Using the Data Security and Protection Toolkit for the first time

12 May 2022

DSPT
Better security.
Better care.

Ann Garvey and Mikaela Williams-Brown

Liverpool Social Care Partnership (LSCP)

Digital Social Care

Liverpool Social Care Partnership
Community Interest Company Registration Number 7217998

The technical issues

- This webinar is being recorded
- **This is for** care providers who have never published DSPT in the past
- Attendees are on mute and can't be seen
- Please use the Q&A function to ask questions.
- On a phone, tap the screen to see the controls – choose More and then Q&A
- Questions that we can't answer: we will come back to you. Add your email to Q&A
- This webinar will last no longer than one hour
- You will get access to the recording and the presentation (inc links)

Today – our agenda

- Welcome and introductions
- The Data Security and Protection Toolkit (DSPT)
- Registering
- Completing
- Publishing
- Support from the Better Security, Better Care Programme

- Please use Q&A (not Chat) for your questions

Poll

Care providers:

- Has your service registered on the DSPT?

- If registered, have you started to complete the DSPT?

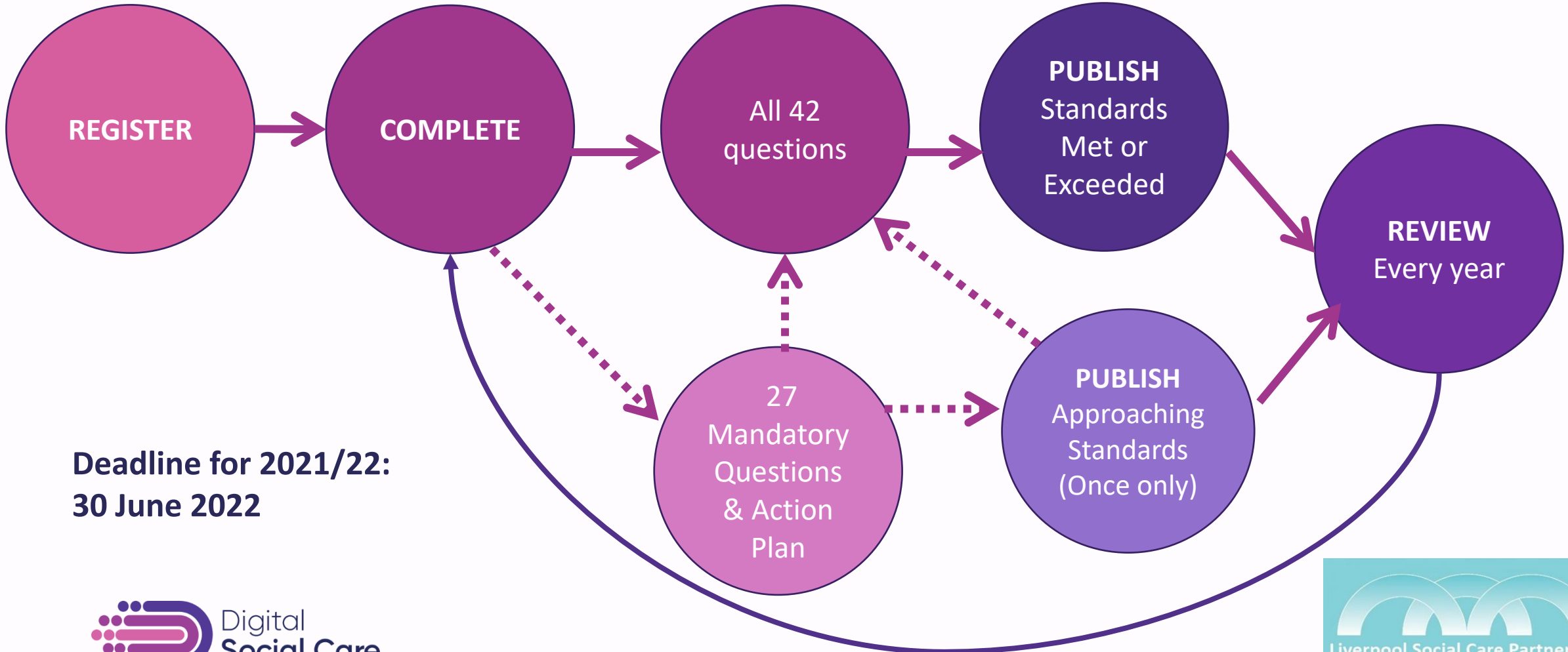- Are you a single or multi site organisation?

Your 'Toolkit Journey' – start now!

