prepared to respond to any breach of security swiftly and effectively and the partner must ensure that any breaches are reported to the Data Controller within one working day. (This is particularly important in light of the UK GDPR as there will be significantly more liability if responsible for a breach)
- set a deadline for reporting a breach to the relevant Data Controller
- maintain a record of personal data and processing activities regarding the data

Signatory partners are expected to train their relevant staff and promote awareness of the major requirements of information sharing, including responsibilities in confidentiality and data protection.

Access to information subject to this agreement will only be given to those professionals who 'need to know' in order to effectively discharge their duties. Information will only be communicated through the agreed channels.

10. General Operational Guidance/process

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All partners to this agreement acknowledge and agree that the Information held will be processed fairly and lawfully in accordance with the principles of the Data Protection Act 2018 and the UK General Data Protection Regulation (UK GDPR) and any supporting data protection legislation.

The partners to this agreement are members of the Derby Safeguarding Adults Board. The Derby Safeguarding Adults Board Procedures contain specific guidance on recording, confidentiality and information sharing at sections 16 and 36.

The parties shall each comply with its obligation to report a Personal Data Breach to the Information Commissioner 's Office and (where applicable) Data Subjects under the Data Protection Legislation and shall each inform the other party of any Personal Data Breach irrespective of whether there is a requirement to notify the Information Commissioner or Data Subject(s).

The parties agree to provide reasonable assistance as is necessary to each other to facilitate the handling of any Personal Data Breach in an expeditious and compliant manner.

All complaints or breaches relative to this agreement will be notified to the Derby Safeguarding Adults Board lead contact and the relevant partner organisation as soon as possible and within one working day in accordance with their own policy and procedures. The Derby Safeguarding Adults Board will be notified of any such complaint or breach, and the outcome, to make sure that appropriate action has been taken.

Disclosure of personal information without consent must be justifiable on statutory grounds or meet the criterion for claiming an exemption under the UK GDPR. Without such justification, both the partner and the member of staff expose themselves to the risk of prosecution and liability to a compensation order under the UK GDPR or damages for a breach of the Human Rights Act 1998.

If the disclosure of information is in contravention of the requirements of the UK GDPR, the partner who originally breached the requirements of the UK GDPR, either in requesting or disclosing information, shall indemnify the other partner against liability, cost or expense reasonably incurred.

Derby Safeguarding Adults Board acknowledges that there will be occasions where partners' employees and workers, with best intentions, may make mistakes regarding sharing information. Where it is clear that this has been done in the mistaken belief that sharing information will safeguard an adult/child/young person, the Derby Safeguarding Adults Board expects the partner to support their employee or worker and reinforce positive information sharing.

11. Data Protection Impact Assessment

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Under the UK General Data Protection Regulations (UK GDPR) a Data Protection Impact Assessment (DPIA), which is an assessment made to help identify and minimise the data protection risks of a project A DPIA is mandatory for certain listed types of processing, This will be the case where when taking into account the nature, scope, context and purposes of the processing, it is likely to result in a high risk to the rights and freedoms of individuals.

12. Rights of the data subject

Individual's Rights	General Processing UK GDPR	Law Enforcement Processing Part 3 DPA 2018
Transparency of Communication	Article 12 (recitals 58,59,60 and 73)	Section 52
Right of access	Articles 12 and 15 (recitals 63 and 64)	Section 45
Right to be informed	Articles 12, 13 and 14 (recitals 61 and 62)	Section 44
Right to rectification	Articles 12, 16 and 19 (recitals 65 and 66)	Sections 46 and 48
Right to erasure	Articles 12, 17 and 19 (recitals 65 and 66)	Sections 47 and 48
Right to restrict processing	Articles 12, 18 and 19 (recital 67)	Sections 47 and 48
Right to data portability	Articles 12 and 20 (recital 68)	Not applicable
Right to object	Articles 12 and 21 (recitals 69 and 70)	Not applicable
Rights in relation to automated decision making and profiling	Articles 12 and 22 (recitals 71, 72 and 91)	Sections 49 and 50

13. Liability and Indemnity

Under UK GDPR, Data Subjects will be able to take action against both [Data] Controllers and [Data] Processors and potentially claim damages where they

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have suffered material or immaterial damage as a result of an infringement of obligations under the UK GDPR (“Compensation”). Under the UK GDPR the Information Commissioner’s Office can also fine a Data Processor or a Data Controller in relation to any breaches of the Data Protection Act 2018 or UK GDPR.

Each signatory partner to this Agreement will undertake to indemnify the others against any legal action arising from any breach of this Agreement by any person working for or on behalf of its own organisation.

