Who				What			Where				When		How				Risk Assesment					Risk Treatment/Mitigation	Purpose and Legal Basis of Data Flow		
Ref no.	Who sends the information (This is a free text box)	Direction of flow (This is a drop-down menu)	Recipient (This is a drop down menu)	Data item (This is a free text box)	Content Type (This is a drop-down menu)	Media (This is a drop-down menu)	Where is the data stored before it is sent or after it has been received? (This is a drop-down menu)	How is the data store secured? (This is a drop-down menu)	How is access evidenced? (This is a drop-down menu)	Comments (This is a free text box)	Number of records per transfer (This is a drop-down menu)	Frequency of the transfer per week (This is a drop-down menu)	Method used for transfer (This is a drop-down menu)	How is the information protected? (This is a drop-down menu)	Comment	Is information processed outside the UK?	Considering your previous answers; have you identified a risk with the data flow?	If you have identified a risk, please write a brief description and complete risk assessment ----->	What would be the IMPACT of the risk occuring	What is the LIKELIHOOD of this risk occuring?	Risk Score	(For Risks that are scored anything other than Green, state and justify how you and your IAO wish to either Accept or Mitigate the risk)	Purpose	Current Legal Basis	Legal Basis under GDPR
		Out-flow																							
	General Practice	Out-flow	Care home	patient health & care information (e.g. medication details)	Sensitive personal data	Electronic	Clinical system	Smartcard and password protected	System Audit		Less than 6	6 to 20	Email from NHSmail to non-NHSmail (e.g NHS Trust)	Encrypted		Within UK only	No				0		Direct Patient Care	Direct Patient Care	Provision of health or social care
	General Practice	Out-flow	Care home	patient health & care information (e.g. medication details)	Sensitive personal data	Paper	Filing cabinet	Key	Key allocation		Less than 6	6 to 20	Manual - staff	Not applicable - must add comment		Within UK only	Yes	Records could get misplaced in transit	3	3	9	Mitigate - staff trained, secure information handling protocol	Direct Patient Care	Direct Patient Care	Provision of health or social care
	General Practice	Out-flow	CCG	Safeguarding communication	Sensitive personal data	Electronic	Clinical system	Smartcard and password protected	System Audit		Less than 6	Less than 6	Email from NHSmail to NHSmail	NHSmail		Within UK only	No				0		Safeguarding	Other - please specify	Required by law
	General Practice	Out-flow	CCG	Individual Funding Request	Sensitive personal data	Electronic	Computer/network System Shared Drive	Password protected network drive/system	System Audit		Less than 6	6 to 20	Email from NHSmail to NHSmail	NHSmail		Within UK only	No						IFR validation	Section 251	Management of health or social care system
	General Practice	Out-flow	CCG	Invoice validation	Sensitive personal data	Electronic	Computer/network System Shared Drive	Password protected network drive/system	System Audit		Less than 6	6 to 20	Email from NHSmail to NHSmail	NHSmail		Within UK only	No						Invoice validation	Section 251	Management of health or social care system
	General Practice	Out-flow	CCG	Patient information for risk stratification	Sensitive personal data	Electronic	Clinical system	Smartcard and password protected	System Audit		1001 plus	Less than 6	Automated system to system transfer	Encrypted		Within UK only	Yes	patient may be identifiable if low numbers	2	2	4	Accept - Data anoymised, low number suppression applied	Risk Stratification	Section 251	Management of health or social care system
	General Practice	Out-flow	Child & Addolescent Mental Health Service (CAMHS)	Case Notes	Sensitive personal data	Electronic	Clinical system	Smartcard and password protected	System Audit		Less than 6	Less than 6	Email from NHSmail to NHSmail	NHSmail		Within UK only	No				0		Direct Patient Care	Direct Patient Care	Provision of health or social care
	General Practice	Out-flow	Community Professionals (e.g social workers, district nurses)	Case Notes	Sensitive personal data	Electronic	Clinical system	Smartcard and password protected	System Audit		Less than 6	21 to 100	Email from NHSmail to non-NHSmail (e.g NHS Trust)	Encrypted		Within UK only	No				0		Direct Patient Care	Direct Patient Care	Provision of health or social care
	General Practice	Out-flow	Coroner	Full medical record	Sensitive personal data	Electronic	Clinical system	Smartcard and password protected	System Audit		Less than 6	Less than 6	Post special or registered Royal Mail	Special delivery		Within UK only	No				0		Death investigation	Public Interest	Required by law
