**Public Benefit and Privacy Panel for Health and Social Care**

**Application Form**

|  |  |  |  |
| --- | --- | --- | --- |
| **Application Control**  *Applicants should not fill out this section* | | | |
| Application Coordinator |  | | |
| Application Number |  | Submitted Date |  |
| Applicant Name |  | | |
| Proposal Name |  | | |

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## Note to Applicants

Prior to completing your application form you should:

* Contact the eDRIS Team, who will assist you - [Nss.edris@nhs.net](mailto:Nss.edris@nhs.net) or by phone on 0131 275 7333
* Read and understand the separate Guidance for Applicants

Your application should be typed, not handwritten. Your eDRIS application coordinator will inform you how to submit your application form and any supporting evidence. Before submitting your completed application, you should ensure that:

* All relevant sections of the application are complete
* Relevant supporting evidence is attached
* Individuals named on the form have read and approved its submission

Please note that submitted applications may be circulated to panel members, administrative colleagues, NHSScotland information governance and information security colleagues, Caldicott Guardians, the CHI Advisory Group and, where appropriate, non-NHS Scotland colleagues from a variety of participating partner bodies, in the course of processing. You must make your eDRIS application coordinator aware of any confidential or sensitive information contained in your application which you would consider inappropriate for circulation in such a manner. Your application could be subject to disclosure or partial disclosure under the Freedom of Information (Scotland) Act, and will be retained in line with NHSScotland information policy.

## Section 1 – People

|  |  |  |  |
| --- | --- | --- | --- |
| **1.1** | **Applicant** *Please read section 1.1 of the guidance* | | |
| **1.1.01** | Full Name: | |  |
| **1.1.02** | Title: | |  |
| **1.1.03** | Position: | |  |
| **1.1.04** | Professional Registration No.: | | *If applicable* |
| **1.1.05** | Organisation Name: | |  |
| **1.1.06** | Address: | |  |
| **1.1.07** | Postcode: | |  |
| **1.1.08** | Telephone Number: | |  |
| **1.1.09** | Email: | |  |
| **1.1.10** | Do you have an NHS contract/honorary contract? | | Choose an item. |
| **1.1.11** | Provide details of the most recent information governance training undertaken - a list of training courses is included at [Appendix A](#_Appendix_A_–), and you should particularly indicate if you have undertaken any of those listed | | |
|  | Name of course: |  | |
|  | Link to course content: | *If applicable* | |
|  | Institution: |  | |
|  | Date completed: |  | |

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| **1.2** | **Clinical Sponsor/Lead** *Please read section 1.2 of the guidance* | | |
| **1.2.01** | Full Name: | |  |
| **1.2.02** | Title: | |  |
| **1.2.03** | Position: | |  |
| **1.2.04** | Professional Registration No.: | |  |
| **1.2.05** | Organisation Name: | |  |
| **1.2.06** | Address: | |  |
| **1.2.07** | Postcode: | |  |
| **1.2.08** | Telephone Number: | |  |
| **1.2.09** | Email: | |  |
| **1.2.10** | Does this person have an NHS contract/honorary contract? | | Choose an item. |
| **1.2.11** | Provide details of the most recent information governance training undertaken - a list of training courses is included at [Appendix A](#_Appendix_A_–), and you should particularly indicate if this person has undertaken any of those listed | | |
|  | Name of course: |  | |
|  | Link to course content: | *If applicable* | |
|  | Institution: |  | |
|  | Date completed: |  | |

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| **1.3** | **Information/Data Custodian** *Please read section 1.3 of the guidance* | | |
| **1.3.01** | Full Name: | |  |
| **1.3.02** | Title: | |  |
| **1.3.03** | Position: | |  |
| **1.3.04** | Professional Registration No.: | | *If applicable* |
| **1.3.05** | Organisation Name: | |  |
| **1.3.06** | Address: | |  |
| **1.3.07** | Postcode: | |  |
| **1.3.08** | Telephone Number: | |  |
| **1.3.09** | Email: | |  |
| **1.3.10** | Does this person have an NHS contract/honorary contract? | | Choose an item. |
| **1.3.11** | Provide details of the most recent information governance training undertaken - a list of training courses is included at [Appendix A](#_Appendix_A_–), and you should particularly indicate if this person has undertaken any of those listed | | |
|  | Name of course: |  | |
|  | Link to course content: | *If applicable* | |
|  | Institution: |  | |
|  | Date completed: |  | |

