Data Controller Console

User guide for the Organisation Super User (OSU)

November 2017

Document Version History

Version	Date	Author	Reason for update
V1.0	-	Christina Meehan	First release
V2.0	-	Moses Kisayire	Amendments based on enhancement
V2.5	-	Seth Frempong	Amendments based on enhancement
V3.0	Aug 2017	Muhitul Haque	Amendments based on DCC release 1.1. Replaced all screenshots with RAW images for clarity and added items not covered previously.
V3.1	Sept 2017	Muhitul Haque	Updated to DCC release 1.2 (Entity Tagging & Audit and Reporting)
V3.2	Oct 2017	Muhitul Haque	Updated to DCC release 1.3 (DPC) and updated all screenshots to include colour change on navigation tabs.
V3.3	Nov 2017	Muhitul Haque	Updated to DCC release 1.4 (DPIA and LA)

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

Contents

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 below. Please ensure you upgrade your browser to the latest version or contact your system administrator.

<div style="border:1px solid #000; padding:10px;">
☒ The linked image cannot be displayed. The file may have been moved, renamed, or deleted.
Verify that the link points to the correct file and location.
</div>

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 *(RSU)*	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.
Organisation Super User *(OSU)*	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.** It is expected that every organisation will have a minimum of two Organisation Super Users to facilitate appropriate management and access to the DCC.
Active User *(AU)*	A key role of the Active User is to manage the organisations ISAs on a day to day basis. This user has access to functionality for: Viewing all organisation details and Create ISA, Update ISA, Remove ISA and upload documents.
View Only User *(VOU)*	This user has access to functionality for viewing the organisation details and ISAs only.

2.   Logging In and Out

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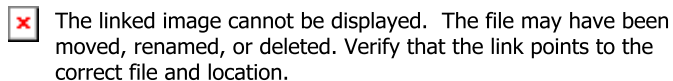
When new updates / enhancements are added to the Data Controller Console, you will see a one-off popup message when you next log in. You can find out more information about the updates by clicking on the 'DCC Homepage' link.

2.2   Session Time Out

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 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.

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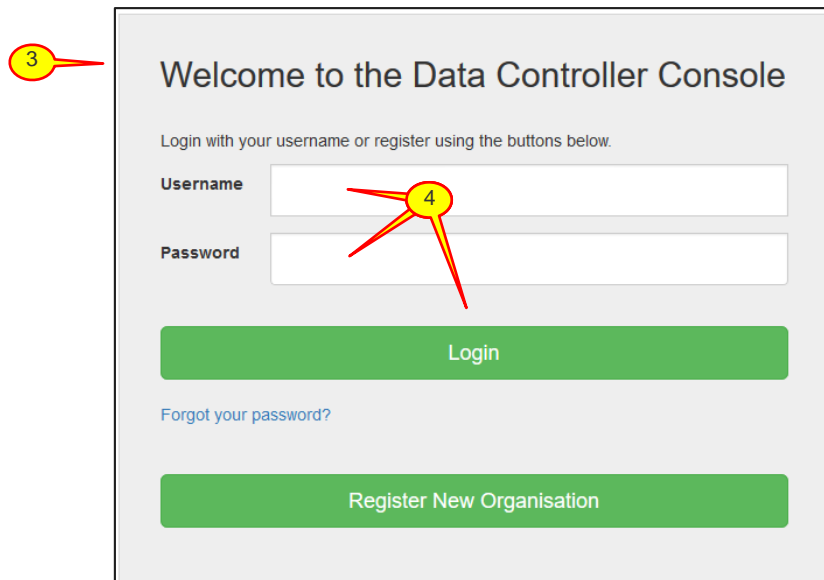
Caution: After three unsuccessful login attempts the account will be locked out. To unlock the account, see the section '**2.6 - Forgotten Password**' to reset the password.

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

Your organisation 'Trinity Trust' has been invited to join the Data Controller Console so that you can participate in data sharing with other organisations.

You will need to confirm your organisation's details to complete the registration process. Please access the details here.

Regards

Data Controller Administrator

NHS (London Region)

NHS
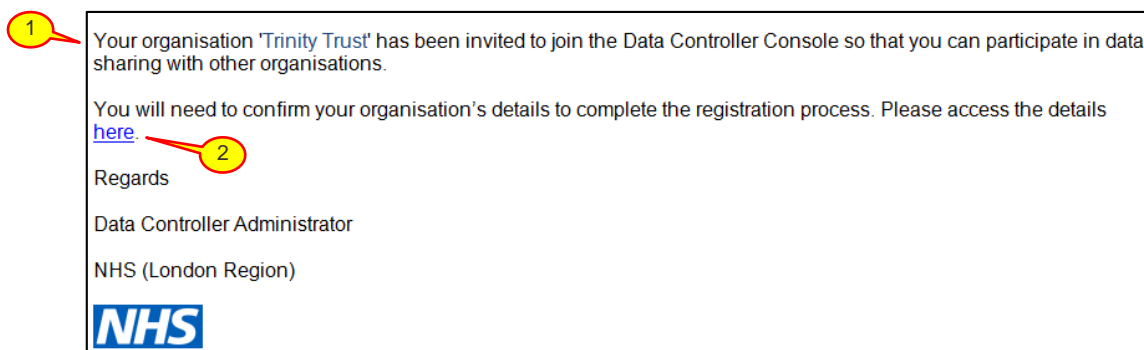
2.   Click the link in the email to access the login screen

3.   The default Internet browser is launched, displaying the Data Controller Console login page
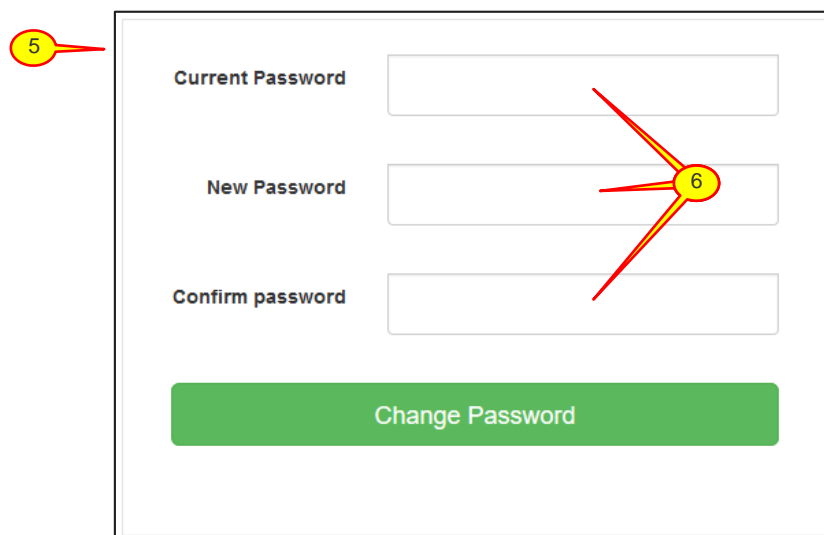
4. Enter your **username** and **password** in the respective fields and click on the **Login**
    (Login) button

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 (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

3. Enter your **Username** and **Password** in the respective fields and click on the **Login** (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'
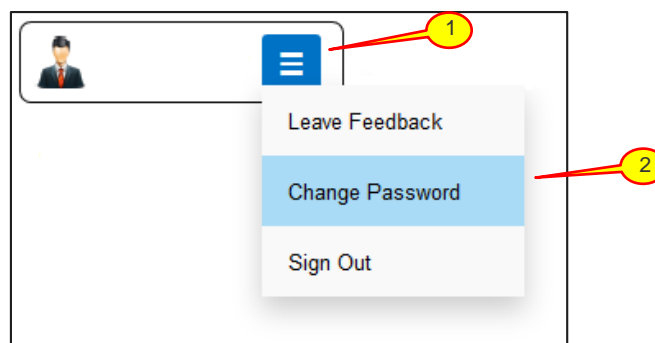
3. A 'Change Password' screen is displayed with fields to input your current password and new password

4. 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** (Change Password) button

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

2.6   Forgotten Password

1. Launch the DCC application with the given URL. (https://datacontroller.london). The login screen is displayed

2. Click on the '**Forgot your password?**' link below the Login button. The 'Forgot your password?' screen is loaded with an **Email** field
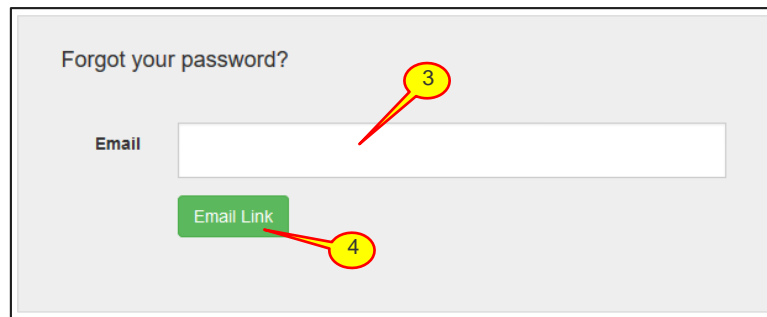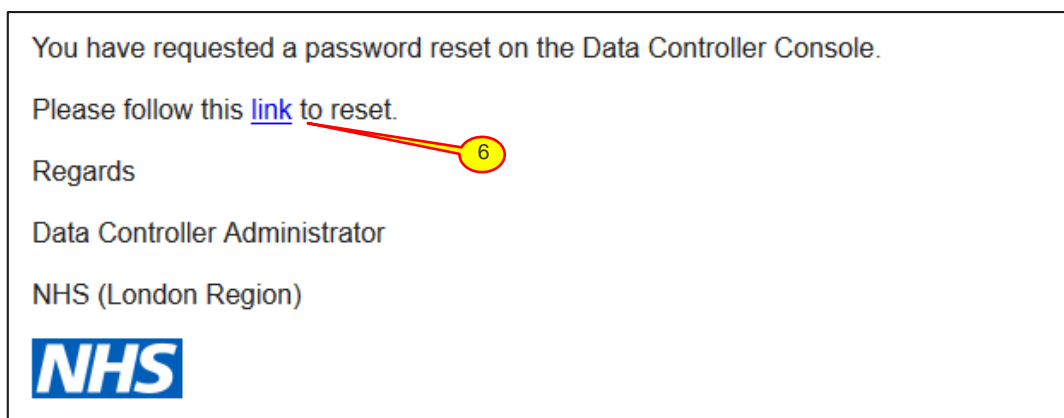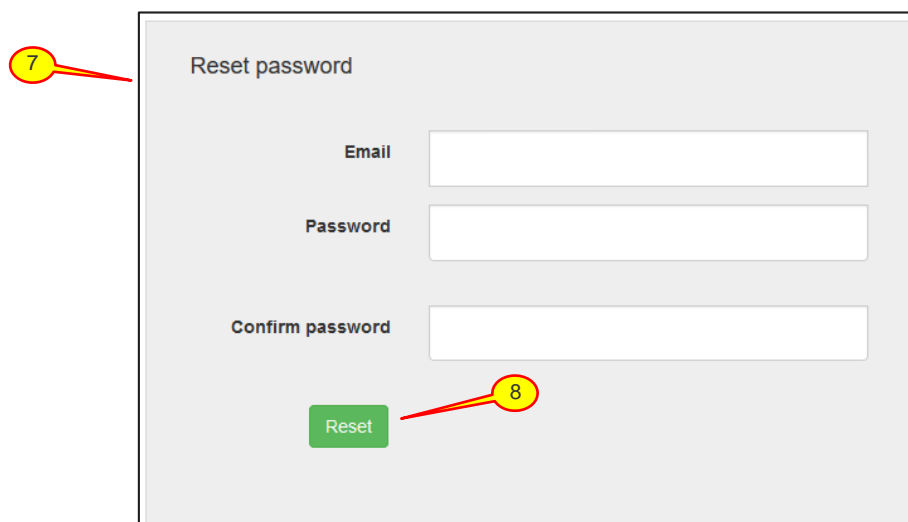
3. Enter the email address in the **Email** field that you used to register and login to the Data Controller Console

4. Select the **Email Link** (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** (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.
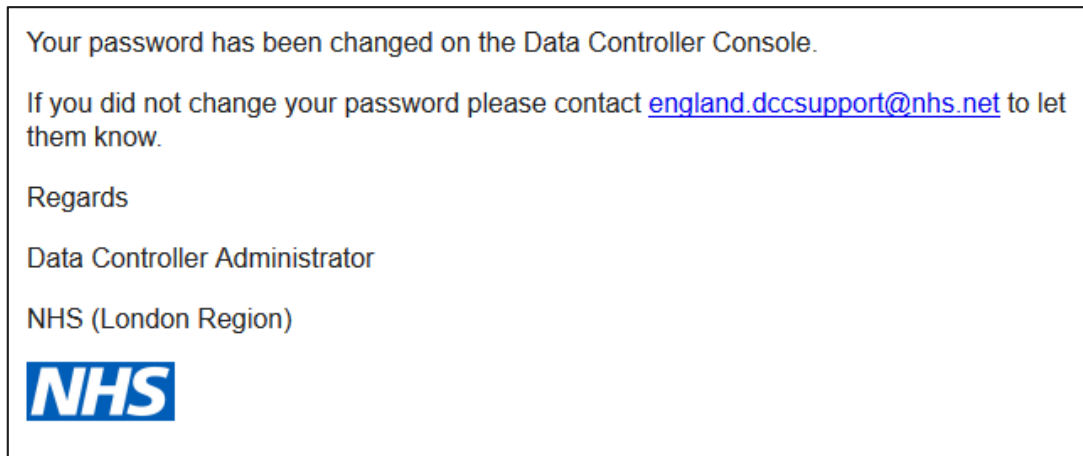
2.8   Logging Out of the Application

