

A Question of Balance

Independent Assurance of Information Governance Returns

Staff Survey



Contents

Introduction	3
Why use a survey?	3
Web or paper based	3
Organisational sponsorship	3
Further guidance	3
Survey email	4
Survey questions	5
1.0 About you	5
2.0 Processes	5
3.0 Training and guidance	7
4.0 Systems	8
5.0 Policies and procedures	9

Introduction

Why use a survey?

- 1 The survey seeks to capture individual knowledge, opinions and behaviours about handling of confidential and sensitive information. It is a tool for challenging corporate perceptions and informing improvement planning. Given the subjective nature of the survey, the outcome should not be taken as a definitive statement of workplace practice and compliance. The survey questions are set out below.

Web or paper based

- 2 The survey is web-based. Unless you have enough people to undertake the analysis from a paper based survey, we strongly recommend opting for a web-based solution. Not only is this easier to manage for larger sample sizes, it automates the analysis and increases audit efficiency by saving time and cost. It is also significantly more environmentally sound by reducing paper used.

Organisational sponsorship

- 3 It is important the organisation owns the survey and in particular that senior management sponsor its distribution to encourage a good response rate. Suggested text for a covering email is provided at Appendix 4 of the detailed guidance for auditors and reproduced below for ease of reference.

Further guidance

- 4 Full details on how to run the survey is in the detailed guidance for internal auditors.

Survey email

The following text is recommended as the basis of a covering email from the organisation's Chief Executive or Board Level Director leading on Information Governance:

Dear Colleague,

As part of ensuring <<Organisation Name>>'s commitment to information governance and improved compliance with the NHS Information Governance Toolkit, we are undertaking an internal audit review of information governance.

One part of this review comprises completion of a survey by staff; this will help us to assess the effectiveness of our arrangements.

Your response is anonymous, but we do ask you to give details of your job area as this helps us to put the results into context.

Please answer the questions honestly and from an individual perspective and avoid the temptation to give what you think is the 'right' answer. Read the questions carefully as some require more than one response. The survey will remain open for two weeks until <<insert date>> and should take no more than 15 minutes to complete.

Data from the survey will be available only to the organisation's internal auditors and kept in line with their retention policies.

Thank you for your help

<<Chief Exec>>

Survey questions

1.0 About you

1.1 What is your job area or specialty?

- Clinical - nursing/midwifery
- Clinical - doctor
- Clinical - therapists
- Scientific (E.g. Pathology, Radiology and Pharmacy)
- Estates
- Management
- Administrative

2.0 Processes

2.1 I understand my responsibilities and have completed a signed registration for access to the NHS Care Records Service before accessing care records.

- Yes
- No
- I do not have access to care records

2.2 Do you deal with supplier contracts as part of your job?

- Yes (please continue to question 2.3)
- No (please skip to question 2.4)

2.3 Please tick all the following statements that apply to you as an individual:

- I have been trained on the impact of information governance requirements on contracts.
- I know where to get further advice about information governance requirements in contracts if I need it.
- All the contracts I manage have been amended to include information governance requirements.
- Information governance requirements do not apply to some or all of the contracts I manage.
- I receive written assurance from my suppliers that they meet the information governance terms and conditions.

2.4 I have enough knowledge to carry out my job in line with organisational policies on information governance

- Strongly agree
- Agree
- Neither agree nor disagree
- Disagree
- Strongly disagree

2.5 Do you routinely use paper health records as part of your job?

- Yes (please continue to question 2.6)
- No (please skip to question 2.7)

2.6 Please tick all the following statements that apply to you as an individual:

- I am regularly unable to find the paper records I need at the time I need them.
- Missing paper records are usually located quickly.
- Little or no duplication exists in the collection and recording of paper based data and information.
- I am aware of and follow documented procedures for the creation, filing, tracking and tracing of paper records.
- Paper records sometimes do not contain the information that I need.

2.7 Please tick all the following statements that apply to you as an individual:

- I know who uses the data/ information I produce and I act on feedback received.
- Little or no duplication exists in the collection and recording of data and information.
- Duplicate data, where it exists, is routinely checked for consistency across systems.
- I am required to log all error queries and respond or correct errors within a specified time.
- I am clear on what information I can collect and record.