In the event that the Data Controller or the Data Processor (for the purposes of this clause: “Party A”) is ordered by a Court/Tribunal to pay Compensation to a Data Subject or is required to pay a fine by the Information Commissioner’s Office, to the extent that such Compensation has arisen as a result of the act, negligence, omission or default of the other party (“Party B”), Party B shall indemnify Party A in respect of that element of the Compensation.

14. Management of the Agreement

The Agreement will be reviewed biennial and monitored by the Safeguarding Adults Board Business Manager at Derby City Council, on behalf of the Derby Safeguarding Adults Board, unless new or revised legislation or national guidance necessitates an earlier review.

Complaints will be dealt with in a sensitive manner and recorded to enable the review and monitoring processes to be ethical. All complaints relevant to the sharing under this agreement will be dealt with under the Derby City Council Complaints Policy.

Requests for information under the UK GDPR, or Freedom of Information Act 2000 will be dealt with by the relevant partner agency in accordance with their own policy and procedures.

Where a request for information includes that information provided by a partner organisation, the originating organisation will be informed in accordance with normal protocols. However, each organisation is responsible for their compliance with the Freedom of Information Act 2000.

It is the responsibility of each partner signatory to the Agreement to ensure that they have the latest version of this Agreement.

All partners to the Agreement acknowledge and agree to comply with this Agreement.

15. Closure/Termination of agreement

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This Agreement may be suspended by any partner for up to 30 days, in the event of any significant breach in order to negotiate appropriate remedial action.

Where negotiations do not successfully resolve the concerns of any partner, the Agreement may be terminated in writing with immediate effect.

16. Version History

Date issued	Version	Status	Reason for change
April 2010	0.1	Draft	New Policy
June 2010	0.2	Draft	Review and comments by AM, DCC
June 2010	0.3	Draft	Review and update by SB
Dec 2010	0.4	Draft	Review following comments by Derbyshire Constabulary
Jan 2011	0.5	Draft	Review and update by DCC
Jan 2011	0.6	Draft	Review and update by DCC
February 2011	0.7	Draft	Review and update by DCC
March 2011	0.8	Draft	Review and update following comments by Derbyshire Constabulary
March 2011	0.9	Draft	Review and update following comments by NHS Derby City
March 2011	1.0	Issued	
April 2011	1.1	Issued	Late inclusion of legislation
July 2014	1.2	Draft	Revised and updated to include legislative changes
December 2014	1.3	Draft	Review and update following comments by partners
March 2015	1.4	Issued	Further Review and update following comments by partners
June 2015	1.5	Issued	Addition of new partner
April 2018	2.0	Draft	Revised and updated to include legislative changes

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May 2018	2.1	Issued	Further Review and update following comments by partners
September 2019	2.2	Draft	Revised and updated to include information on multi-agency audits
October 2019	3.0	Issued	
January 2021	4.0	Draft	Review and update following comments by partners
January 2025	5.0	Draft	Reviewed followed by comments from partners and updated to include legislative changes.
April 2025	6.0	Issued	Reviewed and updated to include legislative changes.

17. Agreement

Agreement for < Organisation Name>:

We accept that this Information Sharing Agreement will provide a framework between the signatory organisations for the secure sharing of information within the Derby Adults Safeguarding Board in a manner compliant with our statutory and workers responsibilities.

SIGNED.....

DATED.....

UK General Data Protection Regulations 2019

The UK GDPR Principles

(1) Personal data shall be:

a) processed lawfully, fairly and in a transparent manner in relation to the data subject ('lawfulness, fairness and transparency');

b) collected for specified, explicit and legitimate purposes and not further processed in a manner that is incompatible with those purposes; further processing for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes shall, in accordance with Article 89(1), not be considered to be incompatible with the initial purposes ('purpose limitation');

c) adequate, relevant and limited to what is necessary in relation to the purposes for which they are processed ('data minimisation');

d) accurate and, where necessary, kept up to date; every reasonable step must be taken to ensure that personal data that are inaccurate, having regard to the purposes for which they are processed, are erased or rectified without delay ('accuracy');

e) kept in a form which permits identification of data subjects for no longer than is necessary for the purposes for which the personal data are processed; personal data may be stored for longer periods insofar as the personal data will be processed solely for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes in accordance with Article 89(1) subject to implementation of the appropriate technical and organisational measures required by this Regulation in order to safeguard the rights and freedoms of the data subject ('storage limitation');

f) processed in a manner that ensures appropriate security of the personal data, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organisational measures ('integrity and confidentiality').

(2) The controller shall be responsible for, and be able to demonstrate compliance with, paragraph 1 ('accountability').