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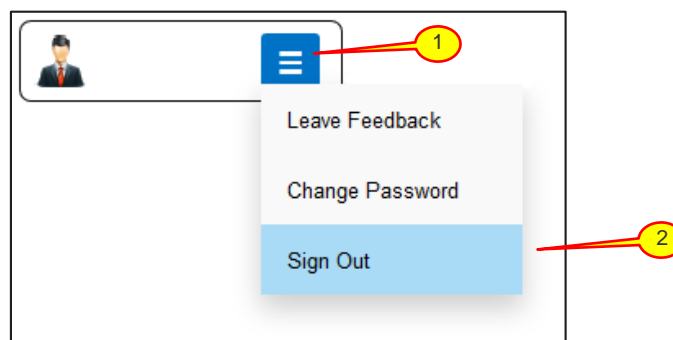
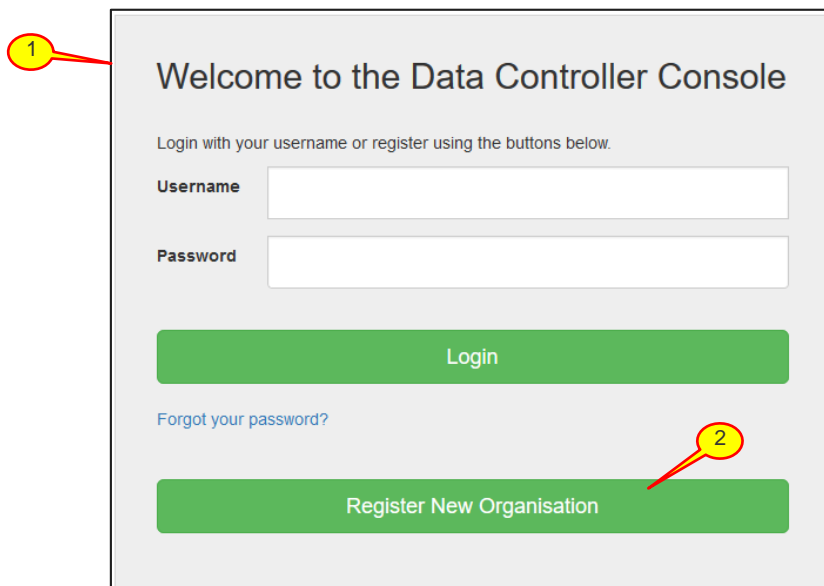3. You are signed out of the application and the login screen is displayed

3.   How to Register for the Data Controller Console

There are two ways of becoming a member of the Data Controller Console club:

1.   An Organisation requesting to join the DCC or
2.   An Organisation is invited to join the DCC

3.1   Organisation Requesting to Join the DCC

1.   Launch the DCC application with the given URL (https://datacontroller.london). The login screen is displayed

2.   Click on **Register New Organisation** (Register New Organisation) button. The 'Welcome to the Data Controller Console' page is displayed with the Terms and Conditions and Privacy Policy

3. Once you have read and understood the Terms and Conditions and Privacy Policy, scroll to the bottom and click the **Next** (Next) button to continue with registration. An 'Organisation Codes' dialog window is displayed, prompting you to enter an ICO registration number and a ODS Code

4. Enter your organisation's '**ICO Reg No**' and '**ODS code**' in the respective fields and click **OK** (OK) to submit

    a. If an '**ODS code**' is entered, a 'Contact' window will be displayed, which may show the organisation's Caldicott Guardian details. User account creation and login permissions can be selected and set in this screen

        Update all the required fields in the 'Contact' screen, and click **Update** (✓ Update) at the bottom right of the window to complete

    b. If no '**ODS Code**' is entered, you will be taken to the organisation registration page

5. Under 'Organisation Profile Details' section in the registration page, complete the mandatory fields; **Organisation Name**, **Organisation Type**, **Organisation Region** and whether the organisation **Provide direct care** from the drop-down menus

Note: *If 'Local Authority' is selected from the **Organisation Type** field, there will be an additional field of **Role Category** for each contact being added.*

6. Under 'Organisation Contacts' section, click on the **Add New Contact**
   (+ Add New Contact) button

7. A 'Contact' window is displayed

8. Populate the fields accordingly then click the **Update** (✓ Update) button. To create a user account please see section '**16.4 - Create a User Account**'
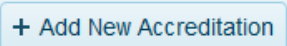
9. Under the 'Organisation Tagging' section, click inside the 'Services provided' box; once you start filling this box in, the preloaded services should pop-up, please select the available services that your organisation provides

10. Click inside the 'Boroughs serviced' box, again start writing the boroughs that your organisation provides services to and select the appropriate borough. To select everything on the list, click 'All London Boroughs' tag at the top
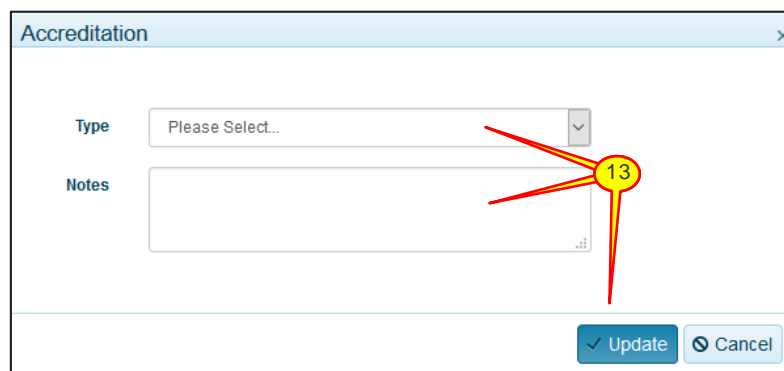
Note: A search query for an individual borough will bring up your organisation in the search result as you have indicated that you provide services to 'All Boroughs'.

11. If a service you provide isn't listed, please use the 'Additional Services' text box to enter free-text which is up to 40 characters

Accreditations				
+ Add New Accreditation				
Type	Date	Reference	Rating	Notes

12. Under 'Accreditations' section, click the **Add New Accreditation** (+ Add New Accreditation) button, an 'Accreditation' window is displayed

Accreditation

Type	Please Select... ▾
Notes	
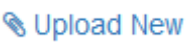
✓ Update   ⊘ Cancel

13. Select the **Accreditation Type** from the drop-down pick list, populate the fields accordingly then select the **Update** (✓ Update) button

Note: Some accreditation Types will require additional information from you.

Related Documents

✎ Upload New

Other Information

14. Under 'Related Documents' section, click the **Upload New** (✎ Upload New) link. A 'Provide details' window is displayed
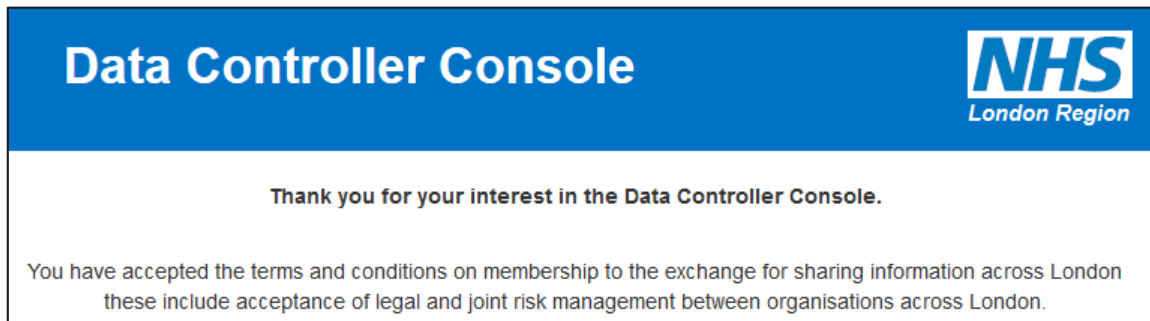
15. In the 'Provide details' dialog box that opens up, populate the fields accordingly

Note: There is a maximum file size limit of 20MB.

16. Click the **Choose File** (Choose File...) button and attach a file

17. Click the **Next** (Next) button at the bottom of the page and the 'Terms and Conditions and Privacy Policy' screen will be displayed
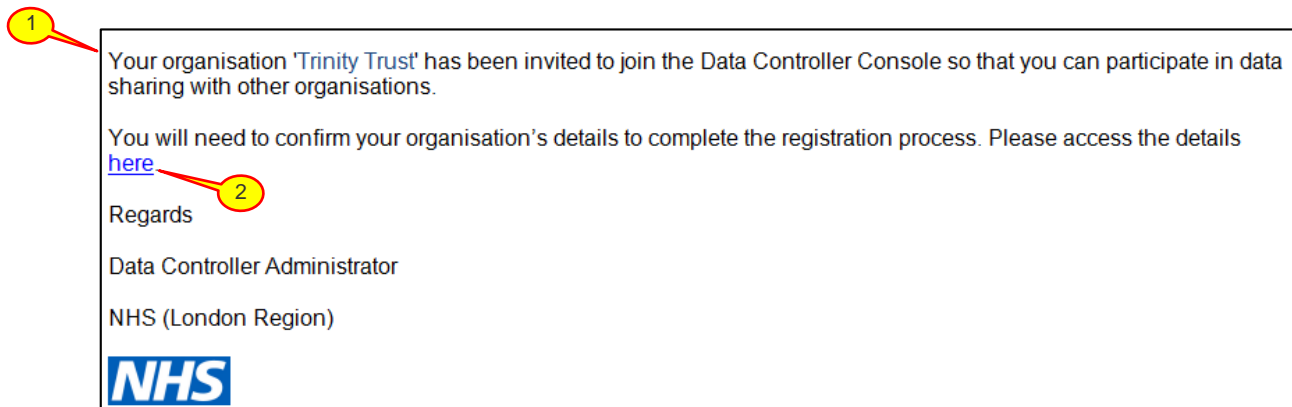
18. Read the Terms and Conditions and Privacy Policy by scrolling down the page, then at the end of the page select the checkbox titled *'I agree with the Data Controller Charter for NHS London Region*'

19. Click the **Accept** (Accept) button at the bottom of the page. A screen is displayed with the message 'Thank you for your interest in the Data Controller Console.' and outlining the next steps

Data Controller Console
NHS London Region

Thank you for your interest in the Data Controller Console.

You have accepted the terms and conditions on membership to the exchange for sharing information across London these include acceptance of legal and joint risk management between organisations across London.

What happens next? *The Regional Super User (RSU) will receive the application, review and accept / reject the application.*

3.2   Organisation is Invited to Join the DCC

1. An Organisation being invited will receive and email invitation with the title 'Invitation to join the Data Controller Console'

Your organisation 'Trinity Trust' has been invited to join the Data Controller Console so that you can participate in data sharing with other organisations.

You will need to confirm your organisation's details to complete the registration process. Please access the details here

Regards

Data Controller Administrator

NHS (London Region)

NHS

2. Click the link in the email to access the terms and condition and privacy policy screen

3. Read the terms and conditions and privacy policy then click the **Next** (Next) button if you want to continue with registration

4. Please ensure that your organisation's '**ICO Reg No**' and '**ODS code**' in the respective fields are correct

5. Under 'Organisation Profile Details' section in the registration page, make sure that the mandatory fields; **Organisation Name**, **Organisation Type**, **Organisation Region** and whether the organisation **Provide direct care** from the drop-down menus are correct

6. Under 'Organisation Contacts' section, click on the **Add New Contact**

(+ Add New Contact) button to add additional contacts within your organisation who will be responsible for managing the information sharing agreements for your organisation

7. A 'Contact' window is displayed

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*Note: The **Role Category** field is only available if the organisation type is marked as **Local Authority**.*
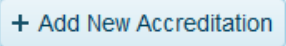
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8. Populate the fields accordingly then click the **Update** (✓ Update) button. To give the contact login privileges please see section '**16.4 - Create a User Account**'
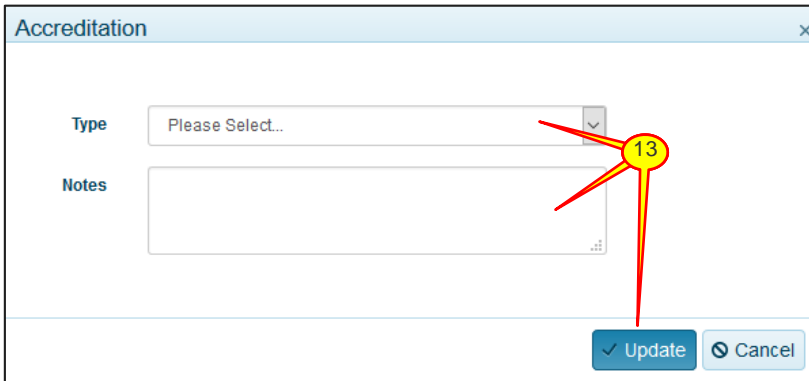

9. Under the 'Organisation Tagging' section, click inside the 'Services provided' box; once you start filling this box in, the preloaded services should pop-up, please select the available services that your organisation provides to

10. Click inside the 'Boroughs serviced' box, again start writing the boroughs that your organisation provides services to and select the appropriate borough.

