



## HIW Privacy Notice

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# Healthcare Inspectorate Wales (HIW) - Privacy Notice

## Who we are

HIW is part of the Welsh Government. Our role is to inspect NHS services and regulate independent healthcare providers in Wales against a range of standards, policies, guidance, and regulations to highlight areas requiring improvement.

## What we do

**Inspect healthcare** - We inspect NHS and regulate independent healthcare services in Wales to check people are receiving good care.

**Investigate** - We carry out reviews of healthcare organisations and services in response to concerns arising from a particular incident or incidents, dependent upon seriousness and/or frequency of occurrence.

**Registration and ongoing regulation of registered services** - We register and regulate independent healthcare services.

**Review Service for Mental Health** - We monitor the use of the Mental Health Act and protect the interests of people whose rights are restricted under that Act.

**The Second Opinion Appointed Doctor Service** - We administer the Second Opinion Appointed Doctor Service, which safeguards the rights of patients detained under the Mental Health Act who either refuse the treatment prescribed by the Approved Clinician or are deemed incapable of consenting.

## Why we collect and process your personal data

Where HIW collects data for a specific purpose, we will provide you with a privacy notice to explain why we need that information and how we will use it.

This privacy notice tells you what to expect when you contact HIW and provide us with your personal information. When you contact us regarding the work we do, we will handle your personal data according to our official authority to undertake the core role and functions of HIW. If the information you provide us in relation to your enquiry contains special category data, such as health, religious or ethnic information the lawful basis we rely on to process it is explicit consent because you have volunteered this information. However, we will usually confirm consent where information is provided on behalf of a third party.

We will retain your information in a secure environment and access to it will be restricted according to the 'need to know' principle.

## Complaints about HIW

There are a number of ways you can make a [complaint to us](#), which is dealt with as part of the Welsh Government's corporate processes. Please view the [Welsh Government Privacy Notice](#) on how your personal information is handled.

## Consultation and Online Surveys

We collect information volunteered by members of the public using an online survey tool hosted by Smart Survey. Smart Survey acts as data processor for HIW and only process personal information in line with our instructions. Smart Survey hosts in the United States, but has issued assurances that they meet GDPR standards, which can be seen in their [Privacy Policy](#).

## Freedom of Information Requests and Subject Access Requests

Should you make a [request under the Freedom of Information Act 2000](#) or Data Subject Access request, it will be dealt with as part of Welsh Government corporate processes. Please view the [Welsh Government Privacy Notice](#) on how your personal information is handled.

## Disclosure and Barring Service

To register as a registered manager or responsible individual to provide independent healthcare we are required to undertake a Disclosure and Barring Service (DBS) check. To complete this check, we are required to collect the following personal data on behalf of the DBS:

- name
- date of birth
- gender
- place of birth
- birth certificate reference number and issue date
- adoption certificate reference number and issue date
- biometric residence permit reference number and issue date
- marriage/civil partnership certificate number and issue date
- HM Forces ID card reference number, and issue date
- firearms licence reference number and issue date
- email address
- telephone number
- national insurance number,
- driving licence number and issue date
- passport number, including nationality and country of issue
- Scottish vetting and barring number
- current address (also previous addresses for the last 5 years)
- financial and social history documents, e.g. bank or building society statement, credit card statement, work permit or visa etc.

We may also collect special category data such as:

- convictions.

On completion of a DBS check, we will destroy all personal information with the exception of the individual's name, DBS certificate number, date of issue and any convictions, after 7 years.

## Inspection of Services

In order to carry out inspections of healthcare services, we may collect the following personal data:

- patient name
- patient date of birth
- patient gender
- patient identification number
- NHS commissioner of services being provide
- staff names
- staff roles
- staff appraisal records
- staff supervision records
- staff DBS checks
- staff photographs
- staff recruitment/pre-employment checks, references,
- qualifications/professional body registration and employment history.