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REGISTER → COMPLETE → All 42 questions → PUBLISH Standards Met or Exceeded → REVIEW Every year

27 Mandatory Questions & Action Plan

PUBLISH Approaching Standards (Once only)

Deadline for 2021/22: 30 June 2022

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Your fellow travellers

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Better Security, Better Care - National support and resources >

Better Security, Better Care - Local support >

Template Policies and Resources for DSPT >

Check your DSPT status >

Use the DSPT for the First Time >

Published Before: Review and Republish your DSPT >

Free and official
Online guidance, step by step films
Webinars
FAQs
Template policies
Helpline
Tailored support from 28 Local Support Partners across England

digitalsocialcare.co.uk/bettersecurity
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CQC and DSPT

Better record keeping and accountability assist with CQC regulatory compliance.

In November 2021 CQC introduced KLOE's that included information governance/use of technology, they include;

- **Effective – E1.3** How is technology and equipment used to enhance the delivery of effective care & treatment and to support people's independence?

- **Responsive – R1.6** How is technology used to support people to receive care and support quickly? Is the technology easy to use?

- **Well Led – W4.6** Are information technology systems used effectively to monitor and improve quality of care?

- **Well Led – W5.2** Does the service share appropriate information and assessments with other relevant agencies for the benefit of people who use the service?

Registering on the DSPT for the first time

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How to register for the Toolkit

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1. Find your ODS codes

Exeter help-desk
0300 303 4034

2. Choose which ODS code/s to register with

3. Register

4. Click the link in the email

5. Set up your password

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Find your ODS codes – what codes are there?

- For **single sites**, for example:
  - a single care home
  - a home care agency with one CQC registered office

Register with your V code

Find your ODS codes – what codes are there?

- For **multi sites**, for example:
  - a group of care services that share the same policies and procedures

HQ: A001

Site V.... Site V.... Site V.... Site V.... Site V....
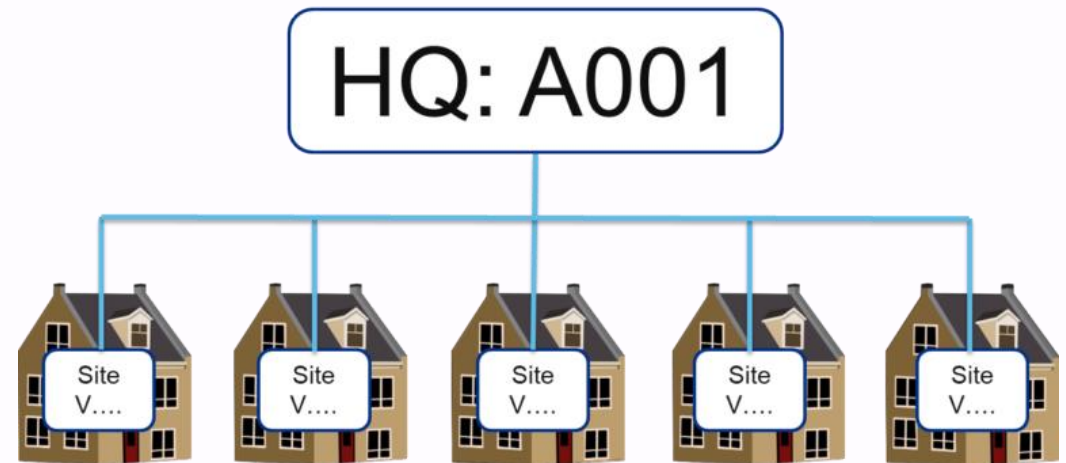
Register with your A code
Your registration will cover all sites

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12

Find your ODS codes – what codes are there?

- For more complex **multi sites**, for example:
  - Several branches
  - And/or
  - More than one type of service provided e.g. care homes and home care

Seek advice from the helpdesk
0300 303 4034 or exeter.helpdesk@nhs.net

Find your ODS codes

- Find your ODS code https://odsportal.digital.nhs.uk/Organisation/Search

- Or, search for 'ODS Portal' and choose Organisation/Practitioner search

- If you cannot find your code, or aren't sure which one/s to use, contact the DSPT Exeter helpdesk on 0300 303 4034, or email   exeter.helpdesk@nhs.net

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DSPT – so where do I start?

- The toolkit is here: www.dsptoolkit.nhs.uk

To find out if your organisation is already registered or has published the Toolkit

If not, register here

Register and complete your organisation profile

Choose Social Care

USEFUL LINKS
Guidance on Registering
Contact your Local Support Organisation

Setting up other users

Auditor
- View only

Member
- Add/edit evidence

Administrator
- Manage users
- Add/edit evidence
- Confirm evidence ("confirm assertions")
- Publish

Support on registering

Guidance and support

Follow the appropriate guidance for your service below. You can also watch this webinar recording on how to register. And get free support to register and complete your DSPT from the Better Security, Better Care programme.