11. If a service you provide isn't listed, please use the 'Additional Services' text box to enter free-text which is up to 40 characters
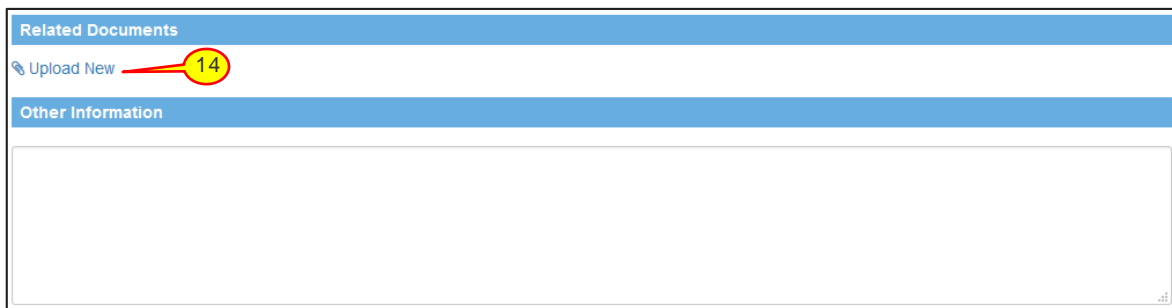
12. Under 'Accreditations' section, click the **Add New Accreditation** (+ Add New Accreditation)
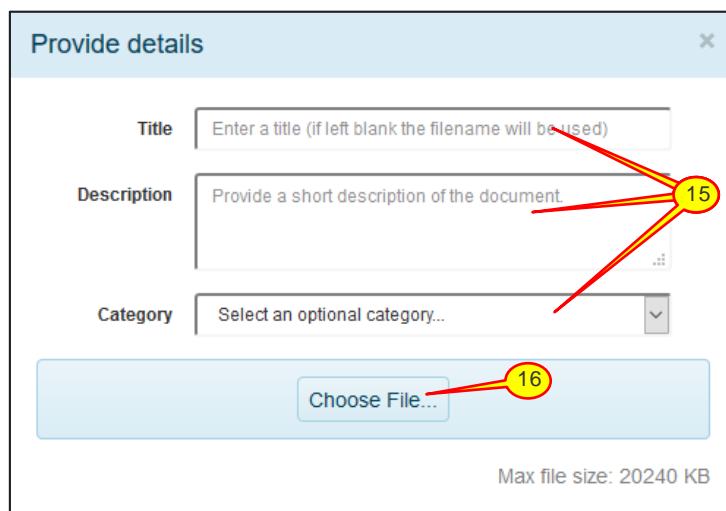button, an 'Accreditation' window is displayed

13. Select the **Accreditation Type** from the drop-down pick list and populate the fields
accordingly then click the **Update** (✓ Update) button

Note: *Some accreditation types will require additional information such as Inspection Date and Rating for OFSTEAD.*
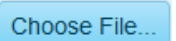

14. Under 'Related Documents' section, click the **Upload New** (✎ Upload New) link. A
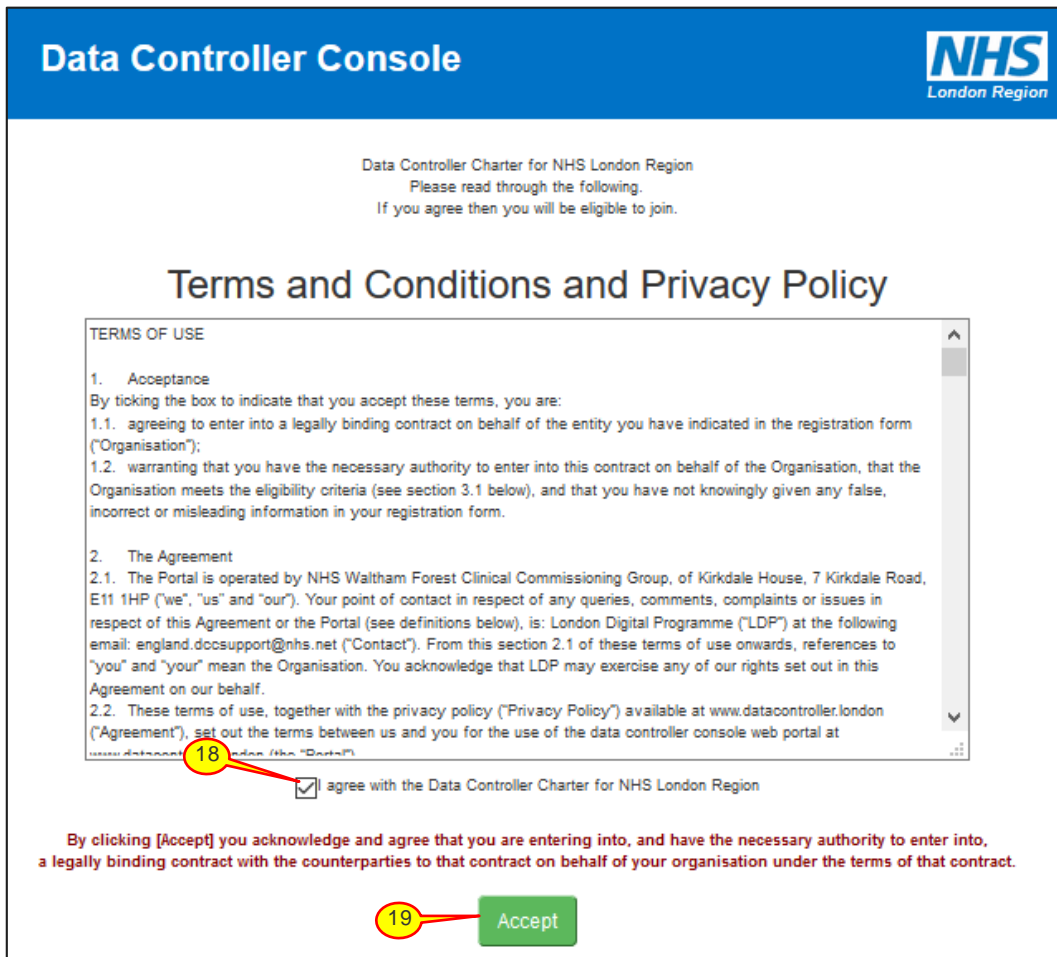'Provide details' window is displayed

15. In the 'Provide details' dialog window that opens up, populate the fields accordingly

Note: *There is a maximum file size limit of 20MB.*

16. Click the **Choose File** (Choose File...) button and attach a file

17. Click the **Next** (Next) button at the bottom of the page and the 'Terms and Conditions and Privacy Policy' screen will be displayed

18. Read the Terms and Conditions and Privacy Policy by scrolling down the page then at the end select the checkbox titled *'I agree with the Data Controller Charter for NHS London Region*'

19. Click the **Accept** (Accept) button at the bottom of the page. A screen is displayed with the message 'Thank you for your interest in the Data Controller Console.' and outlining the next steps

What happens next? The Regional Super User (RSU) will receive the application, review and either accept / reject the application. The Caldicott Guardian will be notified via email.

4.   Manage Dashboard

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.

4.2.1.Take Action on a Notification

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

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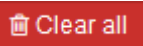
4.2.2.Remove a Notification

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

4.2.3.Remove all Notifications

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

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.

> **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
ISA Expired	Click to see a list of all of the ISA's that have passed their expiry date
ISA Expiry Notification Date Passed	Click to see a list of all of 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	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**. 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**. *The Accept decision is the same as signing a paper copy of the ISA*
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 Checklist Required	Click to see a list of all ISAs that require a DPIA checklist to be completed to check if a DPC is required
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

1. Click on 'ISA – Registry' tab from the navigation bar

2. The 'ISA - Registry' screen is displayed with an 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 or the services the host ISA provides

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** (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' (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

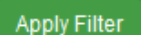### 5.2   Search for and view ISAs your organisation is participating in

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.
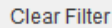
1. Select 'ISA – Management' from the navigation bar. The 'ISA - Management' screen is displayed with the 'My ISA - Management' tab in focus listing the ISA's that your organisation has been invited to or requested access to

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'* 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


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

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 not 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, *'Agreement Reference'* and to filter by *'Organisation Type*' and *'Region'*

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** (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** (Clear Filter) *button*

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

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

6.   Create an Information Sharing Agreement (ISA)

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

The four 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:** allows you to carry out and checklist to check if a DPIA is required
- **DPCs:** allows you to attach your organisations data processing contracts and processing organisation onto this ISA

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.

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

Continued….

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
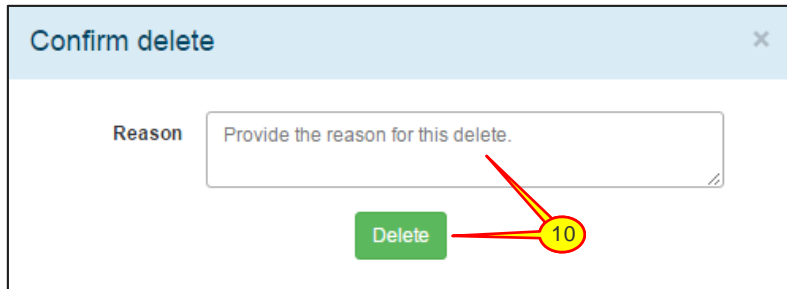

6. If there is a Fair Process Notice available, please make this available via a website hyperlink or by uploading a document using the **Upload New** (🔗 Upload New) button

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?' check box is ticked

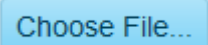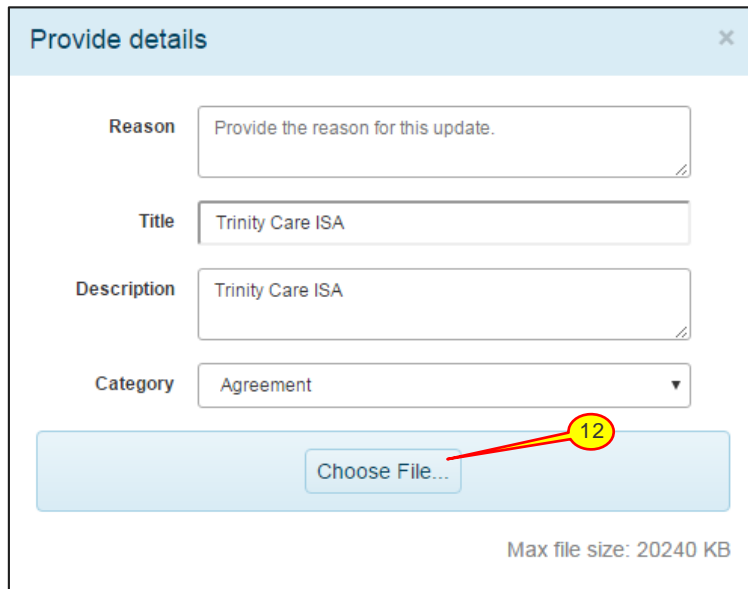8. Finally, upload the Agreement by using the Upload New (🔗 Upload New) button

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

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

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 (Delete) button

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

Continued….

6.2 ISA 'Contacts' Tab

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

Add New Contacts:

2. Under 'Hosted contacts', to add a new contact click the **Add New Record**
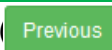   (+ Add new record) button. The Edit screen is displayed with contact fields

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

4. 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

5. Click the **Update** (✓ 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:

6. To add a contact from existing organisation contacts in 'Hosted contacts', click the **Add from Organisation Contacts** (+ Add from Organisation Contacts) button.

7. A dialog box labelled 'Add Organisation Contact' is displayed with a drop-down list of your organisation contacts

8. Select a contact from the drop-down list and click the **Add Contact** (Add Contact) button. A Contacts screen is displayed with the contact's details already populated.

9. Amend the contact details accordingly; if necessary, amend the 'Role' and specify an 'Agreement Role' in the ISA

10. 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

11. Click the **Update** (✓ Update) button at the bottom right of the screen. The contact's screen will then close and contact details are added to the ISA

12. Click on the 'Organisation' tab or at the bottom-right of the screen, click the **Next** (Next) button

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

6.3   ISA 'Organisations' Tab

1. Click on the 'Organisations' tab or at the bottom-right of the screen, select the **Next**
   (Next) button. 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:

   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, select the **Search** (Search) button

6. From the search result place a tick next to the organisation you want to invite to participate in the ISA then click the **Select** button

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

8. To remove an organisation from the 'Organisations' tab. The select the **Delete** (× Delete) button adjacent to the organisation name

6.4   ISA 'Non-Registered Organisations' Tab
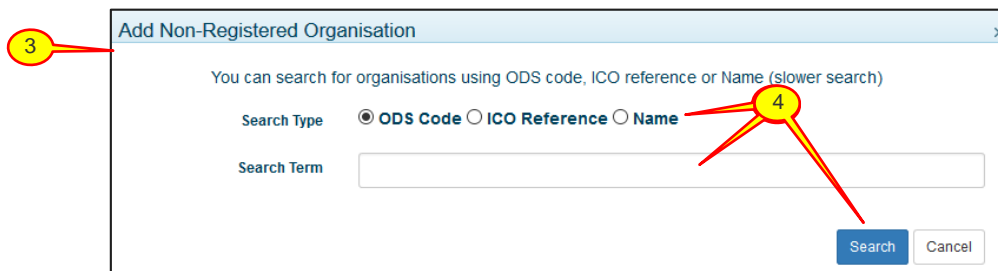
1. Click on the 'Non-Registered Organisations' tab or at the bottom-right of the screen, select the **Next** (Next) button. Contacts tab is displayed

2. To add a third party organisation or an organisation that hasn't yet registered onto the Data Controller Console, select the **Add New Record** (+ Add new record) button
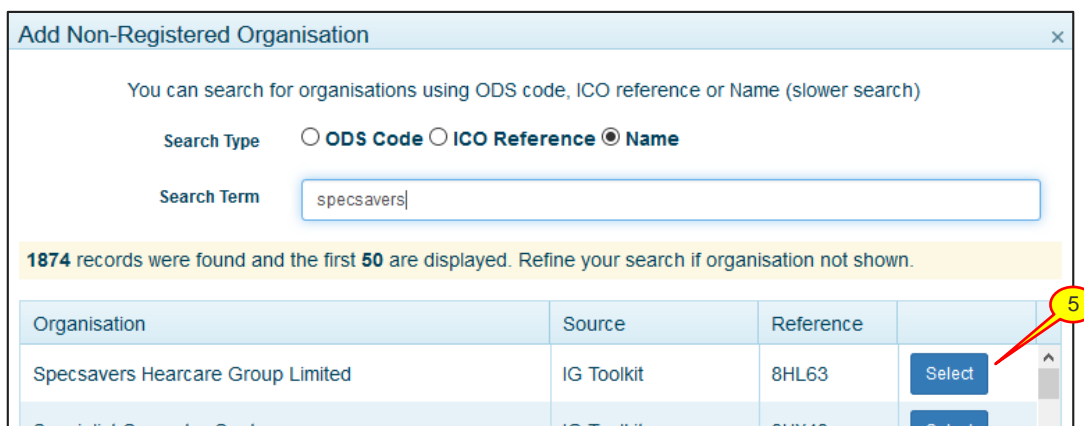

3. The 'Add Non-Registered Organisation' form is displayed. You can search for an organisation by the ODS code, ICO reference number or the organisation name

4. Select a **search type** option and enter the **search term** followed by the Search (Search) button

> **Note**: The displayed search results are extracted from the IG Toolkit which is currently updated to the DCC annually. For more information contact the DCC support team.