	General Practice	Out-flow	Coroner	Full medical record	Sensitive personal data	Paper	Filing cabinet	Key	Key allocation		Less than 6	Less than 6	Manual - staff	Sealed package		Within UK only	No				0		Death investigation	Public Interest	Required by law
	General Practice	Out-flow	CQC	psuedonymised patient information for CQC visit	Sensitive personal data	Electronic	Clinical system	Smartcard and password protected	System Audit		6 to 20	Less than 6	Email from NHSmail to non-NHSmail (e.g NHS Trust)	Encrypted		Within UK only	Yes	Onward use unknown	4	3	12	Accept	Regulatory activity	Other - please specify	Task in the public interest or exercise of official authority
	General Practice	Out-flow	CQC	psuedonymised patient information for CQC visit	Sensitive personal data	Paper	Clinical system	Smartcard and password protected	System Audit		6 to 20	Less than 6	Manual - staff	Sealed package		Within UK only	Yes	Onward use unknown	4	3	12	Accept	Regulatory activity	Other - please specify	Task in the public interest or exercise of official authority
	General Practice	Out-flow	DBS check process	DBS form	Personal data	Paper	Filing cabinet	Key	Key allocation		Less than 6	Less than 6	Post ordinary Royal Mail	Sealed package		Within UK only	No				0		Regulatory activity	Public Interest	Task in the public interest or exercise of official authority
	General Practice	Out-flow	Digital dication service (e.g. Lexacom)	Patient information	Sensitive personal data	Electronic	Clinical system	Smartcard and password protected	System Audit		Less than 6	Less than 6	Email from NHSmail to non-NHSmail (e.g NHS Trust)	Encrypted		Within UK only	No				0		Direct Patient Care	Direct Patient Care	Provision of health or social care
	General Practice	Out-flow	Digital messaging service (e.g. Mjog, i-Plato)	Patient mobile number	Personal data	Electronic	Clinical system	Smartcard and password protected	System Audit		101 to 1000	Less than 6	Automated system to system transfer	Encrypted		Within UK only	No				0		Patient communication	Consent	Provision of health or social care
	General Practice	Out-flow	DWP	Patient information	Sensitive personal data	Electronic	Clinical system	Smartcard and password protected	System Audit		Less than 6	Less than 6	Post special or registered Royal Mail	Special delivery		Within UK only	No				0		Regulatory activity	Public Interest	Task in the public interest or exercise of official authority
	General Practice	Out-flow	External mailing provider (e.g Docmail)	patient details	Sensitive personal data	Electronic	Clinical system	Smartcard and password protected	System Audit		101 to 1000	Less than 6	Secure File Transfer Protocol (for Bulk transfer)	NHS Secure file transfer protocol		Within UK only	No				0		Records management	Direct Patient Care	Management of health or social care system
	General Practice	Out-flow	General Practice	Electronic patient record	Sensitive personal data	Electronic	Clinical system	Smartcard and password protected	System Audit		Less than 6	Less than 6	Automated system to system transfer	NHS Secure file transfer protocol	GP2GP	Within UK only	No				0		GP2GP	Direct Patient Care	Management of health or social care system
	General Practice	Out-flow	Insurance company	medical report	Sensitive personal data	Electronic	Clinical system	Smartcard and password protected	System Audit		Less than 6	6 to 20	Email from NHSmail to non-NHSmail (e.g NHS Trust)	Encrypted		Within UK only	No				0		Medical report request	Consent	Consent
	General Practice	Out-flow	Medical Defence (e.g MDU)	GPs personal data	Sensitive personal data	Electronic	Computer/network System Shared Drive	Password protected network drive/system	System Audit		Less than 6	Less than 6	Email from NHSmail to non-NHSmail (e.g NHS Trust)	Encrypted		Within UK only	No				0		Regulatory activity	Public Interest	Task in the public interest or exercise of official authority
	General Practice	Out-flow	Multi Disiplinary Team across health and social services	patient data to support non clinical needs	Sensitive personal data	Electronic	Clinical system	Smartcard and password protected	System Audit		Less than 6	6 to 20	Email from NHSmail to NHSmail	NHSmail		Within UK only	Yes	Patient may be known to meeting attendee	4	3	12	Accept - meeting attendees are subject to their organsations' code of confidentiality	Patient care	Consent	Consent
	General Practice	Out-flow	Multi Disiplinary Team across health and social services	patient data to support non clinical needs	Sensitive personal data	Paper	Clinical system	Smartcard and password protected	System Audit		Less than 6	6 to 20	Skype	Encrypted		Within UK only	Yes	Patient may be known to meeting attendee	4	3	12	Accept - meeting attendees are subject to their organsations' code of confidentiality	safeguarding	Consent	Consent