Specific Articles – 6 & 9

Article 6 CONDITIONS RELEVANT FOR PURPOSES OF PROCESSING OF ANY PERSONAL DATA

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1) Processing shall be lawful only if and to the extent that at least one of the following applies:

- a) the data subject has given consent to the processing of his or her personal data for one or more specific purposes;
- b) processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract;
- c) processing is necessary for compliance with a legal obligation to which the controller is subject;
- d) processing is necessary in order to protect the vital interests of the data subject or of another natural person;
- e) processing is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller;
- f) processing is necessary for the purposes of the legitimate interests pursued by the controller or by a third party, except where such interests are overridden by the interests or fundamental rights and freedoms of the data subject which require protection of personal data, in particular where the data subject is a child.

Point (f) of the first subparagraph shall not apply to processing carried out by public authorities in the performance of their tasks.

Article 9

CONDITIONS RELEVANT FOR PURPOSES OF PROCESSING OF SPECIAL CATEGORIES OF DATA

1.Processing of personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, or trade union membership, and the processing of genetic data, biometric data for the purpose of uniquely identifying a natural person, data concerning health or data concerning a natural person's sex life or sexual orientation shall be prohibited.

2.Paragraph 1 shall not apply if one of the following applies:

- (a)the data subject has given explicit consent to the processing of those personal data for one or more specified purposes, except where domestic law

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provides that the prohibition referred to in paragraph 1 may not be lifted by the data subject;

(b)processing is necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law in so far as it is authorised by domestic law or a collective agreement pursuant to domestic law providing for appropriate safeguards for the fundamental rights and the interests of the data subject;

(c)processing is necessary to protect the vital interests of the data subject or of another natural person where the data subject is physically or legally incapable of giving consent;

(d)processing is carried out in the course of its legitimate activities with appropriate safeguards by a foundation, association or any other not-for-profit body with a political, philosophical, religious or trade union aim and on condition that the processing relates solely to the members or to former members of the body or to persons who have regular contact with it in connection with its purposes and that the personal data are not disclosed outside that body without the consent of the data subjects;

(e)processing relates to personal data which are manifestly made public by the data subject;

(f)processing is necessary for the establishment, exercise or defence of legal claims or whenever courts are acting in their judicial capacity;

(g)processing is necessary for reasons of substantial public interest, on the basis of domestic law which shall be proportionate to the aim pursued and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject;

(h)processing is necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems and services on the basis of domestic law or pursuant to contract with a health professional and subject to the conditions and safeguards referred to in paragraph 3;

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(i)processing is necessary for reasons of public interest in the area of public health, such as protecting against serious cross-border threats to health or ensuring high standards of quality and safety of health care and of medicinal products or medical devices, on the basis of domestic law which provides for suitable and specific measures to safeguard the rights and freedoms of the data subject, in particular professional secrecy.

(j)processing is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes in accordance with Article 89(1) (as supplemented by section 19 of the 2018 Act) based on domestic law which shall be proportionate to the aim pursued and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject.

Caldicott Principles

The Caldicott Report set out a number of general principles that health and social care organisations should use when reviewing its use of client information and these are set out below:

Principle 1: Justify the purpose(s)

Every proposed use or transfer of confidential information should be clearly defined, scrutinised and documented, with continuing uses regularly reviewed by an appropriate guardian.

Principle 2: Confidential information should not be included unless it is necessary for the specified purpose(s) for which the information is used or accessed. The need to identify individuals should be considered at each stage of satisfying the purpose(s) and alternatives used where possible.

Principle 3: Use the minimum personally identifiable information.

Where use of confidential information is considered to be necessary, each item of information must be justified so that only the minimum amount of confidential information is included as necessary for a given function.

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

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

Principle 5: Everyone with access should be aware of their responsibilities.

Action should be taken to ensure that all those handling confidential information understand their responsibilities and obligations to respect the confidentiality of patient and service users.

Principle 6: Understand and comply with the law.

Every use of confidential information must be lawful. All those handling confidential information are responsible for ensuring that their use of and access to that information complies with legal requirements set out in statute and under the common law.

Principle 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 confidential information in the best interests of patients and service users within the framework set out by these principles. They should be supported by the policies of their employers, regulators and professional bodies.

Principle 8: Inform patients and service users about how their confidential information is use. A range of steps should be taken to ensure no surprises

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for patients and service users, so they can have clear expectations about how and why their confidential information is used, and what choices they have about this. These steps will vary depending on the use: as a minimum, this should include providing accessible, relevant and appropriate information - in some cases, greater engagement will be required.

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