5. Once the search result generates the desired list, click the **Select** (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 'DPCs' Tab

1. To add your organisations Data Processing Contract (DPC) to this ISA, select the 'DPCs' tab

2. Select the **Add DPC** (+ Add DPC) button on the top left of the Data Processing Contracts table

3. From the 'Select DPC' pop-up dialog box, search for the DPC by the *name* or by the contract/deed/agreement *type*

4. Select the **Search** (Search) button. Leave it blank to show a list of all of the DPCs that your organisation is hosting

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

5. On the 'Select DPC' dialog box, click the **Select** (Select) button adjacent to the DPC title to add it to the ISA

6. Once done, click the **Save and stay** (Save and stay) or the **Save and return** (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 this ability to amend a host's ISA. They must request amendments or invitation from the host organisation.

1.   Click on 'ISA – Registry' tab. 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.   Under the 'Details' tab, amend as required.

7.2   Update ISA Contact Details – Add a New Hosted Contact

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

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

4. Click the **Update** (✓ 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** (Save and stay) or the **Save and return** (Save and return) buttons to commit the changes

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

1. Under 'Hosted contacts' to add a contact from existing organisation contacts, click the **Add from Organisation Contacts** (+ Add from Organisation Contacts) button

2. A dialog box is displayed with a drop-down list of organisation contacts
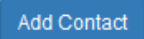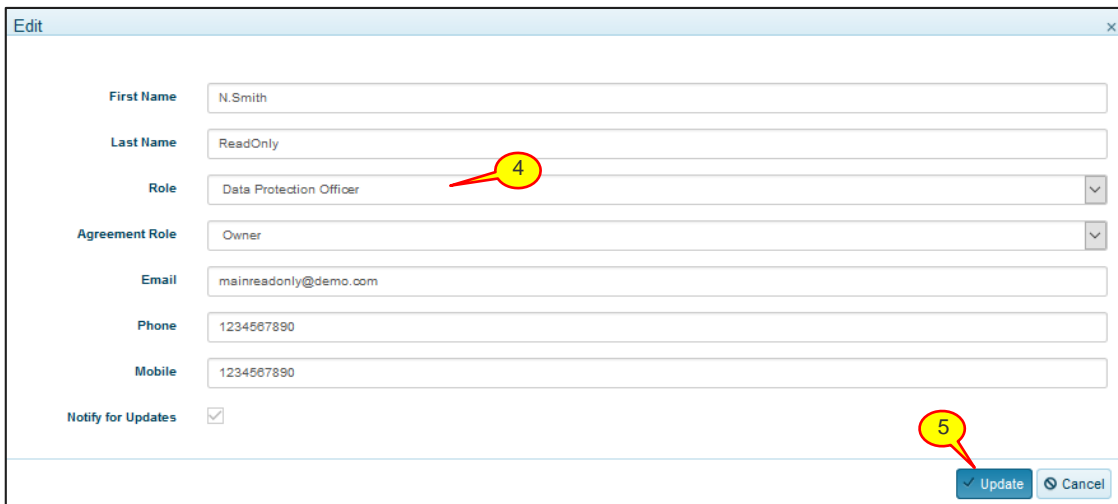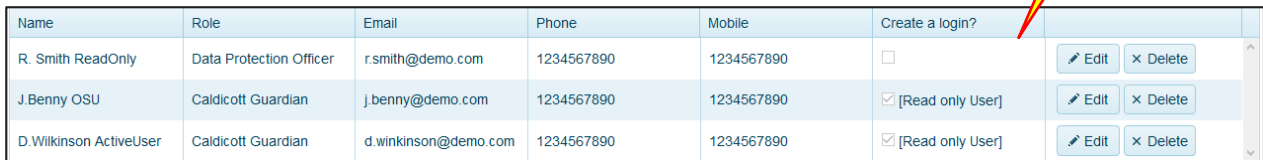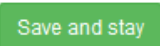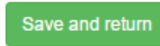
3. Select a contact from the drop-down list and select the **Add Contact** (Add Contact) button

4. Amend the contact details accordingly, specify the 'Role' within their organisation and the 'Agreement Role' in the ISA

5. Click the **Update** (✓ 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	☐	✎ Edit	✕ Delete
J.Benny OSU	Caldicott Guardian	j.benny@demo.com	1234567890	1234567890	☑ [Read only User]	✎ Edit	✕ Delete
D.Wilkinson ActiveUser	Caldicott Guardian	d.winkinson@demo.com	1234567890	1234567890	☑ [Read only User]	✎ Edit	✕ Delete

7. Select either of the **Save and stay** (Save and stay) or the **Save and return** (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

7.4   Update ISA Contact Details – Amend a Hosted Contact

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
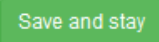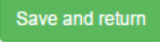
2. Edit the fields as required and then select the **Update** (✓ Update) button at the bottom right of the screen

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

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** (× Delete) button adjacent to the contact name

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** (Save and stay) or the **Save and return** (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

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.

7.6   Update ISA Contact Details – Add Other Parties Involved in ISA Contacts
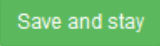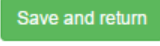
1. Under 'Other parties involved' section, to add a new contact, click the **Add new record** (+ Add new record) button

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

3. Click the **Update** (✓ Update) button at the bottom right of the dialog box. The contact details are added to the ISA

4. Select either of the **Save and stay** (Save and stay) or the **Save and return** (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

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

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

2. Amendments the fields as desired

3. Click the **Update** (✓ 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** (Save and stay) or the **Save and return** (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

6. Click the Confirm (Confirm) button

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

1. To delete a listed party, go to 'Other parties involved', click the **Delete** (× Delete) button adjacent to the name.

2. A dialog window is displayed with the message 'Are you sure you want to remove this?'
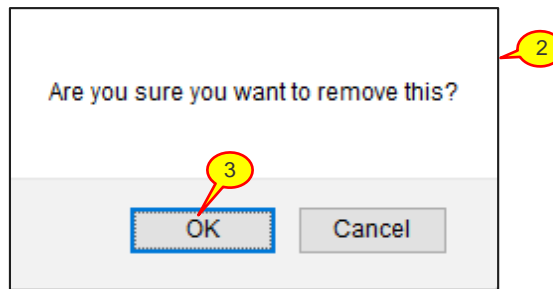
3. Click '**OK**' to remove the record. The dialog window closes and the record is removed from the ISA

4. Select either of the **Save and stay** (Save and stay) or the **Save and return** (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.

6. Click the **Confirm** (Confirm) button

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

1. Click on the 'Organisations' tab or at the bottom-right of the screen or select the **Next** (Next) button from the 'Contacts' tab. The participating 'Organisation' screen is displayed

2. To invite an organisation onto the ISA, click the **Select organisations** (+ Select organisations) button

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** (Search) button

6. From the search result place a tick next to the organisation you want to invite onto the ISA then click the **Select** (Select) button

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

8. To remove an organisation from the 'Organisations' tab, select the **Delete** (× 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** (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** (+ 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 organisations name

4. Select a **search type** option and enter the **search term** followed by the Search (Search) button

Note: The search results are extracted from the IG Toolkit. The IG toolkit is updated to the DCC yearly, therefore, it may not hold the most up-to-date records.

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

6. 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

7. 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

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

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

1. Select the 'Non-Registered Organisations' tab then select the **Delete** (× Delete) button

2. You will be prompted with the confirmation dialog box below, Click '**OK**'
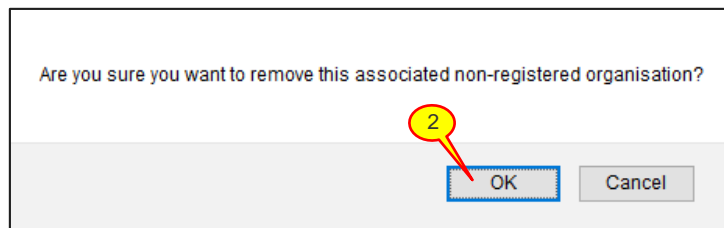
Are you sure you want to remove this associated non-registered organisation?

2

OK   Cancel

3. 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

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

4

Notification

| Description of modification | Specsavers Hearcare Group Limited - Non-registered organisation 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 |

5

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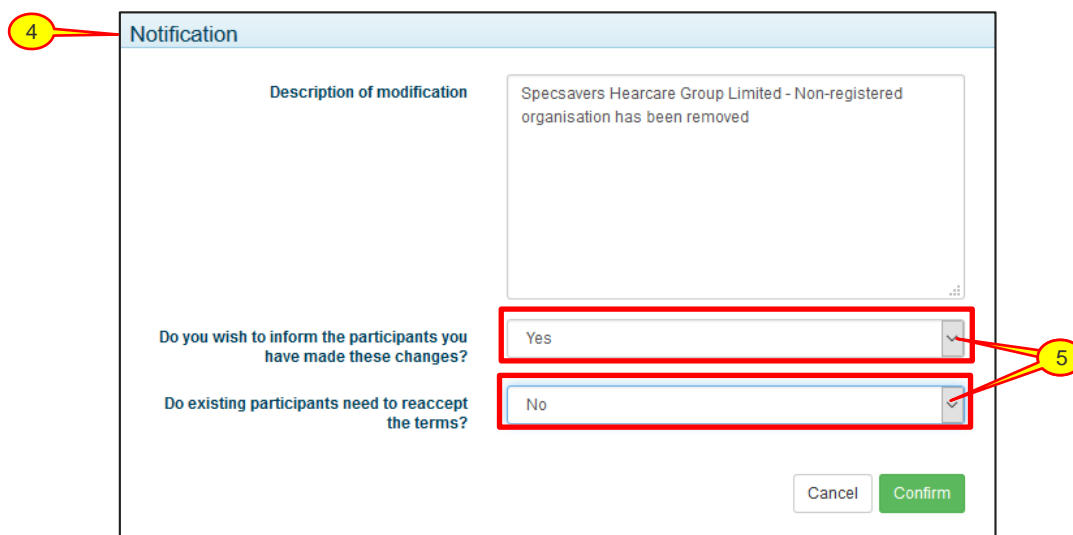
5. Click the **Confirm** (Confirm) button. The 'Notification' dialog closes and the 'ISA - Registry' screen is displayed

7.12 Record a DPIA against an ISA

See **section 9 - Data Protection Impact Assessment (DPIA)** on page 61, 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

Please see **section 13.1 - Add a DPC to your organisations ISA (Add as a host of an ISA)** on page 81 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** on page 86 for more information on how to remove a DPC from your organisations ISA.

7.15 Terminate an Information Sharing Agreement (ISA)

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

3. 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

4. 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.

5. 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

6. 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

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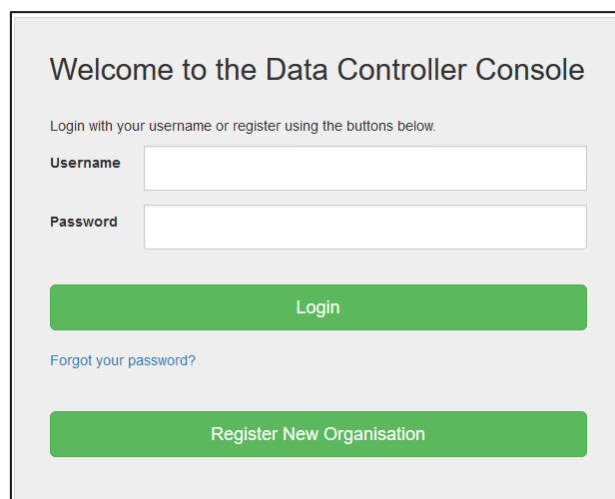
The steps below shows the options available for the organisation contact when an invitation to participate in an ISA is initiated.

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…..'

Invite to winter agreement

✖ DELETE   ← REPLY   ≪

Organisation 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

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

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.

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

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

5. Click the **Confirm** ( ) button

8.2   Reject an Invitation Sent by Another Organisation to Join an ISA
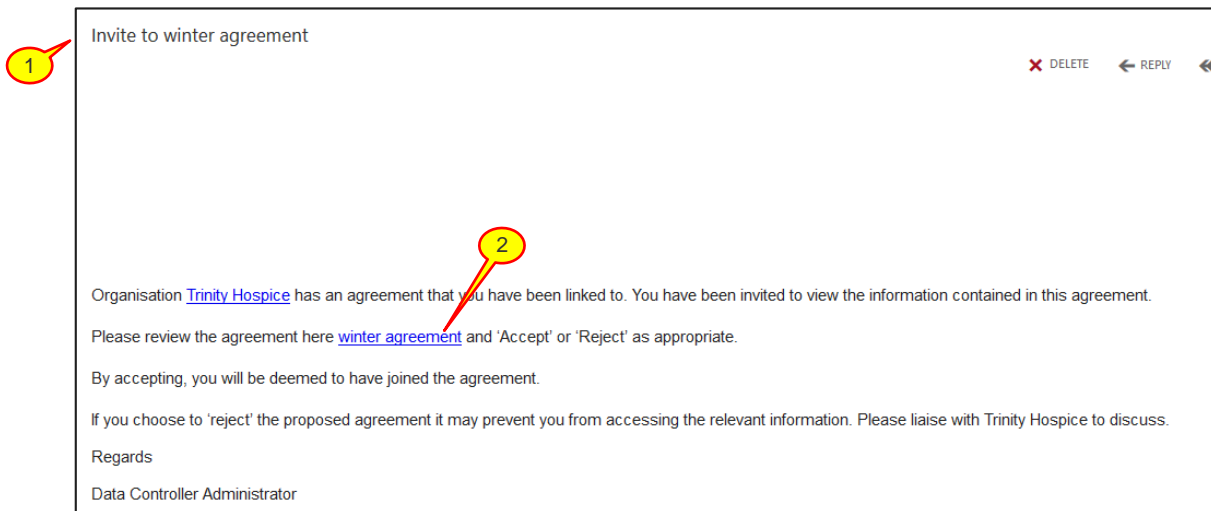
1. An email is received with the title 'Invite to [ISA title] agreement' with a message '….Please review the agreement here [ISA title] and 'Accept' or 'Reject' as appropriate…..'