We may also collect special category data such as:

- patient information from medical records, care and treatment plans including diagnosis, risk, forensic type, treatment type and medication
- details of detention if applicable
- ethnicity, including religious/cultural needs.

HIW uses patient information in order to:

- track the effectiveness of care that a patient has received over time
- reference any issues of ineffective or unsafe care when reporting back to healthcare providers.

HIW uses staff information in order to:

- ensure that necessary pre-employment checks have been carried out
- evaluate whether staff have received relevant training and/or development
- reference staff, if necessary, when reporting back to healthcare providers.

We will share personal information with regulatory bodies and relevant authorities/organisations when there are potential risks to public, patient or staff safety.

## Investigation of concerns and safeguarding issues

In order to investigate a concern or safeguarding issue, we are required to collect the following personal data:

- name
- date of birth

- address
- telephone number
- email address
- language and communication preferences
- accessibility requirements

We may also collect special category data such as:

- medical records and care and treatment plans
- allegations of misconduct at work and protection and abuse allegations
- ethnicity.

Your information will be processed internally and only be passed to officers within the relevant departments who need to provide input into the handling of your concern. All information relating to concerns are administered and held on secure records management systems. We will share your information when there are potential risks to public, patient, or staff safety, with regulatory bodies and relevant authorities/organisations.

Your information will be kept for 10 years after the date of the last document.

## Newsletters

We use a third-party provider, GovDelivery, to deliver our monthly e-newsletters. We gather statistics around email opening and clicks using industry standard technologies including clear gifs to help us monitor and improve our e-newsletter. For more information, please see [GovDelivery's GDPR policy](#). Their general Privacy Policy can also be seen [here](#).

## Organisational record of each Health Board, NHS Trust and Independent Provider

We may hold the following personal data as part of our organisational records for NHS organisations:

- name
- date of birth
- address
- telephone number
- email address
- language and communication preferences.

We also collect special category data such as:

- medical records and care and treatment plans
- allegations of misconduct at work and protection and abuse allegations.

We will share your information when there are potential risks to public, patient or staff safety, with regulatory bodies and relevant authorities/organisations.

Your information will be kept for 10 years after the date of the last document.

## Organised Events, Meetings, Launches and Consultations

In order to invite individuals to events and meetings and to take part in launches and consultations we may collect the following personal data:

- name
- email address
- home/work address
- telephone number
- dietary requirements
- accessibility and special requirements
- language and communication preferences

We will not share your information and will only keep it for the period of the launch/consultation and on completion of the meeting/event.

## Reviews and Investigations, including Homicide Reviews

In order to investigate a homicide, death in prison, and undertake special investigations, we are required to collect the following personal data:

- name
- date of birth
- address
- telephone number
- email address
- police records
- convictions
- allegations of misconduct at work

We will share your information when there are potential risks to public, patient or staff safety, with regulatory bodies and relevant authorities/organisations.

Your information will be kept for 15 years after the date of the last document.

## Local and national reviews, including governance and joint organisation reviews

In order to undertake a local, national, governance or joint organisation review, we may collect the personal data below:

- patient name
- patient date of birth
- patient gender
- patient identification number
- NHS commissioner of services being provided
- staff names
- staff roles
- staff appraisal records
- staff supervision records

- staff DBS checks
- staff photographs
- staff recruitment/pre-employment checks, references
- staff qualifications and professional body registration and employment history.