	General Practice	Out-flow	NHS Digital	patient data for clinical audit	Sensitive personal data	Electronic	Clinical system	Smartcard and password protected	System Audit		1001 plus	21 to 100	Automated system to system transfer	NHS Secure file transfer protocol	Practice is required to allow extraction	Within UK only	Yes	unknown what happens with extracted data	5	3	15	Accept	safeguarding	Consent	Management of health or social care system
	General Practice	Out-flow	Offsite records storage	Patient Records	Sensitive personal data	Paper	Filing cabinet	Key	Key allocation		1001 plus	Less than 6	Manual - staff	Locked storage container		Within UK only	Yes	Records may get misplaced in transit/storage	3	3	9	Mitigate - risk assess	Records management	Other - please specify	Management of health or social care system
	General Practice	Out-flow	Out of hours services	Patient record	Sensitive personal data	Electronic	Clinical system	Smartcard and password protected	System Audit		21 to 100	21 to 100	Secure shared access (e.g Connected Care)	Encrypted		Within UK only	Yes	out of hours staff may access record without justification/consent	3	3	9	Mitigate - privacy alert follow up	Direct Patient Care	Direct Patient Care	Medical diagnosis and treatment
	General Practice	Out-flow	Patient	Health communication e.g. appointment confirmation, flu reminder	Sensitive personal data	Other	Clinical system	Smartcard and password protected	System Audit		101 to 1000	Less than 6	Text message	Encrypted		Within UK only	Yes	Patient has not provided updated mobile number	3	3	9	Mitigate - text protocol	Patient communication	Consent	Provision of health or social care
	General Practice	Out-flow	Patients	Non patient specific communication e.g. Newsletter, flu reminder	Sensitive personal data	Electronic	Clinical system	Password protected files	System Audit		1001 plus	Less than 6	Email from NHSmail to non-NHSmail (e.g NHS Trust)	None	Patient consent to email non confidential info - must be sent bcc	Within UK only	Yes	communication not sent bcc - patients identified by email address*	3	3	9	* Could be major depending on sensitivity of data or profile of patient. Accept- staff trained, email protocol in place	Patient communication	Consent	Provision of health or social care
	General Practice	Out-flow	Payroll provider	Staff financial details	Sensitive personal data	Electronic	Computer/network System Shared Drive	Password protected network drive/system	System Audit		21 to 100	Less than 6	Email from NHSmail to non-NHSmail (e.g NHS Trust)	Encrypted		Within UK only	No				0		Payroll activity	Consent	Management of health or social care system
	General Practice	Out-flow	PCSE	patient records	Sensitive personal data	Paper	Filing cabinet	Key	Key allocation		101 to 1000	Less than 6	Manual - secure courier	Sealed package		Within UK only	Yes	records get lost during transit	4	4	16	Accept - national issue, added to risk register	Records management	Direct Patient Care	Management of health or social care system
	General Practice	Out-flow	Pension provider	Staff financial details	Sensitive personal data	Paper	Computer/network System Shared Drive	Password protected network drive/system	System Audit		Less than 6	Less than 6	Email from NHSmail to non-NHSmail (e.g NHS Trust)	Encrypted		Within UK only	No				0		Payroll activity	Consent	Management of health or social care system
	General Practice	Out-flow	Prescription Pricing Agency	Patient information	Sensitive personal data	Electronic	System integrated	Smartcard and password protected	System Audit		21 to 100	Less than 6	Post special or registered Royal Mail	Special delivery		Within UK only	No				0		Prescription management	Other - please specify	Management of health or social care system
	General Practice	Out-flow	RCGP	Response to professional conduct review	Sensitive personal data	Electronic	Computer hard drive	Password protected files	System Audit		Less than 6	Less than 6	Email from NHSmail to NHSmail	Encrypted		Within UK only	No				0		GP regulator	Public Interest	Task in the public interest or exercise of official authority
	General Practice	Out-flow	SCW	Patient information for risk stratification	Sensitive personal data	Electronic	Clinical system	Smartcard and password protected	System Audit		1001 plus	Less than 6	Automated system to system transfer	Encrypted		Within UK only	Yes	patient may be identifiable if low numbers	2	2	4	Accept - Low number suppression applied	Risk Stratification	Section 251	Management of health or social care system