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

   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 a participant of that ISA*

3. 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'
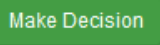
ISA - Registry > Details (Read Only)

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

4. In the field, enter the reason for rejecting the invitation to join the ISA

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

Confirmation

Please confirm you wish to make this decision

Confirm　Cancel

6. Click the **Confirm** (Confirm) button

8.3   Cancel Participation in an ISA

1. From the navigation bar at the top, select the 'ISA - Management' tab. The 'ISA-Management screen is displayed with the 'My ISA - Management' tab.

2. 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

3. Click on the *'ISA Title'* or the **View** (View) button adjacent to the *ISA title*

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

4. Enter a reason for cancelling the ISA in the box provided, above the ISA tabs

5. Click the **Cancel ISA** (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** (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** (Apply Filter) button or press the 'Enter/Return' key on the Keyboard

5.   *To clear the fields and search again, select the Clear Filter (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** (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** (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** (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 checklist be completed where data processing "is likely to result in a high risk to the rights and freedoms of natural persons".
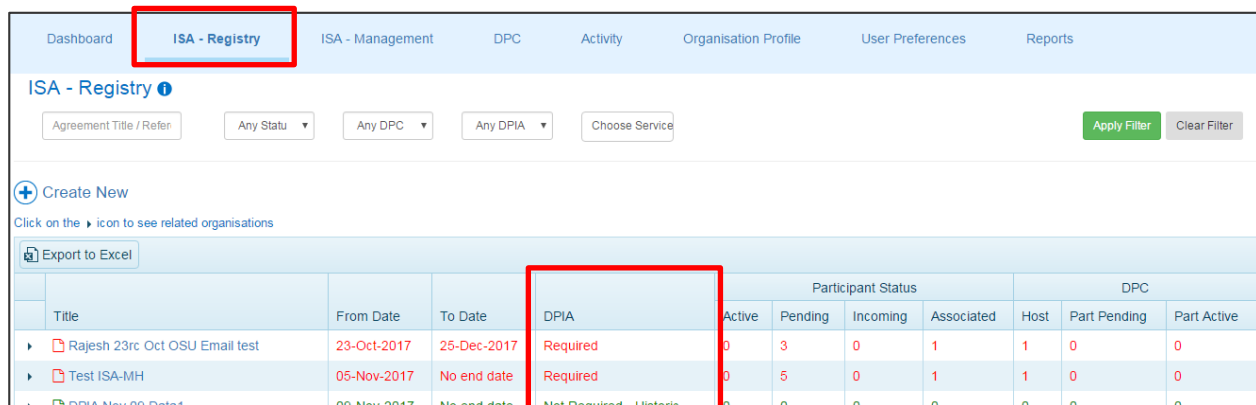
A DPIA checklist should be completed as early as possible within any new project lifecycle, so that its findings and recommendations can be incorporated into the design of the processing operation.

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.

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:

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.
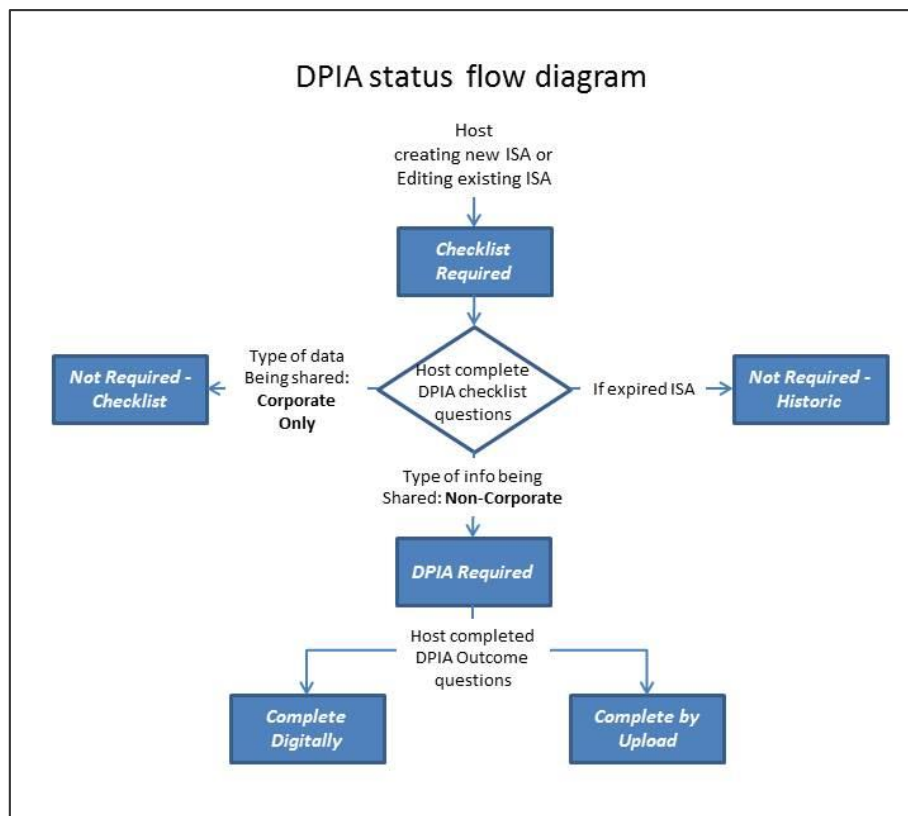
The diagram above shows the flow of DPIA status messages and when you will see them.

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.

The host has three options here:

- o **Do nothing for now** – This will mark the ISA as "Checklist Required"

- o **Complete Checklist** – This will display the DPIA checklist questions which need to be answered

- o **Mark DPIA not required as historic ISA** – This will mark the ISA as "Not required – Historic"

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.

1. Select the 'DPIA' tab from the **ISA – Registry > Create New** screen

2. Select the drop-down field from the DPIA checklist panel to display the DPIA checklist options

3. If you are uploading a historic ISA (ISA that has expired but you are uploading for other purpose), then select the 'Mark DPIA not required as historic ISA' option and move to question **16** below to save the DPIA checklist

4. If this is a current ISA or an ISA that will come into effect soon, then select the 'Complete Checklist' option

5. To come back to the DPIA checklist and complete it at a later date, select the 'Do nothing now' option

6. 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: ☐ Personal Identifiable ☐ Personal Non-Identifiable ☐ Business ☐ Corporate
2. Is it new data?	○ Yes ○ No

	o Unsure
3. What is the purpose?	o Yes o No o Unsure
4. Does the information sharing introduce new or additional technologies?	o Yes o No o Unsure
5. Does the information sharing about the individual raise privacy concerns?	o Yes o No o 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?	o Yes o No o Unsure
7. Will information about individuals be disclosed to organisations or people who have not previously had routine access to the information?	o Yes o No o Unsure
8. Will the project require you to contact individuals in ways which they may find intrusive	o Yes o No o Unsure
9. Will 3 or more organisations be involved in sharing the information?	o Yes o No o Unsure
10. Will the information sharing involve new or significantly changed consolidation, inter-linking, cross referencing or matching of personal data from multiple sources?	o Yes o No o Unsure

7. If the outcome of the checklist is that "a DPIA is not required", then move to question **16** below to save the DPIA checklist information

8. If the outcome of the assessment is that "a DPIA is required", then move to **section** '**9.5 - DPIA Outcome'** below and indicate how you would like to record a DPIA

9.5   DPIA Outcome

The DPIA Outcome panel will only be enabled if it is identified that a DPIA is required from completing the checklist questions (in the previous section).

The host has three options here:

- o   **Do nothing for now** – This will mark the ISA as DPIA 'Required' so that the host can complete it later
- o   **Complete Digitally** – This will display the DPIA Outcome fields which need to be completed to record the DPIA (See section **9.5.1 - Complete DPIA digitally** below)
- o   **Upload document to library** – This will mark the ISA as 'Completed by upload'. (See section **9.5.2 - Complete DPIA via document upload** to upload the DPIA to the document library)

9. Select the drop-down field from the DPIA Outcome panel to display how you would like to record the DPIA

9.5.1. Complete DPIA digitally

10. Select the "Complete Digitally" option

11. 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?	o Yes o No o Unsure
Do you have a defined subject access request process?	o Yes o No o 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?	o Yes o No o Unsure
Have all organisations sharing or consuming information met the minimum IG Toolkit Level 2?	o Yes o No o Unsure

Will any information stated in the ISA be transferred outside EEA?	o Yes o No
If required, do you or any parties subject to the ISA have the means to make changes to the data?	o Yes o No
Is there a section within the ISA that covers Data Quality?	o Yes o No o Unsure
Does the organisation and agreement comply with records management code?	o Yes o No o Unsure
Is your information security proportional to the sensitivity of the data being transferred?	o Yes o No o Unsure
Select the data covered?	Select the applicable option(s) from the available checkboxes

9.5.2. Complete DPIA via document upload
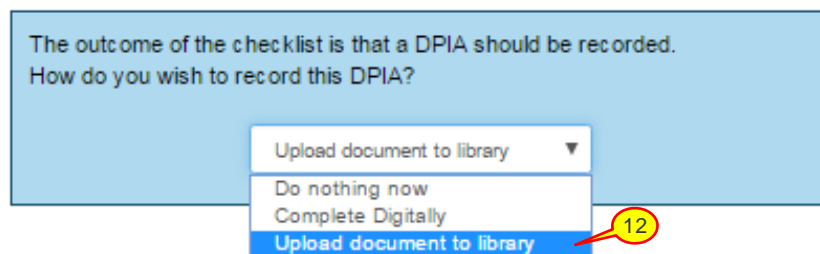
12. Select the **Upload document to library** option

13. Select the 'Details' tab then click on '**Upload new**' button

14. Enter the DPIA *Title*, *Description* and *Category*

15. Select the **Choose File…** button to upload your DPIA to the DCC document library

16. 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 of 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** (Apply Filter) button or press the 'Enter/Return' key on the keyboard

7. To clear the fields and search again, select the **Clear Filter** (Clear Filter) button

8. To transfer the ISA and DPC table data to a Microsoft Excel file, click on the **Export to Excel** (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.

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** (Apply Filter) button or press the 'Enter/Return' key on the keyboard

8. To clear the fields and search again, select the **Clear Filter** (Clear Filter) button

9. To transfer the ISA and DPC table data to a Microsoft Excel file, click on the **Export to Excel** (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*)

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 (![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** (Accept   Reject) button adjacent to the DPC title

14. To view the details of the DPC, select the *DPC title* form 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.
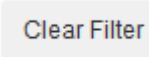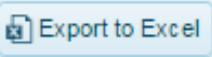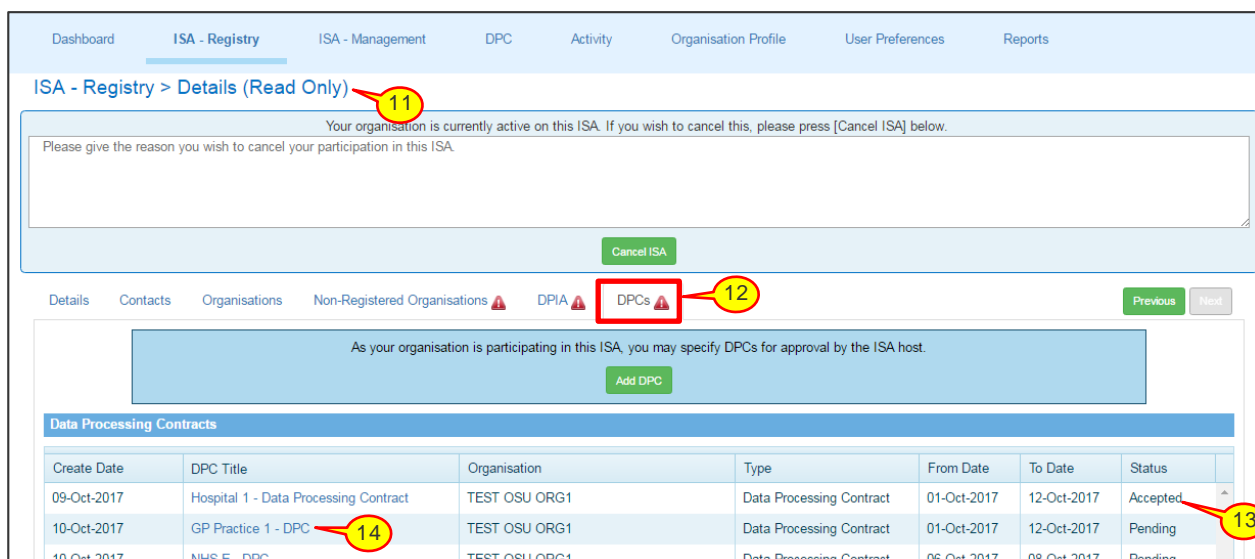