Register: Multisite Social Care Organisations ›

Register: Single Site Organisations ›

Better Security, Better Care. ›

USEFUL LINKS

Guidance and webinar recordings on Digital Social Care website

Contact your Local Support Partner

Any questions?

Completing the DSPT questions

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Answers are NOT public

- This is a self-assessment
- Your answers are NOT published – just the DSPT status that you achieve based on your self-assessment
- Not a tick box exercise – use it to work through what you need to do
- Use the answers and comments sections to record valuable information. Helps with future DSPT publications

The social care view

The social care view

Important
If you only respond to the MANDATORY requirements, you will be asked to provide an action plan which identifies the steps your organisation will take to meet the full standard

Staffing and roles

1.1.5	Who has responsibility for data security and protection and how has this responsibility been formally assigned?	Mandatory
2.1.1	Does your organisation have an induction process that covers data security and protection, and cyber security?	Mandatory
2.1.2	Do all employment contracts, and volunteer agreements, contain data security requirements?	Mandatory
3.1.1	Has a training needs analysis covering data security and protection, and cyber security, been completed since 1st July 2021?	
3.2.1	Have at least 95% of staff, directors, trustees and volunteers in your organisation completed training on data security and protection, and cyber security, since 1st July 2021?	
3.4.1	Have the people with responsibility for data security and protection received training suitable for their role?	
4.1.1	Does your organisation have an up to date record of staff, and volunteers if you have them, and their roles?	Mandatory

Policies and procedures

Click on an evidence item (in blue) to answer the question and see the detailed guidance

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Questions are grouped under 4 headings

Question group	Number of questions to achieve status of Standards Met
Staffing and roles	7
Policies and procedures	11
Data security	8
IT systems and devices	16

1. Staffing and roles - What the questions cover

- Who has responsibility for this area of work?
- Staff records and contracts
- Data protection and cyber security induction and training for all staff

Staff records

What the question asks 4.1.1

- 4.1.1 Does your organisation have an up to date record of staff, and volunteers if you have them, and their roles?

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action plan which identifies the steps your organisation will take to meet the full standard

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4.1.1	Does your organisation have an up to date record of staff, and volunteers if you have them, and their roles?	Mandatory

Question 4.1.1

Policies and procedures

1.1.1	What is your organisation's Information Commissioner's Office (ICO) registration number?	Mandatory
1.1.2	Does your organisation have an up to date list of the ways in which it holds and shares different types of personal and sensitive information?	Mandatory
1.2.1	Does your organisation have a privacy notice?	Mandatory

action plan which identifies the steps your organisation will take to meet the full standard

Staffing and roles

1.1.5	Who has responsibility for data security and protection and how has this responsibility been formally assigned?	Mandatory
2.1.1		
2.1.2		
3.1.1		
3.2.1		
3.4.1		
4.1.1		

Evidence item 4.1.1

☐ **Does your organisation have an up to date record of staff, and volunteers if you have them, and their roles?**

Your organisation must have a list of all staff, and volunteers if you have them, and their current role. This list should be kept up to date, including any change of role, new starters and removal of leavers. This might be linked to your existing payroll or rostering system.

Comments (optional) | Evidence item 4.1.1 |

Save   or Cancel

Poli...

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1.2.1	Does your organisation have a privacy notice?	Mandatory

4.1.1

Does your organisation have an up to date record of staff, and volunteers if you have them, and their roles?

Yes

Comments:

Staff and volunteer registered are contained in HR files, both hard copies and electronic versions which are saved on both the Google Drive and portable D drive in the Operations Director's office. The hard copies are kept in a locked drawer

Example question 1.1.5

Question

Tooltip gives best practice advice: it's what you need to do

Tooltip may include links (in blue) to further help

Write your answer here

Comments very useful for colleagues and future

Evidence item 1.1.5

Who has responsibility for data security and protection and how has this responsibility been formally assigned?

Whilst data security and protection is everybody's business, someone within your organisation must take overall senior responsibility for it. There must be at least one named person who leads on data security and protection. Their responsibility is to provide leadership and guidance from a senior level.

In the text box, write the name(s) of the person or people within your organisation with overall responsibility for data security and protection. Then, for each person, describe how this responsibility has been formally assigned to them. For instance, this responsibility could form part of their job description, or be noted in the minutes of a management meeting, or be in an email from the appropriate director in your organisation. Your organisation may also have additional specialised roles, for example a Data Protection Officer (DPO).

