



Data Controller Console Version 4.1

User guide for the Active User (AU)

May 2018

Document Version History

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V3.1	Sept 2017	Muhitul Haque	Updated to DCC release 1.2 (Entity Tagging & Audit and Reporting)
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V3.3	Nov 2017	Muhitul Haque	Updated to DCC release 1.4 (DPIA and LA)
V4.0	April 2018	Tony Harvey	Updated to DCC release 1.5 (Data Links and Reporting)
V4.1	June 2018	Tony Harvey	Updated to DCC release 1.6 (GDPR and Public Facing Website)

Glossary of Terms

Terms/Acronym	Definition
DCC	Data Controller Console
Org/Organisation	An organisation or entity registered in Data Controller Console
ISA / DSA	Information Sharing Agreement / Data Sharing Agreement
DPC	Data Processing Contract
ODS Code	Organisation Data Service Code
ICO Number	Information Commissioner's Office Number
DPIA	Data Protection Impact Assessment
LA	Local Authority

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1. Introduction

As part of Healthy London Partnership's London Digital Programme, work was undertaken in 2015/16 to understand how digital technology could improve both the care of patients/clients and the underlying business processes carried out by NHS organisations.

The review highlighted the current problems faced by many organisations in relation to their information sharing policies and processes. These include:

- Lengthy, complex processes to achieve final sign off of information sharing agreements (ISAs) between organisations
- Numerous paper agreements created (for data sharing, data processing etc)
- Duplication or re-work of the content of these paper agreements
- Lack of visibility within the organisation of the agreements they both draft and those they sign up to
- Lack of robust mechanisms to manage on-going agreements
- Alignments of Data Protection Contracts to related ISA
- Lack of comprehensive reporting ability
- Unavailability of General Data Protection Regulation (GDPR) compliant solutions

The London Digital Programme has now created an online tool – the data controller console - that not only support the ongoing management of ISAs but also develop the notion of a 'trusted environment' i.e. a secure and reliable forum, where organisations (on meeting certain criteria) can manage their agreements online.

1.1 Data Controller Console

The Data Controller Console (DCC) aims to make it easier and more efficient for NHS organisations in London to administer their information sharing agreements.

To use the DCC, all participating organisations will be required to 'register' online via the DCC, meet the registration criteria and have their application 'approved' by a governing body.

Once registered, organisations can add/upload their current agreements, record details against each agreement e.g. names of contacts, expiry date and begin to manage existing agreements online.

The DCC is currently designed to only manage existing agreements, new agreements that are required or in progress, should be developed using your organisations current procedures.

1.1.1. Minimum Browser Requirement



The DCC is a web-based application and there is a minimum browser requirement for effective performance. Recommended browsers for DCC are Internet Explorer (Version 10 or above), Google Chrome (version 6 or above) and latest version of Safari, Edge, Firefox and Opera. If you are using an older browser, you will see the error message overleaf. Please ensure you upgrade your browser to the latest version or contact your system administrator.





Welcome to the Data Controller Console

This application does not support your current version of Internet Explorer.
Please either upgrade Internet Explorer to version 10 or above, or use any recent version of Chrome, Edge, Firefox or Safari.

1.1.2. User Groups

The main users of the DCC will be those staff whose responsibility includes creating, administering or managing the associated governance around agreements. This includes Information Governance Managers, Caldicott Guardians, Privacy Officers and Practice Managers in GP Practices.

The DCC has four types of user groups:

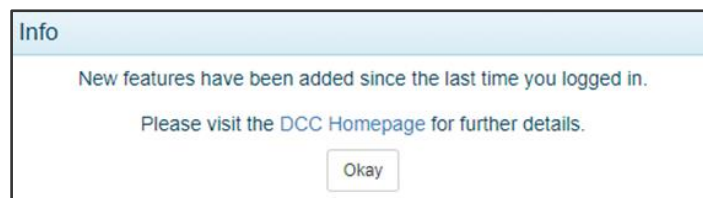
 Regional Super User <i>(RSU)</i>	<p>A key role of the Regional Super User is to 'approve' or 'reject' organisations who request to join the data controller console 'club'. This user has access to ALL functionalities (register organisation, create ISA, update Organisation and ISA, create users, update user details, upload documents etc.) INCLUDING the ability to 'Approve/Reject' an organisation's application to join the DCC.</p>
 Organisation Super User <i>(OSU)</i>	<p>Key roles of the Organisation Super Users are to manage their organisations ISAs (in conjunction with Active Users) and manage the creation of the User Accounts associated with their organisation. This user has access to ALL functionality (see examples above in RSU), EXCLUDING the ability to 'Approve/Reject' an organisation's application.</p> <p>It is expected that every organisation will have a minimum of two Organisation Super Users to facilitate appropriate management and access to the DCC.</p>
 Active User <i>(AU)</i>	<p>A key role of the Active User is to manage the organisations ISAs on a day to day basis.</p> <p>This user has access to functionality for: Viewing all organisation details and Create ISA, Update ISA, Remove ISA and upload documents.</p>
 View Only User <i>(VOU)</i>	<p>This user has access to functionality for viewing the organisation details, viewing ISAs and extracting some reports.</p>

2. Logging In and Out

Your login details will be sent to you by the Regional Super User (RSU) once your organisation has been accepted to join the DCC or once your Organisation Super User (OSU) create an account for you with DCC log in privileges. You will receive an email from: no-reply@datacontroller.london with the subject line 'Data Controller user account created'.

Note: If you haven't received the email from no-reply@datacontroller.london, please check your spam / junk inbox as some spam filters block this email.

2.1 New features to the DCC



When new updates / enhancements are added to the Data Controller Console, you will see a one-off popup message when you next log in. You can find out more information about the updates by clicking on the 'DCC Homepage' link.

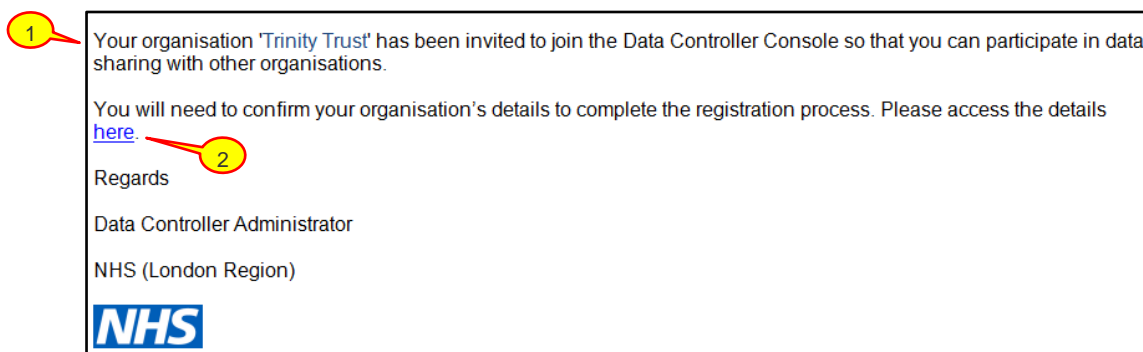
2.2 Session Time Out

Once you are logged in to the DCC console your session will stay open until you log out or until the session times out automatically after 30 minutes of inactivity. If by error you close the browser tab which is running the DCC session, you will have 30 seconds to re-visit the DCC link to stay in the session otherwise you will be logged out of the console.

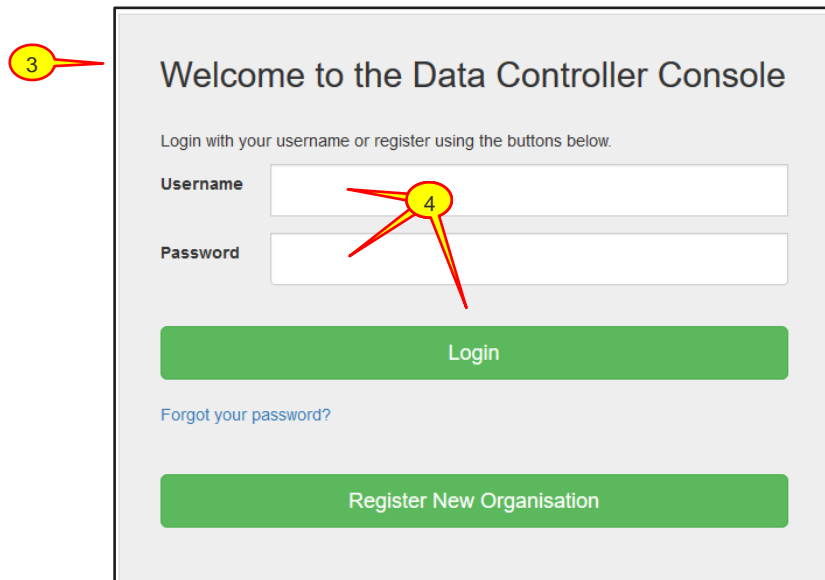
Caution: After three unsuccessful login attempts the account will be locked out. To unlock the account see section '2.6 - Forgotten Password'.

2.3 Login as a New User after an Account is Created (first time login)

1. Check your email box for an invitation email with the title 'Data Controller user account created' which will enable you to join the Data Controller Console



2. Click the link in the email to access the login screen
3. The default Internet browser is launched, displaying the Data Controller Console login page



3

Welcome to the Data Controller Console

Login with your username or register using the buttons below.

Username


Password

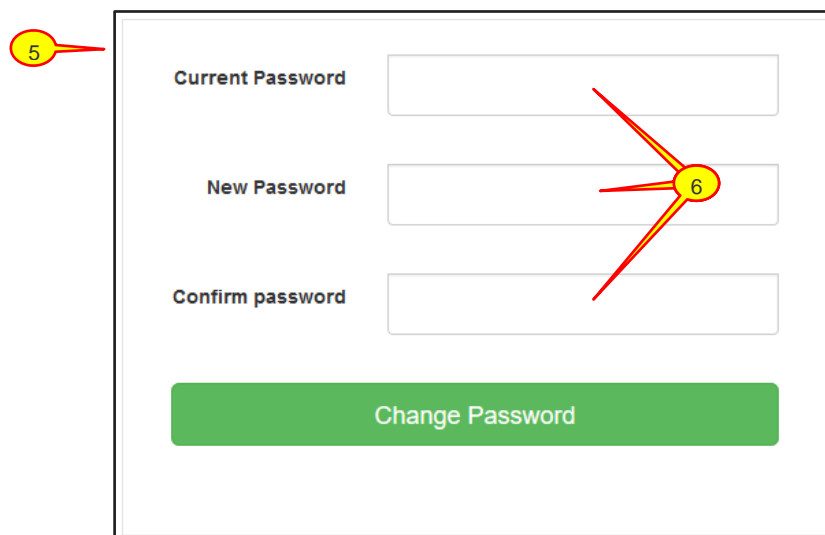
4

Login

[Forgot your password?](#)

Register New Organisation

4. Enter your **username** and **password** in the respective fields and click on the **Login** () button



5


Current Password

New Password

6

Confirm password

Change Password

5. A 'Change Password' screen is displayed with fields to input your current password and new password
6. Enter your current password into the **Current Password** field and input your new password into the **New Password** and **Confirm Password** fields. Then click the **Change Password** () button

Note: If you have forgotten your password, please see section '2.6 - Forgotten Password'

7. You are now logged in to the Data Controller Console and the dashboard is displayed



2.4 Login to the Data Controller Console

1. Launch the DCC application with the given URL (<https://datacontroller.london>)
2. The default Internet browser is launched successfully, displaying the Data Controller Console (DCC) login page

Welcome to the Data Controller Console

Login with your username or register using the buttons below.

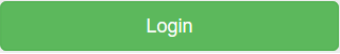
Username

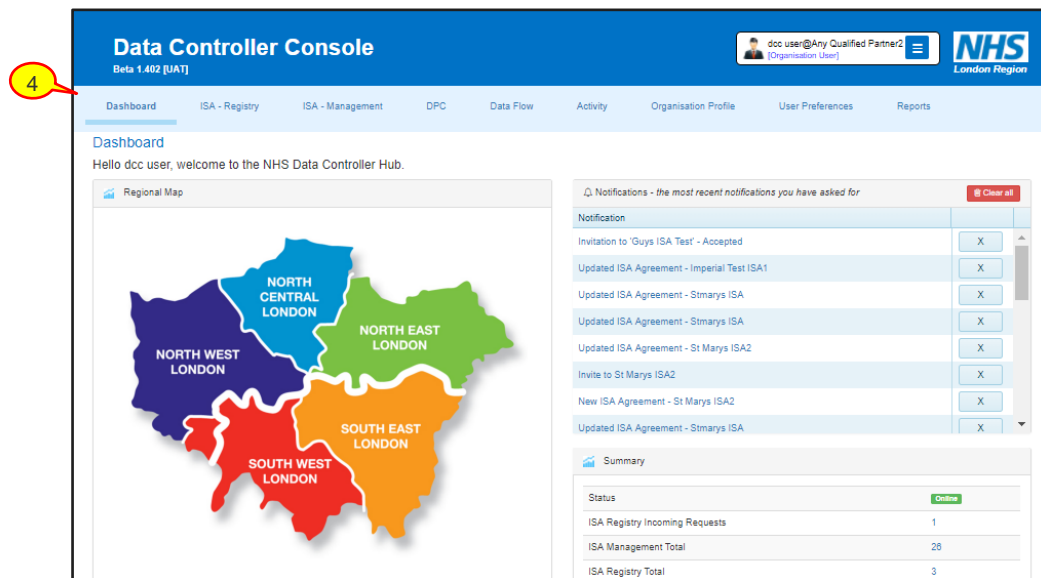
Password

Login

[Forgot your password?](#)

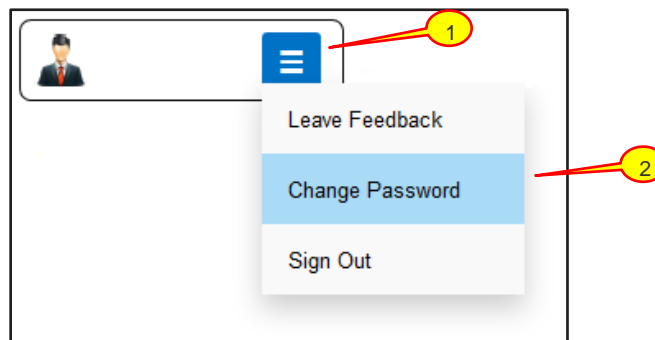
Register New Organisation

3. Enter your **Username** and **Password** in the respective fields and click on the **Login** () button
4. You are logged in to the application and the dashboard is displayed




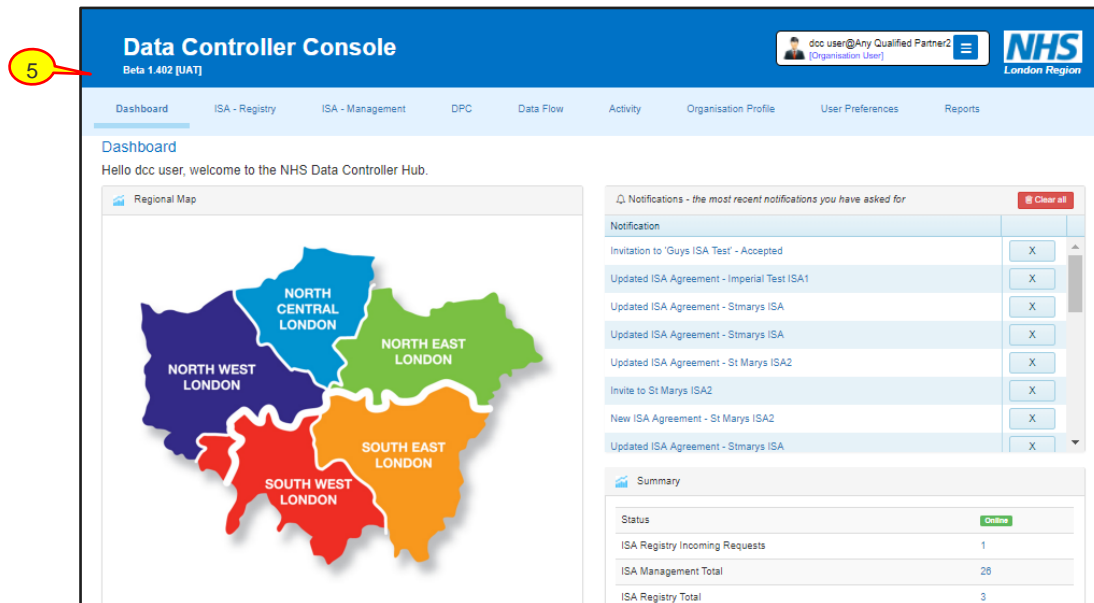
2.5 Change (Reset) Password

1. Once you have logged in to the DCC, from the banner section on top of the screen, click on the blue menu (☰) icon adjacent to the logged in user's name
2. From the drop-down menu, select 'Change Password'



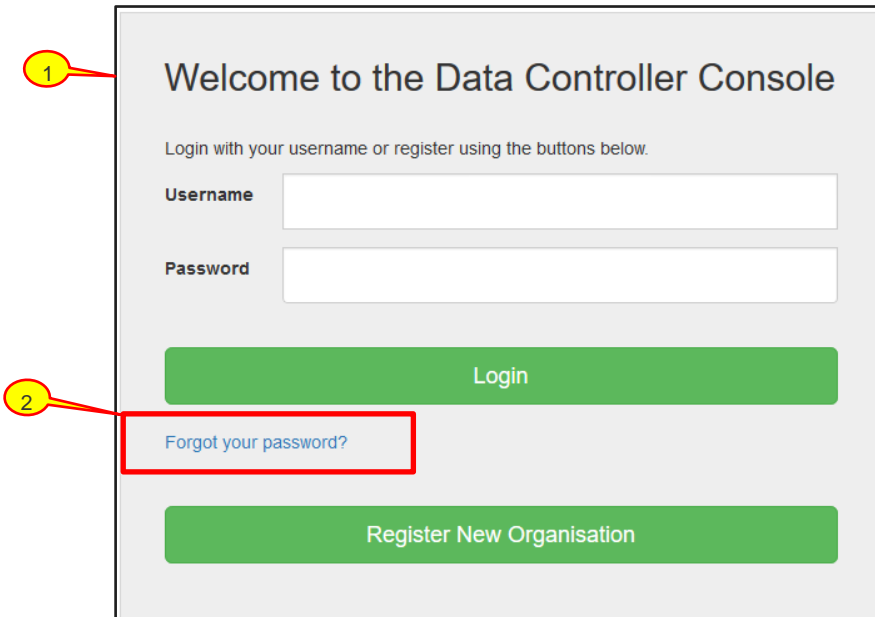
3. A 'Change Password' screen is displayed with fields to enter your current password and new password

- Enter your current password into the **Current Password** field and input your new password into the **New Password** and **Confirm Password** fields. Then click the **Change Password** () button
- You are now logged in to the Data Controller Console and the dashboard is displayed



2.6 Forgotten Password

- Launch the DCC application with the given URL. (<https://datacontroller.london>). The login screen is displayed
- Click on the 'Forgot your password?' link below the Login button. The 'Forgot your password?' screen is loaded with an **Email** field



Welcome to the Data Controller Console

Login with your username or register using the buttons below.

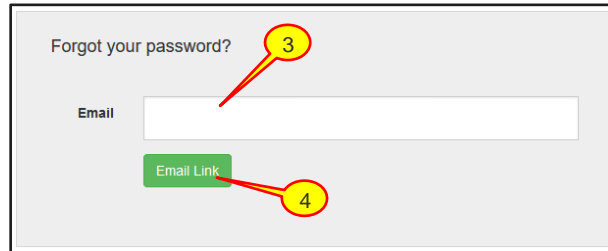
Username

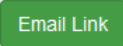
Password

Login

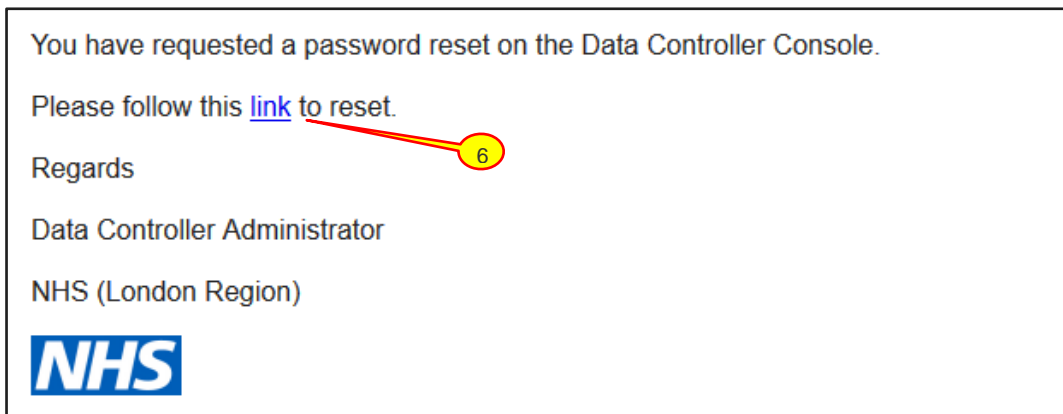
[Forgot your password?](#)

Register New Organisation

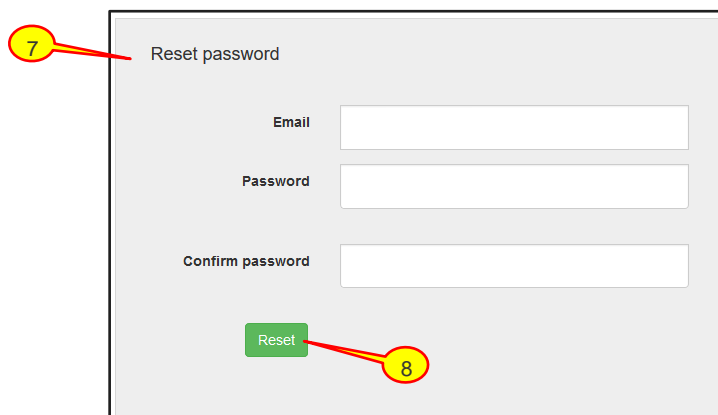



3. Enter the email address in the **Email** field that you used to register and login to the Data Controller Console
4. Select the **Email Link** () button
5. A 'Forgot Password Confirmation' screen is displayed with a message 'Please check your email to reset your password'

Caution: The password reset token has a short time limit until it expires. Please ensure that you follow the instructions immediately after requesting password reset.



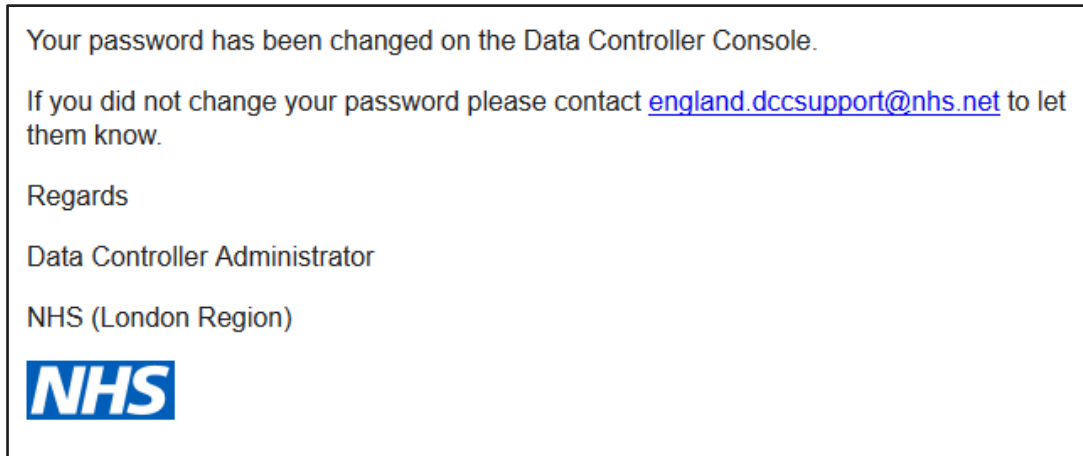
6. Check your email for a message with the title 'Password reset on Data Controller Console' and click the 'link' text in the body of the message that states 'Please follow this link to reset'




7. The 'Reset password' screen launches in the browser with fields to enter your **Email**, **Password** and to **Confirm password**
8. Populate the fields and select the **Reset** () button. The 'Reset password confirmation' screen is displayed with a message 'Your password has been reset. Please click here to log in'

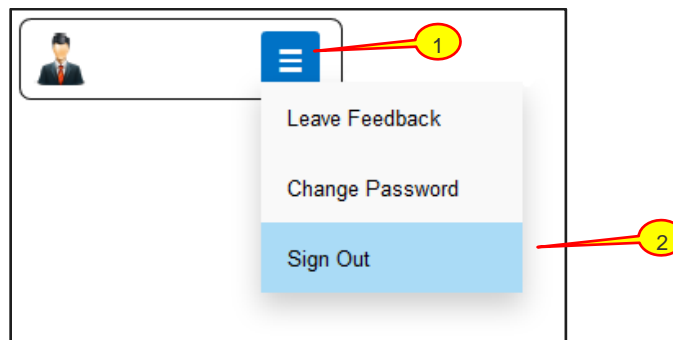
2.7 Notification of Password Change

Once a password has been reset, you will receive an email notification. If you **didn't** initiate the password change, please contact the DCC team at england.dccsupport@nhs.net and let them know immediately.



2.8 Logging Out of the Application

1. At the top-right of the screen, click on the blue menu () icon adjacent to the logged in user's name
2. From the drop-down menu, select the 'Sign Out' option

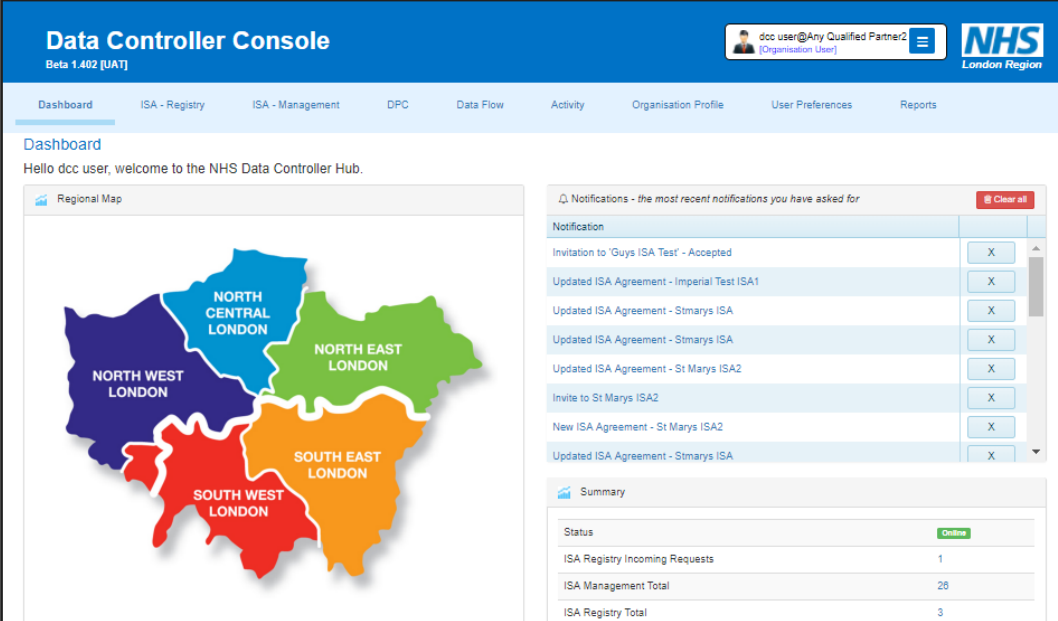


3. You are signed out of the application and the login screen is displayed

3. How to Register for the Data Controller Console

As an Active User (AU), you cannot request for your organisation to join in the DCC nor will you be sent an invitation to join the DCC. Please inform your Organisation Super User (OSU) or Caldecott Guardian to initiate the request to join the DCC.

4. Manage Dashboard



Data Controller Console
Beta 1.402 [UAT]

Navigation: Dashboard | ISA - Registry | ISA - Management | DPC | Data Flow | Activity | Organisation Profile | User Preferences | Reports

Dashboard
Hello dcc user, welcome to the NHS Data Controller Hub.