1. Click on the 'ISA – Management' tab from the navigation tabs

2. The 'My ISA – Management' tab is displayed with a list of all of the ISAs that your organisation is participating in

3. 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

4. The **DPC Count** column shows the total number of DPCs that are attached to an ISA

5. 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 (A de et to Active status) before you can add a DPC to that participating ISA*

6. 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

7. Select an appropriate option from the 'Any DPC Status' drop-down field then click the **Apply Filter** (Apply Filter) button to show you the filtered results

8. To clear the fields and search again, select the **Clear Filter** (Clear Filter) button

9. To transfer the ISA and DPC table data to a Microsoft Excel file, click on the **Export to Excel** (Export to Excel) button above the list of ISAs

10. 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*)

11. The 'ISA – Registry > Details (Read Only)' screen is displayed for you to view the ISA and the DPCs associated with it

12. Select the 'DPCs' tab

13. The Data Processing Contracts screen will display a list of all DPCs associated with this ISA and their status

14. To view the details of the DPC, select the *DPC title* form 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 v*alid '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.*

---
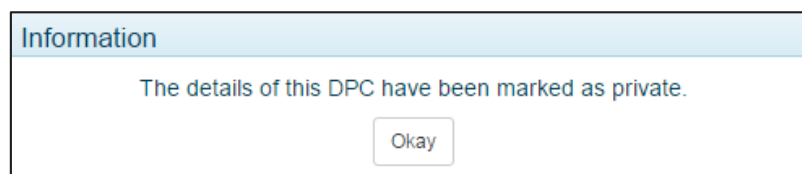
6. Finally, to upload the electronic copy of the contract, select the **Upload New** (✎ Upload New) link
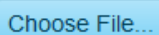
7. The 'Provide details' dialogue box is displayed. Enter the *Title* and *Description* then select the *category* from the drop-down field

8. Select the **Choose File…** Choose File...) button to search and upload your document

Continued on next section…

11.2 Add a processing 'Organisation' to your DPC

..Continued from previous section

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** then enter the **Search Term** in the relevant fields

5. Select the **Search** (Search) button to display the result

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)

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. If required, you can search for other DPC processing organisations by selecting the Return to Search (Return to Search) button

11. select the **Save** (Save) button

12. The organisation will be added to your list of processing organisations section

13. 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** (Save and stay) or the **Save and return** (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 version control

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.
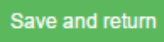

1. To delete a document from your organisations DPC, select the 'DPC' tab from the navigations bar

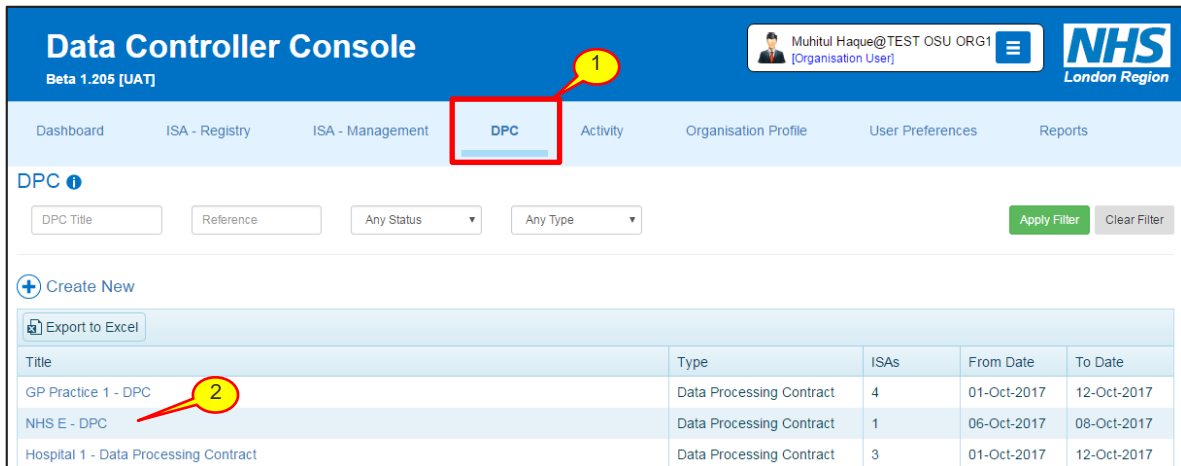2. Select the *DPC title* that you want to remove the document from

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

7. Once you are done, click the **Save and stay** (Save and stay) to review your deletion or the

   Save and return (Save and return) button to commit the changes

## 12.4 Mark your DPC as Private (Restrict others from viewing the DPC)
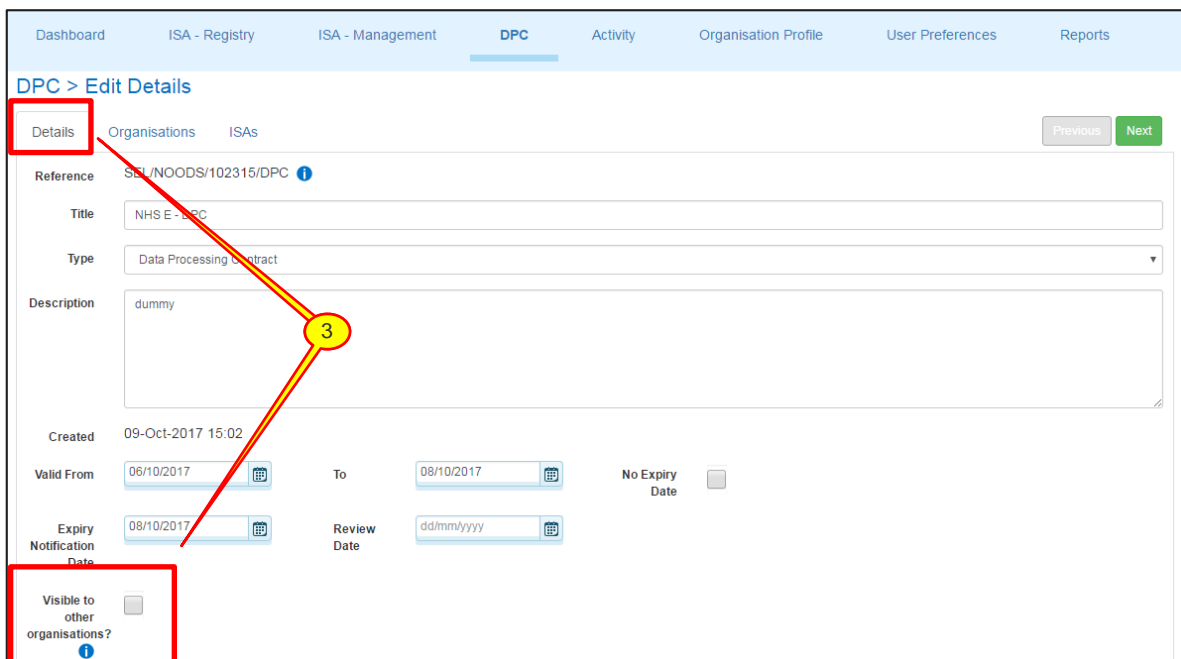
1. To mark your DPC as private and restrict other organisation from viewing the DPC details, select the 'DPC' tab from the navigation bar

2. Select the DPC you want to mark as private
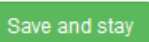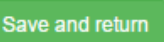
3. In the 'Details' tab, ensure you remove the tick from the 'visible to other organisations?' checkbox

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

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*

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 **page 72** on how to create a DPC

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

2. From the 'ISA Registry – Edit Details' screen, select the 'DPCs' tab

3. Select the **Add DPC** (+ Add DPC) button on the top left of the Data Processing Contracts table

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** (Search) button. Leave it blank to show a list of all of the DPCs that your organisation is hosting

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

6. On the 'Select DPC' dialog box, click the **Select** (Select) button adjacent to the DPC title to add it to the ISA

7. Once done, click the **Save and stay** (Save and stay) or the **Save and return** (Save and return) button at the bottoms of the page to commit the changes

8. 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 then click the **confirm** button

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 **page 72** on 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.

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

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

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** (Search) button. Leave the fields blank to show a list of all of the DPCs that your organisation is hosting

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

7. Click the **Select** (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.

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

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

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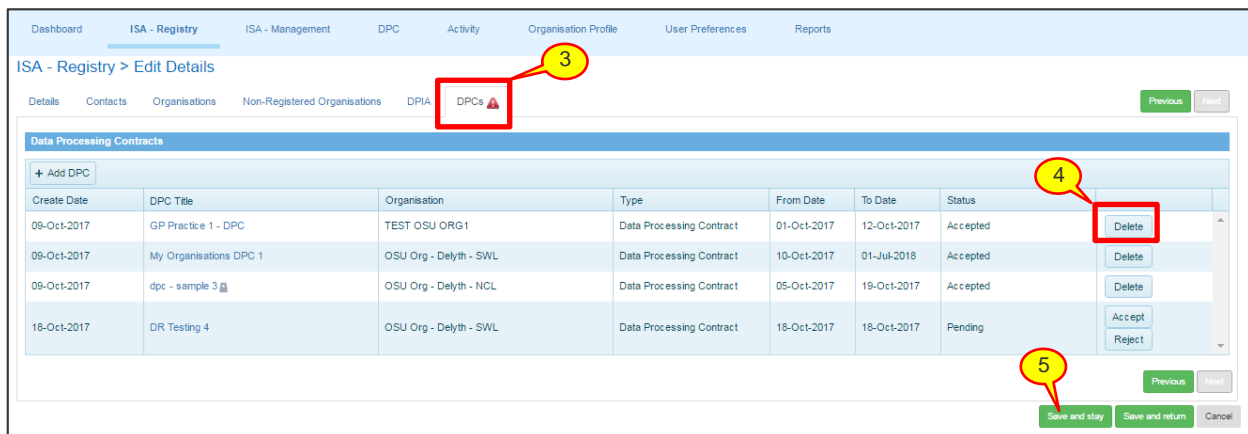
Caution: **Clicking on the participants DPC title will open the DPC in a new tab. This allows the hosting organisation to save any amendments to the ISA they may have made to the ISA without losing data*

13.4 Remove your organisations DPC from your organisations ISA

1. Select the 'ISA – Registry' tab

2. Select the ISA that you wish to remove the DPC from

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** (Save and stay) or the **Save and return** (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 on **page 80** to terminate your organisations DPC.
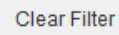
14. Activity

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

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** (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** (Clear Filter) button at the top-right of the screen. Search fields are cleared and all activity is listed

15. Manage Organisation Profile

15.1 Update your organisation profile details

1. Select the 'Organisations Profile' tab from navigation bar. The 'Organisation Profile' screen is displayed

2. Under 'Organisation Profile Details' section, amend the organisation fields as desired (Organisation type can now be set as Local Authority)

15.2 Update your Organisation's Contacts

15.2.1. Add a contact in your organisation

1. To add a new contact, under 'Organisation Contacts' section, click on the **Add New Contact** (+ Add New Contact) button.

2. The 'Contact' window is displayed. Populate all of the fields to add the person as a contact in your organisation.

> *Note*: *If an Organisation type is set as Local Authority, any new contacts added will have an additional **Role Category** field available to distinguish between Adult Social Care and Child Social Care.*

3. To enable the contact to have a user account and login to the Data Controller Console, place a tick on the checkbox labelled 'Login account required'
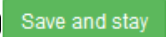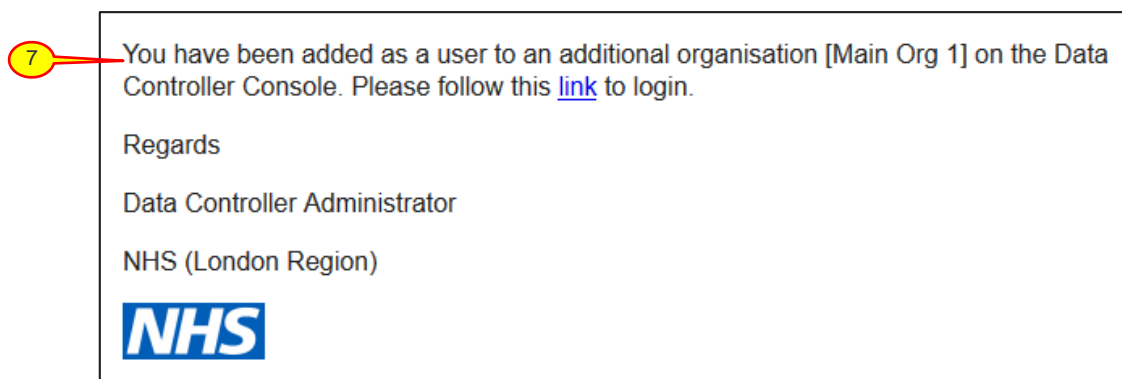
4. A 'User Account Options' pane to the right of the screen is displayed. Use the options to grant user log-in permissions accordingly for the user

   (a) Select 'Organisation User' (OSU) to give the user full access to the organisation including the ability to create other contacts for the organisation

   (b) Select 'Active User' (AU) to give the user partial access to the organisation. This user has the access to create an ISA and manage existing ISA's, however, they cannot create contacts or amend the organisation's profile

   (c) Select 'Read-only user' (ROU) to allow the user to only view information the organisation is associated with

5. Click the **Update** (✓ Update) button. The 'Contact' screen closes and the 'Organisation' screen is displayed

6. Click **Save and stay** (Save and stay) button at the bottom right of the page

7. If the user account already exists in DCC, then the user will receive a notification email that s/he has been added as a user to the organisation

8. A new user account has been created for you on the Data Controller Console.

Please follow this link to login.

You can login using the following details:

Username: ▨▨▨▨▨▨▨▨▨▨
Password: ABCD1234

You will be asked to change this password when you first login.