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| **1.4 Others with access to identifiable or potentially identifiable data** *Please read section 1.4 of the guidance* | | | | | | |
| *Complete this section if applicable – for each additional person* | | | | | | |
| Full Name: |  | | Telephone or Email: | |  | |
| Organisation: |  | | Position: | |  | |
| Professional Registration No: |  | | NHS contract/ honorary contract? | | Choose an item. | |
| IG Training - Name of course: | |  | | | | |
| IG Training - Link to course: | | *If applicable* | | | | |
| IG Training - Institution: | |  | | Date completed: | |  |

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| **1.5 Others** *Please read section 1.5 of the guidance* | | | |
| *Complete this section if applicable – for each additional person* | | | |
| Full Name: |  | Involvement in Proposal: |  |
| Organisation: |  | Position: |  |

## Section 2 – Organisations & Bodies

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| --- | --- | --- |
| **2.1** | **Organisation or Body Leading Proposal** *Please read section 2.1 of the guidance* | |
| **2.1.01** | Organisation or Body Name: | *If the organisation here is an NHSScotland board, note this and go directly to question 2.1.4* |
| **2.1.02** | Is this organisation or body a registered data controller? If ‘Yes’, provide Data Protection Registration Number: | Choose an item. |
| **2.1.03** | Is this a commercial organisation or body? | Choose an item. |
| **2.1.03a** | If ‘Yes’, please provide a full explanation of the organisation or body’s activity and industry sector, including any previous experience of using NHSScotland data - append supporting documentation as appropriate | *If applicable* |
| **2.1.04** | Is this organisation or body wholly funding or paying for the costs of conducting the proposal? | Choose an item. |

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| **2.2** | **Organisation or Body Funding Proposal** *Please read section 2.2 of the guidance* | |
| *Complete the following section if you answered ‘No’ to question 2.1.4* | | |
| **2.2.01** | Organisation or Body Name: | *If the organisation here is an NHSScotland board note this and, go directly to section 2.3* |
| **2.2.02** | Is this organisation or body a registered data controller? If ‘Yes’, provide Data Protection Registration Number: | Choose an item. |
| **2.2.03** | Is this organisation or body a commercial organisation? | Choose an item. |
| **2.2.03a** | If ‘Yes’,please provide a full explanation of the organisation or body’s activity and industry sector, including any previous experience of using NHSScotland data - append supporting documentation as appropriate |  |

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| **2.3 Other Relevant Organisations or Bodies** *Please read section 2.3 of the guidance* | | |
| *Complete this section if applicable* | | |
| Organisation Name | Nature of Business/Sector | Nature of interest in proposal |
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## 

## Section 3 – Overview

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| **3.1** | **Proposal Essentials** *Please read section 3.1 of the guidance* | | |
| **3.1.01** | Proposal title/name: | |  |
| **3.1.02** | Is this proposal an extension or renewal of an existing approval (for example to conduct a study over a wider geographic area or for a longer period of time)? Please provide details, include the reference number of the original approval, and summarise the changes requested | | Choose an item. |
| **3.1.03** | Is this new proposal related to a previous application (approved or not)? Please give details, indicate if this is a resubmission, including the reference number of the original submission | | Choose an item. |
| **3.1.04** | What is(are) the substantive purpose(s) of the proposal? (tick all that apply) | | |
|  | Patient Care | Research | |
|  | Audit | Performance Monitoring/Management | |
|  | Service Planning/Improvement | Health/Social Care Administration | |
|  | Systems Implementation/Testing | Training/Education | |
|  | Quality (Clinical, Educational, etc) |  | |
|  | If other clearly defined purpose, please give details: | | |
| **3.1.05** | Does the proposal require the use of information which can identify or potentially identify individuals? | | Choose an item. |
| **3.1.06** | Access is being requested to data from which sources? (tick as many as are relevant) | | |
|  | A single NHS Scotland Board (excluding NSS)  NHS National Services Scotland  More than one NHS Scotland Board  A national NHS Scotland system/database  More than one NHS Scotland system/database  Community Health Index (CHI) database  NHS Central Registry | | |
|  | If other, please give details: | | |
| **3.1.07** | Provide a full, clear concise outline of the proposal background – describe why it is needed, aims and objectives and envisaged benefits to the public and/or patients: | | |
| **3.1.08** | Provide a full, clear and concise outline of the proposal design, listing: data sources; sample size ; inclusion/exclusion criteria (eg involvement in trial/survey; health event, etc); relevant date range; need for identifiable or potentially identifiable data; requirement for a matched control cohort etc. | | |
| **3.1.09** | Does the proposal have implications for, or target, sensitive groups or vulnerable populations? Please give details | | |
|  |  | | |
| **3.1.10** | Does the proposal seek to use information exclusively about deceased persons? Please give details | | |
|  |  | | |
| **3.1.11** | Have any members of the public/lay representatives been involved in the proposal design? Please give details | | |
|  |  | | |
| **3.1.12** | Has any peer review of the proposal been undertaken? Please give details (for example formal review by a peer organisation or funding body, informal internal review, review by a third party) | | |
|  |  | | |
| **3.1.13** | Is there *any* commercial aspect or dimension to the proposal or its outcomes? Please give details | | |
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| **3.2 Proposal Geography** *Please read section 3.2 of the guidance* |
| Local/Regional (relating to one or more specific areas within Scotland) |
| National (relating to the whole of Scotland) |
| UK-wide (relating to the whole of the UK, or to UK regions outside Scotland) |
| International (relating to areas within the EEA)  International (relating to areas beyond the EEA) |