We may also collect special category data such as:

- patient information from medical and/or other clinical records, care and treatment plans including diagnosis, risk information, treatment type and medication, and any complaints recorded in relation to care and treatment
- safeguarding referrals
- clinical or serious incident information, which may include patients or staff, and which may include allegations of abuse
- details of detention (if applicable)
- patient ethnicity, including religious/cultural preference or needs

HIW uses patient information in order to:

- track the effectiveness of care that a patient has received over time
- check that healthcare providers are complying with regulations, which includes appropriate record keeping, treatment and care planning, consent and management of medicines
- [understand people's experiences of accessing and receiving healthcare](#)
- reference any issues of ineffective or unsafe care when providing feedback to healthcare providers

HIW uses staff information in order to:

- ensure that necessary pre-employment checks have been carried out
- evaluate whether staff have received relevant training and/or development
- reference staff, if necessary, when reporting back to healthcare providers
- [understand staff experiences for the provision of healthcare](#), and patient care within the services they work.

Our inspection powers allow us to interview any person who works for a healthcare service. We take notes of these interviews and use the information that we receive to guide our reviews and make our judgements. People who work for healthcare providers may also contact us to share concerns about services, or other information that may assist us in our work.

We may share personal data we obtain in the course of our reviews with other organisations/authorities or regulatory bodies, if we feel it appropriate when undertaking our role, or to assist those bodies in their roles. For example, we may make referrals to the Health and Safety Executive, General Medical Council or Nursing and Midwifery Council and other professional bodies, when there are potential risks to public, patient or staff safety.

Your information will be kept for 15 years after the date of the last document.



## Registration and Ongoing Regulation of Registered Services

In order to register and regulate independent healthcare services we are required to collect the following personal data for the registered manager and responsible individual:

- name
- date of birth
- home address (Registered Manager only)
- business address
- telephone number
- email address
- language and communication preferences
- financial information (bank account details)
- personal/professional references

We may also collect special category data such as:

- medical histories (Medical reference)
- convictions

We will share your information when there are potential risks to public, patient or staff safety, with regulatory bodies and relevant authorities/organisations.

Your information will be kept for 7 years after deregistration.

## Responding to general correspondence and enquiries

In order to respond to general correspondence and enquiries, we record the following personal data:

- name
- address
- email address
- telephone number
- summary of correspondence
- language preferences
- accessibility requirements

We will not share your information and will keep it for 12 months for audit purposes.

## Review Service for Mental Health

We monitor the use of the Mental Health Act and protect the interests of people whose rights are restricted under that Act. In order to carry out this function we are required to collect the following personal data:

- patient name
- patient date of birth
- patient gender

- patient home address
- address of place of detention
- patient language and communication preferences
- contact name of clinician
- contact details of clinician, including telephone number and language and communication preferences
- detaining authority

We may also collect special category data such as:

- medical records, diagnosis, care and treatment plans (including legal documents e.g. detention under the Mental Health Act)
- ethnicity

We will only share your information with the clinical team who is caring for the patient and who already has access to this information legally.

Your information will be kept for 25 years after the date of the last document.

## Second Opinion Appointed Doctor Service

We administer the Second Opinion Appointed Doctor Service, which safeguards the rights of patients detained under the Mental Health Act. In order to carry out this function, we are required to collect the following personal data:

- patient name
- patient date of birth
- patient gender
- patient home address
- address of place of detention
- patient language and communication preferences
- contact name of clinician
- contact details of clinician, including telephone number and language and communication preferences detaining authority

We also collect special category data such as:

- medical records, diagnosis, care and treatment plans (including legal documents e.g. detention under the Mental Health Act)
- ethnicity

We will only share your information with the clinical team who is caring for the patient and who already has access to this information legally.

Your information will be kept for 8 years after the date of the last document or visit.

## Social Media

Information on our Social Media platforms and how we use your data can be found here: <https://hiw.org.uk/privacy-policy>.

## **Statutory Notifications of Death, Unauthorised Absence, Serious Injuries, Outbreak of Infectious Disease, Allegation of Misconduct and Deprivation of Liberty**

In order to investigate statutory notifications, we may collect the following personal data:

- name
- date of birth
- address
- telephone number
- email address
- staff names
- staff roles
- staff appraisal records
- staff supervision records
- staff DBS checks
- staff photographs
- staff recruitment/pre-employment checks
- references
- qualifications/professional body registration and employment history.