Read more about data security and protection responsibilities and specialised roles.

Comments (optional)

Save or Cancel

different types of personal and sensitive information?

Further information from Digital Social Care

- Data Security and Protection Responsibilities

- Staff Guidance

- Guidance on finding training for staff

2. Policies and procedures
What the questions cover

- Information Commissioner's Office registration

- Policies:
  - Up to date data protection policies
  - Audits and spot checks

- Holding and sharing information

- Retaining records

- Disposing of records and equipment

- List of suppliers

ICO registration

What the question asks – 1.1.1

- 1.1.1 What is your organisation's Information Commissioner's Office (ICO) registration number?

Response to the Question 1.1.1

1.1.1

What is your organisation's Information Commissioner's Office (ICO) registration number?

We have an ICO certificate on our wall with our ICO registration number: ZA046070.

Comments:

The Organisation was registered on the 18th of March 2014. This certificate is displayed in the main office.

Further support: template policies

Approaching Standards: required policies

- How to document your data processing, including template information asset register (IAR) and Record of Processing Activities (ROPA)
- Privacy Notice Template
- Data Protection Policy
- Data Quality Policy – Template
- Record Keeping Policy – Template (Also known as a Data or Document Retention Policy)
- Data Security Policy – Template
- Network Security Policy – Template
- Smart Phone Policy Template – BYOD
- Contracts: what contracts you must have in place

Standards Met: Additional required policies

- Training Needs Analysis
- Data Security Audit Checklist
- Creating and Testing a Business Continuity Plan for Data and Cyber Security

Recommended documentation

- Data Security Breach Incident Reporting Form – Template
- Mobile Devices Assignment Form – Template
- Smart Phone Policy Template – Organisation Provided Phones
- Template Suppliers List

Find template policies to download and reuse on Digital Social Care website

3. Data security - What the questions cover

- Data breaches:
  - What is a data breach? What is a 'near miss'?
  - What your plans should cover

- Physical security and paper records 'on the move'

- Business continuity:
  - 'Data emergencies' – what your plans should cover
  - How to make sure your plans will work

4. IT systems and devices - What the questions cover

- People and their access to information
- Passwords
- Backups
- Protecting your devices
- Technical set up and support
- What documentation should your suppliers have?

Example Question 4.1.2

IT Systems and devices

1.3.11	If staff, directors, trustees and volunteers use their own devices (e.g. phones) for work purposes, does your organisation have a bring your own device policy and is there evidence of how this policy is enforced?	Mandatory
1.3.14	What does your organisation have in place to minimise the risks if mobile phones are lost, stolen, hacked or used inappropriately?	
4.1.2	Does your organisation know who has access to personal and confidential data through its IT system(s)?	Mandatory
4.2.4	Does your organisation have a reliable way of removing or amending people's access to IT systems when they leave or change roles?	Mandatory
4.5.4	How does your organisation make sure that staff, directors, trustees and volunteers use good password practice?	Mandatory
6.2.1	Do all the computers and other devices used across your organisation have antivirus/antimalware software which is kept up to date?	Mandatory
6.3.2	Have staff, directors, trustees and volunteers been advised that use of public Wi-Fi for work purposes is unsafe?	
7.3.1	How does your organisation make sure that there are working backups of all important data and information?	Mandatory
7.3.2	All emergency contacts are kept securely, in hardcopy and are up-to-date.	Mandatory
7.3.4	Are backups routinely tested to make sure that data and information can be restored?	
8.1.4	Are all the IT systems and the software used in your organisation still supported by the manufacturer or the risks are understood and managed?	
8.2.1	If your answer to 8.1.4 (on IT systems and software being supported by the manufacturer) was that software risks are being managed, please provide a document that summarises the risk of continuing to use each unsupported item, the reasons for	

Question 4.1.2

Further guidance: Digital Social Care

Staff and workforce

- Data Security and Protection Responsibilities
- Staff Guidance
- Guidance on finding training for staff

IT and software suppliers

- Guidance on managing software suppliers who process personal data

Document retention and disposal

- Guidance on document retention
- Advice on contracts with third parties for secure disposal of personal data

Improving security

- Guidance on strong passwords
- Guidance on antivirus software
- Guidance on back ups
- Guidance on software updates

Mobile devices

- Protecting Mobile Phones and Tablets

National Data Opt-Out

- Guidance on the National Data Opt-Out

Actions

- Contact your Better Security, Better Care Local Support Partner
- Visit Digital Social Care website – view guidance, register for free updates