Regional Map

Map labels: NORTH WEST LONDON, NORTH CENTRAL LONDON, NORTH EAST LONDON, SOUTH EAST LONDON, SOUTH WEST LONDON

Notifications - the most recent notifications you have asked for [Clear all]

Notification	Action
Invitation to 'Guys ISA Test' - Accepted	X
Updated ISA Agreement - Imperial Test ISA1	X
Updated ISA Agreement - Stmarys ISA	X
Updated ISA Agreement - Stmarys ISA	X
Updated ISA Agreement - St Marys ISA2	X
Invite to St Marys ISA2	X
New ISA Agreement - St Marys ISA2	X
Updated ISA Agreement - Stmarys ISA	X

Summary

Status	Value
ISA Registry Incoming Requests	1
ISA Management Total	26
ISA Registry Total	3

4.1 Regional Map

The regional map shows the 5 different Sustainability & Transformation Plan (STP) footprints for the London Region.

4.2 Notification

The Dashboard 'Notification' section provides useful information about the updates to ISAs and DPCs and any pending action(s) that is required by an organisation.



Notifications - the most recent notifications you have asked for [Clear all]

Notification	Action
Updated ISA Agreement - ISA MainOrg1 2	X
Invite to ISA MainOrg1 1	X
Request from Main Org 1 to ISA MainOrg2 5	X
Request from Main Org 1 to ISA MainOrg2 1	X

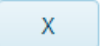
4.2.1. Take Action on a Notification

To take action on a notification, click on a notification link. The related notification opens in context and is also removed from the list of notifications.

Note: *If applicable, you can proceed to carry out the required task.*

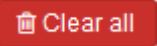
Notifications - the most recent notifications you have asked for	
	
Notification	
Updated ISA Agreement - ISA MainOrg1 2	
Invite to ISA MainOrg1 1	
Request from Main Org 1 to ISA MainOrg2 5	
Request from Main Org 1 to ISA MainOrg2 1	

4.2.2. Remove a Notification

In the notification pane, to remove a notification without taking action, click on the **X** () button adjacent to the notification. The notification is removed from the list.

Notifications - the most recent notifications you have asked for	
	
Notification	
Updated ISA Agreement - ISA MainOrg1 2	
Invite to ISA MainOrg1 1	
Request from Main Org 1 to ISA MainOrg2 5	
Request from Main Org 1 to ISA MainOrg2 1	

4.2.3. Remove all Notifications

In the notification pane, to remove/clear ALL notifications without taking action, click on the **Clear all** () button at the top-right of the notification pane, this may take a few minutes to clear all notifications. All existing notifications are removed from the notification pane.

Notifications - the most recent notifications you have asked for	
	
Notification	
Updated ISA Agreement - ISA MainOrg1 2	
Invite to ISA MainOrg1 1	
Request from Main Org 1 to ISA MainOrg2 5	
Request from Main Org 1 to ISA MainOrg2 1	

4.3 Summary

Clicking on the numbered links adjacent to each category will take you to the corresponding 'ISA – Registry' or 'ISA – Management' screen to view the ISAs associated with it.

Summary	
Status	Online
Profile info missing	1
ISA Expiry Notification Date Passed	1
ISA Non-Registered Organisation Review Required	1
ISA Management Pending	2
ISA Registry Incoming Requests	1
ISA Management Total	31
ISA Registry Total	5
DPC Decision Pending on an ISA	1
DPC Expiry Notification Date Passed	1
DPC Review Required	1
DPC Total	2
DPIA Required	2

ISA Information

DPC Information

DPIA Information

Note: The status categories above are only displayed in a user's profile if there are matching counts of ISAs, DPIAs and DPCs under those Categories. The table below gives a detailed description of each category.

Categories	Description
Profile Info missing	Click to take you to your organisations profile
ISA Expiry Notification Date Passed	Click to see a list of all the ISA's that are about to expire and require an action from your organisation
ISA Review required	Click to see a list of all ISAs that have a decision pending from the organisations that have been invited to participate on it.
ISA Non-Registered Organisation Review Required	Click to see a list of all ISAs that have Non-Registered Organisation associated with which require your organisation to review. A Review of the non-registered organisation is required by either the OSU or AU of the host organisation. Please complete this review by ticking the check-box in the 'Non-Registered Organisations' tab to confirm that you approve of that non-registered organisations details to be added onto your ISA.
ISA Management Pending	<p>a). Click to see a list of all ISA's that your organisation has been invited to participate in. Your organisation must make a decision to Accept, Reject or place the invitation Under Consideration.</p> <p>b). Click to see a list of all ISA's that have been updated/amended which you were part of. Your organisation must make a decision to Accept, Reject or place the invitation Under Consideration.</p> <p><i>The Accept decision is the same as signing a paper copy of the ISA</i></p>
ISA Registry Incoming Requests	Click to see a list of ISA's that other organisations have requested access to. A decision must be made by your organisation to either Accept or Reject their request to participate on your ISA.
ISA Management Under Consideration	Click to see a list of ISA's that your organisation has been invited to participate in, however, your organisation had placed this invite as Under Consideration , and there for you must make a decision to either Accept or Reject the invitation.

ISA Management Total	Click to see a list of all of the ISA's your organisation had been invited to participate in or you have requested to participate in. This will include the ISA's that your organisation had been rejected for in the past.
ISA Registry Total	Click to see a list of all of the ISA's that are hosted by your organisation
DPC Decision Pending on an ISA	Click to see a list of all ISAs that a participating organisation has attached their DPC on to
DPC Expired	Click to see a list of all of the DPCs that have passed their expiry date
DPC Expiry Notification Date Passed	Click to see a list of all of the DPCs that are about to expire and require an action from your organisation
DPC Total	Click to see all DPCs your organisation is hosting
DPIA Required	Click to see the ISAs that require a DPIA to be completed


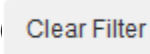
5. Search for and view ISAs

5.1 Search for and view ISAs your organisation is hosting

The screenshot shows the 'ISA - Registry' screen. Callout 1 points to the 'ISA - Registry' tab in the navigation bar. Callout 2 points to the 'ISA - Registry' screen title. Callout 3 points to the search and filter area at the top, which includes input fields for 'Agreement Title / Reference', 'Any Status', 'Any DPC Status', 'Any DPIA Status', 'Any Risk Rating', and a 'Choose Services' dropdown, along with 'Apply Filter' and 'Clear Filter' buttons. Callout 4 points to the search input field. Callout 5 points to the 'Apply Filter' button. Callout 6 points to the 'Clear Filter' button. Below the search area, there is a table with columns: Title, From Date, To Date, DPIA, Risk Rating, Active, Pending, Incoming, Associated, Host, Part Pending, and Part Active. The table lists several ISAs with their respective dates, DPIA status, and risk ratings.

1. Click on 'ISA – Registry' tab from the navigation bar
2. The 'ISA - Registry' screen is displayed with a full list of the organisation's ISAs that are being hosted
3. Above the list of ISAs, a search and filter facilities are available with search boxes and filter drop-downs allowing you to show information by Agreement Title/Reference, ISA status, DPC status, DPIA status, Risk Rating or the services the host ISA provides

This close-up screenshot focuses on the search and filter area. Callout 4 points to the search input field. Callout 5 points to the 'Apply Filter' button. Callout 6 points to the 'Clear Filter' button.

4. Enter the search preferences in any of the fields search fields. You can also narrow down the search by selecting the options from the drop-down lists
5. Then select the **Apply Filter** () button or press the 'Enter/Return' key on the Keyboard to display the filtered results
6. To clear the fields and search again, select the 'Clear Filter' () button. Search results are displayed

7. Select the desired ISA from the search results by clicking on the title. The 'ISA - Registry > Edit Details' screen is displayed

5.2 Search for and view ISAs your organisation is participating in

Under 'ISA Management > My ISA – Management' tab, you will see the ISAs that you have been invited to or requested access to. The 'ISA – Management' tab shows all of the ISAs you are participating in.

ISA - Management

My ISA - Management Available Data Sharing

Agreement Title Organisation Name Any Status Any DPC Status Any DPIA Status Any Risk Rating Choose Services Apply Filter Clear Filter

Create Date	Title	Organisation	From Date	To Date	Status	DPIA	Risk Rating	DPC Count	My Org DPC	Message	
22-Feb-2018	ISA WEMBLEY DP 1	Dental Practice Wembley	21-Feb-2018	No end date	Requested	Required	Unknown	0	0		View
22-Feb-2018	ISA CL TEST 1	DCC-Mailbox	01-Feb-2018	31-Jul-2019	Requested	Required	Unknown	1	0		View
22-Feb-2018	ISA CR TEST1	Acute Trust Croydon	22-Feb-2018	28-Feb-2019	Requested	Required	Unknown	0	0		View
22-Feb-2018	ISATEST20022018	Commercial Third Party	20-Feb-2018	22-Feb-2018	Requested	Completed Digitally	Unknown	0	0		View
22-Feb-2018	ISA SouthAll Test 1	Ambulance Trust Southall	01-Mar-2018	No end date	Requested	Required	Unknown	0	0		View
22-Feb-2018	DPIA Nov 24 data 2	Local Authority	24-Nov-2017	23-Nov-2018	Requested	Required	Unknown	0	0		View
22-Feb-2018	Other Org ISA	Other Org	22-Feb-2018	21-Feb-2019	Cancelled	Required	Unknown	0	0		View

1. Select 'ISA – Management' from the navigation bar. The 'ISA - Management' screen is displayed with the 'My ISA - Management' tab in focus listing the ISA's that your organisation has been invited to or requested access to
2. Above the list of ISAs, a search facility is available with search boxes allowing you to search by 'Agreement Title', 'Organisation Name', 'organisation status', 'DPC status', 'DPIA status, Risk Rating' and/or the 'Services' that the ISA is associated with
3. Enter the search preferences in the search fields. You may narrow down the search by selecting the 'Status' filter if desired from the drop-down list. Then click **Apply filter** (**Apply Filter**) button or press the 'Enter/Return' key on the Keyboard

ISA - Management

My ISA - Management Available Data Sharing

Agreement Title Organisation Name Any Status Any DPC Status Any DPIA Status Any Risk Rating Choose Services Apply Filter Clear Filter

Note: To clear the fields and search again, select the **Clear Filter** (**Clear Filter**) button

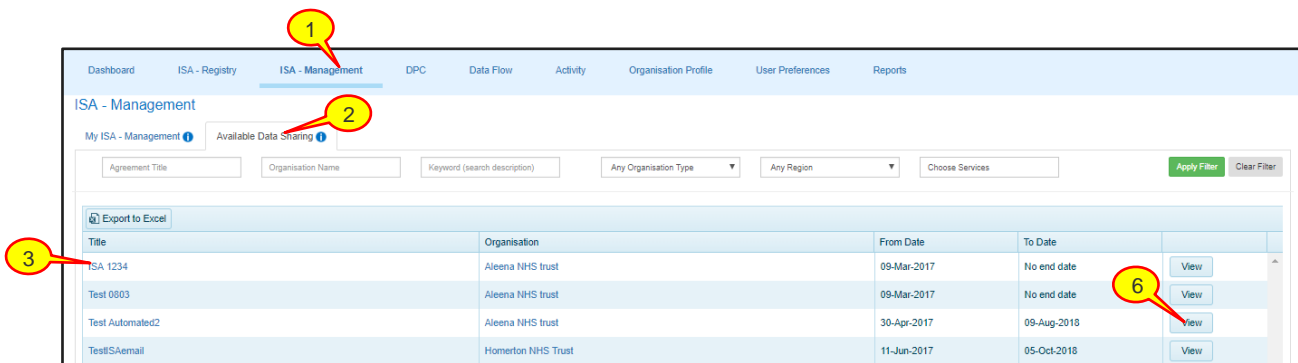
Create Date	Title	Organisation	From Date	To Date	Status	DPIA	Risk Rating	DPC Count	My Org DPC	Message	
22-Feb-2018	ISA WEMBLEY DP 1	Dental Practice Wembley	21-Feb-2018	No end date	Requested	Required	Unknown	0	0		View
22-Feb-2018	ISA CL TEST 1	DCC-Mailbox	01-Feb-2018	31-Jul-2019	Requested	Required	Unknown	1	0		View
22-Feb-2018	ISA CR TEST1	Acute Trust Croydon	22-Feb-2018	28-Feb-2019	Requested	Required	Unknown	0	0		View
22-Feb-2018	ISATEST20022018	Commercial Third Party	20-Feb-2018	22-Feb-2018	Requested	Completed Digitally	Unknown	0	0		View

4. Select the desired ISA from the search results by clicking on the ISA title in the 'Title' column or click the View (**View**) button adjacent to the ISA

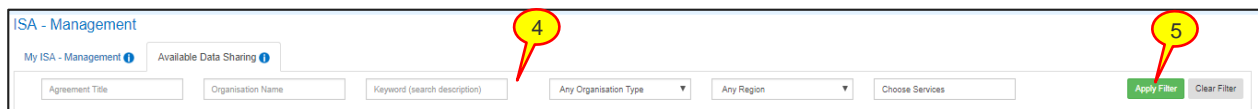
Caution: If you click on the organisation name, that organisation's profile will be displayed in read-only mode and not the ISA details.


5.3 Search for and view all ISAs that are hosted by other organisations

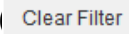
Under 'ISA Management > My ISA – Management' tab, you will see ISAs which are currently available that you have not been invited on or requested access to.




1. Click on ISA - Management from the top menu. The 'ISA - Management' screen is displayed with the 'My ISA - Management' tab in focus listing ISAs that the organisation has been invited on or requested access to
2. Click on the 'Available Data Sharing' tab to select it
3. The ISA 'Available Data Sharing' screen is displayed with a list of the available ISAs from other organisations



4. Above the list of ISAs, a search facility is available with search boxes allowing you to search by 'Agreement Title', 'Organisation Name', and 'Keyword' in the description, and to filter by 'Organisation Type', 'Region' and 'Services'
5. Enter the search preferences in the search fields. You may narrow down the search by selecting the 'Organisation Type' and/or 'Region' filter if desired from the drop-down lists. Then click **Apply filter** () or press the 'Enter/Return' key on the Keyboard. The search results are displayed

Note: To clear the fields and search again, select the **Clear Filter** () button

6. Select the desired ISA from the search results by clicking on the title or the **View** () button adjacent to the title

Caution: If you click on the organisation name, that organisations profile will be displayed.


6. Create an Information Sharing Agreement (ISA)

Creating a new Information Sharing Agreement involves completing some mandatory and optional tabs.

The tabs are:

- **Details:** holds the metadata information about the ISA as well as the electronic copy of the Agreement
- **Contacts:** holds the details of the contact person within the host organisation who is creating the ISA
- **Organisations:** holds the list of all of the registered organisations within the DCC
- **Non-Registered Organisations:** allows you to search for an organisation that hasn't yet registered onto the DCC
- **DPIA:** requires you to carry out a checklist and complete a full digital DPIA
- **Risks/Issues:** allows you to log any risks or issues associated with this ISA
- **DPCs:** allows you to attach your organisations data processing contracts and processing organisation onto this ISA


Title	From Date	To Date	DPIA	Risk Rating	Participant Status				DPC		
					Active	Pending	Incoming	Associated	Host	Part Pending	Part Active
Any Qualified ISA1	22-Feb-2018	21-Feb-2019	Required	Unknown	22	4	1	1	2	4	0
Any Qualified 2	22-Feb-2018	20-Feb-2019	Completed Digitally	Unknown	1	0	0	0	0	0	1
Any Qualified Part ISA3	22-Feb-2018	21-Feb-2019	Not Required - Checklist	Unknown	1	0	0	0	1	0	0
Test Homerton	04-Apr-2018	31-May-2018	Required	Unknown	0	1	0	2	0	0	0
Homerton London*****	01-May-2018	No end date	Completed Digitally	Unknown	0	1	0	0	0	0	0

1. Click on 'ISA – Registry' from the top menu. The 'ISA Registry' page is displayed with a list of all the organisation's hosted ISAs
2. Click on the **Create New**  **Create New**) link
3. An information dialog window will pop up to prompt you to search for existing ISAs and other available ISAs before creating another (This is to prevent duplicate ISA being created). Click 'Okay' button.

Information

Before adding a new ISA please ensure that you have:

1. Searched your ISAs [here](#) (use the filter) and
2. Searched other available ISAs [here](#) (Available Data Sharing tab)




4. The information dialog window closes and the 'ISA - Registry > Create New' screen is displayed

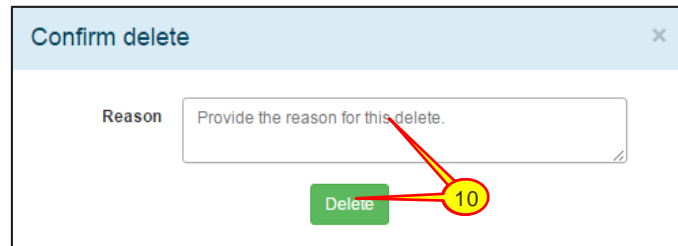
6.1 ISA 'Details' Tab

1. Under the 'Details' tab, populate all required fields (pink fields are mandatory) with data provided as per the ISA agreement
2. Enter the type of services that your organisation provides. This will be helpful for other organisations to find you by the type of service you provide
3. Enter a 'Valid From' and 'Valid To' date using the calendar icons ()
4. If an ISA doesn't have an expiry date, then place a tick on the **No Expiry Date** check box on the right of the 'Valid To' date field
5. You will be required to enter a review date of the ISA as an ongoing ISA should be reviewed regularly and kept up-to-date


6. If there is a Fair Process Notice available, please make this available via a website hyperlink or by uploading a document using the **Upload New** (Upload New) button
7. To make the ISA transparent and allow other organisations to view it and be able to request access to it, ensure that the 'Searchable by others?' drop-down is set to 'Yes'
8. Finally, upload the Agreement by using the Upload New (Upload New) button and provide details of the document

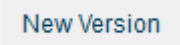
Note: When creating an ISA at least one document marked as 'Agreement' must be uploaded

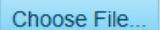
9. To delete an agreement, select the Delete () button adjacent to the Agreement title

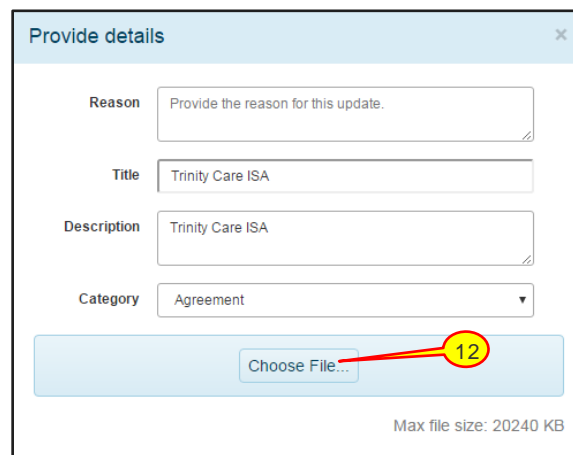


The 'Confirm delete' dialog box contains a text input field labeled 'Reason' with the placeholder text 'Provide the reason for this delete.' and a green 'Delete' button. A red arrow points from a yellow circle with the number '10' to the 'Delete' button.

10. When deleting a document, you must specify the reason for the deletion. Please enter your reason in the 'Confirm delete' dialog box and select the Delete () button

11. To update an existing ISA document, select the New Version () button

12. When updating / replacing an existing document, you must specify a reason for the amendment. Please enter your reason in the 'Provide details' dialog box and upload the new file by selecting the **Choose File...** () button



The 'Provide details' dialog box contains several input fields: 'Reason' (placeholder: 'Provide the reason for this update.'), 'Title' (value: 'Trinity Care ISA'), 'Description' (value: 'Trinity Care ISA'), and 'Category' (value: 'Agreement'). At the bottom, there is a 'Choose File...' button. A red arrow points from a yellow circle with the number '12' to the 'Choose File...' button. Below the button, it says 'Max file size: 20240 KB'.

6.2 ISA 'Contacts' Tab

1. Click on the 'Contacts' tab or at the bottom-right of the screen, select the **Next** button. The Contacts tab is displayed


Add New Contacts:

2. To add a contact for this ISA who is not already a user of the DCC, Under 'Hosted contacts', click the **Add New Record** (**+ Add new record**) button.

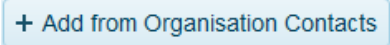
3. The Edit screen is displayed with contact fields

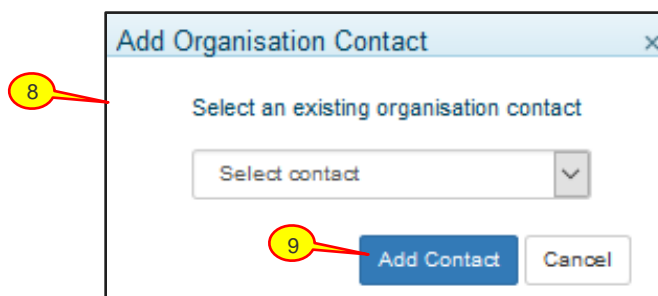
4. Populate the fields for the new person to be added.


Note: the Roles field can now accept multiple roles for a contact.

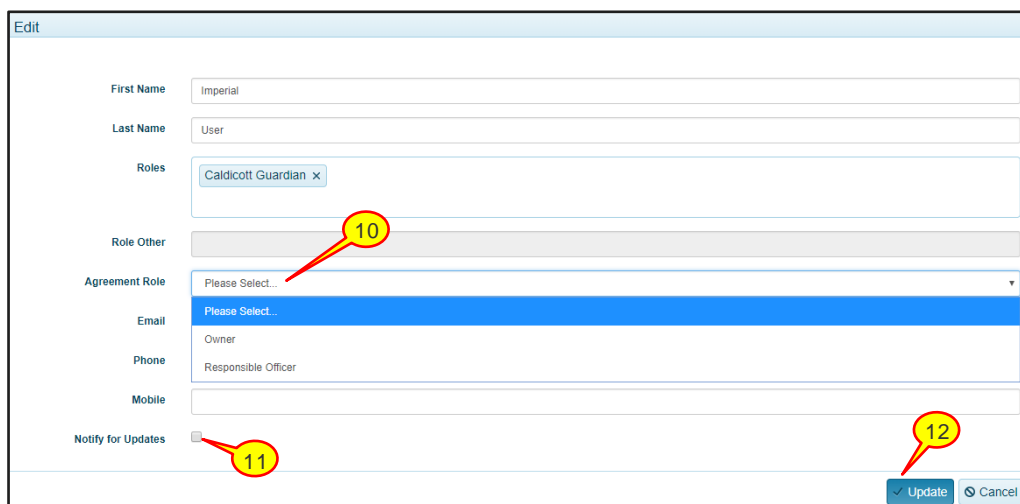
5. If you want to notify the person that they have been added as a hosted contact in the ISA then please tick on the 'Notify for Updates' check box
6. Click the **Update** () button at the bottom right of the screen. The contact screen will then close and contact details will be added to the ISA


Add Existing Contacts:


7. To add a contact from existing organisation contacts in 'Hosted contacts', click the **Add from Organisation Contacts** () button.
8. A dialog box labelled 'Add Organisation Contact' is displayed with a drop-down list of your organisation contacts



9. Select a contact from the drop-down list and click the **Add Contact** () button. A Contacts screen is displayed with the contact's details already populated.
10. Amend the contact details accordingly; if necessary, amend the 'Role' and specify an 'Agreement Role' in the ISA



11. If you want to notify the person that they have been added as a hosted contact in the ISA then place a tick on the 'Notify for Updates' check box
12. Click the **Update** () button at the bottom right of the screen. The contact's screen will then close and contact details are added to the ISA

Note: To return to the previous screen select the **Previous** () button to move back to the ISA 'Details' tab.

Add Other Parties Involved

1. To add Other Parties involved in processing data, under Other Parties Involved click the +Add new record (**+ Add new record**) button

2. The Other Parties Involved Edit screen is displayed
3. Complete the Name field
4. Select the type from the drop-down list of options
5. Once complete, click the Update (**✓ Update**) button

6.3 ISA 'Organisations' Tab

1. Click on the 'Organisations' tab or select the **Next** (**Next**) button. The Organisations tab is displayed

2. To invite an organisation onto the ISA, Click the '**Select organisation**' button

3. The 'Select Organisation' pop-up window (above) is displayed

4. You can search for an organisation by:

- Part of their name (i.e. "hospital" or "surgery")
- The STP footprint region
- The services they provide
- The ODS code
- The organisation type
- The boroughs they service


5. Once you have entered the search criteria, select the **Search** () button

Organisation	Type	Region	
test for nro purpose	Other	North East London	<input type="checkbox"/>
0504_IE10	Other	North East London	<input type="checkbox"/>
1204 org	Other	North East London	<input type="checkbox"/>
LONDON AMBULANCE SERVICE NHS TRUST	Other	North East London	<input type="checkbox"/>
Test to reject	Other	North East London	<input type="checkbox"/>
MW New Use Chrome	Ambulance Trust	North East London	<input type="checkbox"/>

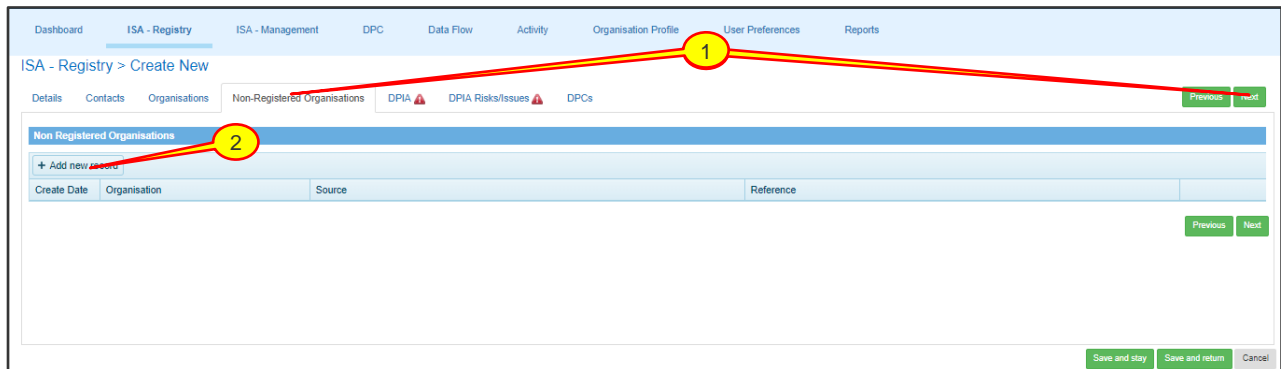
6. From the search result, place a tick in the check box, highlighted, next to the organisation you want to invite to participate in the ISA



7. Click the **Select** button

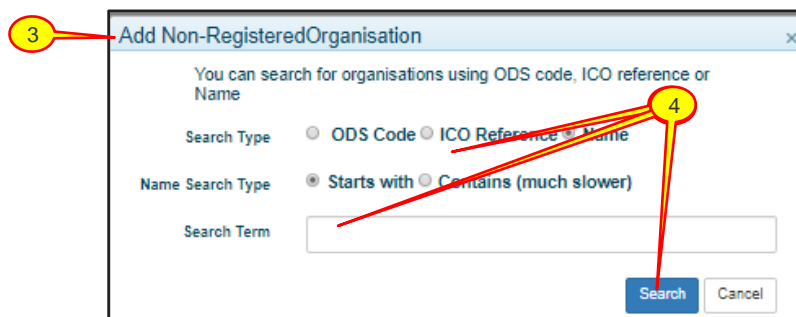
8. You will be prompted to **Confirm** or **Cancel** your selection


9. To remove an organisation from the 'Organisations' tab. Select the **Delete** () button adjacent to the organisation name

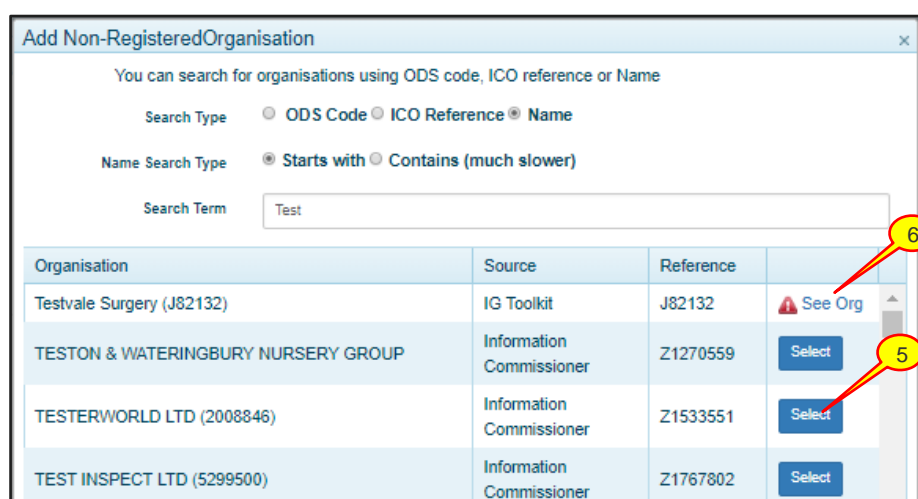
6.4 ISA 'Non-Registered Organisations' Tab






1. Click on the 'Non-Registered Organisations' tab or at the bottom-right of the screen, select the **Next** () button.
2. To add an organisation that hasn't yet registered onto the Data Controller Console, select the **Add New Record** () button




3. The 'Add Non-Registered Organisation' form is displayed. You can search for an organisation by the ODS code, ICO reference number or the organisation name
4. Select a **search type** option, if searching on Name select Name Search Type, and enter the **search term** followed by the Search () button



Organisation	Source	Reference	
Testvale Surgery (J82132)	IG Toolkit	J82132	
TESTON & WATERINGBURY NURSERY GROUP	Information Commissioner	Z1270559	
TESTERWORLD LTD (2008846)	Information Commissioner	Z1533551	
TEST INSPECT LTD (5299500)	Information Commissioner	Z1767802	

Note: The displayed search results are extracted from the IG Toolkit.