We may also collect special category data such as:

- police records
- convictions
- medical histories (Medical reference) medical records and care and treatment plans
- patient information from medical records, care and treatment plans including diagnosis, risk, forensic type, treatment type and medication
- allegations of misconduct at work and protection and abuse allegations
- victim statements

We will share your information when there are potential risks to public, patient or staff safety, with regulatory bodies and relevant authorities/organisations.

Your information will be kept for 10 years after the date of the last document.

### **Statutory Notification of IR(ME)R Incidents.**

We are responsible for monitoring compliance with the Ionising Radiation (Medical Exposure) Regulations (IR(ME)R) 2017 to ensure that patients in Wales are protected when having treatment that requires exposure to ionising radiation. We will review incidents notified to us involving patients who may have been exposed to more ionising radiation than they should have.

In order to investigate statutory notifications, we may collect the following personal data:

- name
- date of birth
- address
- telephone number
- email address
- staff names
- staff roles
- staff appraisal records
- staff supervision record
- staff DBS checks
- staff photographs
- staff recruitment/pre-employment checks
- references
- qualifications/professional body registration and employment history

We may also collect special category data such as:

- medical histories (medical reference)
- medical records and care and treatment plans
- patient information from medical records, care and treatment plans including diagnosis, risk, forensic type, treatment type and medication
- allegations of misconduct at work and protection and abuse allegations
- victim statements

We will share your information when there are potential risks to public, patient or staff safety, with regulatory bodies and relevant authorities/organisations.

Your information will be kept for 10 years after the date of the last document.

## Take Enforcement Action

In the process of taking any enforcement action where applicable / required we may collect the following personal data:

- name
- address
- telephone number
- email address

We may also collect special category data such as:

- PACE (Police and Criminal Evidence Act) notes and recordings
- victim statements
- covertly obtained evidence

We will share your information when there are potential risks to public, patient or staff safety, with regulatory bodies and relevant authorities / organisations.

Your information will be kept for 15 years after the date of the last document.

## Who we share your information with

HIW has a number of information sharing agreements with other organisations that we work closely with. These agreements set out the rationale for information sharing to assist the organisations in meeting their common statutory objectives and to focus respective activities. They support the creation of work programmes which are complementary, ensuring that there are clear processes in place for sharing information, risks, and concerns. Where there are potential risks to public, patient or staff safety, HIW will share information with relevant authorities/organisations such as the police and local authority safeguarding boards. HIW will only share your personal data as set out in this Privacy Notice.

You can access the information sharing agreements by selecting the above link or accessing the documents on our website:

<https://hiw.org.uk/our-memoranda-understanding-other-organisations>

## Your rights under the UK General Data Protection Regulations (GDPR)

You have the right to:

- Have access to the personal data that HIW are processing about you
- Require HIW to rectify inaccuracies in that data
- The right (in some circumstances) to object to processing
- The right for your information to be erased
- Lodge a complaint with the Information Commissioner who is the independent regulator for data protection.

## Contacts

For further information about the data which HIW holds and its use, or if you wish to exercise your rights under GDPR, please contact the following:

Information Asset Owner  
Healthcare Inspectorate Wales  
Rhydycar Business Park  
Merthyr Tyfil  
CF48 1UZ

Email: [HIW@gov.wales](mailto:HIW@gov.wales)

Data Protection Officer  
Welsh Government  
Cathays Park  
Cardiff  
CF10 3NQ

Email: [data.protectionofficer@gov.wales](mailto:data.protectionofficer@gov.wales)

For independent advice regarding the GDPR, please contact the following:

Information Commissioner's Office  
Wycliffe House  
Water Lane  
WILMSLOW  
Cheshire  
SK9 5AF

Telephone: 01625 545 745 or 0303 123 1113  
Website: [www.ico.gov.uk](http://www.ico.gov.uk)