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| |  |  | | --- | --- | | *\*\* Example responses* | Blue sections will be completed by CIPHA / Caldicot Guardian / Data Protection Officer | |  |
| DATA ACCESS REQUEST FORM - Applicant Details  |  |  | | --- | --- | | 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:**   |  |  |  | | --- | --- | --- | | **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*](mailto:cipha@merseycare.nhs.uk)

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

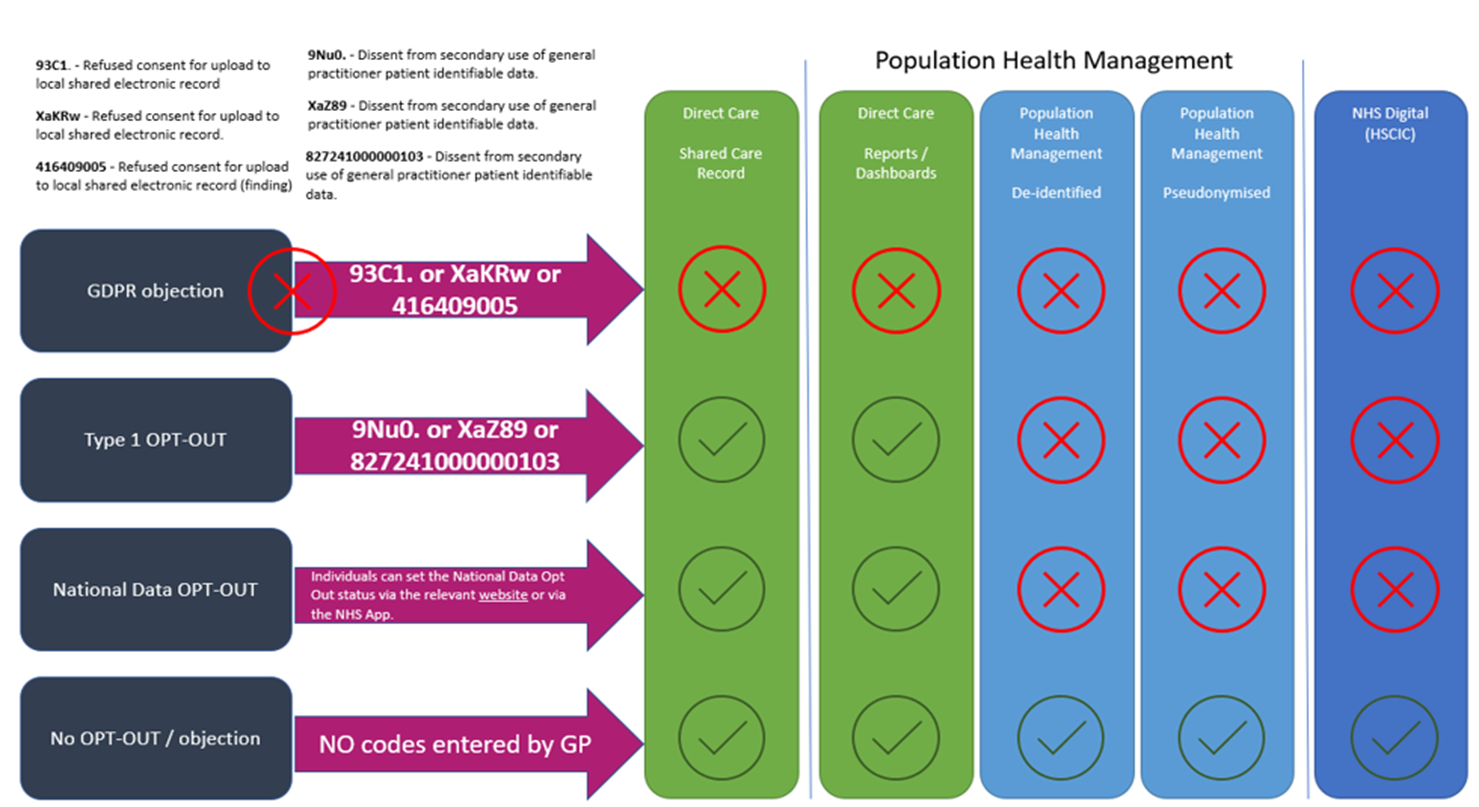
*Suzanne Crutchley LLM*

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

[*Suzanne.Crutchley@miaa.nhs.uk*](mailto: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 |  |