2.8 I have confidence in the data and information I use.

- Strongly agree
- Agree
- Neither agree nor disagree
- Disagree
- Strongly disagree

2.9 Are paper based patient records you use in a standard format?

- Yes
- Mostly
- No, there is significant variation
- I don't use patient records in my job

2.10 Please tick all the following statements that apply to you as an individual:

- I am sometimes asked to validate information produced from the recording of clinical activity.
- I am not always clear on the relevance or importance of the information I am asked to record.
- I have effective discussions with non-clinical staff about improving the quality of clinical information.
- Non-clinical pressures influence the way we record clinical information.
- Some medical records do not contain the information I need.

3.0 Training and guidance

3.1 Have you received information governance training in the last 12 months?

- Yes (please continue to questions 3.2 - 3.3)
- No (please skip to question 3.4)

3.2 The training was relevant to your particular job and role?

- Strongly agree
- Agree
- Neither agree nor disagree
- Disagree
- Strongly disagree

3.3 How was the training delivered?

- Online (web based) learning
- Attendance at one or more courses or workshops
- As part of another event (e.g. team meeting or conference)
- On-the-job training

3.4 Has what you were told about information security when you first joined the organisation been relevant and useful in your job?

- Yes
- Somewhat
- No
- I received no guidance on this when I joined

3.5 When using corporate electronic records (e.g. HR, Finance or Estates), please tick all the following statements that apply to you as an individual:

- I am clear about the guidance on handling corporate records.
- I have received training on records management within the last two years.
- If I am not sure, I know where to find more guidance on records management.

4.0 Systems

4.1 Please tick all the responses that apply to you as an individual:

- I regularly access clinical systems as part of my job.
- I regularly access corporate systems as part of my job.
- I do not require regular access to NHS systems as part of my job.

4.2 Please tick all the responses that apply to you as an individual:

- I am clear about the rules on access to NHS IT systems.
- I have had one or more replacement smartcards because of loss.
- Sometimes I have allowed other staff access to systems using my smartcard or password.
- I have sometimes accessed systems using another person's smartcard or password.
- I have access to more systems and information than I need to do my job.
- I have been given additional access for temporary duties, I no longer undertake these duties but I have kept the additional access.

4.3 Please tick all the responses that apply to you as an individual:

- I do not use mobile computing facilities at work (memory stick or laptop).
- I use a laptop that has active encryption software installed.
- All the memory sticks I use for work are encrypted.
- I am familiar with the organisation's policy on mobile and remote working.
- I am not sure whether the mobile computer facilities I use at work are encrypted.

4.4 Please tick all the responses that apply to you as an individual:

- I sometimes send person-identifiable or sensitive information outside my organisation by email.
- I sometimes work on person-identifiable or sensitive information on equipment not provided by my organisation.
- I understand and make use of available encryption facilities for securing email.
- If I work at home, I am able to provide the same level of protection for person-identifiable and sensitive information as I can in the work place.

5.0 Policies and procedures

5.1 I am clear about what patient information I can and cannot share with other organisations?

- Strongly agree
- Agree
- Neither agree nor disagree
- Disagree
- Strongly disagree

5.2 I sometimes find duplicate or 'mixed-up' patient records as part of my job?

- Strongly agree
- Agree
- Neither agree nor disagree
- Disagree
- Strongly disagree
- I don't use patient records in my job

5.3 I know what to do if I find a duplicate or 'mixed-up' patient record?

- Strongly agree
- Agree
- Neither agree nor disagree
- Disagree
- Strongly disagree
- I don't use patient records in my job

5.4 If information security has been compromised (for example if information is missing or has been accessed inappropriately), I know who to inform and what to do.

- Strongly agree
- Agree
- Neither agree nor disagree
- Disagree
- Strongly disagree

5.5 When sharing information with other organisations (both NHS and non-NHS), I am clear on the security practices required to protect the information that I send.

- Strongly agree
- Agree
- Neither agree nor disagree
- Disagree
- Strongly disagree

5.6 I know the procedures on how to respond to patient requests about access to, or use of, their health records.

- Strongly agree
- Agree
- Neither agree nor disagree
- Disagree
- Strongly disagree

5.7 About the Freedom of Information Act, please tick all the responses that apply to you as an individual:

- I know what to do if I receive a Freedom of Information (Fol) request.
- I have received training on the Freedom of Information Act in the last 12 months.
- I provide alternative contact details for Fol requests on my out of office messages.
- I could tell someone where to find the organisation's Fol Publication Scheme.

5.8 If I was asked by the police for information about a patient:

- I would provide the information without question.
- I would provide the information on production of appropriate authorisation and paperwork that complies with the organisational policy on disclosure.
- I would refer to someone else in my organisation.
- I would be unsure of what to do or who to ask.