	General Practice	Out-flow	SCW	Child health data	Sensitive personal data	Electronic	Clinical system	Smartcard and password protected	System Audit		6 to 20	Less than 6	Email from NHSmail to non-NHSmail (e.g NHS Trust)	NHS Secure file transfer protocol		Within UK only	No				0		Direct Patient Care	Direct patient care	Provision of health or social care
	General Practice	Out-flow	Secondary care	Referral	Sensitive personal data	Electronic	Clinical system	Smartcard and password protected	System Audit		101 to 1000	101 to 1000	Automated system to system transfer	Encrypted		Within UK only	No				0		Direct Patient Care	Direct Patient Care	Medical diagnosis and treatment
	General Practice	Out-flow	Secondary care	Referral	Sensitive personal data	Paper	Clinical system	Smartcard and password protected	System Audit		Less than 6	21 to 100	Email from NHSmail to NHSmail	Encrypted		Within UK only	No				0		Direct Patient Care	Direct Patient Care	Medical diagnosis and treatment
	General Practice	Out-flow	Secondary care	Referral	Sensitive personal data	Electronic	System integrated	Smartcard and password protected	System Audit		Less than 6	6 to 20	Fax transmission - safe haven fax to safe haven fax	None		Within UK only	Yes	Fax may be sent to wrong number	4	3	12	Mitigate - safe fax procedure, staff trained	Direct Patient Care	Direct Patient Care	Medical diagnosis and treatment
	General Practice	Out-flow	Shredding provider	Patient information	Sensitive personal data	Paper	Filing cabinet	Key	Key allocation		1001 plus	Less than 6	Manual - staff	Locked storage container		Within UK only	No				0		Records management	Management of health or social care system	Management of health or social care system
	General Practice	Out-flow	Solicitors and other third parties (e.g. police)	Patient information	Sensitive personal data	Electronic	Clinical system	Smartcard and password protected	System Audit		Less than 6	6 to 20	Email from NHSmail to non-NHSmail (e.g NHS Trust)	Encrypted		Within UK only	No				0		Subject Access Request	Direct Patient Care	Management of health or social care system
		In-flow																						
	Care home	In-flow	General Practice	Death Notification	Sensitive personal data	Other	Clinical system	Smartcard and password protected	System Audit		Less than 6	Less than 6	Email from non-NHSmail to NHSmail	Encrypted		Within UK only					0		Records management	Direct Patient Care	Management of health or social care system
	CCG	In-flow	General Practice	Individual Funding Request response	Sensitive personal data	Electronic	Computer/network System Shared Drive	Password protected network drive/system	System Audit		Less than 6	6 to 20	Email from NHSmail to NHSmail	NHSmail		Within UK only					0		IFR validation	Consent	Management of health or social care system
	CCG	In-flow	General Practice	Invoice validation response	Sensitive personal data	Electronic	Computer/network System Shared Drive	Password protected network drive/system	System Audit		Less than 6	6 to 20	Email from NHSmail to NHSmail	NHSmail		Within UK only					0		Invoice validation	Consent	Management of health or social care system
	CCG	In-flow	General Practice	Safeguarding communication	Sensitive personal data	Electronic	Computer/network System Shared Drive	Password protected network drive/system	System Audit		Less than 6	Less than 6	Email from NHSmail to NHSmail	NHSmail		Within UK only					0		Safeguarding	Consent	Required by law
	Child & Addolescent Mental Health Service (CAMHS)	In-flow	General Practice	Case notes	Sensitive personal data	Electronic	Computer/network System Shared Drive	Password protected network drive/system	System Audit		Less than 6	Less than 6	Email from NHSmail to NHSmail	NHSmail		Within UK only					0		Safeguarding	Direct Patient Care	Provision of health or social care
	Community Professionals (e.g social workers, district nurses)	In-flow	General Practice	Case Notes, social service record	Sensitive personal data	Paper	Computer/network System Shared Drive	Password protected network drive/system	System Audit		Less than 6	21 to 100	Post special or registered Royal Mail	Special delivery		Within UK only					0		Safeguarding	Direct Patient Care	Provision of health or social care
	Community Professionals (e.g social workers, district nurses)	In-flow	General Practice	Case Notes, social service record	Sensitive personal data	Electronic	System integrated	Smartcard and password protected	System Audit		Less than 6	21 to 100	Email from non-NHSmail to NHSmail	Encrypted		Within UK only					0		Safeguarding	Direct Patient Care	Provision of health or social care
	Coroner	In-flow	General Practice	Coroners Report, Post Mortem	Sensitive personal data	Electronic	System integrated	Smartcard and password protected	System Audit		Less than 6	Less than 6	Email from non-NHSmail to NHSmail	Encrypted		Within UK only					0		Death investigation	Public Interest	Required by law