There are quarterly updates of the ICO codes, toolkits and Caldecott Guardian National Register, therefore, it may not hold the most up-to-date records.


- Once the search result generates the desired list, click the **Select** () button to add the Non-Registered Organisation to the ISA

6.5 ISA 'DPIA' Tab

See Section 9 **Data Protection Impact Assessment (DPIA)** to complete a mandatory DPIA checklist.

6.6 ISA 'Risks/Issues' Tab

- Please complete the mandatory associated risks/Issues. Click on the DPIA Risks/Issues' tab or at the bottom-right of the screen, select the **Next** () button.
- An overall risk rating must be completed for the ISA, click on the down arrow

- Select the RAG risk rating from the list of options
- To add an individual risk or issue for the ISA, click the **Add New Record** () button
- The risk/Issue Edit screen is displayed. Complete all required fields

5

6

7

Update Cancel

6. Once all fields, including the Likelihood and Impact fields using the drop downs, click the update button
7. The likelihood and Impact scores are combined to give an overall score for the risk and is calculated from the following risk rating matrix, which is accessed via the symbol

Risk Rating Matrix					
LIKELIHOOD	IMPACT				
	Negligible (1)	Minor (2)	Moderate (3)	Major (4)	Catastrophic (5)
Rare (1)	1	2	3	4	5
Unlikely (2)	2	4	6	8	10
Possible (3)	3	6	9	12	15
Likely (4)	4	8	12	16	20
Almost Certain (5)	5	10	15	20	25
1-3 Low Risk		4-6 Moderate Risk		8-12 High Risk	
				15-25 Extreme Risk	

Okay

6.7 ISA 'DPCs' Tab


1

2


6


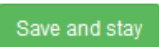
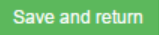
Save and stay Save and return Cancel

1. To add your organisations Data Processing Contract (DPC) to this ISA, select the 'DPCs' tab
2. Select the **Add DPC** () button on the top left of the Data Processing Contracts table

1. From the 'Select DPC' pop-up dialog box, search for the DPC by the *name* or by the contract/deed/agreement *type*
2. Select the **Search** () button. Leave it blank to show a list of all the DPCs that your organisation is hosting

Title	Type	From Date	To Date	
GP Practice 1 - DPC	Data Processing Contract	01-Oct-2017	12-Oct-2017	
NHS E - DPC	Data Processing Contract	06-Oct-2017	08-Oct-2017	Select
Hospital 1 - Data Processing Contract	Data Processing Contract	01-Oct-2017	12-Oct-2017	Select
Jana DPC	Data Processing Contract	10-Oct-2017	31-Oct-2017	Select
DPC Test 2 Jana	Data Processing Contract	12-Oct-2017	No end date	Select
Test 3 DPC	Data Processing Contract	12-Oct-2017	No end date	Select
muhituls DPC	Data Processing Contract	02-Oct-2017	27-Oct-2017	Select

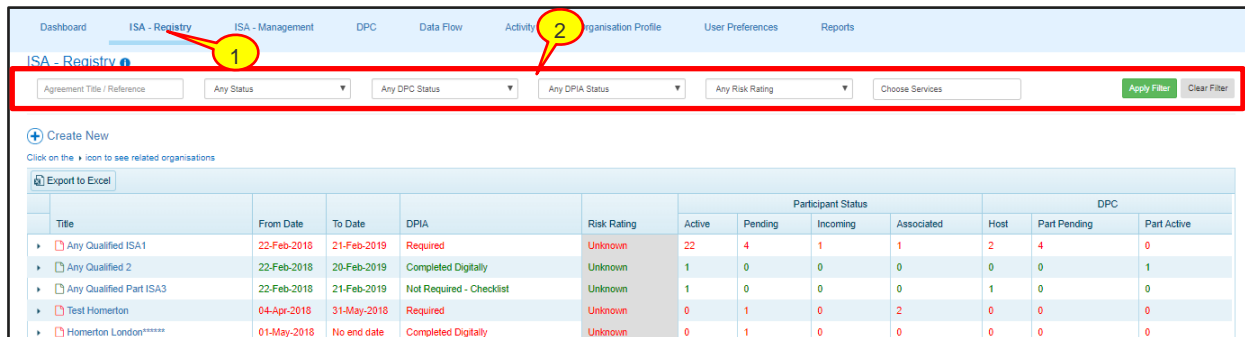
Note: DPCs that have already been added to this ISA will be flagged with a red triangle () icon.

3. On the 'Select DPC' dialog box, click the **Select** () button adjacent to the DPC title to add it to the ISA
4. Once done, click the **Save and stay** () or the **Save and return** () button to commit the changes

7. Maintain an ISA

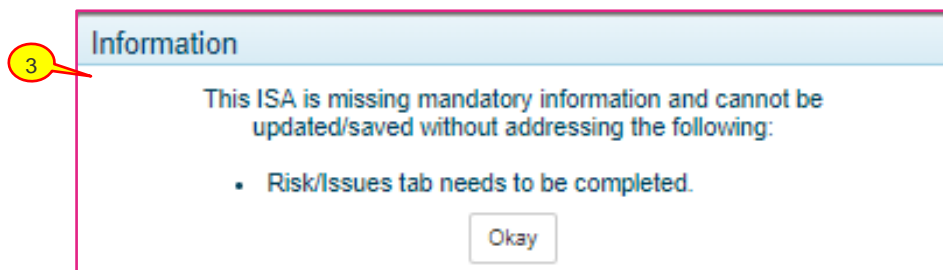
7.1 Update an Information Sharing Agreement (ISA)

As a host organisation (an organisation creating the ISA), you have the ability to amend the information within it as well as invite other organisations to participate. The participants of an ISA do not have the ability to amend a host's ISA. They must request amendments or invitation from the host organisation.



ISA - Registry												
Agreement Title / Reference Any Status Any DPC Status Any DPIA Status Any Risk Rating Choose Services Apply Filter Clear Filter												
Create New Click on the icon to see related organisations												
Export to Excel												
Title	From Date	To Date	DPIA	Risk Rating	Participant Status				DPC			
					Active	Pending	Incoming	Associated	Host	Part Pending	Part Active	
Any Qualified ISA1	22-Feb-2018	21-Feb-2019	Required	Unknown	22	4	1	1	2	4	0	
Any Qualified 2	22-Feb-2018	20-Feb-2019	Completed Digitally	Unknown	1	0	0	0	0	0	1	
Any Qualified Part ISA3	22-Feb-2018	21-Feb-2019	Not Required - Checklist	Unknown	1	0	0	0	1	0	0	
Test Homerton	04-Apr-2018	31-May-2018	Required	Unknown	0	1	0	2	0	0	0	
Homerton London*****	01-May-2018	No end date	Completed Digitally	Unknown	0	1	0	0	0	0	0	

1. Click on 'ISA – Registry' tab. The ISA - Registry screen is displayed listing all ISAs the organisation is invited to
2. Search for the ISA by using the search facilities provided and select the required ISA by clicking on the title of the ISA



3. If there is missing mandatory information on any of the tabs for the ISA an information screen is displayed, ensure all mandatory fields have been populated

4

ISA - Registry > Create New

Details Contacts Organisations Non-Registered Organisations DPIA DPIA Risks/Issues DPCs

Title

Description

Services

Valid From dd/mm/yyyy To dd/mm/yyyy No Expiry Date ☐

Expiry Notification Date dd/mm/yyyy Review Date dd/mm/yyyy

Version 1 Auto Increment ☒

Fair Process Notice None

Searchable by others? Please Select...

Publish Status Please Select...

Owner Any Qualified Partner2

Documents Upload New

Previous Next

Save and stay Save and return Cancel

4. Under the 'Details' tab, amend as required.

7.2 Update ISA Contact Details – Add a New Hosted Contact

ISA - Registry > Create New

Details Contacts Organisations Non-Registered Organisations DPIA DPIA Risks/Issues DPCs

Hosted contacts

+ Add new record + Add from Organisation Contacts

Name	Roles	Agreement Role	Email	Notify

Other parties involved

+ Add new record

Name	Type

Previous Next

1. Click on the 'Contacts' tab or at the bottom-right of the screen or select the **Next** (Next) button from the 'Details' tab. The Contacts screen is displayed
2. Under 'Hosted contacts' to add a new contact, click the **Add new record** (+ Add new record) button. A screen is displayed with contact fields

Edit

First Name

Last Name

Roles

Role Other

Agreement Role Please Select...

Email

Phone

Mobile

Notify for Updates ☐


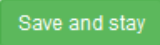
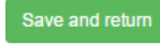
Update Cancel

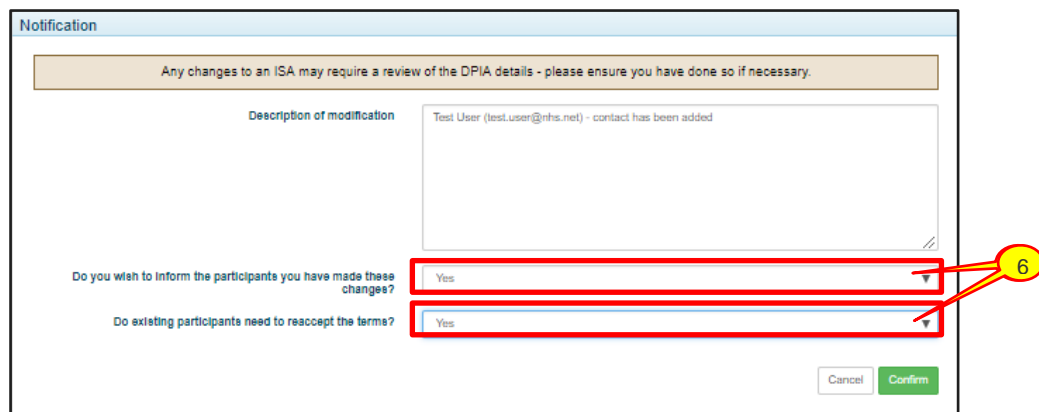
3

4

3. Populate all the mandatory fields with the new contact details.

Note: the Roles field can now accept multiple roles for a contact.

4. Click the **Update** () button at the bottom right of the screen. The Contact screen closes and the contact details are added to the ISA
5. Select either of the **Save and stay** () or the **Save and return** () buttons to commit the changes



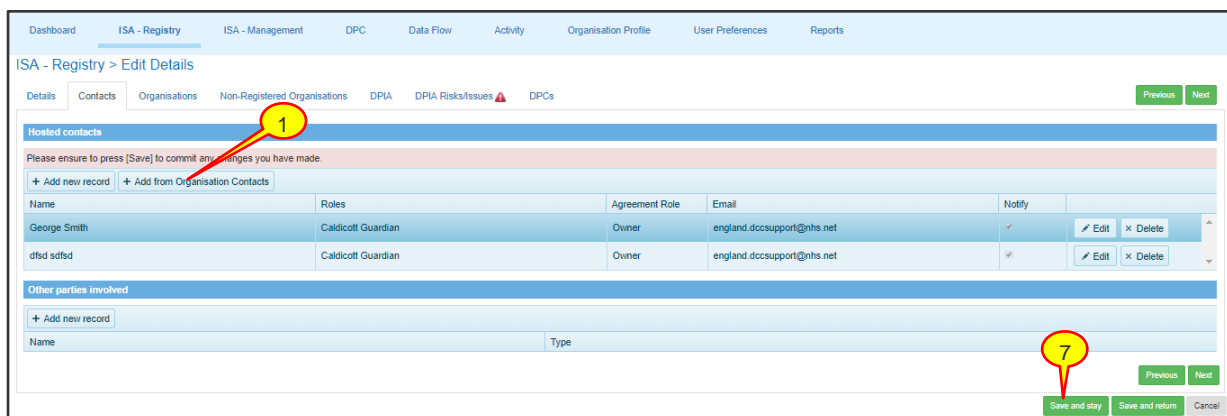
The screenshot shows a 'Notification' window with a title bar. Below the title bar is a message box: 'Any changes to an ISA may require a review of the DPIA details - please ensure you have done so if necessary.' Below this is a text area labeled 'Description of modification' containing 'Test User (test.user@nhs.net) - contact has been added'. Below the text area are two questions, each with a dropdown menu:

- Do you wish to inform the participants you have made these changes? (Dropdown set to 'Yes')
- Do existing participants need to reaccept the terms? (Dropdown set to 'Yes')

At the bottom right are 'Cancel' and 'Confirm' buttons. A red box highlights the two dropdown menus, and a yellow circle with the number '6' points to them.

6. A 'Notification' window is then displayed asking if you would like to inform the existing participants that a new user has been added. Select the appropriate option from the drop-down boxes if you want to notify the existing users

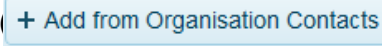
7.3 Update ISA Contact Details – Add an Existing Hosted Contact





The screenshot shows the 'ISA - Registry > Edit Details' page. The 'Hosted contacts' section is highlighted with a red box and a yellow circle with the number '1'. Below this section is a table with columns: Name, Roles, Agreement Role, Email, Notify, and actions (Edit, Delete). The table contains two rows:

Name	Roles	Agreement Role	Email	Notify	
George Smith	Caldicott Guardian	Owner	england.docsupport@nhs.net	<input checked="" type="checkbox"/>	Edit Delete
dfsd sdfsd	Caldicott Guardian	Owner	england.docsupport@nhs.net	<input checked="" type="checkbox"/>	Edit Delete

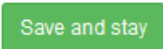
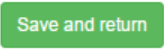
Below the table is the 'Other parties involved' section, which is currently empty. At the bottom right are 'Previous', 'Next', 'Save and stay', 'Save and return', and 'Cancel' buttons. A yellow circle with the number '7' points to the 'Save and stay' button.

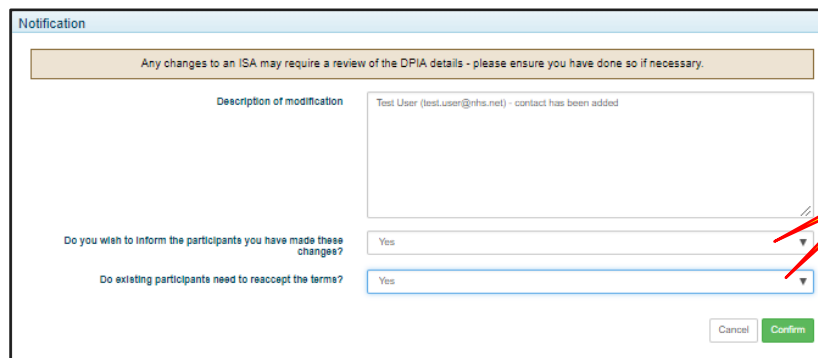
1. Under 'Hosted contacts' to add a contact from existing organisation contacts, click the **Add from Organisation Contacts** () button
2. A dialog box is displayed with a drop-down list of organisation contacts

3. Select a contact from the drop-down list and select the **Add Contact** () button

4. Amend the contact details accordingly, specify the 'Role' within their organisation and the 'Agreement Role' in the ISA
5. Click the **Update** () button at the bottom right of the screen
6. Contact's screen closes, and contact details are added to the ISA

Name	Role	Email	Phone	Mobile	Create a login?	
R. Smith ReadOnly	Data Protection Officer	r.smith@demo.com	1234567890	1234567890	<input type="checkbox"/>	Edit Delete
J.Benny OSU	Caldicott Guardian	j.benny@demo.com	1234567890	1234567890	<input checked="" type="checkbox"/> [Read only User]	Edit Delete
D.Wilkinson ActiveUser	Caldicott Guardian	d.wilkinson@demo.com	1234567890	1234567890	<input checked="" type="checkbox"/> [Read only User]	Edit Delete

7. Select either of the **Save and stay** () or the **Save and return** () buttons to commit the changes
8. A 'Notification' window is displayed asking if you would like to inform the existing participants that a new user has been added. Select the appropriate option from the drop-down boxes if you want to notify the existing users



Notification

Any changes to an ISA may require a review of the DPIA details - please ensure you have done so if necessary.

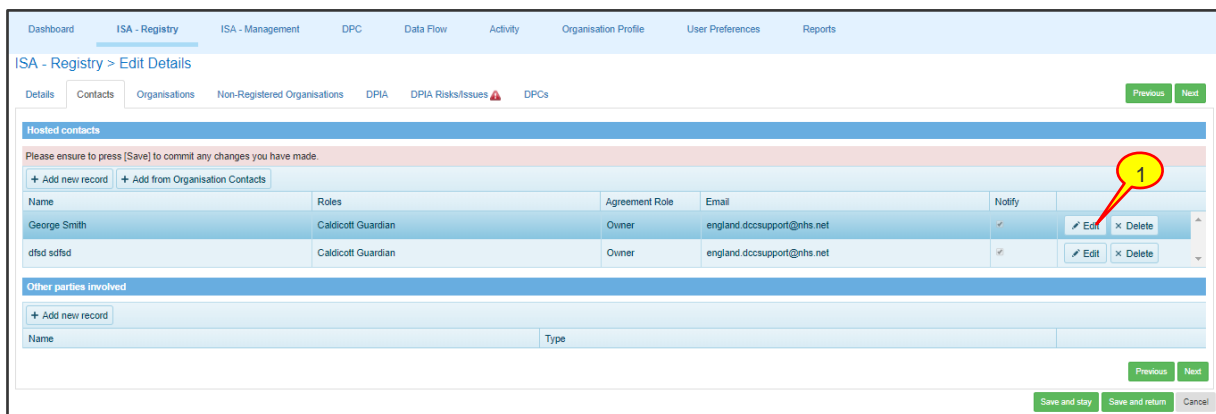
Description of modification: Test User (test.user@nhs.net) - contact has been added

Do you wish to inform the participants you have made these changes? Yes

Do existing participants need to reaccept the terms? Yes

Cancel Confirm

7.4 Update ISA Contact Details – Amend a Hosted Contact



Dashboard ISA - Registry ISA - Management DPC Data Flow Activity Organisation Profile User Preferences Reports

ISA - Registry > Edit Details

Details Contacts Organisations Non-Registered Organisations DPIA DPIA Risks/Issues DPCs

Hosted contacts

Please ensure to press [Save] to commit any changes you have made.

+ Add new record + Add from Organisation Contacts

Name	Roles	Agreement Role	Email	Notify	
George Smith	Caldicott Guardian	Owner	england.dccsupport@nhs.net	<input checked="" type="checkbox"/>	Edit Delete
dfsd sdfsd	Caldicott Guardian	Owner	england.dccsupport@nhs.net	<input checked="" type="checkbox"/>	Edit Delete

Other parties involved

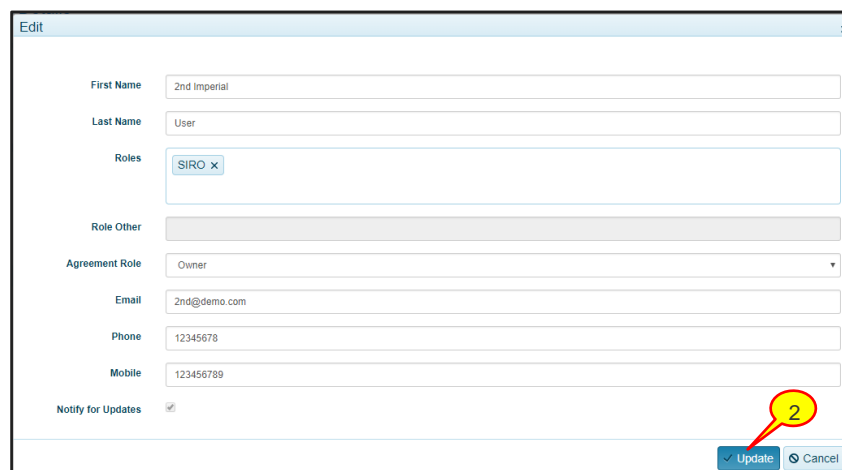
+ Add new record

Name Type

Previous Next

Save and stay Save and return Cancel

1. You can amend 'Hosted contacts' from an existing list by clicking the **Edit** ([Edit](#)) button adjacent to the contact name. A screen is displayed with contact fields and the contact details populated



Edit

First Name: 2nd Imperial

Last Name: User

Roles: SIRO x

Role Other:

Agreement Role: Owner

Email: 2nd@demo.com

Phone: 12345678

Mobile: 123456789

Notify for Updates: ☒

Update Cancel

2. Edit the fields as required and then select the **Update** ([Update](#)) button at the bottom right of the screen
3. Select either of the **Save and stay** ([Save and stay](#)) or the **Save and return** ([Save and return](#)) buttons to commit the changes
4. A 'Notification' window is displayed asking if you would like to inform the existing participants that a new user has been added. Select the appropriate option from the drop-down boxes if you want to notify all the existing users

Notification

Description of modification
Main 2 User (main2@demo.com) - contact has been updated

Do you wish to inform the participants you have made these changes? ☐ Yes ☒ No

Do existing participants need to reaccept the terms? ☐ Yes ☒ No

4

7.5 Update ISA Contact Details – Delete a Hosted Contact

1. If you would like to delete a contact on an existing list, go to 'Hosted contacts' then click the **Delete** () button

Dashboard | **ISA - Registry** | ISA - Management | DPC | Data Flow | Activity | Organisation Profile | User Preferences | Reports

ISA - Registry > Edit Details

Details | **Contacts** | Organisations | Non-Registered Organisations | DPIA | DPIA Risks/Issues | DPCs

Previous Next

Hosted contacts

Please ensure to press [Save] to commit any changes you have made.

+ Add new record + Add from Organisation Contacts

Name	Roles	Agreement Role	Email	Notify	
George Smith	Caldicott Guardian	Owner	england.dccsupport@nhs.net	<input checked="" type="checkbox"/>	<input type="button" value="Edit"/> <input checked="" type="button" value="x Delete"/>
dfsd sdfsd	Caldicott Guardian	Owner	england.dccsupport@nhs.net	<input checked="" type="checkbox"/>	<input type="button" value="Edit"/> <input checked="" type="button" value="x Delete"/>

Other parties involved

+ Add new record

Name	Type
------	------

Previous Next

1

Are you sure you want to remove this contact?

Doing so will remove access to this organisation for this user.

2

2. Select **OK** to remove the contact. The dialog window closes and the contact details are removed from the ISA
3. Select either of the **Save and stay** () or the **Save and return** () buttons to commit the changes
4. A 'Notification' window is displayed prompting if you would like to inform the existing participants that a new user has been added. Select the appropriate option from the drop-down boxes if you want to notify all the existing users

Notification

Description of modification

Main 2 User (main2@demo.com) - contact has been removed

Do you wish to inform the participants you have made these changes?

Yes

Do existing participants need to reaccept the terms?

No

Cancel Confirm

4

Note: You must have at least one contact associated with the ISA. If you delete the only remaining contact, you will be notified of this.

- At least 1 contact must be specified.

7.6 Update ISA Contact Details – Add Other Parties Involved in ISA Contacts

Dashboard ISA - Registry ISA - Management DPC Data Flow Activity Organisation Profile User Preferences Reports

ISA - Registry > Edit Details

Details Contacts Organisations Non-Registered Organisations DPIA DPIA Risks/Issues DPCs

Previous Next

Hosted contacts

Please ensure to press [Save] to commit any changes you have made.

+ Add new record + Add from Organisation Contacts

Name	Roles	Agreement Role	Email	Notify	
George Smith	Caldicott Guardian	Owner	england.dccsupport@nhs.net	<input checked="" type="checkbox"/>	Edit Delete
dfsdfdsf	Caldicott Guardian	Owner	england.dccsupport@nhs.net	<input checked="" type="checkbox"/>	Edit Delete

Other parties involved

+ Add new record

Name	Type

Previous Next

Save and stay Save and return Cancel

1 4

- Under 'Other parties involved' section, to add a new contact, click the **Add new record** (+ Add new record) button

Edit


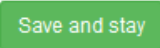
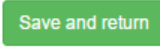
Name Joe Bloggs

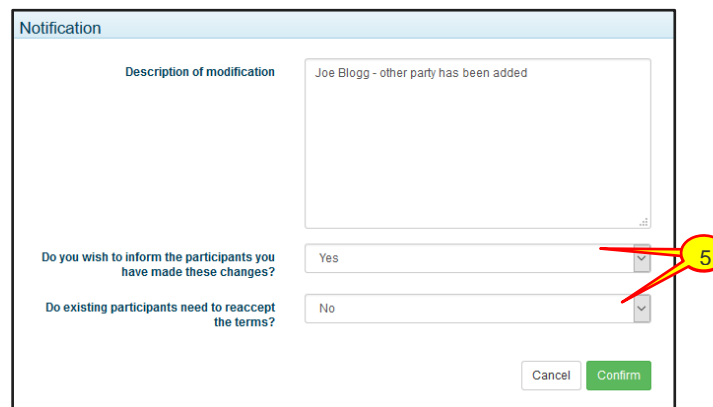
Type Third Sector

Update Cancel

2 3

- A window is displayed with name and type fields. Populate the fields with the other party details

- Click the **Update** () button at the bottom right of the dialog box. The contact details are added to the ISA
- Select either of the **Save and stay** () or the **Save and return** () buttons to commit the changes
- A 'Notification' window is displayed asking if you would like to inform the existing participants that a new user has been added. Select the appropriate option from the drop-down boxes if you want to notify all the existing users

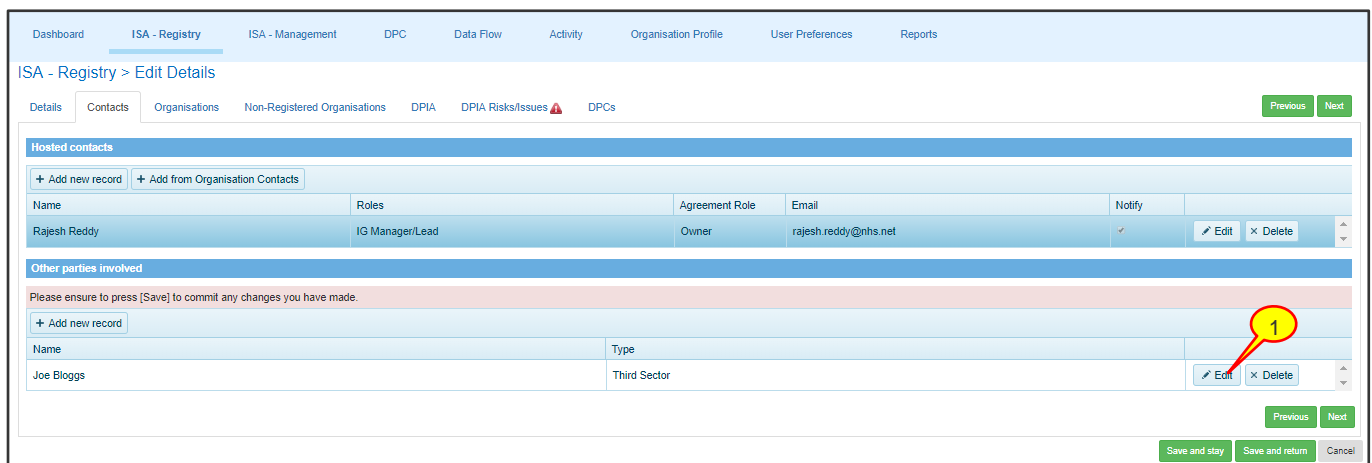


The 'Notification' dialog box contains the following elements:

- Description of modification:** A text area showing 'Joe Blogg - other party has been added'.
- Do you wish to inform the participants you have made these changes?** A dropdown menu with 'Yes' selected.
- Do existing participants need to reaccept the terms?** A dropdown menu with 'No' selected.
- Buttons:** 'Cancel' and 'Confirm' at the bottom right.

