|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|

|  |  |
| --- | --- |
| A picture containing text, clipart  Description automatically generated | A picture containing text  Description automatically generated |
|  |  |

DATA ACCESS TRUSTED RESEARCH ENVIRONMENT (TRE) REQUEST FORM - Applicant Details

|  |  |
| --- | --- |
| Research Name: |  |
| University sponsor(s) for this Research: |  |
| Date of Ethics Approval: | N.B. You must have Ethics Approval for this Research BEFORE you submit this DARF TRE form |
| TRE application Date: | Date application is sent to CIPHA@merseycare.nhs.uk |
| Applicant’s Name: |  |
| Applicant’s email: |  |
| Contact Phone No: |  |
| Job Role: |  |
| Organisation: |  |
| Research intended Start Date: |  |
| Research intended End Date: |  |

 |  |

|  |
| --- |
| **Research Details – Reason for Data Access Request** |
| Research Name: |  |
| Description: |  |
| Research Values/Uses: |  |
| Transparency - provide a brief statement for the general public of the potential benefits that you expect the Research to deliver: |  |
| Is there a commercial element to this Research? (if yes, please provide details): |  |
| Research Output: |  |
| Governance - where is the Research reporting into routinely on delivery: |  |
| How do you plan to share data, results, and outputs from the work: |  |
| Intended audience: e.g. DoH; Health and Care Providers; Patients, Public; etc.: |  |
| **Legal Basis to Process Data: what you must meet:**

|  |  |  |
| --- | --- | --- |
| **Data Type** | **Common Law Duty of Confidentiality** | **UK GDPR****Article 6 & Article 9** |
| Identifiable |  |  |
| Pseudonymised |  |  |
| Aggregate |  |  |

 |
| How is the Common Law Duty of Confidentiality satisfied: | *This doesn’t apply to pseudonymised or aggregate data. However, if there is use of identifiable data you must explain on what basis this will be met, e.g.* * *Explicit consent*
* *Direct care met by implied consent*
* *Section 251 (state reference number)*
* *COPI Notice (state which one)*
 |
| Legal Basis for data processing under UK GDPR - Article 6 and Article 9 Conditions:(this doesn’t apply to aggregate data) | **Processing Personal Data - Article 6**6(1)(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; **Processing Sensitive Personal Data – Article 9**9(2)(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, respect the essence of the right to data protection and provide for suitable and specific measures to safeguard the fundamental rights and the interests of the data subject. |
| If this Research comes under other UK GDPR Article 6 and Article 9 Conditions, please state them here: |
| Is this Research covered by any other lawful basis: |  |
| State how data will be reported | **Identifiable**[ ]  | **Pseudonymised**[ ]  | **Aggregate/anonymized**[ ]  |
| Data Controller(s)List the organisation(s) that make decisions regarding how this data is going to be used: |  |
| Data Processor(s)List the organisation(s) and named person(s) that will be processing this data: |  |
| For UK GDPR compliance, will the Data Controller(s) Privacy Notice(s) require an update: |  |
| The Principal Investigator will be legally responsible for the data: | As the Principal Investigator I confirm that:-I am satisfied with this research application-I have signed the Researcher User Agreement-I have undertaken necessary Safe Researcher TrainingPI name:Signature:Date:Add any other comments here: |
| **Further Research Details** |
| Is this Research linked to a wider initiative, and if so, please provide details: |  |
| Is this part of an approved funded piece of work and if so by whom: |  |
| Are there any other organisations involved in this initiative? (if yes, please list them): |  |
| This Research comes under the CIPHA TRE:* Data Sharing Agreement (DSA)
* Data Protection Impact Assessments (DPIA.