Regards

Data Controller Administrator

NHS (London Region)

NHS
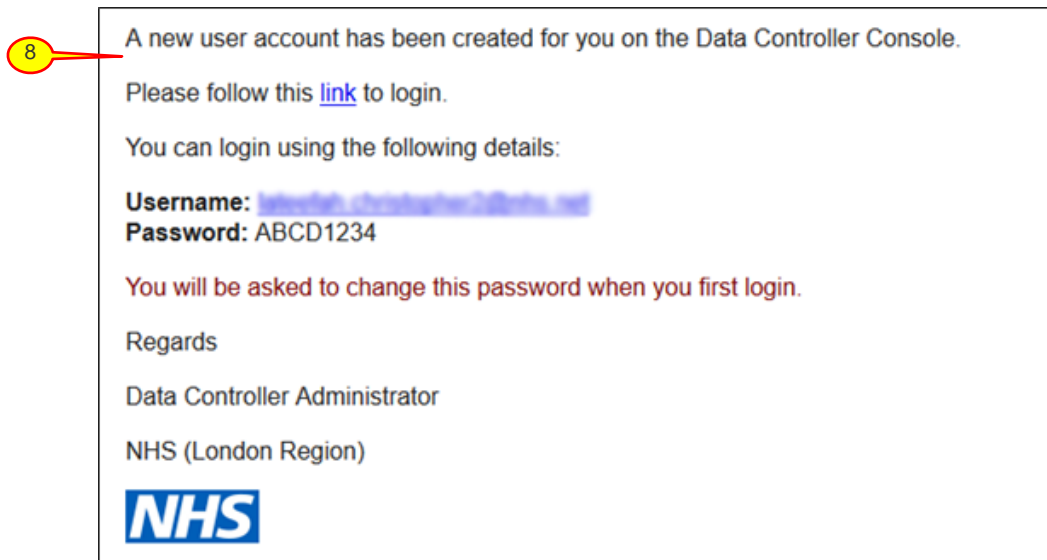
8. If the user account doesn't exist in DCC, then this new contact will receive a notification email that a user account has been created for them. The new user will receive a username and a temporary password which they must change when they first login

15.2.2. Edit a Contact in your Organisation

Organisation Contacts							
+ Add New Contact						1	
Name	Role	Email	Phone	Mobile	Create a login?		
Muhitul Haque-Pete	Caldicott Guardian	muhitul.haque@nh…	1234567890		☑ [Organisation User]	✏ Edit ✕ Delete	
Delyth Roberts	Caldicott Guardian	Delyth.roberts1@n…	12345		☑ [Organisation	✏ Edit ✕ Delete	

1. To edit a contact, in the 'Organisation Contacts' section in the 'Organisations Profile' tab, click on the **Edit** (✏ Edit) button adjacent to the contact

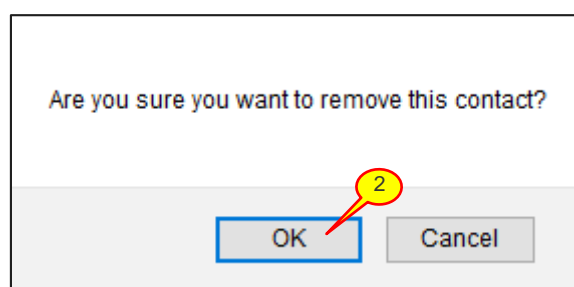| Contact		✕
First Name	Muhitul	
Last Name	Haque-Pete	**User Account Options**
Role	Caldicott Guardian ▾	There are 3 levels of access available - please choose one:
Role Other		⦿ Organisation User (Full access to your organisation)
Email	muhitul.haque@nhs.net	○ Active User (ISA registry and management)
Phone	1234567890	○ Read only user
Mobile		2
☑ Login account required		✓ Update ⊘ Cancel

2. A Contact window is displayed with contact details populated in the field. Amend the fields accordingly then click **Update** (✓ Update) button

15.2.3. Delete a Contact in your Organisation

1. To delete a contact, in the 'Organisation Contacts' section in the 'Organisations Profile' tab, select the **Delete** (✕ Delete) button adjacent to the contact

2. A prompt is displayed 'Are you sure you want to remove this contact? Click **OK**. The contact is removed

15.3 Update your Organisation's Tagging

In your 'Organisations Profile' tab, the two boxes in underneath the 'Organisation Tagging' section allow you to add tag groups based on the type of services your organisation provide and the boroughs it provide services to. If you have 'services provided' tags not listed in the box, please enter them onto the **Additional Services** free text box.

15.3.1. Add/Delete a Services Provided Tag

A Services Provided Tag is added to show which services an organisation provides, adding a Services Provided Tag to an organisation profile will mean that an organisation is easier to search for by others

1. To add a service provided tag to your organisation, click into the 'Service provided' field to see a list of all available service tags that you can associate with your organisation

Note: there is no limit to the amount of service tags you can associate to your organisation. You have the ability to select 'All London Boroughs' tag.

2. You can also search for a specific tag by typing the first few letters of the word

3. Selecting a tag or typing a tag and selecting from the list will add each of the tags into the box. You can also select multiple tags from the drop-down list by simply clicking on each tag

4. To remove the tags, click on the 'x' next to the tag box

15.3.2. Add/Delete a Boroughs Serviced Tag

A Boroughs Serviced Tag is added to show which borough an organisation provides services, adding a Borough Tag a profile will mean that an organisation is easier to search for by others

1. To add a Boroughs Serviced Tag to your organisation, click into the 'Boroughs Serviced' field to see a list of all available service tags that you can associate your organisation with

2. You can search for a specific tag by typing the first few letters of the word

3. Selecting a tag from the list will add each of the tags into the box

4. To remove the tags, click on the 'x' next to the tag box

5. To select everything on the list, click 'All London Boroughs' tag.

Note: *A search for an individual borough will bring up your organisation in the search result as you have selected all boroughs.*
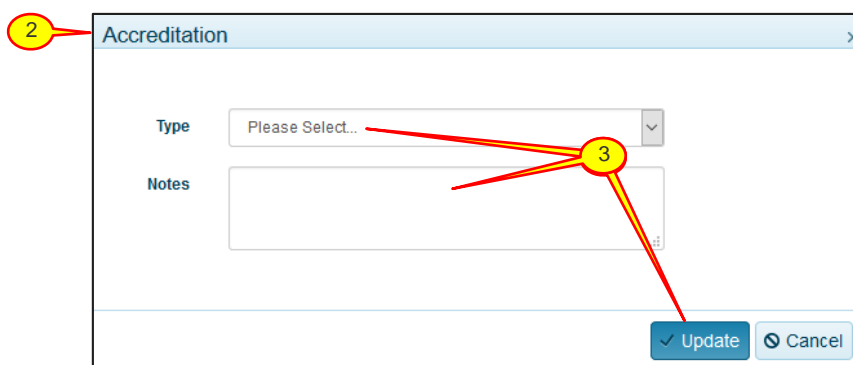
15.4 Update your Organisation's Accreditation

15.4.1. Add an Accreditation

1. To add an accreditation, under 'Accreditations' section in the 'Organisations Profile' tab, click the **Add New Accreditation** (+ Add New Accreditation) button

2. An 'Accreditation' pop-up dialog box is displayed

3. Select the Accreditation 'Type' and populate the fields accordingly then select the **Update** (✓ Update) button

Note: HSCN and OFSTEAD accreditations types can now be included in this section

15.4.2. Edit an Accreditation

1. To edit an accreditation, under 'Accreditation' section in 'Organisation Profile' tab, select the **Edit** (✎ Edit) button adjacent to the accreditation

2. A 'Contact' window is displayed with accreditation details populated in the field

3. Amend the fields accordingly then click **Update** (✓ Update) button

15.4.3. Delete an Accreditation

1. To delete an accreditation, under 'Accreditation' section in the 'Organisations Profile' tab, click on the **Delete** (✕ Delete) button adjacent to the accreditation

2. A prompt is displayed 'Are you sure you want to remove this accreditation?'

3. Click **OK** button. The accreditation is removed

15.5 Upload Related Documents

15.5.1. Add a Related Document

1. To upload a new document, under 'Related Documents' section in the 'Organisations Profile' tab, select the **Upload New** (✎ Upload New) link

2. A 'Provide details' pop-up dialog box is displayed

3. In the dialog box, populate the fields accordingly. Then click the **Choose File** (Choose File...) link to attach a file. The file is attached and the dialog window closes

---

Note: *The maximum upload-able file size is 20MB.*

---

4. To save the newly uploaded document you must select either **Save and stay**
(Save and stay) or **Save and return to dashboard** (Save and return to dashboard)
buttons

15.5.2. Update a Related Document

1. To upload a new version of a document, under 'Related Documents' section in the 'Organisations Profile' tab, click the **New Version** (New Version) button adjacent to the document

2. The 'Provide details' pop-up dialog box is displayed with an addition 'Reason' field to provide a reason for the update


3. Populate the fields accordingly then click the **Choose File** (Choose File...) button to attach the new file. The file is attached and the dialog window closes

4. Click the **Save and stay** (Save and stay) or the **Save and return to dashboard**
(Save and return to dashboard) button at the bottom right of the page

16. Manage User Accounts

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
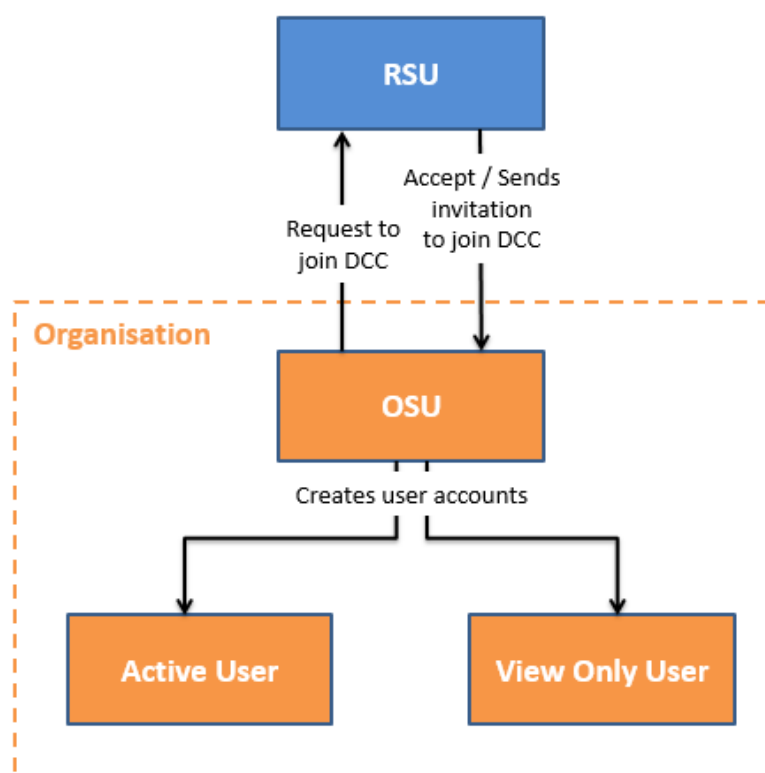

The Organisation Super User (OSU) and Active Users (AU) can initiate the request to join an Information Sharing Agreement. View Only Users (VOU) within an organisation cannot request to join or create any ISA.

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.
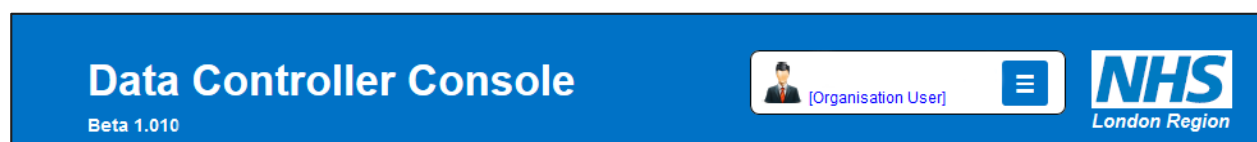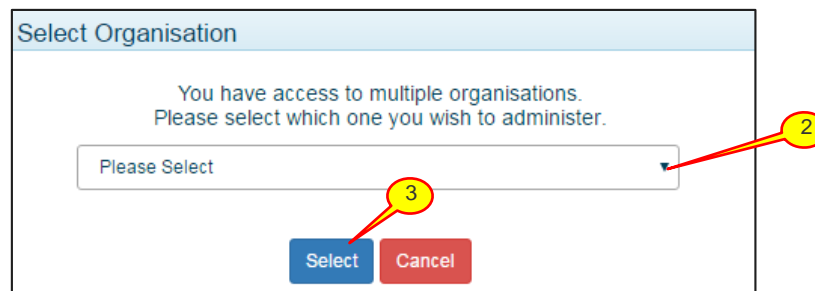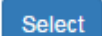
16.1 Switch Organisation

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.
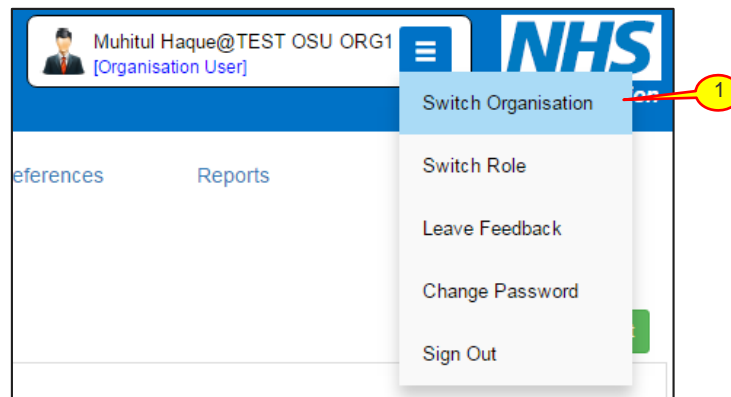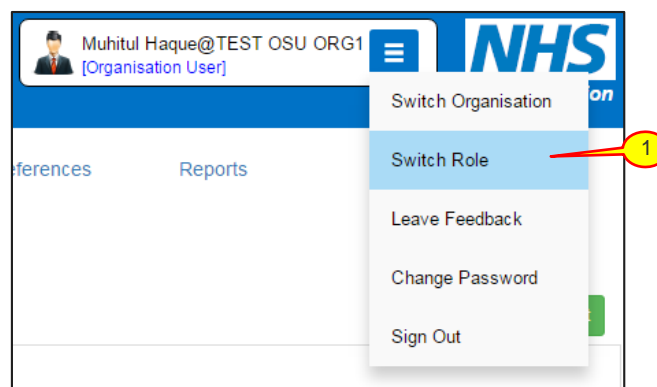