Red callout '5' points to the 'Yes' option in the first dropdown menu.


7.7 Update ISA Contact Details – Amend Other Parties Involved in ISA Contacts

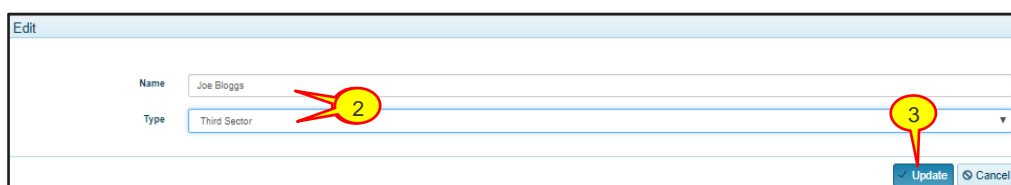


The 'ISA - Registry > Edit Details' screen shows the following sections:

- Hosted contacts:** A table with columns: Name, Roles, Agreement Role, Email, Notify, Edit, Delete. It contains one record for 'Rajesh Reddy'.
- Other parties involved:** A section with a warning message: 'Please ensure to press [Save] to commit any changes you have made.' Below it is a table with columns: Name, Type, Edit, Delete. It contains one record for 'Joe Bloggs'.

Red callout '1' points to the 'Edit' button for 'Joe Bloggs' in the 'Other parties involved' table.


- To amend a listed party, go to 'Other parties involved', click the **Edit** () button adjacent to the contact name. A screen is displayed with name and type fields and details populated
- Amendments the fields as desired

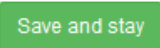
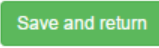


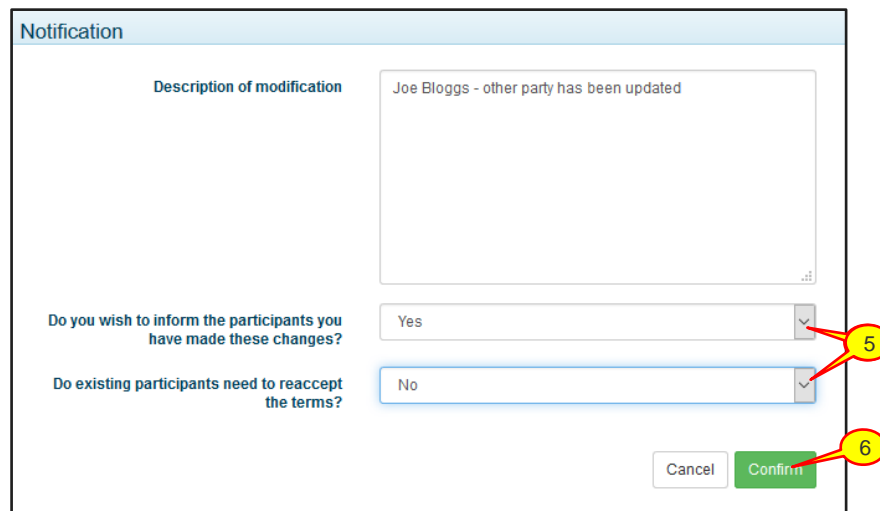
The 'Edit' dialog box contains the following elements:

- Name:** A text field with 'Joe Bloggs' entered.
- Type:** A dropdown menu with 'Third Sector' selected.
- Buttons:** 'Update' and 'Cancel' at the bottom right.

Red callout '2' points to the 'Name' field, and red callout '3' points to the 'Update' button.

- Click the **Update** () button at the bottom right of the screen. The amended contact details are added to the ISA

4. Select either of the **Save and stay** () or the **Save and return** () buttons to commit the changes
5. A 'Notification' window is displayed asking if you would like to inform the existing participants that a new user has been added. Select the appropriate option from the drop-down boxes if you want to notify all the existing users



The 'Notification' dialog box contains the following elements:

- Description of modification:** A text box showing 'Joe Bloggs - other party has been updated'.
- Do you wish to inform the participants you have made these changes?** A dropdown menu with 'Yes' selected.
- Do existing participants need to reaccept the terms?** A dropdown menu with 'No' selected.
- Buttons:** 'Cancel' and 'Confirm' (highlighted with a red circle and number 6).

Red circles with numbers 5 and 6 point to the dropdown menus and the 'Confirm' button respectively.

6. Click the Confirm () button


7.8 Update ISA Contact Details – Delete Other Parties Involved in ISA Contacts

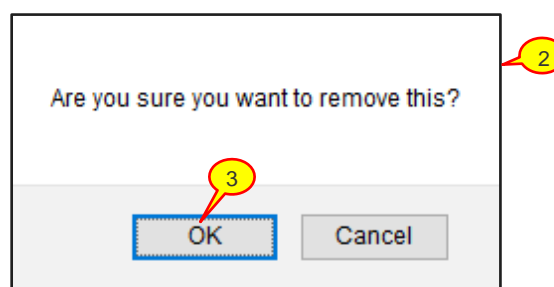


The screenshot shows the 'ISA - Registry > Edit Details' page. The 'Other parties involved' section is highlighted, showing a table with the following data:

Name	Type	Actions
Joe Bloggs	Third Sector	 

A red circle with the number 1 points to the 'Delete' button in the 'Other parties involved' section.

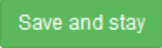
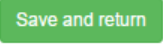
1. To delete a listed party, go to 'Other parties involved', click the **Delete** () button adjacent to the name.
2. A dialog window is displayed with the message 'Are you sure you want to remove this?'

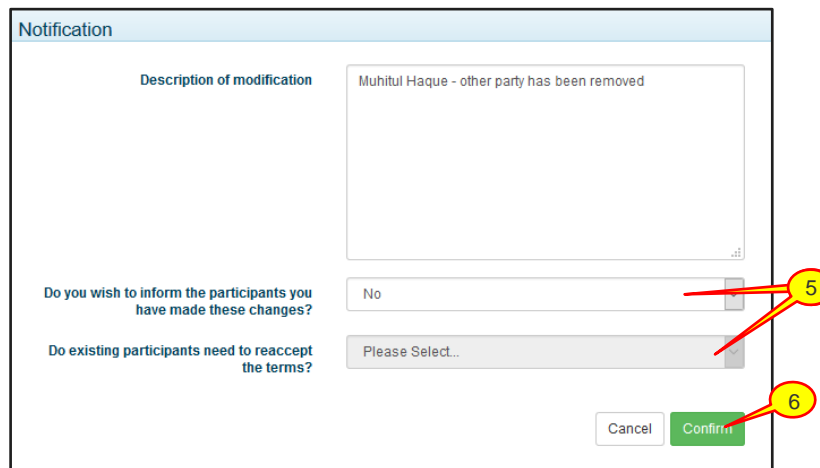


The confirmation dialog box contains the following elements:

- Message:** 'Are you sure you want to remove this?'
- Buttons:** 'OK' (highlighted with a red circle and number 3) and 'Cancel'.

A red circle with the number 2 points to the dialog box.

- Click '**OK**' to remove the record. The dialog window closes and the record is removed from the ISA
- Select either of the **Save and stay** () or the **Save and return** () buttons to commit the changes
- A 'Notification' window is displayed asking if you would like to inform the existing participants that a new user has been added. Select the appropriate option from the drop-down boxes if you want to notify all the existing users.



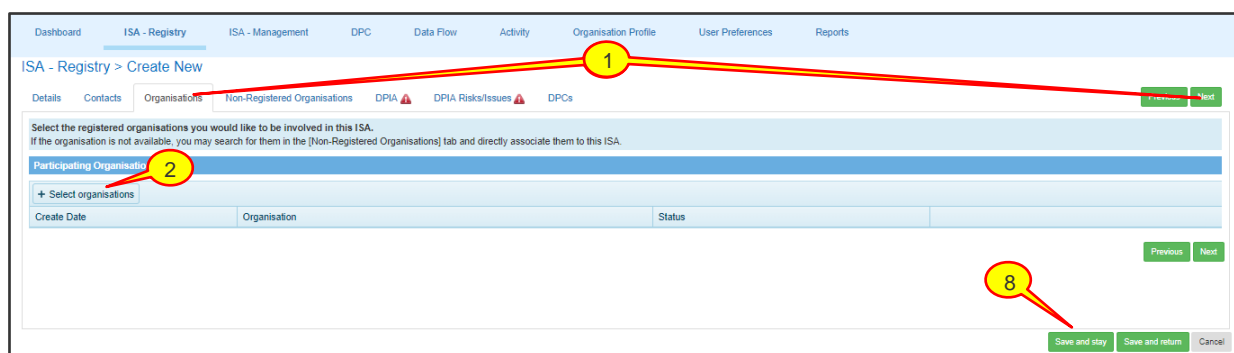
The 'Notification' dialog box displays the following information:

- Description of modification:** Muhitul Haque - other party has been removed
- Do you wish to inform the participants you have made these changes?** No
- Do existing participants need to reaccept the terms?** Please Select...
- Buttons:** Cancel, Confirm

Annotations: A red arrow points from a yellow circle '5' to the 'No' dropdown. Another red arrow points from a yellow circle '6' to the 'Confirm' button.

- Click the **Confirm** () button


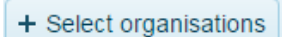
7.9 Add / Remove a Participating Organisation to / from an ISA



The 'ISA - Registry > Create New' screen displays the following elements:

- Navigation tabs:** Dashboard, ISA - Registry, ISA - Management, DPC, Data Flow, Activity, Organisation Profile, User Preferences, Reports
- Sub-tabs:** Details, Contacts, Organisations, Non-Registered Organisations, DPIA, DPIA Risks/Issues, DPCs
- Buttons:** Next (top right), Previous, Next (bottom right), Save and stay, Save and return, Cancel (bottom right)
- Section:** Participating Organisation
- Table:** A table with columns: Create Date, Organisation, Status

Annotations: A red arrow points from a yellow circle '1' to the 'Organisations' tab. Another red arrow points from a yellow circle '2' to the '+ Select organisations' button. A third red arrow points from a yellow circle '8' to the 'Save and stay' button.

- Click on the 'Organisations' tab or at the bottom-right of the screen or select the **Next** () button from the 'Contacts' tab. The participating 'Organisation' screen is displayed
- To invite an organisation onto the ISA, click the **Select organisations** () button

Select Organisations

Please select your search criteria and press the [Search] button.

Name ODS

Region Type

Service Borough

4

3 **5**

3. The 'Select Organisations' pop-up dialog box is displayed
4. You can search for an organisation any combination of these categories:
 - a. Part of their name (i.e. "hospital" or "surgery")
 - b. The STP footprint region
 - c. The services they provide
 - d. The ODS code
 - e. The organisation type
 - f. The boroughs they service
5. Once you have entered the search criteria, click the **Search** () button

Select Organisations

Please select your search criteria and press the [Search] button.

Name ODS

Region Type

Service Borough

Organisation	Type	Region	
test for nro purpose	Other	North East London	<input type="checkbox"/>
0504_IE10	Other	North East London	<input type="checkbox"/>
1204 org	Other	North East London	<input type="checkbox"/>
LONDON AMBULANCE SERVICE NHS TRUST	Other	North East London	<input type="checkbox"/>
Test to reject	Other	North East London	<input type="checkbox"/>
MW New Use Chrome	Ambulance	North East London	<input type="checkbox"/>

6 **7**

6. From the search result place a tick next to the organisation you want to invite onto the ISA
7. Click the **Select** () button
8. You will be prompted to **Confirm** or **Cancel** your selection

Confirmation

Please confirm you wish to add the selected organisation

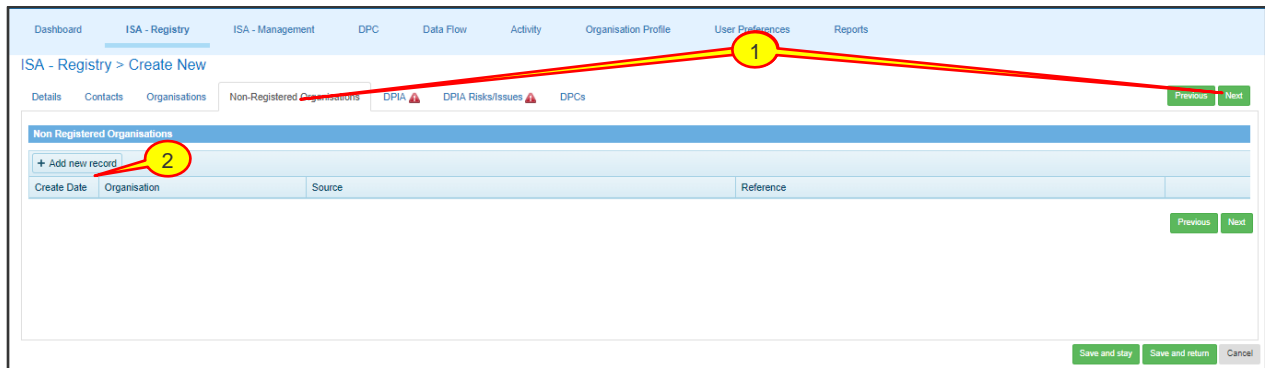
8

9. To remove an organisation from the 'Organisations' tab, select the **Delete** () button adjacent to the organisation name

7.10 Add a 'Non-Registered Organisation' onto an ISA

A Non-Registered Organisation can be an organisation not yet registered in the DCC or a third party entity that are not part of the NHS or Social Care and therefore not eligible to register in the DCC, however, they are a part of an Information Sharing Agreement (ISA).

Currently non-registered organisations can only be added from an existing list of organisations that have been assessed against Information Governance policies and standards and exist in the IG Toolkit.



1. Click on the 'Non-Registered Organisations' tab or at the bottom-right of the screen or select the **Next** () button from the 'Organisations' tab. The 'Non-Registered Organisations' screen is displayed
2. To add an organisation that hasn't yet registered onto the Data Controller Console, select the **Add New Record** () button

3. The 'Add Non-Registered Organisation' form is displayed. You can search for an organisation by the ODS code, ICO reference number or the organisation's name
4. If searching using Name as the search type specify 'Starts with' or 'Contains'
5. Select a **search type** option and enter the **search term** followed by the Search () button

Add Non-Registered Organisation

You can search for organisations using ODS code, ICO reference or Name (slower search)

Search Type ☐ ODS Code ☐ ICO Reference ☒ Name

Search Term

Organisation	Source	Reference	
Steria India (dummy ODS for IGT)	IG Toolkit	YDD90S	Select
Dummy Org	IG Toolkit	ODS123	Select
Dummy Org	Information Commissioner	ICO123	Select

Note: The search results are extracted from the IG Toolkit.

There are quarterly updates of the ICO codes, toolkits and Caldecott Guardian National Register, therefore, it may not hold the most up-to-date records.

- Once the search result generates the desired list, click the **Select** () button to add the Non-Registered Organisation to the ISA
- Click the **Save and stay** () or the **Save and return to dashboard** () button to commit the changes you've made
- A 'Notification' dialog window is displayed with information of the changes made and prompts whether you wish to inform the participants about the changes made

Notification

Description of modification: Hearcare Group Limited - Non-registered organisation has been added

Do you wish to inform the participants you have made these changes? Yes

Do existing participants need to reaccept the terms? No

Cancel Confirm

- Once you have clicked the **Confirm** () button, the 'Notification' dialog screen closes and the 'ISA - Registry' screen is displayed

7.11 Delete a 'Non-Registered Organisation' from an ISA

ISA - Registry > Edit Details

Details Contacts Organisations **Non-Registered Organisations** DPIA Risks/Issues DPCs

Non Registered Organisations

+ Add new record

Create Date	Organisation	Source	Reference	
15-May-2018	SAMARIAID GOGLEDD - ORLLEWIN CYMRU	Information Commissioner	W3291016	Delete

Previous Next

Save and stay Save and return Cancel

1. Select the 'Non-Registered Organisations' tab then select the **Delete** () button
2. You will be prompted with the confirmation dialog box below, Click '**OK**'

Are you sure you want to remove this associated non-registered organisation?

OK Cancel

3. Click the **Save and stay** () or the **Save and return to dashboard** () button to commit the changes you've made
4. A 'Notification' dialog window is displayed with information of the changes made and prompts whether you wish to inform the participants about the changes made

Notification

Description of modification

Hearcare Group Limited - Non-registered organisation has been added

Do you wish to inform the participants you have made these changes? Yes

Do existing participants need to reaccept the terms? No

Cancel Confirm

5. Click the **Confirm** () button. The 'Notification' dialog closes and the 'ISA - Registry' screen is displayed

7.12 Record a DPIA against an ISA

See **section 9 Data Protection Impact Assessment (DPIA)** to complete the mandatory DPIA checklist. When you complete a DPIA it is permanently recorded within the DCC. Although you can amend the answers to the questions and re-save them, you cannot delete or amend how you provided the DPIA details (i.e. digitally or via uploading a DPIA document).

7.13 Add a DPC to your organisations ISA

See **section 13.1 – Add a DPC to your organisations ISA (Add as a host of an ISA)** for more information on how to add a DPC to your organisations ISA.

7.14 Remove a DPC from your organisations IS

Please see **section 13.4 – Remove your organisations DPC from your organisations ISA** for more information on how to remove a DPC from your organisations ISA.

7.15 Terminate an Information Sharing Agreement (ISA)

Title	From Date	To Date	DPIA	Risk Rating	Participant Status				DPC		
					Active	Pending	Incoming	Associated	Host	Part Pending	Part Active
Any Qualified ISA1	22-Feb-2018	21-Feb-2019	Required	Unknown	22	4	1	1	2	4	0
Any Qualified 2	22-Feb-2018	20-Feb-2019	Completed Digitally	Unknown	1	0	0	0	0	0	1
Any Qualified Part ISA3	22-Feb-2018	21-Feb-2019	Not Required - Checklist	Unknown	1	0	0	0	1	0	0
Test Homerton	04-Apr-2018	31-May-2018	Required	Unknown	0	1	0	2	0	0	0
Homerton London	01-May-2018	No end date	Completed Digitally	Unknown	0	1	0	0	0	0	0

1. Click on 'ISA – Registry' from the navigation bar. The ISA - Registry screen is displayed listing all the organisation's ISAs
2. Navigate to the ISA you want terminate by clicking on the ISA title. The 'ISA - Registry > Edit details' screen is displayed with the Details tab screen in focus

ISA - Registry > Edit Details

Reference: NVL/EB4077/102523

Title: Homerton London*****

Description: H

Services:

Created: 04-May-2018 14:03

Valid From: 01/05/2018 To: 01/05/2018 No Expiry Date: ☒

Expiry Notification Date: 01/05/2018 Review Date: 30/05/2018

Version: 3 Auto Increment: ☒

Fair Process Notice: None

Searchable by others?: No

Publish Status: Not Published

Owner: Any Qualified Partner2

Documents:

Version	Date	Title	Category	Description	Reason
1	04-May-2018	hhh	Agreement	nnnnnnf	Initial Version

Buttons: Save and stay, Save and return, Cancel

- On the Details tab, change the valid 'To' field (that is adjacent to the 'Valid From' field), to the date that you want to terminate the ISA
- Update the 'Expiry Notification Date' accordingly so that it's before or the same date as the expiry date

Note: You cannot save record if the notification date is after the 'Valid To' date. Ensure to correct this.

• Expiry Notification Date must be between the Valid From and Valid To dates.

- Click the **Save and stay** (**Save and stay**) or the **Save and return to dashboard** (**Save and return to dashboard**) button to commit the changes you've made
- A 'Notification' pop-up dialog box is displayed detailing the changes made and prompting you if you wish to inform the existing participants about the changes made to the ISA

Notification

Description of modification: ExpiryNotificationDate has changed from [21/01/2018 00:00:00] to [05/02/2018 00:00:00]

Do you wish to inform the participants you have made these changes? Yes

Do existing participants need to reaccept the terms? Yes

Buttons: Cancel, Confirm

8. Manage Participation in an ISA

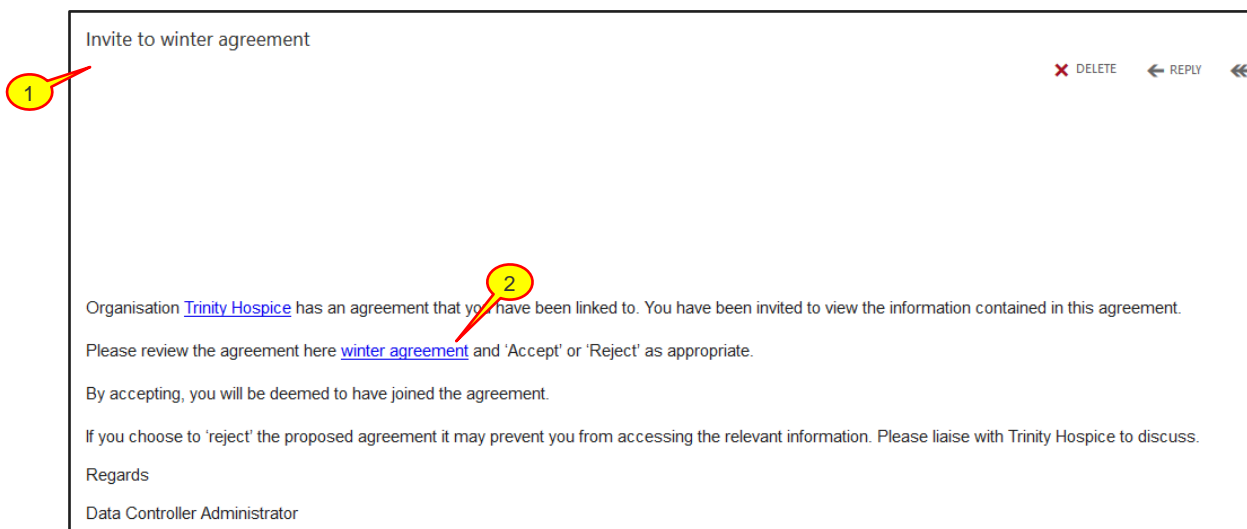
A host organisation can invite an existing organisation within the DCC to participate in its Information Sharing Agreement (ISA). The Organisation Super User or Active User for one organisation can initiate this invitation when creating a new ISA or by updating an existing one to include a given organisation.

When this process of creating or updating the ISA is completed, an email will be generated from the DCC system (no-reply@datacontroller.london) and sent out to the email address of the invited organisation's contact. The contact will then be able to click the link in the email, login to the DCC and accept or reject the invitation to participate in the ISA.

The steps below shows the options available for the organisation contact when an invitation to participate in an ISA is initiated.

8.1 Accept an Invitation Sent by Another Organisation to Join an ISA

1. An email is received with the title 'Invite to [ISA title] agreement' with a message '....Please review the agreement here [ISA title] agreement and 'Accept' or 'Reject' as appropriate.....'



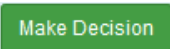
2. Click the link in the email '[title] agreement' to access the ISA details. The link launches and
 - a) If not logged in, the login page is displayed

The screenshot shows the login page of the Data Controller Console. It has a title 'Welcome to the Data Controller Console' and a subtitle 'Login with your username or register using the buttons below.' Below this are two input fields: 'Username' and 'Password'. A green 'Login' button is positioned below the password field. Below the login button is a link 'Forgot your password?'. At the bottom of the form is a green 'Register New Organisation' button.

b) If logged in, the ISA agreement you have been invited to is displayed with a dialog at the top to **Accept**, **Reject** or request further information and place the invite **Under consideration**

Note: The ISA that you are invited to is in read-only mode and its details cannot be edited by you as participant of that ISA.

- Review the ISA details by clicking on the tabs in turn. Then select the **Accept** radio button

- Click the **Make Decision** () button. A dialog window titled 'Confirmation' is displayed with a message 'Please confirm you wish to make this decision'

- Click the **Confirm** () button

8.2 Reject an Invitation Sent by Another Organisation to Join an ISA

Trinity Hospice has an agreement that you have been linked to. You have been invited to view the information contained in this agreement. Please review the agreement here [winter agreement](#) and 'Accept' or 'Reject' as appropriate. By accepting, you will be deemed to have joined the agreement. If you choose to 'reject' the proposed agreement it may prevent you from accessing the relevant information. Please liaise with Trinity Hospice to discuss. Regards Data Controller Administrator'. A yellow callout bubble labeled '1' points to the email title. A yellow callout bubble labeled '2' points to the link 'winter agreement'."/>

- An email is received with the title 'Invite to [ISA title] agreement' with a message '....Please review the agreement here [ISA title] and 'Accept' or 'Reject' as appropriate.....'
- Click the link in the email '[ISA title] agreement' to access the ISA details. The link launches and
 - If not logged in, the login page is displayed

Welcome to the Data Controller Console

Login with your username or register using the buttons below.

Username

Password

Login

[Forgot your password?](#)

Register New Organisation

b) If logged in, the ISA agreement you have been invited to is displayed with a dialog at the top to **Accept**, **Reject** or request further information and place the invite **Under consideration**

ISA - Registry > Details (Read Only)

Your organisation has been invited to participate in this ISA, please make your decision below.

☐ Accept ☒ Reject ☐ Under Consideration

Make Decision

Note: The ISA that you are invited to is in read-only mode and its details cannot be edited by you as a participant of that ISA

- Review the ISA details by clicking on each of the tabs in turn. Then click the 'Reject' radio button. The 'Reject' radio button is selected and a field comes into focus below it with a message 'Please give the reason you wish to reject your participation in this ISA'

ISA - Registry > Details (Read Only)

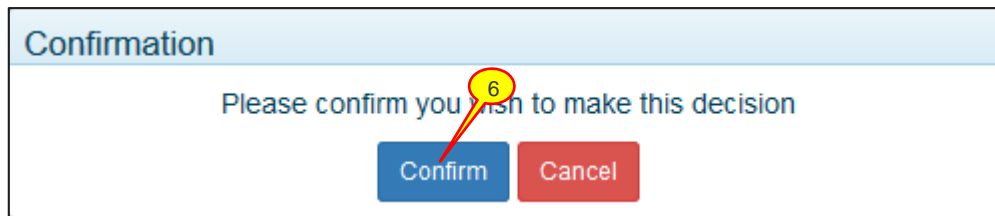
Your organisation has been invited to participate in this ISA, please make your decision below.

☐ Accept ☒ Reject ☐ Under Consideration

Please give the reason you wish to reject your participation in this ISA.

