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| *\*\* Example responses* | Blue sections will be completed by CIPHA / Caldicot Guardian / Data Protection Officer |

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| DATA ACCESS REQUEST FORM - Applicant Details

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| Project Name: | Tracking antimicrobial resistance across care settings in Liverpool Part 2 (TRACS-Liverpool part 2) |
| Date DARF is submitted: |  |
| Full Name: |  |
| Email Address: |  |
| Contact Phone Number: |  |
| Job Role: |  |
| Organisation: |  |
| Project intended Start Date: |  |
| Project intended End Date: |  |

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| **Project Details – Reason for Data Access Request** |
| Project Name: |  |
| Project Description: |  |
| Project Values/Uses: |  |
| Transparency - provide a brief statement for the general public of the potential benefits that you expect the project to deliver:  | *Please avoid declarative language unless it can be justified i.e. “aims to” not “will”* |
| Is there a commercial element to this project? (if yes, please provide details): |  |
| Project Output: |  |
| 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.: |  |
| What Patient and Public Involvement and Engagement (PPIE) is planned or have been carried out in the system for this project? |  |
| Project Governance - where is the project reporting into routinely on delivery: |  |
| **Legal Basis to Process Data: what you must meet:**

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| **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)*
 |
| Lawful Basis for data processing under UK GDPR - Article 6 and Article 9 Conditions: | *This doesn’t apply to aggregate data.**Please refer to the legislation.gov.uk*[*Article 6 - Lawfulness of processing*](https://www.legislation.gov.uk/eur/2016/679/article/6)[*Article 9 - Processing of special categories of personal data*](https://www.legislation.gov.uk/eur/2016/679/article/9) |
| Is this project covered by any other lawful basis: | *For example - Section 251 (NHS Act 2006)* |
| Data Controller(s) for this project - | *List the organisation(s) that make decisions regarding how this data is going to be used:* |
| Data Processor(s) for this project - | *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: |  |
| **Local Caldicott Guardian – checked & agreed***N.B. this must be completed before you submit your request* | As the local Caldicott Guardian for this project I confirm that I am satisfied with this application.Name:Signature:Position:Date:Add any other comments here: |
| **Further Project Details** |
| Is this project 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): |  |
| Details of any Data Protection Impact Assessments (DPIA) in place for this project: | * *Population Health DPIA*
* *Unified Direct Care DPIA*
* *Population Health Action (CIPHA) Trusted Research Environment (TRE) DPIA*
* Project has a local DPIA
 |
| Details of any Data Sharing Agreements in place for this project that cover this data flow and who they are between: | * *Population Health (Tier Two) DSA*
* *Unified Direct Care (Tier Two) DSA*
* *Population Health Action (CIPHA) Trusted Research Environment (TRE) DSA*
* *Project has a local DSA*
 |
| Details of any Honorary Contract arrangements for data access in place: |  |
| **Data Access** |
| Please indicate if the access is for identifiable / pseudonymised / aggregated data: | [ ]  **Identifiable** | [ ]  **Pseudonymised** | [ ]  **Aggregated** |
| Which Programme is the data held under: | [ ]  **CIPHA** | [ ]  **Share2Care** | [ ]  **Empower** |
| 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 project: | *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*
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| **Dataset(s) Requested** | **Description** |
| What CIPHA data sets are being requested? | [ ]  CIPHA GP Data[ ]  CIPHA Secondary Care data (Acute)[ ]  CIPHA Community data[ ]  CIPHA Social Care data [ ]  CIPHA Mental Health data [ ]  Vaccination data[ ]  Reference data: *Please specify below* |
| What NHS Digital datasets are being requested? | [ ]  National Waiting List Data [ ]  SUS/ ECDS[ ]  CSDS[ ]  MHMDS[ ]  Adult Social Care [ ]  Mortalities |
| If there is an NHS Digital data access request, is this sharing covered by the NHS Digital DSA with the ICB[ ] NA [ ] Yes [ ] No |
| If there is an NHS Digital data access request is an ICB sub-licensing Agreement required for NHS Digital Data Access? [ ] Yes [ ] No |
| What data environment is most appropriate?[ ] DSCRO Azure DME [ ] Graphnet |
| Describe the inclusion and exclusion criteria for the population cohort required for the project: |  |
| Data received from (organisation/organisations): |  |
| Data transferred to (organisation/organisations): |  |
| Data Flow Mapping: please describe the data flow between your organisation and others e.g. CIPHA to LA: |  |
| Method of secure data transfer: |  |
| ~~How will patient objections be managed? Explain how you will meet type one objections or national data opt-out:~~~~National opt out: prevents the sharing of identifiable data from NHSD for other reasons than individual direct care.~~~~Type 1 opt out: if the patient does not want their person identifiable data to be shared outside of their GP practice for purposes except their own direct care.~~Deleted as Graphnet diagram added | * *~~National data Opt Out \*\* will not send any data to NHSD~~*
* *~~Type 1 – if an Opt Out code is present – \*\* will not store a record for any purpose other than direct care~~*
* *~~\*\*National or Type 1 optouts are applied in the GP record so CIPHA will not collect that data.~~*
* *~~Patients will consent to participate and can request to withdraw at any time.~~*
 |

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| **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 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*

*Tel: 07717 720255*

***Graphnet Opt-outs - Implementation of GDPR, Type-1 and National data opt outs***

**

**For DAAG/IGSC completion only:**

**Triage & Decision**

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| --- | --- | --- |
| **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**

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| --- | --- | --- |
| **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 |  |