Confirm and Publish your DSPT Assessment

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Confirm Answers

1.2	Individuals' rights are respected and supported		
1.2.1	Does your organisation have a privacy notice?	Mandatory	**COMPLETED**
1.2.4	Is your organisation compliant with the national data opt-out policy?	Mandatory	**COMPLETED**

☑ I confirm that the evidence entered for this assertion is correct
25/04/2022 12:22 by Mikaela Williams-Brown

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Publish at Standards Met
42 Mandatory questions answered

- When you have reviewed/updated and answered all 42 questions, and ticked to confirm your answers, click on publish assessment

- **Remember:** your DSPT status will be published. NOT your full report

Publish at Approaching Standards – 27 Mandatory questions answered

There is a problem!

Headquarters Assessment Publish for all sites

- Do they have the same policies & procedures?

- If yes, publish one DSPT for all

Further support on publishing

- Guidance on Publishing for the first time

- Contact your Local Support Partner

What next?

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Next steps

1. Register on the DSPT

2. Contact your Local Support Partner

3. Large providers – Contact Digital Social Care help@digitalsocialcare.co.uk

4. Check out the guidance on Digital Social Care

5. Start to answer questions on DSPT now – return to it later

www.digitalsocialcare.co.uk/bettersecuritybettercare

Twitter @DigiSocialCare

Useful tips

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Tip: Export your assessment to Excel

Assessment

[Data Security and Protection Standards for health and care (opens in a new tab)](#) sets out the National Data Guardian's (NDG) data security standards. Completing this Toolkit self-assessment, by providing evidence and judging whether you meet the assertions, will demonstrate that your organisation is working towards or meeting the NDG standards.

NDG Standards

1 Personal confidential data
2 Staff responsibilities
3 Training
4 Managing data access
5 Process reviews
6 Responding to incidents
7 Continuity planning
8 Unsupported systems
9 IT protection
10 Accountable suppliers

Progress

Go to progress dashboard and reports

12 of 42 mandatory evidence items provided

0 of 36 assertions confirmed

Publish Assessment   View previous publications

Assessment progress

View your organisation's progress towards meeting the National Data Guardian's 10 Data Security Standards or download a copy of your assessment.

← Back to assessment

Export assessment

You can download your assessment as a spreadsheet (.xlsx) which can then be opened in Excel. This will not include any files that have been uploaded as evidence.

Download Assessment

Go to dashboard and reports

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Tip: Save as PDF

Assessment
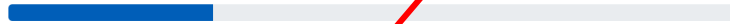
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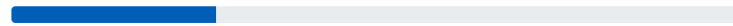
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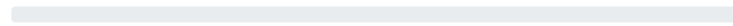8 Unsupported systems
9 IT protection
10 Accountable suppliers

Progress

Go to progress dashboard and reports

12 of 42 mandatory evidence items provided

0 of 36 assertions confirmed

Publish Assessment

View previous publications

Go to View previous publications

Select the DSPT Assessment you want

Previous Publications

Status	Date Published	
18/19 Standards Met	14/05/2019	View Details
18/19 Entry Level	02/05/2019	View Details

Ctrl P to Print and select Save as PDF

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My account Logout

Data Security and Protection Toolkit

This is a test site and is not intended for live use.

Care Provider Alliance
Organisation search News Help

Assessment
Report an incident
Admin

18/19 Standards Met Assessment - 14/05/2019 15:32

Destination	Save as PDF
Pages	All
Layout	Portrait

More settings

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Tip: Share your DSPT status

- Multi sites: tell your branches

- Tell your Registered Managers

- Add your DSPT Status to your website (eg your Privacy Statement). Consider adding a link directly to the DSPT status

- Include in all your bids

- Tell your commissioners

- Tell your NHS partners

- Tell your IT suppliers

Tip: Making it real

- Keep your DSPT up to date throughout the year – easier to republish

- Ensure managers and staff understand what is expected of them

- Enable managers to access the information – consider having a print out of the documents and related policies and procedures in a manual. Useful for CQC

Any final questions?

Poll

- What impact has this webinar had on your confidence to complete the DSPT?
- How likely is it that you will complete and publish by 30 June 2022?
- How likely is it that you will contact your Local Support Partner for help?
- Would you recommend this webinar to a colleague?

Feedback

"I am glad I did attend the training. The information is both relevant and beneficial to not only me but the people we support, the staff members and our management team."

Thank you for your support, we have just completed the toolkit. I really do appreciate your support and time.