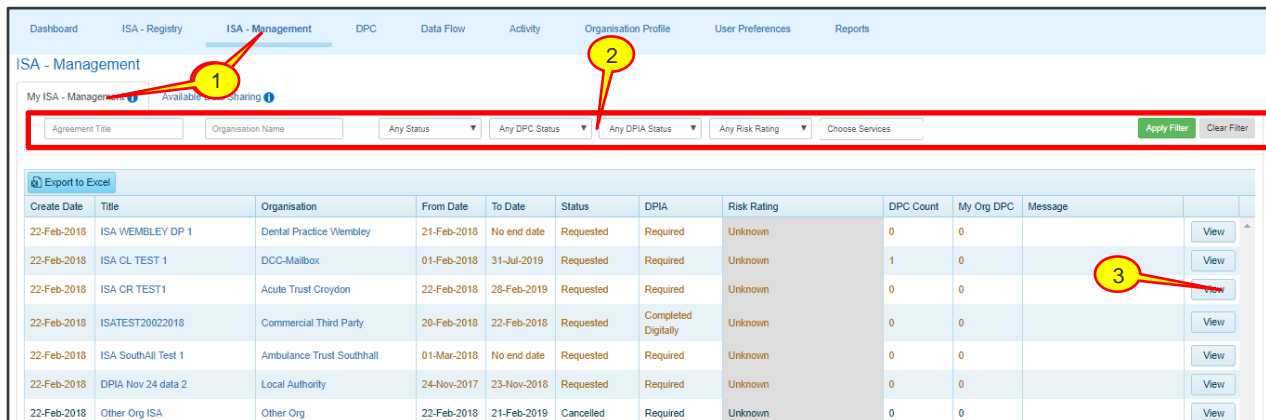
Make Decision

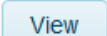
- In the field, enter the reason for rejecting the invitation to join the ISA
- Click the **Make Decision** () button. A dialog window titled 'Confirmation' is displayed with a message 'please confirm you wish to make this decision'



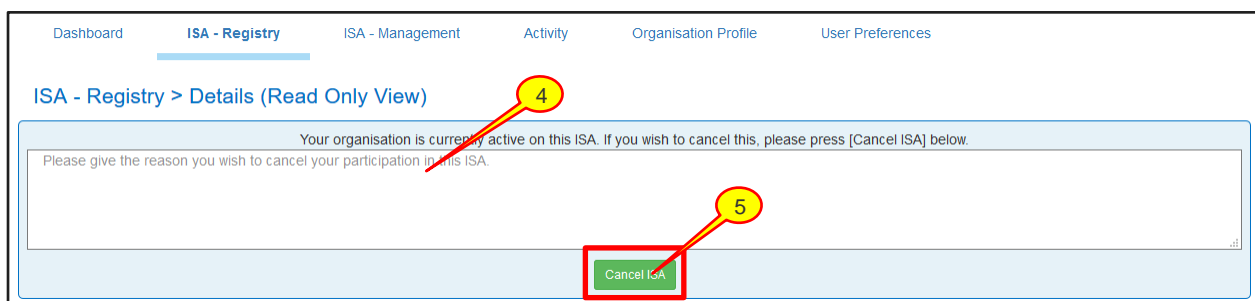
- Click the **Confirm** () button

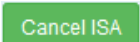
8.3 Cancel Participation in an ISA

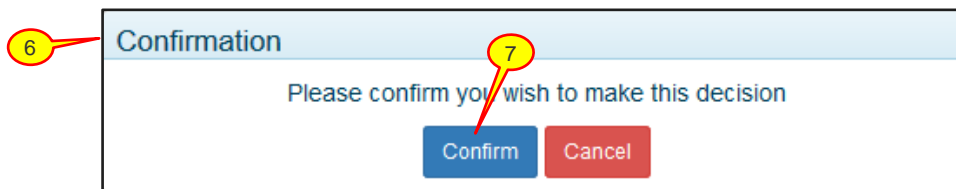


- From the navigation bar at the top, select the 'ISA - Management' tab. The 'ISA - Management' screen is displayed with the 'My ISA - Management' tab.
- Use the search facility under the ISA Management to search for the ISA for which you want to cancel participation. Search results are displayed, and the required ISAs are listed
- Click on the 'ISA Title' or the **View** () button adjacent to the ISA title

Caution: If you select the organisation name, you will be taken to the organisation profile that created the ISA



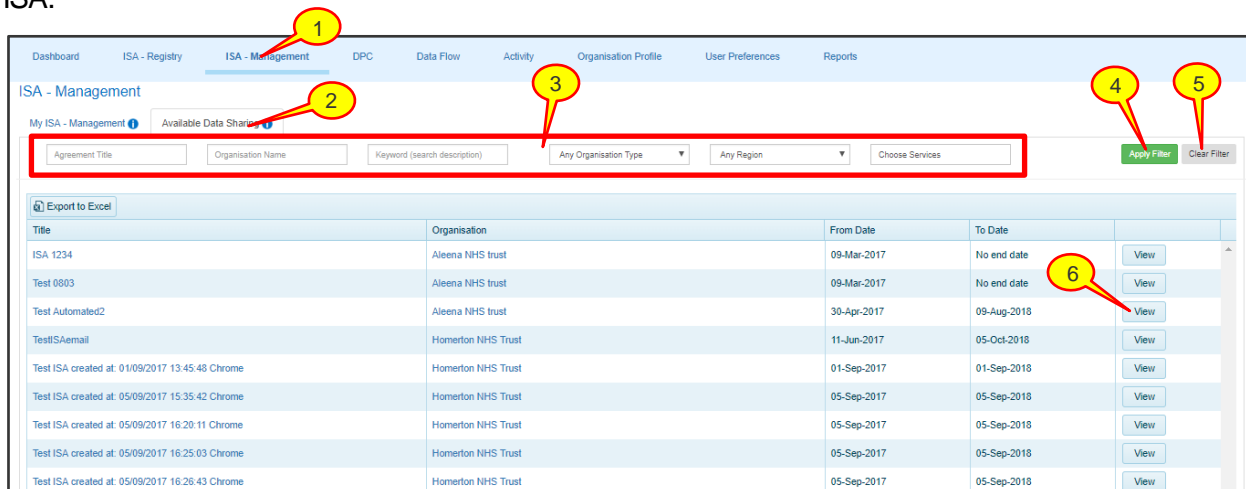
- Enter a reason for cancelling the ISA in the box provided, above the ISA tabs
- Click the **Cancel ISA** () button



6. A dialog window titled 'Confirmation' is displayed with a message 'please confirm you wish to make this decision'
7. Click the **Confirm** () button
8. A message is displayed 'Your organisation has previously cancelled their involvement in this ISA. The reason given was: [*Reason typed into field*] you can request access again if required'

8.4 Request Access to Other Available Information Sharing Agreements


You can request access to an ISA if it's been made available by the host Organisation. Once the host organisation has accepted your request to participate, you will have read only access to the ISA.

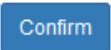


1. Click on 'ISA – Management' tab. The 'ISA - Management' screen is displayed with the 'My ISA - Management' tab in focus
2. Click on the 'Available Data Sharing' tab to select it. The ISA 'Available Data Sharing' screen is displayed with a list of the available ISAs from other organisations that have made their agreements available to join
3. You can then use the search functions to filter for agreements by the following; 'Agreement Title', 'Organisation Name', 'Keyword' in the ISA description, and to filter by 'Organisation Type' and 'Region'
4. Type in your selected field and then click **Apply filter** () button or press the 'Enter/Return' key on the Keyboard
5. To clear the fields and search again, select the **Clear Filter** () button. The Search results are displayed
6. Select the desired ISA from the search results by clicking on the 'Title' or the **View** () button adjacent to the title

Caution: If you click on the organisation name, the profile of the organisation that created the ISA will be displayed and not the ISA details. The 'ISA - Registry > Edit Details' screen is displayed in read-only mode.

7. Review the ISA by clicking on the tabs in turn. The ISA details in the tabs are viewable in read-only mode

8. To request participation in an ISA agreement, select the **Request** () button at the top of the screen. This will bring up another pop-up dialog box. Enter your reason for requesting access to the ISA

9. Click the **Confirm** () button. The 'ISA - Registry > Edit Details' screen is refreshed and a message is displayed 'Your organisation has requested access to this ISA and is awaiting a decision'. The organisation contact will receive an email notification when a decision is made

9. Data Protection Impact Assessment (DPIA)

9.1 What is a DPIA?

Article 35 of the General Data Protection Regulation (GDPR) refers to Data Protection Impact Assessments (DPIAs) as a tool which help organisations identify, assess and mitigate or minimise privacy risks with data processing activities. They're particularly relevant when a new data sharing or processing, system or technology is being introduced.

DPIAs also support the accountability principle, as they help organisations comply with the requirements of the GDPR and demonstrate that appropriate measures have been taken to ensure compliance.

9.2 When should a DPIA checklist be completed?

The GDPR mandates a DPIA to be completed where data processing “is likely to result in a high risk to the rights and freedoms of natural persons”.

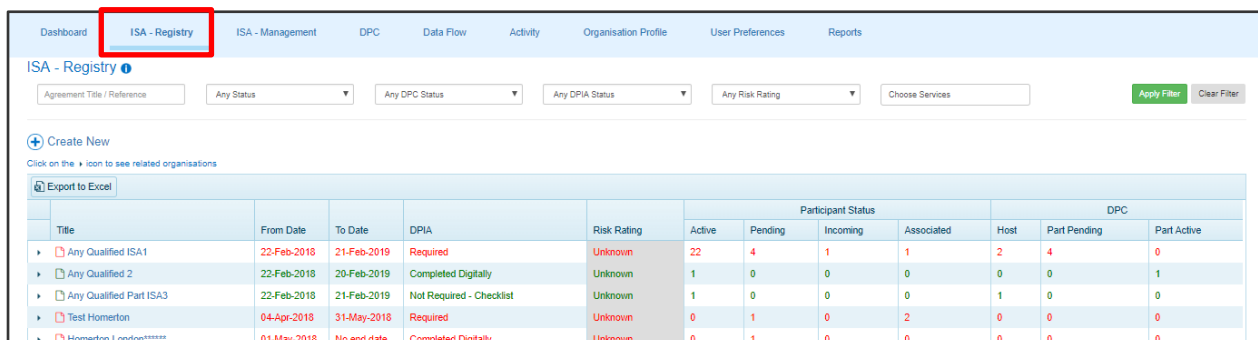
A DPIA should be completed as early as possible within any new project lifecycle, so that its findings and recommendations can be incorporated into the design of the processing operation.

Known as privacy by design, the embedding of data privacy features into the design of projects can have the following benefits:

- Potential problems are identified at an early stage.
- Addressing problems early will often be simpler and less costly.
- Increased awareness of privacy and data protection across the organisation.
- Organisations will be less likely to breach the GDPR.
- Actions are less likely to be privacy intrusive and have a negative impact on individuals.

9.3 How do I complete a DPIA checklist?

As a host of an ISA you can see a 'DPIA' column in the 'ISA – Registry' table which indicates the DPIA status for each ISA.



Title	From Date	To Date	DPIA	Risk Rating	Participant Status						
					Active	Pending	Incoming	Associated	Host	Part Pending	Part Active
Any Qualified ISA1	22-Feb-2018	21-Feb-2019	Required	Unknown	22	4	1	1	2	4	0
Any Qualified 2	22-Feb-2018	20-Feb-2019	Completed Digitally	Unknown	1	0	0	0	0	0	1
Any Qualified Part ISA3	22-Feb-2018	21-Feb-2019	Not Required - Checklist	Unknown	1	0	0	0	1	0	0
Test Homerton	04-Apr-2018	31-May-2018	Required	Unknown	0	1	0	2	0	0	0
Homerton London*****	01-May-2018	No end date	Completed Digitally	Unknown	0	1	0	0	0	0	0

When creating a new ISA, the host can choose to carry out the DPIA checklist straight away or complete this at a later date. When attempting to save an ISA that doesn't have a completed DPIA, users will see the following message:

Confirmation

DPIA details are required. You may choose to continue but this ISA will feature in the **DPIA Checklist Required** count in the Summary on the Dashboard.

Please confirm you wish to continue to save.

Confirm
Cancel

The ISA will be marked as ‘Checklist required’.

The following DPIA statuses exist within the DCC:

DPIA Status	DPIA Stage	Description
Checklist Required	Prior to DPIA checklist	All ISA hosts are required to complete the DPIA checklist in order to save an ISA. Selecting ‘ Do nothing now ’ for the DPIA checklist will mark the ISA as “Checklist Required” for future completion. Leaving the DPIA checklist blank or incomplete will not allow you to save the checklist questions. All 10 questions must be completed and saved to get an checklist outcome.
Not Required - Historic	Prior to DPIA checklist	Selecting the ‘ Mark DPIA not required as historic ISA ’ option indicates that this ISA is no longer active or has expired.
Not Required - Checklist	After DPIA checklist	After the 10 DPIA checklist questions have been completed, the outcome is that a DPIA is not required.
Required	After DPIA checklist or Prior to DPIA outcome	After the 10 DPIA checklist questions, the outcome are that a DPIA is required and you will have the options to complete this digitally or by uploading a document. Selecting the ‘ do nothing now ’ for the DPIA outcome will mark the ISA as “Required”.
Completed Digitally	DPIA outcome	Selecting the ‘ Complete Digitally ’ option will enable DPIA outcome panel to display the ability to record your DPIA.
Completed by Upload	DPIA outcome	Selecting ‘ Upload document to library ’ option will record that the DPIA is uploaded via the ‘ISA Registry – Details’ tab and a document of type DPIA is be uploaded in the document library.

9.4 DPIA Checklist

When creating an ISA, it is a mandatory requirement to answer the DPIA checklist questions to find out if a DPIA is required.

Caution: Please be careful when completing a DPIA. Once a DPIA checklist has been completed or a DPIA has been digitally created / uploaded, it cannot be removed. However, you are able to amend the information that you have previously recorded.

The screenshot displays the 'ISA - Registry > Edit Details' page. The 'DPIA' tab is selected in the top navigation bar (callout 1). The left panel, labeled 'DPIA Checklist Panel', contains seven questions (callout 2) regarding information sharing. The right panel, labeled 'DPIA Panel', shows the outcome of the checklist (callout 3) and a section for providing answers to all questions.

1. Select the 'DPIA' tab from the **ISA – Registry > Create New** screen
2. Complete the DPIA checklist questions that appear in the DPIA checklist panel, as per the table below:

DPIA Checklist questions	Response
1. What type of information are you sharing?	Options: <input type="checkbox"/> Personal Identifiable <input type="checkbox"/> Personal Non-Identifiable <input type="checkbox"/> Business <input type="checkbox"/> Corporate
2. Is it new data?	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Unsure
3. What is the purpose?	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Unsure
4. Does the information sharing introduce new or additional technologies?	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Unsure
5. Does the information sharing about the individual raise privacy concerns?	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Unsure
6. Does the information sharing involve you using new technology which might be perceived as being intrusive? For example, the use of data to make a decision about care that's automated?	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Unsure
7. Will information about individuals be disclosed to organisations or people who have not previously had routine access to the information?	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Unsure

8. Will the project require you to contact individuals in ways which they may find intrusive	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Unsure
9. Will 3 or more organisations be involved in sharing the information?	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Unsure
10. Will the information sharing involve new or significantly changed consolidation, inter-linking, cross referencing or matching of personal data from multiple sources?	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Unsure
11. Is any adult or children data involved?	<input type="radio"/> Adult's data <input type="radio"/> Both Adult's and Children's data <input type="radio"/> Children's data <input type="radio"/> Neither Adult's nor Children's data

9.5 DPIA

The DPIA panel will only be enabled after completing the checklist questions (in the previous section).

The screenshot displays the 'ISA - Registry > Edit Details' page. The 'DPIA' tab is selected, showing a checklist of questions for a Data Protection Impact Assessment. The 'DPIA Checklist Panel' is highlighted with a yellow box, and the 'DPIA Panel' is highlighted with a red box. The DPIA Panel contains a message: 'The outcome of the checklist is that a DPIA should be recorded. Please provide answers to all questions. You may also upload a copy of your DPIA to the library in the details tab if you wish.' Below this, there are fields for 'Date assessed or reviewed?' and 'Assessed by?'.

DPIA Checklist Panel

DPIA Panel

9.5.1. Complete DPIA digitally

3. Provide the answers to the DPIA outcome, as per the table below:

DPIA Outcome questions	Response
Date assess or reviewed?	Enter a date
Are there privacy notices to enable information sharing?	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Unsure
Do you have a defined subject access request process?	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Unsure
What is the lawful basis for processing information?	Select the applicable option(s) from the available checkboxes
Are the new purposes for processing information stated in the current ISA likely to be identified in the future?	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Unsure
Have all organisations sharing or consuming information met the minimum IG Toolkit Level 2?	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Unsure
Will any information stated in the ISA be transferred outside EEA?	<input type="radio"/> Yes <input type="radio"/> No
If required, do you or any parties subject to the ISA have the means to make changes to the data?	<input type="radio"/> Yes <input type="radio"/> No
Is there a section within the ISA that covers Data Quality?	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Unsure
Does the organisation and agreement comply with records management code?	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Unsure
Is your information security proportional to the sensitivity of the data being transferred?	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Unsure
Select the data covered?	Select the applicable option(s) from the available checkboxes

9.5.2.Upload a copy of your DPIA

1. Navigate to the ISA details tab
2. Click on '**Upload new**' button

Provide details

Title Data Processing Impact Assessment

Description DPIA available by upload

Category DPIA

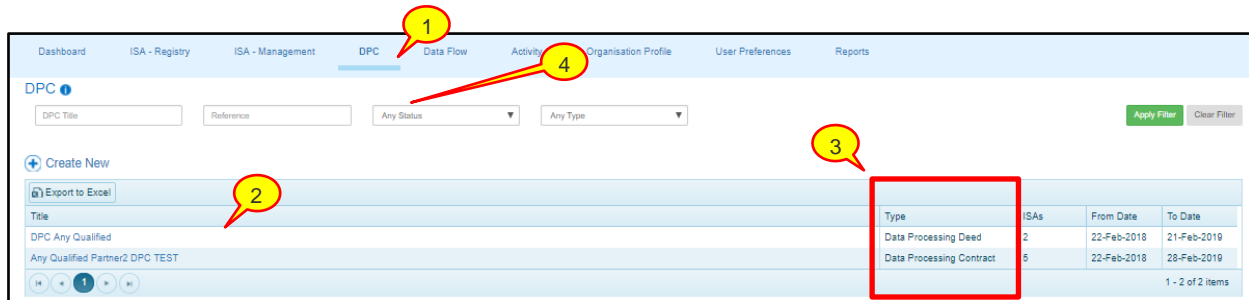
Choose File...

Max file size: 20240 KB

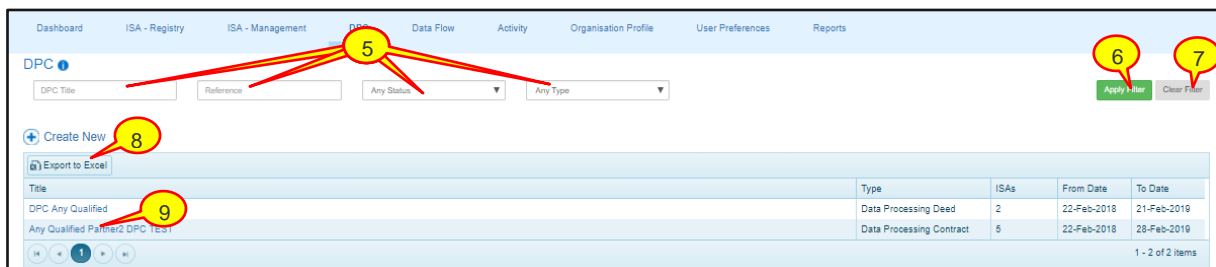
3. Enter the DPIA *Title*, *Description* and *Category*
4. Select the **Choose File...** button to upload your DPIA to the DCC document library
5. Click the **Save and stay** (Save and stay) or the **Save and return** (Save and return) button to commit the changes


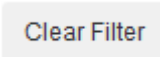
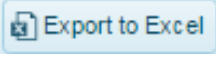
10. Search for and view Data Processing Contracts (DPCs)

10.1 Search for and view DPCs that your organisation is hosting



1. Select the 'DPC' tab from the navigation bar
2. The DPC screen is displayed with a table listing all the DPCs that your organisation is hosting and managing
3. The column labelled **ISAs** shows the number of ISAs the DPCs are associated with
4. Above the list of DPCs, a search facility is available with search boxes and filter drop-downs allowing you to view your DPCs by *Title*, *Reference*, *Status* and by the data processing *Type*



5. Enter your search preferences in the *Title* or *Reference* search fields. You can also narrow down your search by selecting the 'Any Status' or 'Any Type' filter, if required, from the drop-down lists
6. To display the results, select the **Apply Filter** () button or press the 'Enter/Return' key on the keyboard
7. To clear the fields and search again, select the **Clear Filter** () button
8. To transfer the ISA and DPC table data to a Microsoft Excel file, click on the **Export to Excel** () button above the list of DPCs
9. Select the desired DPC from the search result by clicking on the DPC title. The 'DPC – Edit Details' screen is displayed for you to amend your organisations DPC

10.2 Search for and view your DPCs attached to your organisations ISAs

Under the 'ISA – Registry' tab, you can view all of the DPCs that have been added to your organisations ISA as well as approve / reject all incoming DPCs that another organisation have requested to add to your ISA.

Dashboard

ISA - Registry

ISA - Management

DPC

Data Flow

Activity

Organisation Profile

User Preferences

Reports

ISA - Registry

Agreement Title / Reference

Any Status

Any DPC Status

Any DPIA Status

Any Risk Rating

Choose Services

Apply Filter

Clear Filter

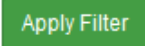
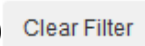
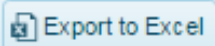
Create New

Click on this to see related organisations

Export to Excel

Title	From Date	To Date	DPIA	Risk Rating	Participant Status				DPC			
					Active	Pending	Incoming	Associated	Host	Part Pending	Part Active	
Any Qualified IP	22-Feb-2018	21-Feb-2019	Required	Unknown	22	4	1	1	2	4	0	
Any Qualified 2	22-Feb-2018	20-Feb-2019	Completed Digitally	Unknown	1	0	0	0	0	0	1	
Any Qualified Part ISA3	22-Feb-2018	21-Feb-2019	Not Required - Checklist	Unknown	1	0	0	0	1	0	0	
Test Homerton	04-Apr-2018	31-May-2018	Required	Unknown	0	1	0	2	0	0	0	
Homerton London*****	01-May-2018	No end date	Completed Digitally	Unknown	0	1	0	0	0	0	0	

1 - 5 of 5 items

1. Click on 'ISA – Registry' from the navigation tabs. The 'ISA – Registry' screen is displayed with all of the ISAs that your organisation is hosting
2. The 'ISA – Registry' tab contains a table with useful information about the DPC that are attached to each ISA you are hosting
3. The **DPC Host** column shows the number of DPCs that your organisation has attached to each ISA
4. The **DPC Part Pending** column shows the number of DPCs that another organisation has attached to your organisations ISA and is awaiting for you to action or a decision is pending from your organisation
5. The **DPC Part Active** column will show the number of DPCs from other organisation that have been accepted on to your organisations ISAs
6. Above the list of your organisations ISAs, you have the ability to filter the list of ISAs by those that have DPCs or do not have DPCs attached
7. To display the results, select the **Apply Filter** () button or press the 'Enter/Return' key on the keyboard
8. To clear the fields and search again, select the **Clear Filter** () button
9. To transfer the ISA and DPC table data to a Microsoft Excel file, click on the **Export to Excel** () button above the list of ISAs
10. To view the DPCs that your organisation have attached, click on one of your organisations ISA title that have DPCs associated with it (Note: check that **DPC Host** column has a positive value)

ISA - Registry > Edit Details

Details Contacts Organisations Non-Registered Organisations DPIA DPIA Risks/Issues DPCs

Data Processing Contracts

+ Add DPC

Create Date	DPC Title	Organisation	Type	From Date	To Date	Status	
22-Feb-2018	DPC Any Qualified	Any Qualified Partner2	Data Processing Deed	22-Feb-2018	21-Feb-2019	Accepted	Delete
22-Feb-2018	Any Qualified Partner2 TEST	Any Qualified Partner2	Data Processing Contract	22-Feb-2018	28-Feb-2019	Accepted	Delete
22-Feb-2018	DPC Test	Dental Practice Wembley	Data Processing Contract	01-Nov-2017	30-Nov-2017	Pending	Accept Reject
22-Feb-2018	Test 03rd Nov	Dental Practice Wembley	Data Processing Contract	02-Nov-2017	No end date	Pending	Accept Reject
22-Feb-2018	Alto DPC 24 Oct	Acute Trust Croydon	Data Processing Deed	24-Oct-2017	23-Jan-2018	Pending	Accept Reject
28-Feb-2018	DPIA LA DPC	LA DPIA	Data Processing Deed	23-Nov-2017	22-Nov-2018	Pending	Accept Reject

Previous Next

Save and stay Save and return Cancel

11. Then select the 'DPCs' tab

12. The Data Processing Contracts screen will display a list of all DPCs associates with this ISA and any pending DPC requests that is waiting for your organisation to make a decision on

Note: The red triangle () icon on a tab indicates that an action is required, or a decision is pending from your organisation

13. You can action these requests by selecting either the **Accept / Reject** () button adjacent to the DPC title

14. To view the details of the DPC, select the *DPC title* from the list and the details will be displayed in a new browser tab

10.3 Search for and view your DPCs attached to other organisations ISAs

Under the 'ISA – Management' tab, you can view all of the DPCs that you have added to another organisations ISA as a participant of that ISA. When you add a DPC to other organisations ISA, the DPCs tab will be marked as decision pending from the host organisation of the ISA.