1.   Hover over the blue menu ( ) icon and select the **Switch Organisation** option


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.
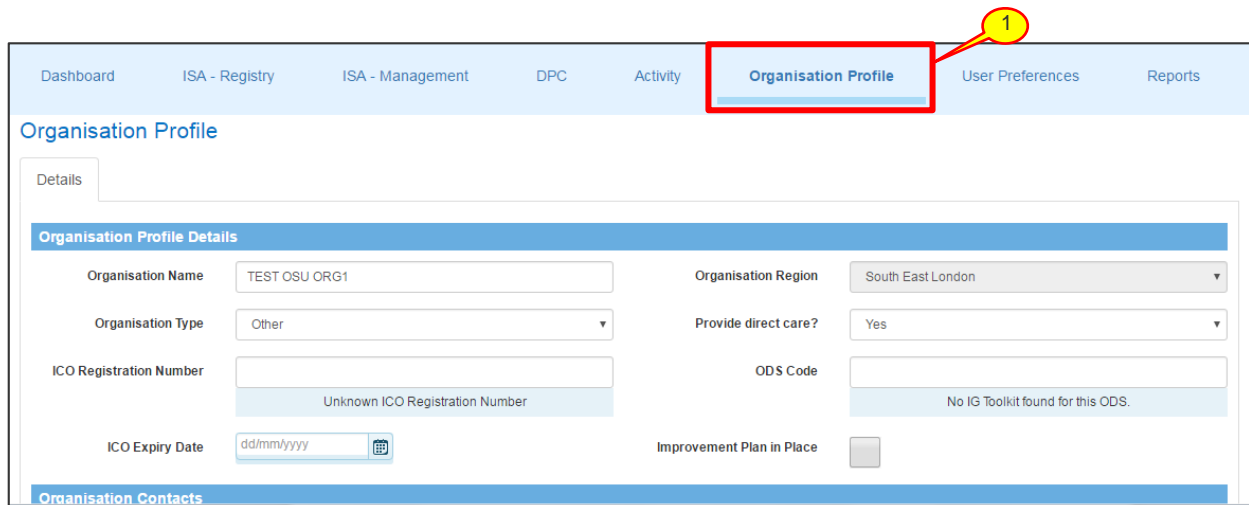

1.   Hover over blue menu ( ) icon and select the **Switch Role** option
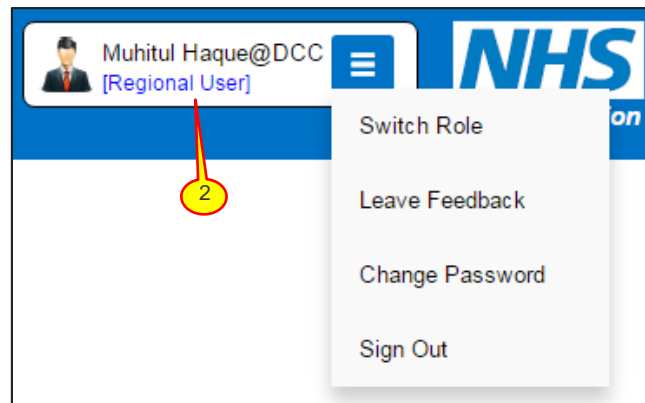
2. Once Switch Role is selected from an [Organisation User] profile, the DCC screen will change over to a [Regional User] role or vice versa

16.3 Search for and view User Accounts within your organisation

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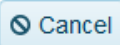

2. Scroll down to the 'Organisation Contacts' section. All the organisation's contacts are listed

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

3. To view a contact's user permissions (for a contact with the 'Create a login' checkbox ticked), click on the **Edit** (✎ Edit) button adjacent to the contact's name
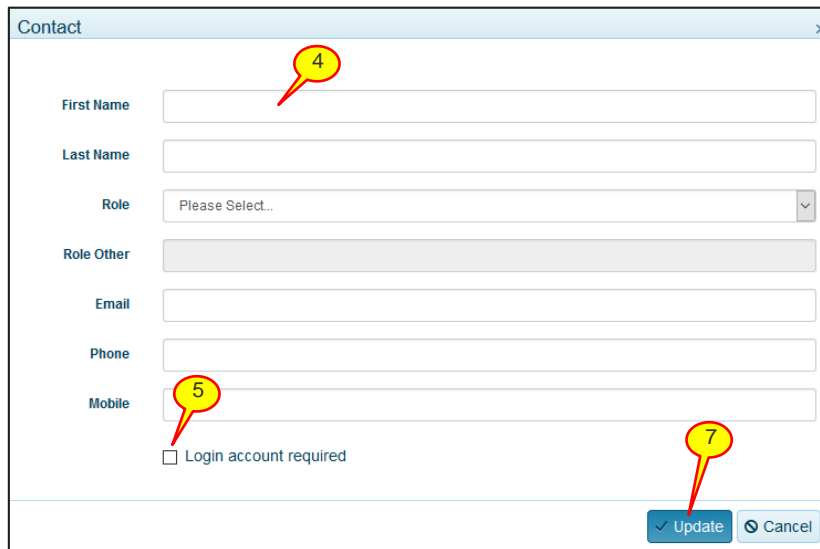
4. The 'Contact' screen is displayed and the contact's details are displayed with the 'User Account Options' on the right of the screen

5. At the bottom-right of the screen, click **Cancel** (Cancel) button to close. The screen closes and the 'Organisation Profile' screen is displayed

16.4 Create a User Account

1. Click on 'Organisation Profile' tab from the top menu. The 'Organisation Profile' screen is displayed with your organisation details populated based on the ICO and ODS code details. The organisation details are displayed

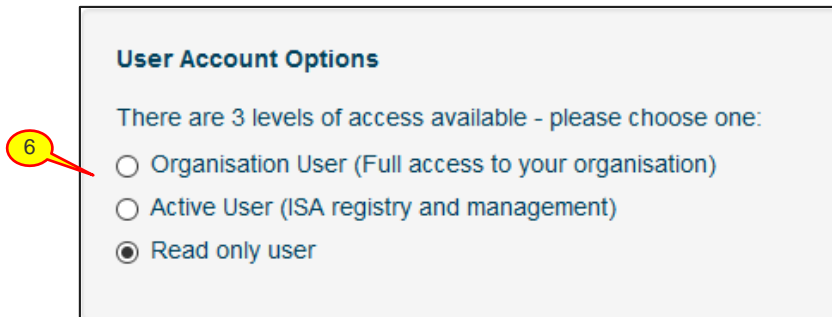2. Scroll down to 'Organisation Contacts' section. Organisation contact(s) details are displayed

3. To add a new contact, under 'Organisation Contacts' section, click on the **Add New Contact** (+ Add New Contact) button.

4. A 'Contact' window is displayed. Populate the fields accordingly

5. To enable the contact to have a user account and login to the Data Controller Console, select the checkbox labelled 'Login account required'. A 'User Account Options' pane is displayed to the right of the screen

6. Use the options to grant user log-in permissions accordingly for the user:

   (a) Select 'Organisation User' to give the user full access to the organisation including the ability to create other contacts for the organisation

   (b) Select 'Active User' to give the user partial access to the organisation. This user has the access to create an ISA and manage existing ISA's, however, they cannot create contacts or amend the organisation's profile

   (c) Select 'Read-only' to allow the user to only view the information the organisation is associated with

7. Click the **Update** (✓ Update) button. The 'Contact' screen closes and the 'Organisation' screen is displayed

8. Click **Save and stay** (Save and stay) button at the bottom right of the page. The updated details are saved and the list of organisations are displayed

9. If the user account already exists in DCC, then the user will receive a notification email that s/he has been added as a user to the organisation

You have been added as a user to an additional organisation [Main Org 1] on the Data Controller Console. Please follow this link to login.

Regards

Data Controller Administrator

NHS (London Region)

NHS

10. If the user account doesn't exist in DCC, the new contact will receive a notification email that a user account has been created for them. The new user will receive a username and a temporary password which they must change when they first login

A new user account has been created for you on the Data Controller Console.

Please follow this link to login.

You can login using the following details:

Username: ~~redacted~~
Password: ABCD1234

You will be asked to change this password when you first login.

Regards

Data Controller Administrator

NHS (London Region)

NHS

16.5 Update a User Account

1. Click on 'Organisation Profile' tab from the navigation bar. The 'Organisation Profile' screen is displayed with the Organisation Profile Details populated based on the ICO and ODS code details

2. Scroll down to 'Organisation Contacts' section. Organisation contact(s) details are displayed

3. To edit a contact, under 'Organisation Contacts', click on the **Edit** (✏ Edit) button adjacent to the contact.

4. A Contact window is displayed with contact details populated in the field. Amend the fields on the left as desired

5. To amend the user roles details, on the right-side of the 'Contact' screen under 'User Account Options' to grant the user permissions accordingly

   (a) For 'Read-only' access, uncheck all the checkboxes

   (b) For 'Active user' access, only uncheck the 'Organisation profile' checkbox and leave the other two boxes checked

   (c) For 'Organisation Super User', check all three boxes

6. Click the **Update** (✓ Update) button. The 'Contact' screen closes and the 'Organisation' screen is displayed

7. Click **Save and stay** (Save and stay) or the **Save and return to dashboard**

   (Save and return to dashboard) button on the bottom-right of the page. The updated details are saved and the Organisation profile is displayed. The new contact will receive a notification email of the changes made

16.6 Remove a User Account

1. Click on 'Organisation Profile' from the navigation bar. The 'Organisation Profile' screen is displayed with the organisation details populated based on the ICO and ODS code details.

2. Scroll down to 'Organisation Contacts' section. Organisation contact(s) details are displayed

3. To delete a contact, under 'Organisation Contacts', click on the **Delete** (× Delete) button adjacent to the contact

4. A prompt is displayed 'Are you sure you want to remove this contact?'

5. Click **OK**. The contact is removed

6. Click **Save and stay** (Save and stay) or the **Save and return to dashboard** (Save and return to dashboard) button on the bottom-right of the page. The updated details are saved and the Organisation profile is displayed
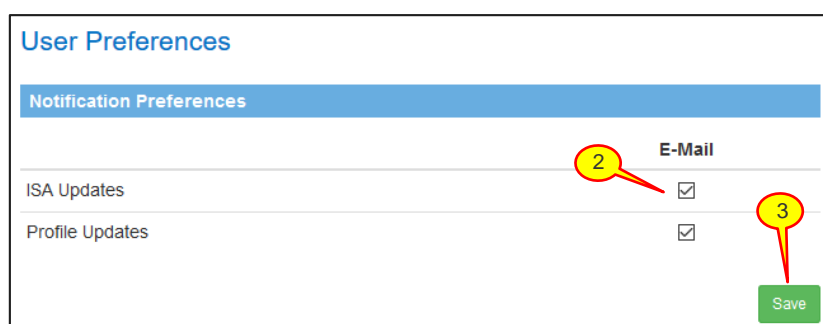
17. User Preferences

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

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

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** (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.


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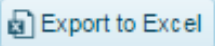2. When prompted, **Save** the file onto your local drive then open it

ISA – Registry tab

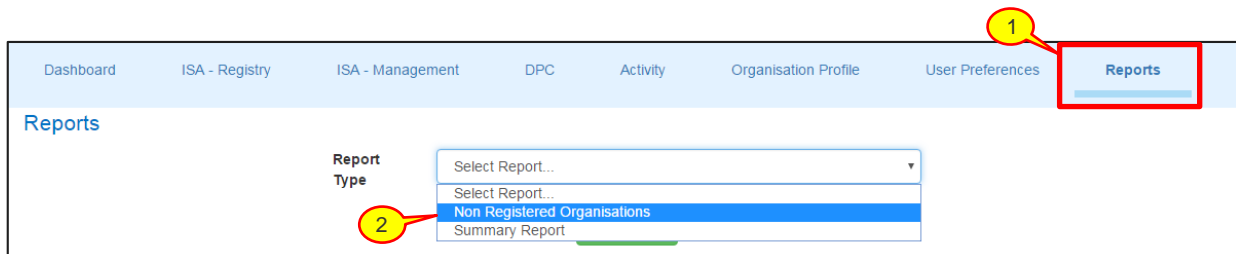|	A	B	C	D	Participant Status				DPC		
1	Title	From Date	To Date	DPIA	Active	Pending	Incoming	Associated	Host	Part Pending	Part Active
3	Rajesh 23rc Oct OSU Email test	23/10/2017	25/12/2017	Required	0	3	0	1	1	0	0
4	Test ISA-MH	05/11/2017		Required	0	5	0	1	1	0	0
5	DPIA Nov 09 Data1	09/11/2017		Not Required - 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** (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:

    a. ISA Title
    b. The hosting organisation name
    c. Valid from and to dates
    d. The status of the ISA you are participating in
    e. The total number of DPCs that are attached to the ISAs you are participating in
    f. The number of DPCs that your organisation has associated with each ISA
    g. 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:

    a. Title of the DPC
    b. The type of DPC
    c. The number of ISAs each DPC is associated with
    d. 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

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 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

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

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.

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

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

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

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

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.

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

19. 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