	DVLA	In-flow	General Practice	Driving licence communication	Sensitive personal data	Paper	System integrated	Smartcard and password protected	System Audit		Less than 6	Less than 6	Post ordinary Royal Mail	Sealed package		Within UK only					0		Regulatory activity	Public Interest	Task in the public interest or exercise of official authority
	Employees	In-flow	General Practice	Staff records (e.g employment contracts, disciplinary proceedings etc)	Sensitive personal data	Paper	Filing cabinet	Key	Key allocation		Less than 6	Less than 6	Manual - data subject or representative	Sealed package		Within UK only					0		HR	Other - please specify	Task in the public interest or exercise of official authority
	Employers	In-flow	General Practice	pre-employment health screening	Sensitive personal data	Paper	Computer/network System Shared Drive	Password protected files	System Audit		Less than 6	Less than 6	Post ordinary Royal Mail	Sealed package		Within UK only					0		HR	Other - please specify	Provision of health or social care
	External agencies (e.g. NHS Hospitals, A&E, Private hospitals, SCAS)	In-flow	General Practice	Patient letters, discharge notice, Clinic letters, patient assessment etc	Sensitive personal data	Electronic	System integrated	Smartcard and password protected	System Audit		Less than 6	21 to 100	Automated system to system transfer	NHS Secure file transfer protocol		Within UK only					0		Records management	Direct Patient Care	Provision of health or social care
	External agencies (e.g. NHS Hospitals, A&E, Private hospitals, SCAS)	In-flow	General Practice	Patient letters, discharge notice, Clinic letters etc	Sensitive personal data	Paper	Filing cabinet	Key	Key allocation		Less than 6	21 to 100	Fax transmission - secure fax	NHS Secure file transfer protocol		Within UK only					0		Records management	Direct Patient Care	Provision of health or social care
	Insurance Companies	In-flow	General Practice	Medical report request	Sensitive personal data	Electronic	Computer/network System Shared Drive	Password protected files	System Audit		Less than 6	6 to 20	Automated system to system transfer	Encrypted	IGPR	Within UK only					0		Medical report	Consent	Consent
	Patient	In-flow	General Practice	Registration form	Sensitive personal data	Paper	Clinical system	Smartcard and password protected	System Audit		Less than 6	Less than 6	Manual - data subject or representative	Sealed package		Within UK only					0		New patient registration	Consent	Provision of health or social care
	Patient/carer	In-flow	General Practice	Complaint letter	Sensitive personal data	Paper	Clinical system	Smartcard and password protected	System Audit		Less than 6	Less than 6	Post ordinary Royal Mail	Sealed package		Within UK only					0		Service complaint	Consent	Management of health or social care system
	Patient/carer	In-flow	General Practice	Death Notification	Sensitive personal data	Other	Clinical system	Smartcard and password protected	System Audit		Less than 6	Less than 6	Manual - data subject or representative	Telephone acknowledgement		Within UK only					0		Records management	Consent	Management of health or social care system
	Patient	In-flow	General Practice	SAR	Sensitive personal data	Electronic	Clinical system	Smartcard and password protected	System Audit		Less than 6	6 to 20	Email from non-NHSmail to NHSmail	None		Within UK only					0		SAR	Consent	Consent
	Patient	In-flow	General Practice	Repeat prescription request	Sensitive personal data	Electronic	System integrated	Smartcard and password protected	System Audit		Less than 6	21 to 100	Other	Telephone acknowledgement		Within UK only					0		Direct patient care	Consent	Medical diagnosis and treatment
	Pharmacy	In-flow	General Practice	Prescription query	Sensitive personal data	Other	Clinical system	Smartcard and password protected	System Audit		Less than 6	Less than 6	Email from NHSmail to NHSmail	NHSmail		Within UK only					0		Prescription query	Direct Patient Care	Medical diagnosis and treatment
	School	In-flow	General Practice	school records	Sensitive personal data	Electronic	Computer/network System Shared Drive	Password protected network drive/system	System Audit		Less than 6	101 to 1000	Email from non-NHSmail to NHSmail	Encrypted		Within UK only					0		Regulatory activity	Other - please specify	Task in the public interest or exercise of official authority
	Solicitors and third parties (e.g. police)	In-flow	General Practice	SAR	Sensitive personal data	Electronic	Computer/network System Shared Drive	Password protected network drive/system	System Audit		Less than 6	6 to 20	Email from non-NHSmail to NHSmail	None		Within UK only					0		SAR	Consent	Consent