ISA - Management

My ISA - Management Available Data Sharing

Agree Organisation Name Active Any DPC Status Any DPIA Status Any Risk Rating Choose Services Apply Filter Clear Filter


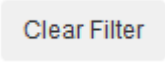
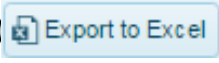
DPC

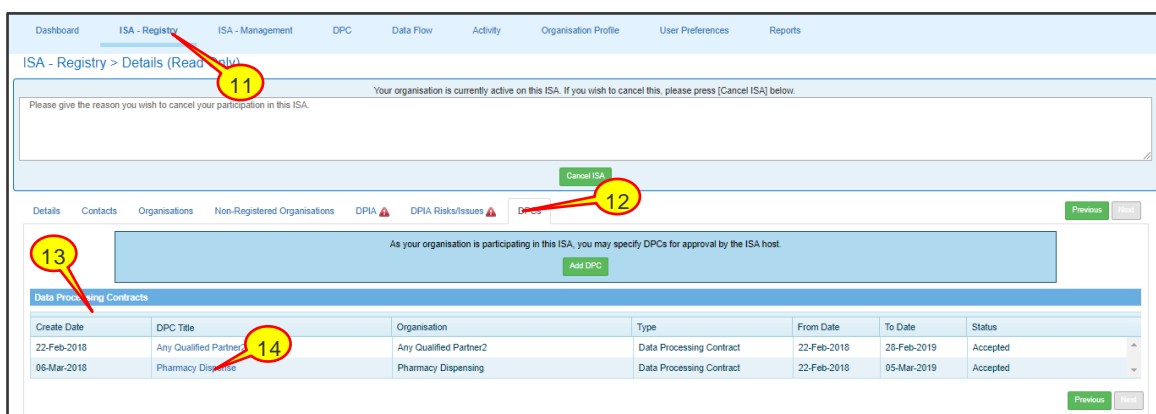
Create Date	Title	Organisation	From Date	My Org DPC	DPIA	Risk Rating	DPC Count	My Org DPC	Message	
22-Feb-2018	Voluntary ISA1	Voluntary Sector	22-Feb-2018	No DPC	Completed Digitally	Unknown	0	0		View
22-Feb-2018	Mental Health RWL ISA1	Mental Health Trust	01-Feb-2018	01-Jul-2019	Active	Required	Unknown	0	0	View
22-Feb-2018	Secondary Use Org NEL ISA1	Secondary Use Organisation	22-Feb-2018	30-Nov-2018	Active	Required	Unknown	0	0	View
22-Feb-2018	Prison NEL ISA1	Prison	22-Feb-2018	No end date	Active	Required	Unknown	0	0	View
22-Feb-2018	Community Health Provider SEL ISA1	Community Health Provider	01-Mar-2018	01-Jul-2018	Active	Required	Unknown	0	0	View
22-Feb-2018	Commission support UNIT SEL ISA1	Commission Support Unit	22-Feb-2018	No end date	Active	Required	Unknown	0	0	View
22-Feb-2018	Pharmacy Dispense NWL ISA1	Pharmacy Dispensing	21-Feb-2018	No end date	Active	Required	Unknown	2	1	View
22-Feb-2018	Local Authority ISA1	Local Authority	26-Feb-2018	31-May-2018	Active	Required	Unknown	0	0	View
22-Feb-2018	Imperial Test ISA1	Imperial Test Unit 2	22-Feb-2018	01-Dec-2018	Active	Not Required - Checklist	Unknown	4	1	View

1. Click on the 'ISA – Management' tab from the navigation tabs


- The 'My ISA – Management' tab is displayed with a list of all of the ISAs that your organisation is participating in
- The 'My ISA – Management' tab contains a table with useful information about the DPCs that are attached to each of the ISAs that your organisation is participating in
- The **DPC Count** column shows the total number of DPCs that are attached to an ISA
- The **My Org DPC** column shows the number of DPCs from your organisation that are attached to an ISA

Note: Any ISAs that you have been invited to must first be **accepted** by your organisation (Active status) before you can add a DPC to that participating ISA

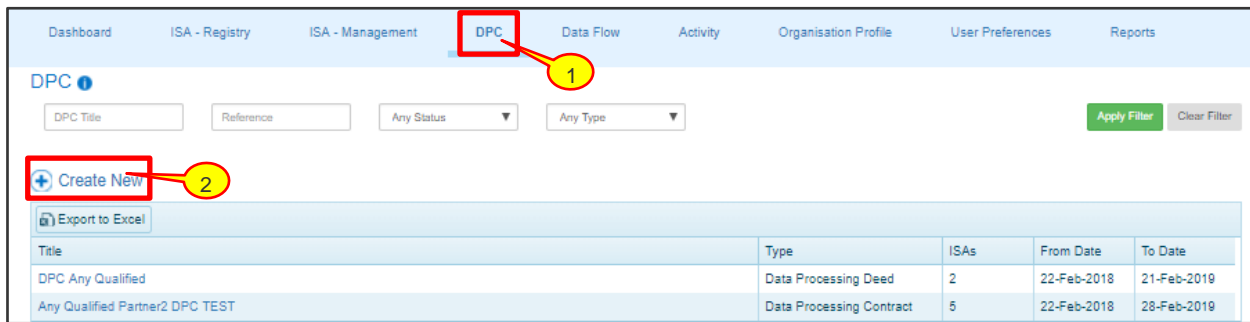
- Above the list of the participating ISAs, you have the ability to filter the list of ISAs with DPCs attached, those that have My Org DPCs or those with No DPC attached
- Select an appropriate option from the 'Any DPC Status' drop-down field then click the **Apply Filter**  button to show you the filtered results
- To clear the fields and search again, select the **Clear Filter**  button
- To transfer the ISA and DPC table data to a Microsoft Excel file, click on the **Export to Excel**  button above the list of ISAs
- To view the DPCs that your organisation has attached, click on one of the ISAs your organisations is participating in (Note: check that **My Org DPC** column has a positive value)



- The 'ISA – Registry > Details (Read Only)' screen is displayed for you to view the ISA and the DPCs associated with it
- Select the 'DPCs' tab
- The Data Processing Contracts screen will display a list of all DPCs associated with this ISA and their status
- To view the details of the DPC, select the *DPC title* from the list and the details will be displayed in a new browser tab

Note: The red triangle () icon on a tab indicates that an action is required, or a decision is pending from the host organisation

11. Create a Data Processing Contract (DPC)



1. Click on the 'DPC' tab from the Navigation bar. The DPC registry page is displayed with a list of all your organisations hosted DPCs
2. Click on the **Create New** (+ Create New) button to display the 'DPC > Create New' screen


11.1 Create DPC & upload contract

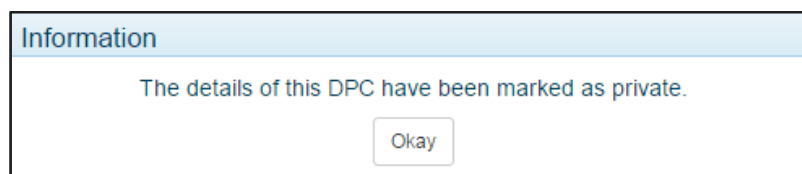
Creating a new Data Processing Contract (DPC) requires completing two tabs; the 'Details' tab and the processing 'Organisations' tabs. The third tab; 'ISAs' will not display any information until the DPC is linked to an ISA.


- **Details:** contains the metadata information about the DPC as well as the electronic copy of the contract/agreement
- **Organisations:** contains the list of all of the data processing organisations that can be added to the contract/agreement
- **ISAs:** Displays a list of all Information Sharing Agreements (ISAs) this DPC is associated with

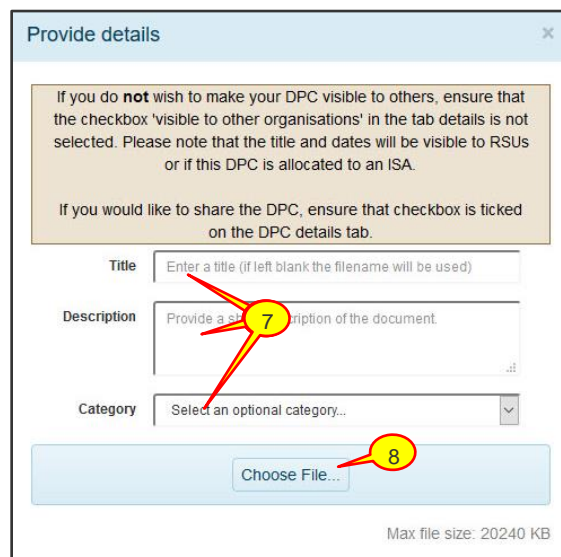
1. Under the 'Details' tab, populate all required fields (pink boxes are mandatory) as per the DPC agreement. Enter the *Title*, *Type* and the *Description* of the data processing contract
2. Enter a 'Valid From' and valid 'To' date using the calendar icons (📅). Enter an 'Expiry Notification Date' which will automatically send an email notification to the users in your organisation informing them that this DPC will need to be actioned

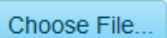
3. If the DPC doesn't have an expiry date, then place a tick on the **No Expiry Date** check box on the right of the *valid 'To'* date field
4. You will be required to enter a review date for the DPC given an ongoing DPC should be reviewed regularly and kept up-to-date
5. To make the DPC transparent and allow other organisations to view it, ensure that the 'Visible to other organisations?' check box is ticked. If you wish to mark the DPC as 'private' and don't want other organisations to view it, then ensure that you leave this box unchecked.

Note: If you mark a DPC as private, other organisations attempting to view it will see a padlock () icon next to the DPC title and will not be able to view the DPC. The message below will be displayed.



6. Finally, to upload the electronic copy of the contract, select the **Upload New** ( **Upload New**) link

A "Provide details" dialog box with a light blue header and a close button (X) in the top right. The main content area has a light beige background with instructional text. Below the text are three input fields: "Title" with a placeholder "Enter a title (if left blank the filename will be used)", "Description" with a placeholder "Provide a description of the document", and "Category" with a dropdown menu showing "Select an optional category...". At the bottom is a large blue button labeled "Choose File...". Red arrows with yellow circles containing the numbers 7 and 8 point to the "Description" field and the "Choose File..." button respectively. At the bottom right, it says "Max file size: 20240 KB".

7. The 'Provide details' dialogue box is displayed. Enter the *Title* and *Description* then select the *category* from the drop-down field
8. Select the **Choose File...** () button to search and upload your document

11.2 Add a processing 'Organisation' to your DPC

1. To add a processing organisation to your DPC, select the 'Organisations' tab in the 'DPC > Edit Details' screen
2. Select the **Add new record** (**+ Add new record**) button

3. The 'Add Organisation' dialog box is displayed
4. Search for the processing organisation by selecting the **Search Type** and **Name Search Type** if required then enter the **Search Term** in the relevant fields
5. Select the **Search** (**Search**) button to display the result

Organisation	Source	Reference	
Testvale Surgery (J82132)	IG Toolkit	J82132	Select
TESTON & WATERINGBURY NURSERY GROUP	Information Commissioner	Z1270559	Select

6. When the desired result is displayed, click the **Select** button adjacent to the processing organisation name
7. The 'Add Organisation' dialog box view will change (screen below)

The screenshot shows the 'Add Organisation' form. Callout 7 points to the form title. Callout 8 points to the 'Type' dropdown menu. Callout 9 points to the 'Notes' text area. Callout 10 points to the 'First Name' input field. Callout 11 points to the 'Return to Search' button. Callout 12 points to the 'Save' button. The form includes fields for Organisation (TEST INSPECT LTD), Type (Please select...), Notes (Optional - may be used for additional contact or other details.), and a section for DPO contact details with fields for First Name, Last Name, Email, Phone, and Mobile. At the bottom are buttons for 'Return to Search', 'Save', and 'Cancel'.

8. From the **Type** drop-down field select the role this processing organisation will have in the DPC
9. Enter an optional Note for the processing organisation that may be relevant
10. Record the DPO contact details section
11. If required, you can search for other DPC processing organisations by selecting the Return to Search (**Return to Search**) button
12. select the **Save** (**Save**) button

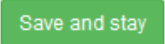
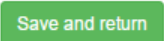
The screenshot shows the 'Processing organisations' section of the DPC console. Callout 13 points to the 'Organisation' column in the table, which contains 'TEST INSPECT LTD'. Callout 14 points to the 'Save and stay' button at the bottom right. The table has columns for Create Date, Organisation, Type, DPO, Notes, Source, Reference, and actions (Edit, Delete). A message above the table states: 'Please ensure to press [Save] to commit any changes you have made'.

13. The organisation will be added to your list of processing organisations section
14. Click the **Save and stay** (**Save and stay**) or the **Save and return** (**Save and return**) button to commit the changes

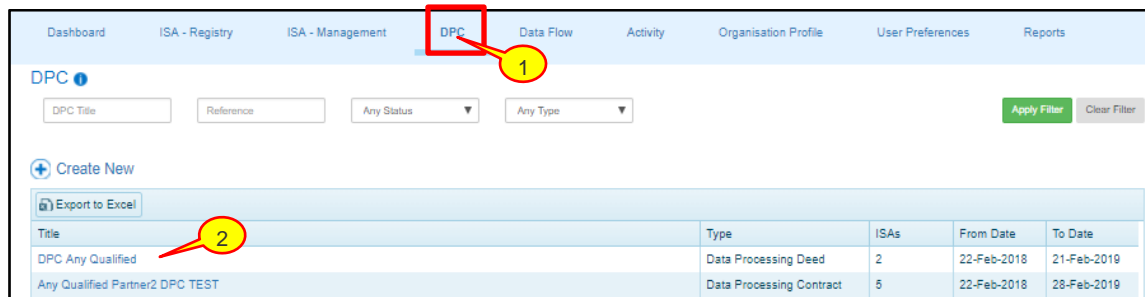
12. Maintain a Data Processing Contract(DPC)

12.1 Edit & Update your organisations DPC

1. To amend information in your organisations DPC, select the 'DPC' tab from the navigations bar
2. Select the DPC title that you want to edit from the list of existing DPCs that your organisation is hosting

3. Amend the fields as necessary
4. Once you have finished amending the fields, click the **Save and stay** () or the **Save and return** () button to commit the changes

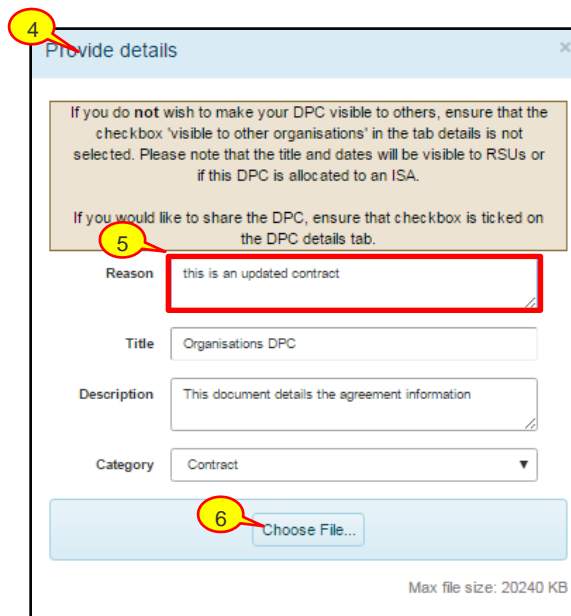
12.2 Upload New Version of a document in your organisations DPC



1. To upload a new version of a DPC contract to your organisations DPC, select the 'DPC' tab from the navigation bar
2. Select the DPC title that you want to update



3. At the 'Documents' section at the bottom of the 'DPC > Edit Details' screen, select the **New Version** (**New Version**) button adjacent to the document title



4. The 'Provide details' pop-up dialog box will be displayed
5. Enter a reason for this update and amend any fields as necessary
6. Select the **Choose File...** (**Choose File...**) button to search and uploaded the new document
7. Once you have finished uploading the document, click the **Save and stay** (**Save and stay**) to view and ensure the new version has been created or the **Save and return** (**Save and return**) button to commit the changes

12.3 Delete a document from your organisations DPC

Note: You must have at least one document with the category 'Contract' otherwise you will not be able to delete the document.

1. To delete a document from your organisations DPC, select the 'DPC' tab from the navigations bar
2. Select the *DPC title* that you want to remove the document from

3. An the 'Documents' section at the bottom of the 'DPC > Edit Details' screen, select the **Delete** () button adjacent to the document title

4. The 'Confirm delete' pop-up dialog box will be displayed
5. If the document has more than one version, you will be given the option to delete all versions of the document. Select the check box if you wish to delete all versions of this document
6. Provide a reason for this delete and then select the **Delete** () button to remove the document(s) from the DPC
7. Once you are done, click the **Save and stay** () to review your deletion or the **Save and return** () button to commit the changes

12.4 Mark your DPC as Private (Restrict others from viewing the DPC)

Title	Type	ISAs	From Date	To Date
DPC Any Qualified	Data Processing Deed	2	22-Feb-2018	21-Feb-2019
Any Qualified Partner2 DPC TEST	Data Processing Contract	5	22-Feb-2018	28-Feb-2019

1. To mark your DPC as private and restrict other organisation from viewing the DPC details, select the 'DPC' tab from the navigation bar
2. Select the DPC you want to mark as private

DPC > Edit Details

Details Organisations ISAs

Reference: NWLN00DS/102458/DPC

Title: DPC Any Qualified

Type: Data Processing Deed

Description: DPC Any Qualified

Created: 22-Feb-2018 09:51

Valid From: 22/02/2018 To: 21/02/2019 No Expiry Date: ☐

Expiry Notification Date: 01/02/2019 Review Date: dd/mm/yyyy

Visible to other organisations?: No

Owner: Any Qualified Partner2

Documents

Version	Date	Title	Category	Description	Reason	
2	24-May-2018	dfs	Contract	dasfads	update	New Version Details

Save and stay Save and return Cancel

3. In the 'Details' tab, ensure 'visible to other organisations?' is set to No
4. Once you are done, click the **Save and stay** (Save and stay) or the **Save and return** (Save and return) button to commit the changes

12.5 To terminate a Data Processing Contract

Dashboard ISA - Registry ISA - Management **DPC** Data Flow Activity Organisation Profile User Preferences Reports

DPC ⓘ

DPC Title Reference Any Status Any Type Apply Filter Clear Filter

+ Create New

Export to Excel

Title	Type	ISAs	From Date	To Date
DPC Any Qualified	Data Processing Deed	2	22-Feb-2018	21-Feb-2019
Any Qualified Partner2 DPC TEST	Data Processing Contract	5	22-Feb-2018	28-Feb-2019

1. To terminate or end an existing data processing contract, select the 'DPC' tab
2. Select the DPC you want to terminate from the list of existing *DPC Titles*

Dashboard ISA - Registry ISA - Management **DPC** Data Flow Activity Organisation Profile User Preferences Reports

DPC > Edit Details

Details Organisations ISAs

Reference NWL/NOODS/102458/DPC ⓘ

Title DPC Any Qualified

Type Data Processing Deed

Description DPC Any Qualified

Created 22-Feb-2018 09:51

Valid From 22/02/2018 To 21/02/2019 No Expiry Date

Expiry Notification Date 01/02/2019 Review Date dd/mm/yyyy

Visible to other organisations? Yes

Owner Any Qualified Partner2

Documents

Version	Date	Title	Category	Description	Reason	
1	22-Feb-2018	dfs	Contract	dasfasd	Initial Version	New Version Delete

Save and stay Save and return Cancel

3. On the DPC 'Details' tab, change the valid 'To' field (that is adjacent to the 'Valid From' field), to the date that you want to terminate the DPC
4. Update the 'Expiry Notification Date' accordingly so that it is before or the same date as the expiry date

Note: You cannot save record if the notification date is after the 'Valid To' date. Ensure to correct this.

- Expiry Notification Date must be between the Valid From and Valid To dates.

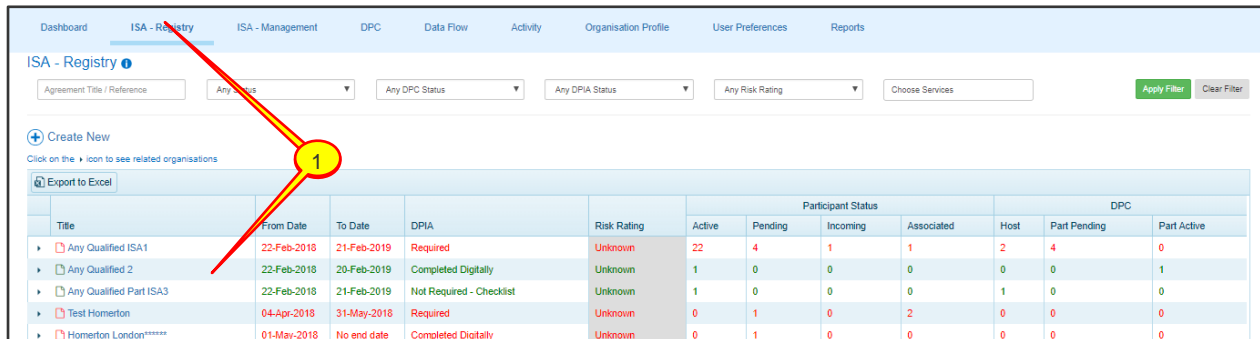
5. Once done, click the **Save and stay** (**Save and stay**) or the **Save and return** (**Save and return**) button to commit the changes

Note: The **DPC Expired** category in Summary section of the Dashboard will indicate to any organisation associated with this DPC that it has now expired.

13. Manage Data Processing Contract association

13.1 Add a DPC to your organisations ISA (Add as a host of an ISA)

To add a DPC to an ISA that your organisation is hosting, you must first create the data processing contract from within the DPC tab. Please see **Section 11. How to create a DPC**



ISA - Registry

Agreement Title / Reference: Any DPCs: Any DPC Status: Any DPIA Status: Any Risk Rating: Choose Services: [Apply Filter] [Clear Filter]

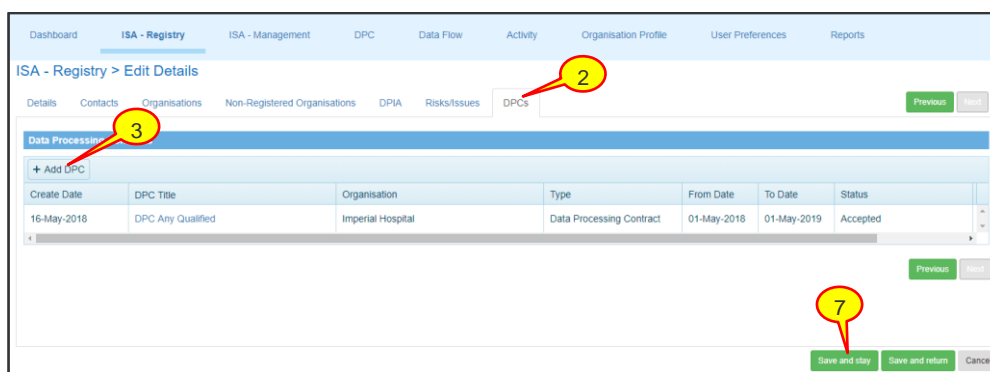
+ Create New

Click on the + icon to see related organisations

Export to Excel

Title	From Date	To Date	DPIA	Risk Rating	Active	Participant Status			DPC		
						Pending	Incoming	Associated	Host	Part Pending	Part Active
Any Qualified ISA1	22-Feb-2018	21-Feb-2019	Required	Unknown	22	4	1	1	2	4	0
Any Qualified 2	22-Feb-2018	20-Feb-2019	Completed Digitally	Unknown	1	0	0	0	0	0	1
Any Qualified Part ISA3	22-Feb-2018	21-Feb-2019	Not Required - Checklist	Unknown	1	0	0	0	1	0	0
Test Homerton	04-Apr-2018	31-May-2018	Required	Unknown	0	1	0	2	0	0	0
Homerton London*****	01-May-2018	No end date	Completed Digitally	Unknown	0	1	0	0	0	0	0

1. From the 'ISA – Registry' tab select the *ISA title* you would like to add your DPC to



ISA - Registry > Edit Details

Details Contacts Organisations Non-Registered Organisations DPIA Risks/Issues DPCs [Previous] [Next]


Data Processing

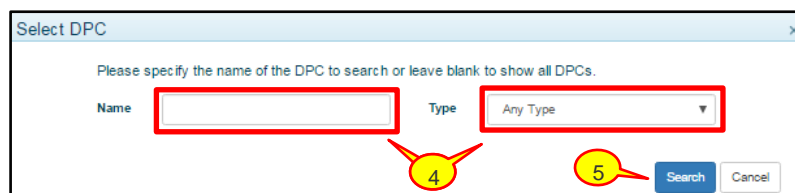
+ Add DPC

Create Date	DPC Title	Organisation	Type	From Date	To Date	Status
16-May-2018	DPC Any Qualified	Imperial Hospital	Data Processing Contract	01-May-2018	01-May-2019	Accepted

[Previous] [Next]

[Save and stay] [Save and return] [Cancel]

2. From the 'ISA Registry – Edit Details' screen, select the 'DPCs' tab
3. Select the **Add DPC** () button on the top left of the Data Processing Contracts table




Select DPC

Please specify the name of the DPC to search or leave blank to show all DPCs.

Name Type Any Type

[Search] [Cancel]

4. From the 'Select DPC' pop-up dialog box, search for the DPC by the *name* or by the contract/deed/agreement *type*
5. Select the **Search** () button. Leave it blank to show a list of all the DPCs that your organisation is hosting

Select DPC

Please specify the name of the DPC to search or leave blank to show all DPCs.

Name Type Data Processing Contract

Title	Type	From Date	To Date	
GP Practice 1 - DPC	Data Processing Contract	01-Oct-2017	12-Oct-2017	
NHS E - DPC	Data Processing Contract	06-Oct-2017	08-Oct-2017	Select
Hospital 1 - Data Processing Contract	Data Processing Contract	01-Oct-2017	12-Oct-2017	Select
Jana DPC	Data Processing Contract	10-Oct-2017	31-Oct-2017	Select
DPC Test 2 Jana	Data Processing Contract	12-Oct-2017	No end date	Select
Test 3 DPC	Data Processing Contract	12-Oct-2017	No end date	Select
muhituls DPC	Data Processing Contract	02-Oct-2017	27-Oct-2017	Select

Search Cancel

Note: DPCs that have already been added to this ISA will be flagged with a red triangle () icon

- On the 'Select DPC' dialog box, click the **Select** () button adjacent to the DPC title to add it to the ISA
- Once done, click the **Save and stay** () or the **Save and return** () button at the bottoms of the page to commit the changes
- A 'Notification' window will be displayed asking if you would like to inform the existing participants that a new DPC has been added. Select the appropriate option from the drop-down boxes if you want to notify the existing users
- click the **confirm** button

Notification

Description of modification Jana DPC [TEST OSU ORG1] - DPC has been added

Do you wish to inform the participants you have made these changes? Yes

Do existing participants need to reaccept the terms? No

Cancel Confirm

13.2 Add a DPC to another organisations ISA (Add as a participant of an ISA)

To add a DPC to an ISA that another organisation is hosting, you must first create the data processing contract from within the DPC tab. Please see **Section 11. How to create a DPC**. You must also ensure that you are a participant of the ISA that the other organisation is hosting. You cannot add a DPC to an ISA that you are not participating in.

ISA - Management

My ISA - Management Available Data Sharing

Agreement Title Organisation Active Any DPC Status Any DPIA Status Any Risk Rating Choose Services Apply Filter Clear Filter

Export to Excel

Create Date	Title	Organisation	From Date	DPC	DPIA	Risk Rating	DPC Count	My Org DPC	Message	
22-Feb-2018	Voluntary ISA1	Voluntary Sector	22-Feb-2018	No DPC	Completed Digitally	Unknown	0	0		View
22-Feb-2018	Mental Health NWL ISA1	Mental Health Trust	01-Feb-2018	01-Jul-2019 Active	Required	Unknown	0	0		View
22-Feb-2018	Secondary Use Org NEL ISA1	Secondary Use Organisation	22-Feb-2018	30-Nov-2018 Active	Required	Unknown	0	0		View
22-Feb-2018	Prison NEL ISA1	Prison	22-Feb-2018	No end date Active	Required	Unknown	0	0		View
22-Feb-2018	Community Health Provider SEL ISA1	Community Health Provider	01-Mar-2018	01-Jul-2018 Active	Required	Unknown	0	0		View
22-Feb-2018	Commission support UNIT SEL ISA1	Commission Support Unit	22-Feb-2018	No end date Active	Required	Unknown	0	0		View
22-Feb-2018	Pharmacy Dispense NWL ISA1	Pharmacy Dispensing	21-Feb-2018	No end date Active	Required	Unknown	2	1		View
22-Feb-2018	Local Authority ISA8	Local Authority	26-Feb-2018	31-May-2018 Active	Required	Unknown	0	0		View
22-Feb-2018	Imperial Test ISA1	Imperial Test Unit 2	22-Feb-2018	01-Dec-2018 Active	Not Required - Checklist	Unknown	4	1		View

1. From the 'ISA – Management' tab ensure you are on the 'My ISA - Management' sub-tab
2. Select the 'Active' ISA that you would like to add your DPC to by clicking on the *ISA Title* and not the Organisations name

ISA - Registry > Details (Read Only)

Your organisation is currently active on this ISA. If you wish to cancel this, please press [Cancel ISA] below.

Please give the reason you wish to cancel your participation in this ISA.

Details Contacts Organisations Non-Registered Organisations DPIA Risks/Issues DPCs Previous Next

As your organisation is participating in this ISA, you may specify DPCs for approval by the ISA host.

Add DPC

Data Processing Contracts

Create Date	DPC Title	Organisation	Type	From Date	To Date	Status
16-May-2018	DPC Any Qualified	Imperial Hospital	Data Processing Contract	01-May-2018	01-May-2019	Pending

Previous Next


3. From the 'ISA - Registry > Details (Read Only)' screen, select the 'DPCs' tab
4. Select the **Add DPC** (**Add DPC**) button at the top of the Data Processing Contracts table

Select DPC

Please specify the name of the DPC to search or leave blank to show all DPCs.

Name Type Any Type








Search Cancel



5. From the 'Select DPC' pop-up dialog box, search for the DPC that you want to attach using the DPC *name* or by the contract/deed/agreement *type*
6. Click the **Search** () button. Leave the fields blank to show a list of all of the DPCs that your organisation is hosting


Select DPC


Please specify the name of the DPC to search or leave blank to show all DPCs.