Are there any Data Management Plans or other Data Protection Impact Assessments (DPIA) in place for this research: |  |
| Have the Researchers signed the CIPHA TRE Research User Agreement: | Embed copy/copies here |
| **Data Access**Access to data will be managed according to the agreed TRE DSA and DPIA,and processing will only be undertaken with prior approval from the DAAG. |
| Please indicate if the access is for identifiable / pseudonymised / aggregate data: | **Identifiable**[ ]  | **Pseudonymised**[ ]  | **Aggregate**[ ]  |
| Please indicate if the access is for read only or a download to further process data in other ways: |  |
| Explain how you will ensure Data Minimisation, to ensure that you are only requesting and using the minimum data necessary for the Research: | *Explain how:** *You will only collect data you need for the specified purpose*
* *You have sufficient personal data to properly fulfil those purposes*
* *You periodically review the data held and delete anything not needed*
 |

|  |  |
| --- | --- |
| **Dataset(s) Requested** | **Description** |
| List all the datasets requested: |  |
| Describe the inclusion and exclusion criteria for the population cohort required for the research study: |  |
| Will data be transferred outside the TRE, and if so state which organisation/organisations and why: |  |
| Method of secure data transfer:(usually this will be via secure TRE egress, but you need to describe how data will be checked for anonymisation and risk of re-identification. Should refer to anonymisation guidance): |  |

|  |  |
| --- | --- |
| **UK GDPR Special Category Data Item(s):** | **Justification: for UK GDPR purposes: give the reason why the data item(s) are needed:** |
| **Check all that apply:** |  |
| [ ]  Data concerning health |
| [ ]  Racial or ethnic origin |
| [ ]  Political opinions |
| [ ]  Religious or philosophical beliefs |
| [ ]  Trade Union Membership |
| [ ]  Sex life and sexual orientation |
| [ ]  Genetic data |
| [ ]  Biometric data where processed to uniquely identify a person |

## Additional Information

**Please add any additional information in support of your application request:**

## Your Signature & Date

Signature:

Date:

*This Application will be considered at the Data Asset and Access Group (DAAG) and/or the C&M ICS Information Governance Strategy Committee*

*Please return to:*

*cipha@merseycare.nhs.uk*

*For initial help and support in completing this request form, please contact:*

*Gary Leeming*

*Director, LCR Civic Data Cooperative*

*leemingg@liverpool.ac.uk*

*For further help and support in completing this request form, please contact:*

*Suzanne Crutchley LLM*

*Head of Data Protection & Information Governance / ICS IG Lead*

*Suzanne.Crutchley@miaa.nhs.uk*

**For DAAG/IGSC completion only:**

**Triage & Decision**

|  |  |  |
| --- | --- | --- |
| **Screening** | **Dates** | **Comments** |
| Date received Access Request: |  |  |
| **ICS Caldicott Guardian Triage check:** |  | **Checked by:** Comments: |
| **ICS DPO Triage check:**[ ]  Common Law Duty of Confidentiality satisfied[ ]  UK GDPR met[ ]  DPIA status* linked to existing DPIA
* will require a DPIA
* DPIA not required

[ ]  Data Sharing Agreement(s) status* linked to existing DSA
* will require a DSA
* DSA not required
 |  | **Checked by:** Comments: |
| **ICS Technical Triage check:**☐ Data compliant with DSCRO/ SUS/ no S.251 is necessary[ ]  Alignment to CIPHA/S2C/Empower priorities[ ]  Benefits articulated[ ]  Data flow mapped and understood |  | **Checked by:** Comments: |
| Agenda item for DAAG/IGSC Meeting on: |  |  |
| DAAG/IGSC Meeting decision: |  |  |
| Any further requirements made: |  |  |
| **Final outcome / decision** |  |  |

**Version Control** (amend & update as appropriate)

|  |  |  |
| --- | --- | --- |
| **Version** | **Stage** | **Date** |
| 0.1 draft | Initial submission |  |
| 0.2 draft | CG Triage |  |
| 0.3 draft | DPO Triage |  |
| 0.4 draft | Technical Triage |  |
| 0.5 draft | Decision |  |
| 1.0 final  | Final Decision |  |

**DAAG application timelines May 2022 to September 2022**