Name Type

Title	Type	From Date	To Date	
GP Practice 1 - DPC	Data Processing Contract	01-Oct-2017	12-Oct-2017	
NHS E - DPC	Data Processing Contract	06-Oct-2017	08-Oct-2017	
Hospital 1 - Data Processing Contract	Data Processing Contract	01-Oct-2017	12-Oct-2017	
Jana DPC	Data Processing Contract	10-Oct-2017	31-Oct-2017	
DPC Test 2 Jana	Data Processing Contract	12-Oct-2017	No end date	
Test 3 DPC	Data Processing Contract	12-Oct-2017	No end date	
muhitul's DPC	Data Processing Contract	02-Oct-2017	27-Oct-2017	

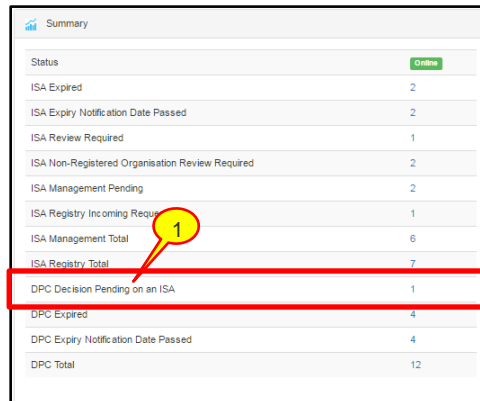
 

Note: DPCs that have already been added to this ISA will be flagged with a red triangle () icon

7. Click the **Select** () button adjacent to the *DPC title* to add it to the ISA then confirm that you want to request this DPC be added to the ISA
8. The host organisation of this ISA will receive an email notification asking them to review the DPC and either Approve or Reject the submission

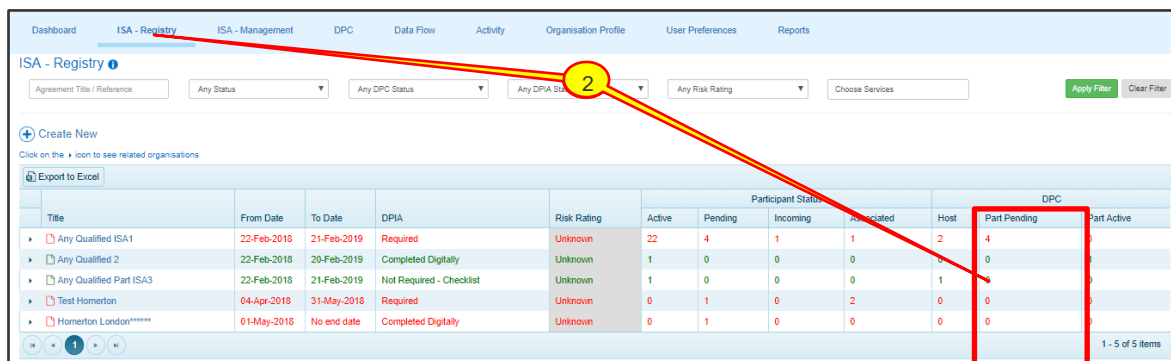
13.3 Approve or reject another organisations DPC request

As an Organisation Super User (OSU), you will receive an email notification as well being able to see the number of **DPC Decision Pending on an ISA** in your Dashboard tab's 'Summary' section.



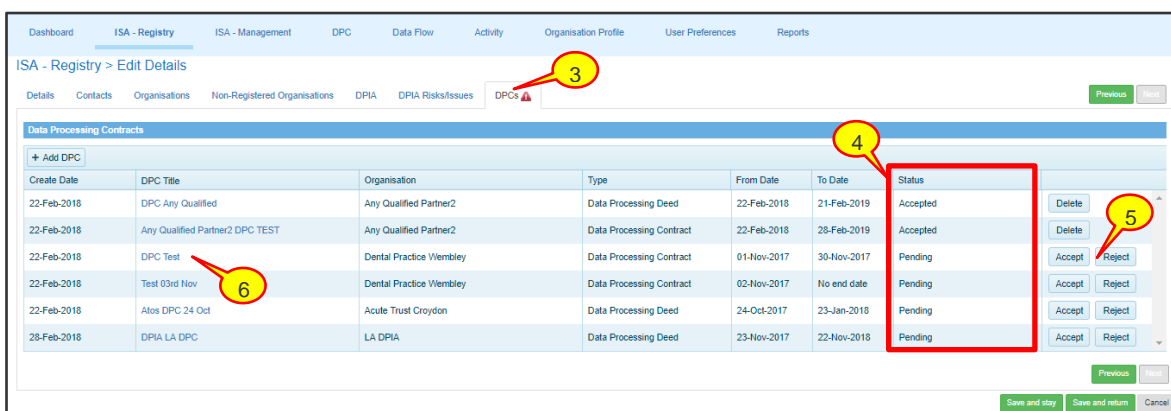
Summary	
Status	Online
ISA Expired	2
ISA Expiry Notification Date Passed	2
ISA Review Required	1
ISA Non-Registered Organisation Review Required	2
ISA Management Pending	2
ISA Registry Incoming Request	1
ISA Management Total	6
ISA Registry Total	7
DPC Decision Pending on an ISA	1
DPC Expired	4
DPC Expiry Notification Date Passed	4
DPC Total	12

1. To action a request to approve / reject a DPC, select either the notification above or the number adjacent to the **DPC Decision Pending** category on the DCC dashboard



ISA - Registry												
Agreement Title / Reference: <input type="text"/> Any Status: <input type="text"/> Any DPC Status: <input type="text"/> Any DPC Status: <input type="text"/> Any Risk Rating: <input type="text"/> Choose Services: <input type="text"/> Apply Filter Clear Filter												
+ Create New Click on the + icon to see related organisations Export to Excel												
Title	From Date	To Date	DPIA	Risk Rating	Active	Pending	Incoming	Associated	Host	DPC		
										Part Pending	Part Active	
Any Qualified ISA1	22-Feb-2018	21-Feb-2019	Required	Unknown	22	4	1	1	2	4		
Any Qualified 2	22-Feb-2018	20-Feb-2019	Completed Digitally	Unknown	1	0	0	0	0	0		
Any Qualified Part ISA3	22-Feb-2018	21-Feb-2019	Not Required - Checklist	Unknown	1	0	0	0	1	0		
Test Homerton	04-Apr-2018	31-May-2018	Required	Unknown	0	1	0	2	0	0		
Homerton London*****	01-May-2018	No end date	Completed Digitally	Unknown	0	1	0	0	0	0		

2. Alternatively, you can go directly to the 'ISA - Registry' tab and select the ISA that require(s) your attention. The **DPC Part Pending** column will indicate how many DPCs within this ISA are waiting for you to action. Select the ISA to action



ISA - Registry > Edit Details									
Details Contacts Organisations Non-Registered Organisations DPIA DPIA Risks/Issues DPCs Previous Next									
Data Processing Contracts									
Create Date	DPC Title	Organisation	Type	From Date	To Date	Status			
22-Feb-2018	DPC Any Qualified	Any Qualified Partner2	Data Processing Deed	22-Feb-2018	21-Feb-2019	Accepted	Delete		
22-Feb-2018	Any Qualified Partner2 DPC TEST	Any Qualified Partner2	Data Processing Contract	22-Feb-2018	28-Feb-2019	Accepted	Delete		
22-Feb-2018	DPC Test	Dental Practice Wembley	Data Processing Contract	01-Nov-2017	30-Nov-2017	Pending	Accept	Reject	
22-Feb-2018	Test 03rd Nov	Dental Practice Wembley	Data Processing Contract	02-Nov-2017	No end date	Pending	Accept	Reject	
22-Feb-2018	Altos DPC 24 Oct	Acute Trust Croydon	Data Processing Deed	24-Oct-2017	23-Jan-2018	Pending	Accept	Reject	
28-Feb-2018	DPIA LA DPC	LA DPIA	Data Processing Deed	23-Nov-2017	22-Nov-2018	Pending	Accept	Reject	

3. Select the 'DPCs' tab
4. The **Status** column in the 'DPCs' tab will list all DPCs that require a decision with a label "Pending"

5. Select the **Accept** or **Reject** buttons adjacent to each ISA to either accept or reject the DPC association
6. To view the DPC select the *DPC Title** and check through each of the tabs (Details, Organisations and ISAs) to ensure that you are happy to accept the DPC association

Caution: *Clicking on the participants DPC title will open the DPC in a new tab. This allows the hosting organisation to save any amendments to the ISA they may have made to the ISA without losing data

13.4 Remove your organisations DPC from your organisations ISA

Dashboard

ISA - Registry

Management

DPC

Data Flow

Activity

Organisation Profile

User Preferences

Reports

ISA - Registry

Agreement Title / Reference

Any Status

Any DPC Status

Any DPIA Status

Any Risk Rating

Choose Services

Apply Filter

Clear Filter

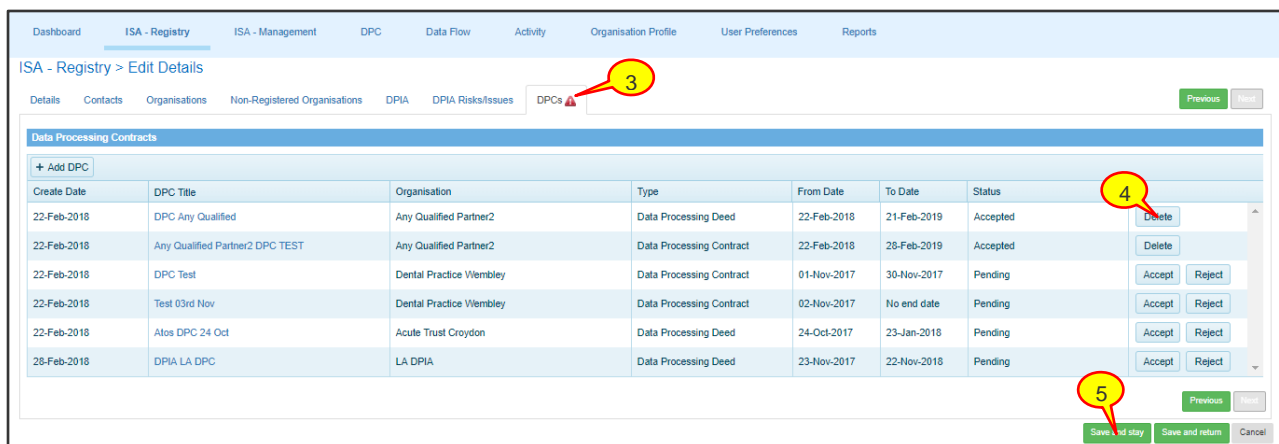
Create New

Click on the icon to see related organisations


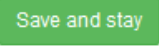
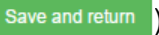
Export to Excel

Title	From Date	To Date	DPIA	Risk Rating	Participant Status				DPC		
					Active	Pending	Incoming	Associated	Host	Part Pending	Part Active
Any Qualified 1	22-Feb-2018	21-Feb-2019	Required	Unknown	22	4	1	1	2	4	0
Any Qualified 2	22-Feb-2018	20-Feb-2019	Completed Digitally	Unknown	1	0	0	0	0	0	1
Any Qualified Part ISA3	22-Feb-2018	21-Feb-2019	Not Required - Checklist	Unknown	1	0	0	0	1	0	0
Test Homerton	04-Apr-2018	31-May-2018	Required	Unknown	0	1	0	2	0	0	0
Homerton London*****	01-May-2018	No end date	Completed Digitally	Unknown	0	1	0	0	0	0	0

1. Select the 'ISA – Registry' tab
2. Select the ISA that you wish to remove the DPC from



Create Date	DPC Title	Organisation	Type	From Date	To Date	Status	
22-Feb-2018	DPC Any Qualified	Any Qualified Partner2	Data Processing Deed	22-Feb-2018	21-Feb-2019	Accepted	Delete
22-Feb-2018	Any Qualified Partner2 DPC TEST	Any Qualified Partner2	Data Processing Contract	22-Feb-2018	28-Feb-2019	Accepted	Delete
22-Feb-2018	DPC Test	Dental Practice Wembley	Data Processing Contract	01-Nov-2017	30-Nov-2017	Pending	Accept Reject
22-Feb-2018	Test 03rd Nov	Dental Practice Wembley	Data Processing Contract	02-Nov-2017	No end date	Pending	Accept Reject
22-Feb-2018	Alot DPC 24 Oct	Acute Trust Croydon	Data Processing Deed	24-Oct-2017	23-Jan-2018	Pending	Accept Reject
28-Feb-2018	DPIA LA DPC	LA DPIA	Data Processing Deed	23-Nov-2017	22-Nov-2018	Pending	Accept Reject

3. Select the 'DPCs' tab
4. Select the **Delete** ( Delete) button adjacent to the *DPC title* that your organisation had previously added
5. Once done, click the **Save and stay** () or the **Save and return** () button at the bottoms of the page to commit the changes

13.5 Remove your organisations DPC from a participating ISA

To delete or completely remove your organisations DPC from an ISA that you are participating in, follow the instructions in **Section 12.5 To terminate a data processing contract.**

14. Activity

The Activity tab contains a record of all actions carried out within your organisation by all users.

14.1 View Audit List and Search for Entries

Date	Narrative
05-Mar-2018 12:17:13	Status set to: 'PENDING' for agreement 'Any Qualified ISA1' with organisation 'Invite Report'
05-Mar-2018 12:17:10	Organisation 'Invite Report' has been invited to 'Any Qualified ISA1' agreement
05-Mar-2018 12:17:10	Agreement 'Any Qualified ISA1' has been updated for 'Any Qualified Partner2'
01-Mar-2018 17:22:52	Agreement 'Any Qualified ISA1' has been updated for 'Any Qualified Partner2'
01-Mar-2018 17:07:48	Agreement 'Any Qualified 2' has been updated for 'Any Qualified Partner2'
23-Feb-2018 13:53:40	Agreement 'Any Qualified 2' has been updated for 'Any Qualified Partner2'

1. Click on 'Activity' tab from the navigation bar. The Activity screen is displayed listing all ISA, DPIA and DPC activities in date order
2. To search the audit list, enter the search preferences in the search fields at the top. Enter a 'Date from' and a 'Date to' to search by date range, or enter a value in the 'Narrative' field to search by narrative
3. Click the **Apply Filter** () button or press the 'Enter/Return' key on the Keyboard
4. To extract the filtered information onto an Excel file, select the **Export to Excel** button
5. To clear the fields and search again, select the **Clear Filter** () button at the top-right of the screen. Search fields are cleared, and all activity is listed

15. Manage Organisation Profile

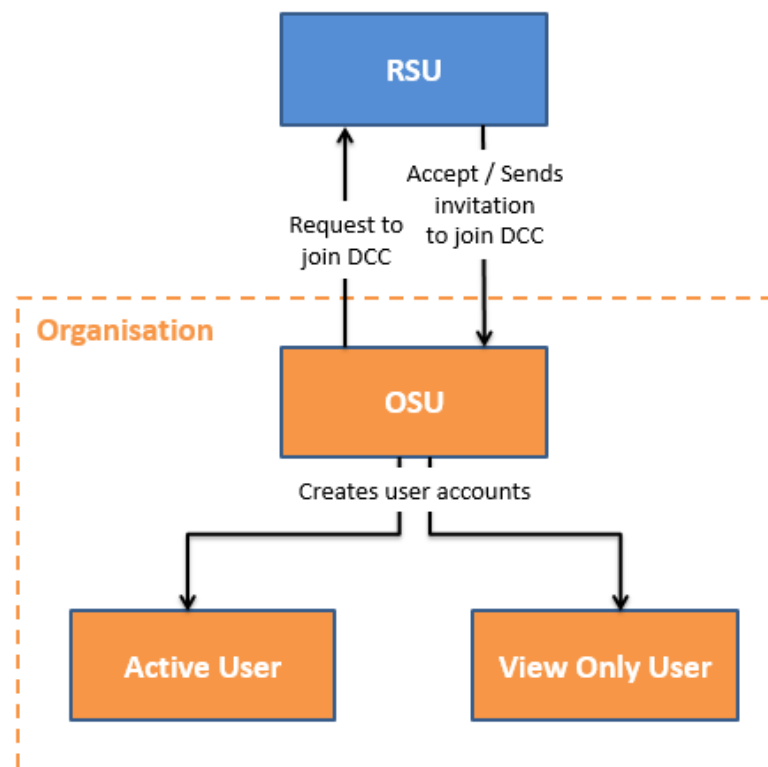
As an Active User (AU) you have read only view to your organisation's details. Active User's cannot update organisation details. Please contact your Organisation Super User (OSU) or Caldecott Guardian if there are details that need to be updated or new users that need to be created with log in privileges.

16. Manage User Accounts

As an Active User (AU) you cannot create / amend user accounts for your organisation.

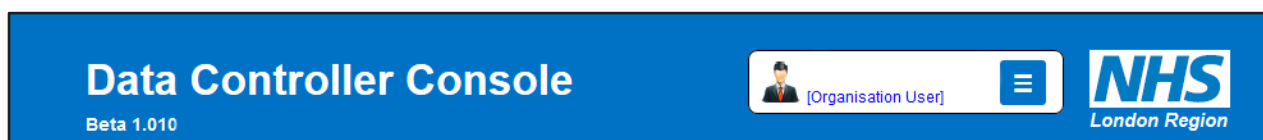
The type of user account/user role depends on your responsibility within an organisation. The Organisation Super User (OSU) has the ability to create user accounts for members of his/her organisation. There are three user roles that the OSU can set up:

- **Regional Super User (RSU)** - A key role of the Regional Super User is to approve or reject organisations who request to join the data controller console 'club'.
- **Organisation Super User (OSU)** – with full access to manage the organisation's profile and full access to ISA functionality
- **Active User (AU)** – with full access to ISA functionality but without access to amend the organisation's profile or create user accounts
- **View Only User (VOU)** – with access to only view ISAs, the user cannot make any changes to ISAs or the organization profile



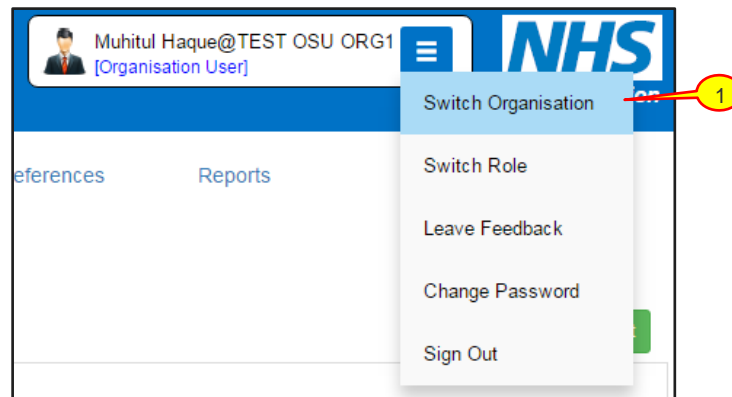
The Organisation Super User (OSU) and Active Users (AU) can initiate the request to join an Information Sharing Agreement. View Only Users (VOU) within an organisation cannot request to join or create any ISA.


Once you are logged in to the DCC portal, the user name and user role will be displayed at the top-right of your screen in the blue banner.

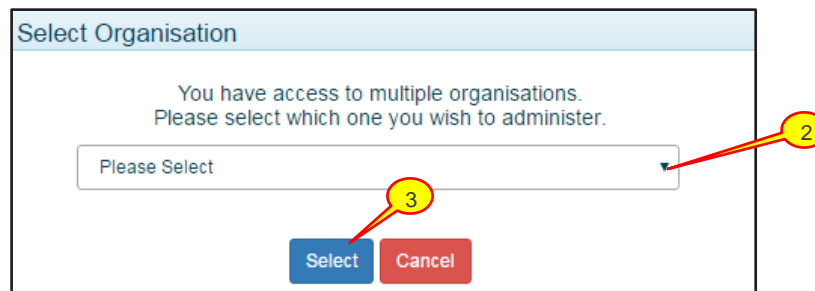


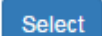
16.1 Switch Organisation

A user can have access to multiple organisations and User Role's within those organisations (i.e. OSU, AU or VOU). Once logged in, using the **Switch Organisation** users will be able to change their role/organisation as required based on their user profile.



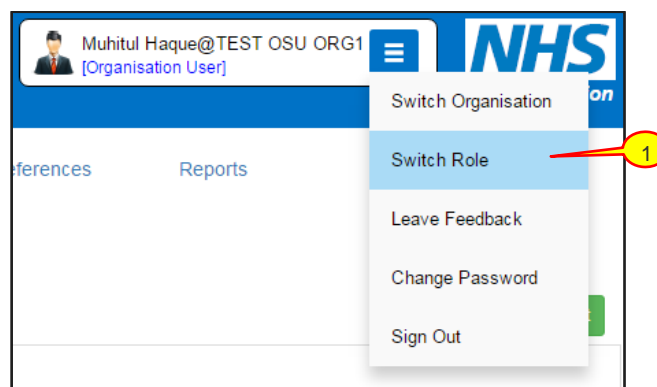
1. Hover over the blue menu () icon and select the **Switch Organisation** option




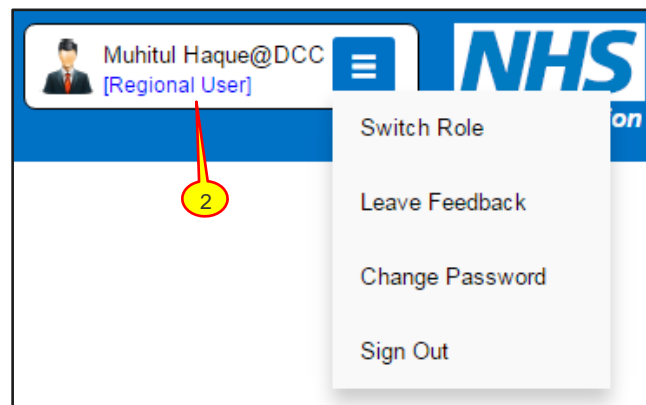
2. Select the drop down arrow adjacent to "Please Select" drop-down box and select the organisation you wish to view
3. Click the **Select** () button to change over to the selected organisation

16.2 Switch Role

The Switch Role feature is activated when a user account has both RSU and any of the other user roles (such as OSU, AU or VOU). This feature is enabled for RSU accounts that are also registered in another organisation.

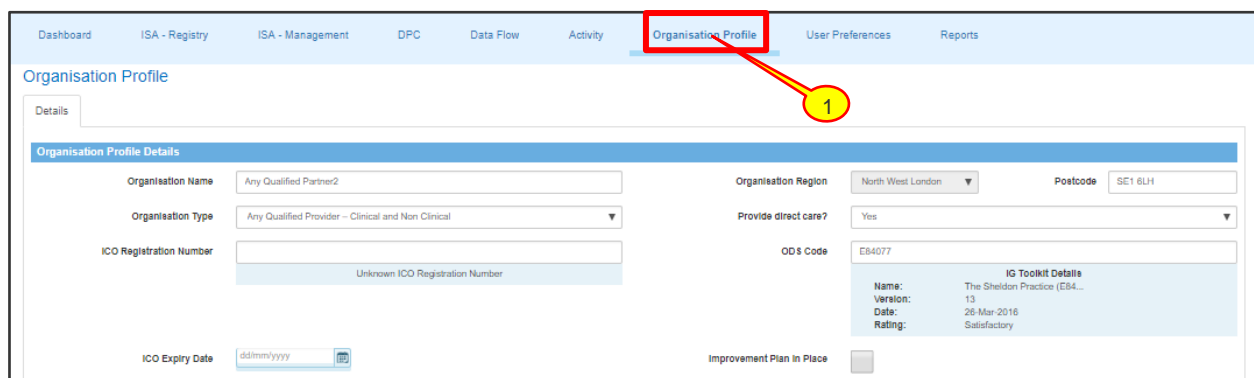


1. Hover over blue menu () icon and select the **Switch Role** option



- Once Switch Role is selected from an [Organisation User] profile, the DCC screen will change over to a [Regional User] role or vice versa

16.3 Search for and view User Accounts within your organisation



- Click on 'Organisation Profile' tab from the navigation bar. The organisation profile screen is displayed

Organisation Contacts						
+ Add New Contact						
Name	Role	Email	Phone	Mobile	Create a login?	
R. Smith ReadOnly	Data Protection Officer	r.smith@demo.com	1234567890	1234567890	<input type="checkbox"/>	Edit Delete
J Benny OSU	Caldicott Guardian	j.benny@demo.com	1234567890	1234567890	<input checked="" type="checkbox"/> [Read only User]	Edit Delete
D.Wilkinson ActiveUser	Caldicott Guardian	d.wilkinson@demo.com	1234567890	1234567890	<input checked="" type="checkbox"/> [Read only User]	Edit Delete

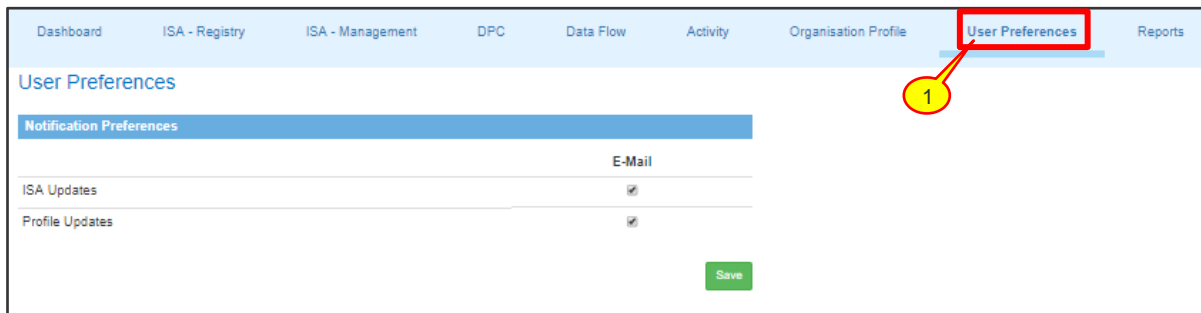
- Scroll down to the 'Organisation Contacts' section. All the organisation's contacts are listed

Note: Contacts with user accounts have a checkbox ticked adjacent to their name in the column titled 'Create a login?'

17. User Preferences

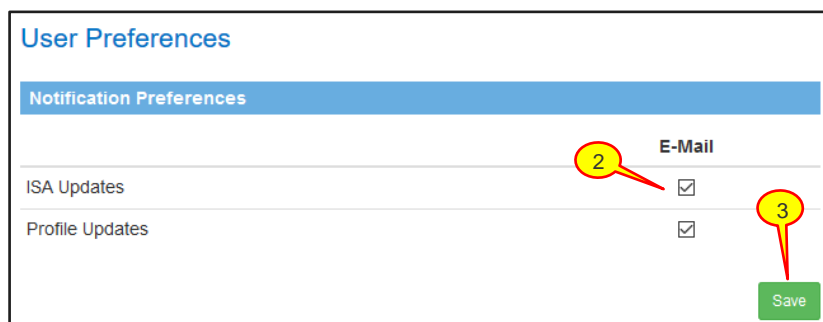
The User Preferences tab enables a user to control notification settings associated with their login account and turn email notifications on and off accordingly.

17.1 View and Update My Profile Preferences



The screenshot shows the 'User Preferences' tab selected in the navigation bar. Below the tab, the 'Notification Preferences' section is displayed. It contains a table with two rows: 'ISA Updates' and 'Profile Updates'. Both rows have a checked checkbox in the 'E-Mail' column. A green 'Save' button is located at the bottom right of the table.


1. Click on 'User Preferences' tab from the navigation tabs. The 'User Preferences' screen is displayed and the 'Notification Preferences' are listed



The screenshot shows the 'User Preferences' tab selected in the navigation bar. Below the tab, the 'Notification Preferences' section is displayed. It contains a table with two rows: 'ISA Updates' and 'Profile Updates'. Both rows have a checked checkbox in the 'E-Mail' column. A green 'Save' button is located at the bottom right of the table. Callout 1 points to the 'User Preferences' tab, callout 2 points to the 'ISA Updates' checkbox, and callout 3 points to the 'Save' button.

2. Under 'Notification Preferences' tick / untick a checkbox corresponding to a list of items to update your preferences. The checkboxes are set accordingly

Note: When you uncheck an item, you are indicating that you do not wish to receive any notifications.

3. Click the **Save** () button. Preferences are saved and the focus remains on the settings screen

18. Reports

The 'Reports' tab enables an organisation to extract detailed information about the ISAs, DPIAs and DPCs that are associated with their organisation. Information on the reports can be viewed on the screen or can be exported into excel to be manipulated as the user wishes.

In addition to the reporting functionality in the 'Reporting' tab, users also have the ability to export information about the ISAs, DPIAs and DPCs that their organisation is hosting or participating in.

18.1 Export to Excel

The 'ISA – Registry', 'ISA – Management' and the 'DPC' tabs all contain tabular information about the ISAs and DPCs. This information can be extracted from the DCC into an Excel file for viewing and analysis.

DashboardISA - RegistryISA - ManagementDPCData FlowActivityOrganisation ProfileUser PreferencesReports

ISA - Registry

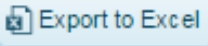
Agreement Title / ReferenceAny StatusAny DPC StatusAny DPIA StatusAny Risk RatingChoose ServicesApply FilterClear Filter

+ Create New

Click on the link to view all associated organisations

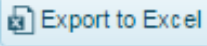
Export to Excel

Title	From Date	To Date	DPIA	Risk Rating	Participant Status				DPC		
					Active	Pending	Incoming	Associated	Host	Part Pending	Part Active
Any Qualified ISA1	22-Feb-2018	21-Feb-2019	Required	Unknown	22	4	1	1	2	4	0
Any Qualified 2	22-Feb-2018	20-Feb-2019	Completed Digitally	Unknown	1	0	0	0	0	0	1
Any Qualified Part ISA3	22-Feb-2018	21-Feb-2019	Not Required - Checklist	Unknown	1	0	0	0	1	0	0
Test Homerton	04-Apr-2018	31-May-2018	Required	Unknown	0	1	0	2	0	0	0
Homerton London*****	01-May-2018	No end date	Completed Digitally	Unknown	0	1	0	0	0	0	0

1. On top of each table, select the **Export to Excel**  button
2. When prompted, **Save** the file onto your local drive then open it


ISA – Registry tab

	A	B	C	D	E	F	G	H	I	J	K
1	Title	From Date	To Date	DPIA	Participant Status				DPC		
2					Active	Pending	Incoming	Associated	Host	Part Pending	Part Active
3	Rajesh 23rc Oct OSU Email test	23/10/2017	25/12/2017	Required	0	3	0	1	1	0	0
4	Test ISA-MH	05/11/2017		Required	0	5	0	1	1	0	0
5	DPIA Nov 09 Data1	09/11/2017		Not Required - Historic	0	0	0	0	0	0	0
6	DPIA Nov 09 data 2	09/11/2017		Completed by Upload	0	0	0	0	0	0	0
7	DPIA Nov 09 Data 3	09/11/2017		Not Required - Checklist	0	0	0	0	3	0	0

3. Selecting the **Export to Excel**  button will download all of the Information Sharing Agreement details that your organisation is hosting which will contain information such as:
 - a. ISA title
 - b. Start and End dates
 - c. The DPIAs that have status: Checklist Required, Not-Required – Historic, Required, Completed Digitally, Completed by Upload
 - d. The ISAs that have number of participants who are: Active, Pending, with Incoming requests and third party Associates
 - e. The number of DPCs that are:
 - i. hosted by your organisation
 - ii. another organisation has added and
 - iii. how many of these DPCs you have approved

ISA – Management (My ISA – Management) tab

	A	B	C	D	E	F	G	H	I	J
1	Create Date	Title	Organisation	From Date	To Date	Status	DPIA	DPC Count	My Org DPC	Message
2	19/10/2017	ISA 1	TEST OSU ORG1	31/08/2017		REQUESTEDMY	Completed by Upload	2	0	
3	20/11/2017	DPIA Nov 20 data 3	TEST OSU ORG1	20/11/2017		ACTIVE	Not Required - Historic	0	0	
4	20/11/2017	021117 DR ISA	TEST OSU ORG1	03/11/2017		UNDERCONSIDERATION	Checklist Required	1	0	
5	20/11/2017	DPIA Nov 09 Test data 02	TEST OSU ORG1	09/11/2017		ACTIVE	Completed by Upload	0	0	
6	20/11/2017	DR 091117 17.16	TEST OSU ORG1	09/11/2017	30/11/2017	REJECTED	Completed Digitally	0	0	
7	20/11/2017	DPIA Nov 09 Data3	TEST OSU ORG1	09/11/2017	21/09/2018	ACTIVE	Not Required - Checklist	0	0	

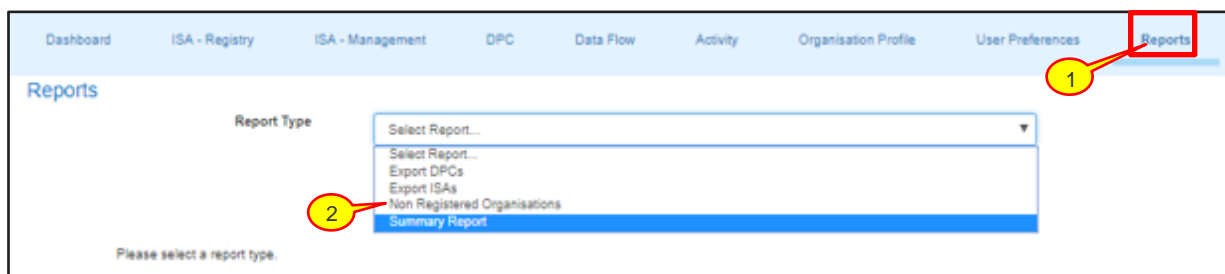
4. Selecting the **Export to Excel** ( **Export to Excel**) button will download all of the Information Sharing Agreements details that your organisation is participating in which will contain information such as:
- ISA Title
 - The hosting organisation name
 - Valid from and to dates
 - The status of the ISA you are participating in
 - The total number of DPCs that are attached to the ISAs you are participating in
 - The number of DPCs that your organisation has associated with each ISA
 - Any messages which informs you if an action is required by your organisation

DPC tab

5. Selecting the **Export to Excel** button will download all of the Data Processing Contract information that your organisation is hosting which will contain information such as:
- Title of the DPC
 - The type of DPC
 - The number of ISAs each DPC is associated with
 - And the Valid From and To dates

Title	Type	ISAs	From Date	To Date
GP Practice 1 - DPC		4	01/10/2017	12/10/2017
NHS E - DPC		1	06/10/2017	08/10/2017
Hospital 1 - Data Processing Contract		3	01/10/2017	12/10/2017
Jana DPC		3	10/10/2017	31/10/2017

18.2 Non-Registered Organisations Report



- Click on 'Reports' tab from the navigation tabs. The 'Reports' screen is displayed and the Report Type drop-down field is displayed
- To show a detailed report of the Non-Registered Organisation associated with the ISAs your organisation is hosting, select the **Non-Registered Organisations** option from the 'Reports Type' drop-down select box

Report Type: Non Registered Organisations

From: dd/mm/yyyy To: dd/mm/yyyy

Run Report

Non Registered Organisations [\[Export Report\]](#)

ISA Title	ISA Status	ISA Organisation	ISA Region	NRO	NRO Date
Any Qualified ISA1	Active	Any Qualified Partner2	NWL	The CO-Operative Pharmacy (Cinderford) - FMG81	22 Feb 2018

3. You can narrow down your search by using the **From** and **To** calendar fields to display the dates a Non-Registered Organisation was added
4. Select the **Run Report** ([Run Report](#)) button to show a detailed list
5. To export the list to an Excel file, select the [\[Export Report\]](#) link above the table
6. The file will be downloaded onto your computer as 'Non-Registered Organisation.xlsx'. Once saved, open it to view the Non-Registered Organisation data

ISA Title	ISA Status	ISA Organisation	ISA Region	NRO	NRO Date
ISA 2	Active	TEST OSU ORG1	SEL	Specsavers Hearcare Group Limited	08 Aug 2017
Trinity Care ISA - Version 2	Active	TEST OSU ORG1	SEL	Specsavers Hearcare Group Limited	20 Aug 2017
Trinity Care ISA - Version 2	Active	TEST OSU ORG1	SEL	Limehouse Practice (F84054)	20 Aug 2017

18.2 Summary Report

The Summary Report displays useful information about the Organisation's hosted ISAs and DPCs and the ISAs and that the organisation is participating in along with any DPCs associates with it.

Summary

Metric	Count
Number of active ISAs	3
Number of expired ISAs	0
Number of active DPCs	2
Number of expired DPCs	0
Number of DPC to hosted ISA allocations	3
Number of DPC to participant ISA allocations	4
Number of active participants	24
Number of NRO participants	1

Participant Status

Participant Status	Count
Active	24
Associated	1
Cancelled	2
Incoming Request	1
Pending	3

ISA DPIA Status

Dpia Status	Count
Completed Digitally	1
Not Required - Checklist	1
Not Required - Historic	1

1. To show a Summary Report, select the 'Summary Report' option from the 'Report Type' drop-down
2. Select the **Run Report** (Run Report) button to show a detailed list
3. To export the information into an Excel file, select the [\[Export Report\]](#) link above the table
4. The file will be downloaded onto your computer as 'Summary Report.xlsx'. Once saved, open it to view information about your hosted and participating ISA's related to your Organisation
5. Once open the 'Summary Report.xlsx' will contain five tabs within the Summary Report excel file; Summary, ISA, DPC to ISA and Participation. Click through each to view the corresponding data

M22								
	A	B	C	D	E	F	G	H
1	Metric	Count		Participant Status	Count		Dpia Status	Count
2	Number of active ISAs	11		Active	5		Checklist Required	1
3	Number of expired ISAs	0		Associated	5		Completed by Upload	1
4	Number of active DPCs	2		Pending	19		Completed Digitally	5
5	Number of expired DPCs	1					Not Required - Checklist	1
6	Number of DPC to hosted ISA allocations	9					Not Required - Historic	1
7	Number of DPC to participant ISA allocations	0					Required	2
8	Number of active participants	5						
9	Number of NRO participants	5						
10								
11								
Summary ISA DPC DPC to ISA Participation								

Summary worksheet shows the status of the ISAs an organisation is hosting along with the status of all participating organisations within these ISAs

V15										
	A	B	C	D	E	F	G	H	I	J
1	Reference	Title	Organisation	Region	Start Date	End Date	No End Date	Expiry Notification Date	Review Date	Expiry
2	SEL/NOODS/102255	ISA 1	TEST OSU ORG1	SEL	31/08/2017		TRUE		18/10/2017	No Ex
3	SEL/NOODS/102256	ISA 2	TEST OSU ORG1	SEL	07/09/2017		TRUE		08/12/2017	No Ex
4	SEL/NOODS/102261	External ISA	TEST OSU ORG1	SEL	07/08/2017	30/09/2017	FALSE	31/08/2017		Expir
5	SEL/NOODS/102272	Sample ISA	TEST OSU ORG1	SEL	13/08/2017	20/08/2017	FALSE	20/08/2017		Expir
6	SEL/NOODS/102275	Trinity Care ISA - Version 2	TEST OSU ORG1	SEL	20/08/2017		TRUE		20/08/2018	No Ex
7	SEL/NOODS/102339	AtoS test1	TEST OSU ORG1	SEL	16/10/2017		TRUE		18/10/2017	No Ex
8	SEL/NOODS/102341	Atos_Test3 ISA	TEST OSU ORG1	SEL	16/10/2017		TRUE		31/12/2017	No Ex
9										
10										
Summary ISA DPC DPC to ISA Participation										

ISA worksheet shows detailed information about each ISA an organisation is hosting.

R18										
	A	B	C	D	E	F	G	H	I	J
1	Reference	Title	Organisation	Type	Region	Start Date	End Date	No End Date	Expiry N	
2	SEL/NOODS/102312/DPC	GP Practice 1 - DPC	TEST OSU ORG1	Data Processing Contract	SEL	01/10/2017	12/10/2017	FALSE		
3	SEL/NOODS/102315/DPC	NHS E - DPC	TEST OSU ORG1	Data Processing Contract	SEL	06/10/2017	08/10/2017	FALSE		
4	SEL/NOODS/102317/DPC	Hospital 1 - Data Processing	TEST OSU ORG1	Data Processing Contract	SEL	01/10/2017	12/10/2017	FALSE		
5	SEL/NOODS/102319/DPC	Jana DPC	TEST OSU ORG1	Data Processing Contract	SEL	10/10/2017	31/10/2017	FALSE		
6	SEL/NOODS/102326/DPC	DPC Test 2 Jana	TEST OSU ORG1	Data Processing Contract	SEL	12/10/2017		TRUE		
7	SEL/NOODS/102327/DPC	Test 3 DPC	TEST OSU ORG1	Data Processing Contract	SEL	12/10/2017		TRUE		
8	SEL/NOODS/102332/DPC	muhitul's DPC	TEST OSU ORG1	Data Processing Contract	SEL	02/10/2017	27/10/2017	FALSE		
9	SEL/NOODS/102339/DPC	fdsa	TEST OSU ORG1	Data Processing Contract	SEL	12/10/2017	12/10/2017	FALSE		
10	SEL/NOODS/102336/DPC	Nvana DPC	TEST OSU ORG1	Data Processing Contract	SEL	16/10/2017		TRUE		
Summary ISA DPC DPC to ISA Participation										

The DPC worksheet shows detailed information about each of the DPCs that an organisation is hosting.

N23										
	A	B	C	D	E	F	G	H	I	J
1	DPC Ref	DPC Title	DPC Organisation	DPC Type	DPC Org Region	DPC Start Date	DPC End Date	DPC N		
2	SEL/NOODS/102312/DPC	GP Practice 1 - DPC	TEST OSU ORG1	Data Processing Contract	SEL	01/10/2017	12/10/2017	F		
3	SEL/NOODS/102315/DPC	GP Practice 1 - DPC	TEST OSU ORG1	Data Processing Contract	SEL	01/10/2017	12/10/2017	F		
4	SEL/NOODS/102317/DPC	Hospital 1 - Data Processing	TEST OSU ORG1	Data Processing Contract	SEL	01/10/2017	12/10/2017	F		
5	SEL/NOODS/102317/DPC	Hospital 1 - Data Processing	TEST OSU ORG1	Data Processing Contract	SEL	01/10/2017	12/10/2017	F		
6	SEL/NOODS/102319/DPC	Jana DPC	TEST OSU ORG1	Data Processing Contract	SEL	10/10/2017	31/10/2017	F		
7	SEL/NOODS/102312/DPC	GP Practice 1 - DPC	TEST OSU ORG1	Data Processing Contract	SEL	01/10/2017	12/10/2017	F		
8	SEL/NOODS/102315/DPC	NHS E - DPC	TEST OSU ORG1	Data Processing Contract	SEL	06/10/2017	08/10/2017	F		
9	SEL/NOODS/102319/DPC	Jana DPC	TEST OSU ORG1	Data Processing Contract	SEL	10/10/2017	31/10/2017	F		
10	SEL/NOODS/102312/DPC	GP Practice 1 - DPC	TEST OSU ORG1	Data Processing Contract	SEL	01/10/2017	12/10/2017	F		
Summary ISA DPC DPC to ISA Participation										

The DPC to ISA worksheet shows detailed information on the relationship / links between your organisations DPCs to all ISAs that you are hosting or participating in.

	A	B	C	D	E	F	G	H	I
1	Reference	Title	ISA Organisation	ISA Region	Participant	Status	Created Date		
2	SEL/NOODS/102255	ISA 1	TEST OSU ORG1	SEL	TEST OSU ORG3	Pending	04/08/2017 13:26		
3	SEL/NOODS/102256	ISA 2	TEST OSU ORG1	SEL	Jacob NHS trust	Pending	04/08/2017 13:27		
4	SEL/NOODS/102256	ISA 2	TEST OSU ORG1	SEL	0504_Firefox	Pending	04/08/2017 13:27		
5	SEL/NOODS/102261	External ISA	TEST OSU ORG1	SEL	TEST OSU ORG2	ISA Expired	07/08/2017 12:42		
6	SEL/NOODS/102256	ISA 2	TEST OSU ORG1	SEL	TEST OSU ORG2	Incoming Request	08/08/2017 10:24		
7	SEL/NOODS/102256	ISA 2	TEST OSU ORG1	SEL	TEST OSU ORG3	Pending	08/08/2017 10:24		
8	SEL/NOODS/102255	ISA 1	TEST OSU ORG1	SEL	TEST OSU ORG2	Pending	08/08/2017 10:25		
9	SEL/NOODS/102261	External ISA	TEST OSU ORG1	SEL	TEST OSU ORG3	ISA Expired	08/08/2017 10:26		
10	SEL/NOODS/102261	External ISA	TEST OSU ORG1	SEL	#delete-me: test1	ISA Expired	13/08/2017 18:56		

Participation worksheet shows detailed information about each ISA an organisation is participating in.

18.3 Export DPCs Report

1. Click on 'Reports' tab from the navigation tabs. The 'Reports' screen is displayed and the Report Type drop-down field is displayed
2. To export to Excel a detailed report of the Data Processing Contracts (DPCs) associated with the ISAs your organisation is hosting or participating in, select the **Export DPCs** option from the 'Reports Type' drop-down select box

3. Select the fields you want displayed in the report using the checkboxes against each field
4. To select all fields in a section, select the checkbox in the section header
5. Filters can be applied (see **Section 19 Report Filtering** for an explanation of Report Filtering)
6. You can save the selection of fields to be used again if required by selecting the Manage Reports button

7. Title your report and click the save button, the report will be available for future use using the Report drop-down list
8. Click the Run Report button to generate the report, once complete, save and open the report in Excel

18.4 Export ISAs Report

1. Click on 'Reports' tab from the navigation tabs. The 'Reports' screen is displayed and the Report Type drop-down field is displayed
2. To export to Excel a detailed report of the Information Sharing Agreements (ISAs) associated with your organisation is hosting or participating in, select the **Export ISAs** option from the 'Reports Type' drop-down select box

Dashboard ISA - Registry ISA - Management DPC Data Flow Activity Organisation Profile User Preferences Reports

Reports

Report Type: Export ISAs

Select fields Manage Reports

ISA Details

- ☒ ISA Id
- ☐ Start Date
- ☐ Host Org Name
- ☐ Fair Process Detail
- ☐ Part Incoming Count
- ☐ Reference
- ☐ End Date
- ☐ Host Org Region
- ☐ DPIA Status
- ☐ Part Associated Count
- ☐ Title
- ☐ Expiry Notification Date
- ☐ Version
- ☐ Part Active Count
- ☐ Created Date
- ☐ Description
- ☐ Review Date
- ☐ Fair Process Type
- ☐ Part Pending Count

DPIA Details

- ☐ Information Types
- ☐ Privacy concerns
- ☐ 3 or more orgs
- ☐ People - Defined SA
- ☐ Process - IGT Level 2
- ☐ Tech - DQ Section
- ☐ Data
- ☐ New Data
- ☐ ew intrusive tech
- ☐ Multiple sources
- ☐ People - SA Link
- ☐ Process - Outside EEA
- ☐ Tech - RMC
- ☐ Purpose
- ☐ Disclose to new orgs
- ☐ People - Privacy
- ☐ Process - Lawful Basis
- ☐ Tech - Change Data
- ☐ Tech - RMC Link
- ☐ Introduce new tech
- ☐ Intrusive contact
- ☐ People - Privacy Notices
- ☐ Process - New in Future
- ☐ Tech - Data Quality
- ☐ Tech - Security

Participating Organisations

- ☐ Name
- ☐ ICO Number
- ☐ Postcode
- ☐ Type
- ☐ ICO Expiry
- ☐ Status
- ☐ IG Toolkit Status
- ☐ ODS Code
- ☐ Region

Contact Details

- ☐ First Name
- ☐ Email
- ☐ Last Name
- ☐ Phone
- ☐ Org Role
- ☐ Mobile
- ☐ Agreement Role
- ☐ Notify

DPC Details

- ☐ Reference
- ☐ Description
- ☐ Org Name
- ☐ Status
- ☐ Title
- ☐ Start Date
- ☐ Type
- ☐ End Date

Document Details

- ☐ Title
- ☐ Reason
- ☐ Type
- ☐ Size (KB)
- ☐ Description
- ☐ Version

Set filters

AND OR + Add rule + Add group Delete

Run Report

3. Select the fields you want displayed in the report using the checkboxes against each field
4. To select all fields in a section, select the checkbox in the section header
5. Filters can be applied (see **Section 19 Report Filtering** for an explanation of Report Filtering)
6. You can save the selection of fields to be used again if required by selecting the Manage Reports button

Manage Reports

Using this function you can open, add, update and delete reports.

Report: [New Report - Title Required]

New Title:

7

Open Save Delete Cancel

7. Title your report and click the save button, the report will be available for future use using the Report drop-down list
8. Click the Run Report button to generate the report, once complete, save and open the report in Excel

19. Report filtering

You can filter reports to show specific groups of data using single and multi-level filters together with both AND and OR operands.

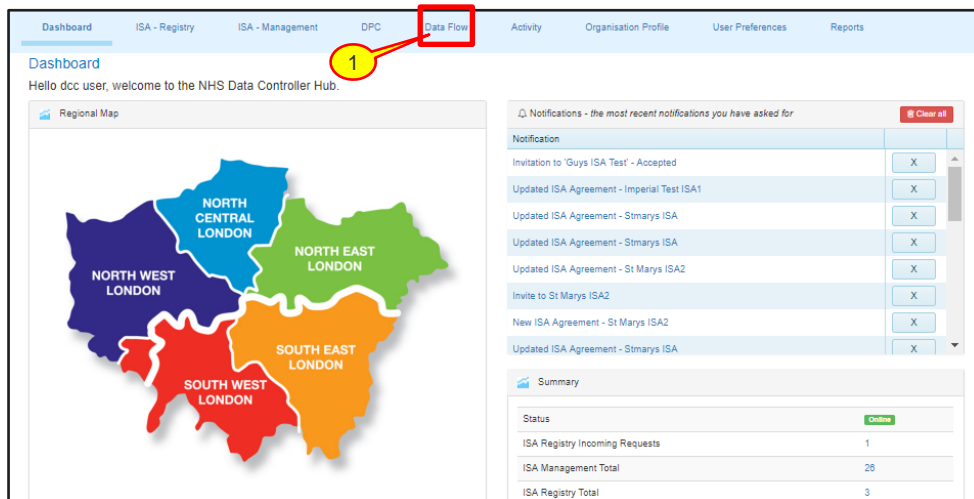
- Each level can be
 - Either AND or/or OR
 - AND means that all conditions must be true
 - OR means that any condition can be true
 - Contain either single or grouped rules
- Single rule permits
 - Selection of a field
 - Selection of an operator
 - Operators are based on the type of field selected as outlined in the table below.
 - Entering of a value (or values) for that operator
- Group rules permit
 - Fully nested 'levels' so can be exactly as defined for above.
- Operators

	Date	Dropdown	Text	Number
Between	X			X
Not Between	X			X
Equal	X	X	X	X
Not Equal	X	X	X	X
Less	X			X
Less or Equal	X			X
Greater	X			X
Greater or Equal	X			X
Begins With			X	
Ends With			X	
Contains			X	

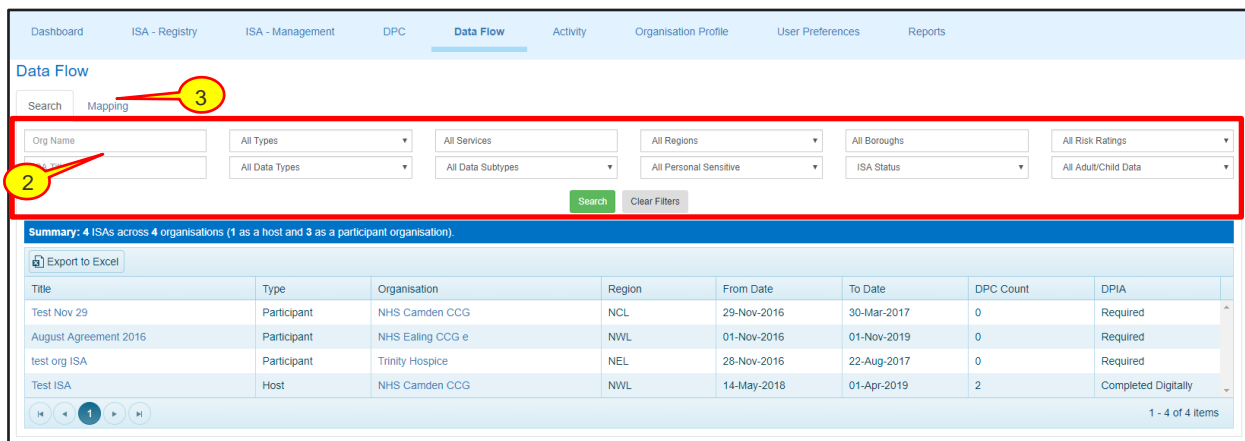
For example to filter for an organisation with NHS in the title AND based in North Central or North East London the filter below would be applied.

The screenshot shows the 'Set filters' interface. At the top, there are tabs for 'AND' and 'OR'. Below the tabs, there are three filter rules. The first rule is 'Name contains NHS'. The second rule is 'Region equal North Central London'. The third rule is 'Region equal North East London'. The second and third rules are grouped under an 'AND' tab. Each rule has a 'Delete' button next to it. There are also '+ Add rule' and '+ Add group' buttons at the top right of the filter area.

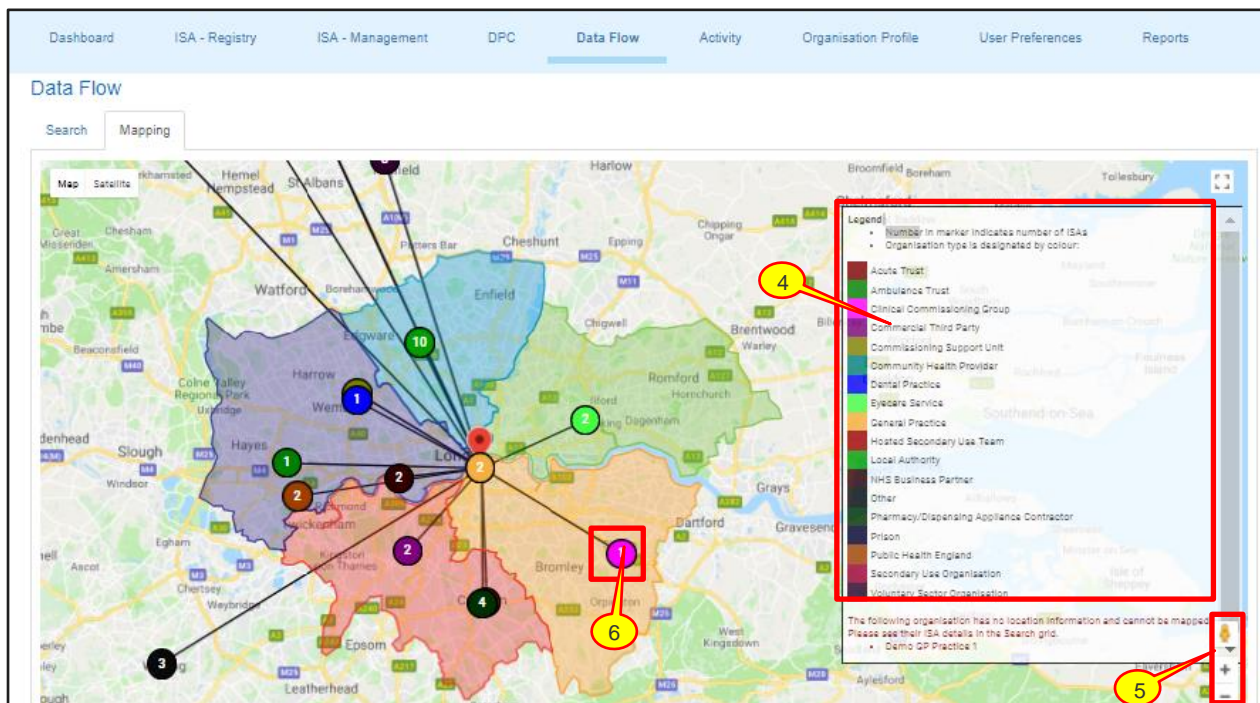
20. Data Flow



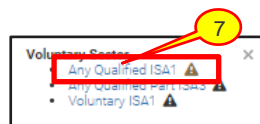
1. To see a graphical representation of the ISA agreements in place, select the Data Flow tab



2. You can apply both Organisation and ISA filters to show specific data flows
3. Select the Mapping tab to see the data flows in map format



4. The Legend shows each organisation type by colour
5. Use the zoom functions to expand and contract the map as needed
6. Hover over a line terminus to see basic details and click on the line terminus to access further detail. The number in the terminus refers to the number of ISAs for that organisation



7. Clicking on a link will open a new tab in your browser showing the selected ISA registry detail tab

21. Further Information

Email

Contact the DCC support team at england.dccsupport@nhs.net

Website

Visit www.healthylondon.org/digital to access:

- DCC User Guides
- Quick Reference Guides
- Short Training Videos
- FAQs
- General Project Information