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| **3.3** | **Proposal Duration and Frequency** *Please read section 3.3 of the guidance* | |
| **3.3.01** | What is the proposed duration of the proposal? |  |
| **3.3.02** | Does the proposal require updates of information at regular intervals? Please give details |  |
| **3.3.03** | Are you seeking approval to iterate the proposal (ie the *whole* project, audit or study) at regular intervals? Please give details |  |

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| **3.4** | **Statutory and Regulatory Context** *Please read section 3.4 of the guidance* | |
| **3.4.01** | Does your proposal have a statutory or regulatory justification - is the proposal responding to a statutory or regulatory instruction, duty or order? Please give details | *If applicable* |
| **3.4.02** | Which Data Protection Act schedule 2 and schedule 3 conditions are relevant? (a list of conditions can be found at [Appendix B](#_Appendix_B_–The)) |  |
| **3.4.03** | Are there any relevant information sharing agreements, protocols or contracts in place which support your proposal? Please give details and attach as supporting documentation if available | *If applicable* |
| **3.4.04** | Has a Privacy Impact Assessment been carried out which supports your proposal? Please give details and attach as supporting documentation if available | *If applicable* |
| **3.4.05** | Has local Caldicott approval been given for your proposal at a local level? Please give details | *If applicable* |
| **3.4.06** | Are approvals from Caldicott Guardians outside Scotland pending or received? Please give details | *If applicable* |

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| **3.5** | **Research and Ethics Governance** *Please read section 3.5 of the guidance* | |
| **3.5.01** | Has your proposal sought research/ethics approval? | Choose an item. |
| **3.5.01a** | If yes, please provide committee details and status of approval (ie pending, approved, etc). Please attach as supporting documentation if available | *If applicable* |
| **3.5.01b** | If no, please explain why research/ethics approval is not sought: | *If applicable* |

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| **3.6** | **Safe Havens** *Please read section 3.6 of the guidance* | |
| **3.6.01** | Do you intend to access the data requested exclusively through a safe haven listed at [Appendix A](#_Appendix_A_–)? Please provide details of which safe haven/s | *If you have answered ‘Yes’ you do not need to complete sections 5.2 or 5.3* |
| **3.6.02** | If you applying to use NHS NSS data and you do not intend to do this through the National Safe Haven, please explain why | *If applicable* |

## Section 4 – Data & Data Subjects

|  |  |  |
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| **4.1 Data yet to be collected** *Please read section 4.1 of the guidance* | | |
|  | | |
| Dataset/source Name | Collection by (whom)? | Explicit consent sought? If Yes, describe how explicit consent being sought – provide copies of participant consent/registration forms, etc. If No,explain why consent is not being sought (eg impractical, risk associated with seeking consent, etc) |
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| **4.2 All Other Datasets / sources** *Please read section 4.2 of the guidance* | | | |
| Dataset/source Name | Data Controller (Organisation) | Original purpose compatible with proposal? |
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|  |  |  |
| How were individuals originally informed of the use of their data? (if known) | | |
|  | | |
| For existing dataset/sources for which the data controller is not an NHSScotland board, please append evidence of the data controllers permission to use the data | | |

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| **4.3 Data Variables** *Please read section 4.3 of the guidance* | | | |
| Dataset/source Name | Variable | Time Period/Range | Processing only? |
|  |  |  | Choose an item. |
|  |  |  | Choose an item. |
|  |  |  | Choose an item. |
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| Please justify your need for identifiable or potentially identifiable variables: | | | |
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| **4.4** | **NRS/NHSCR Data Sources** *Please read section 4.4 of the guidance* | | |
| *Complete this section if access to NHSCR is required, or if there is any National Records of Scotland involvement* | | | |
| **4.4.01** | Does the proposal require access to NHS Central Registry as a sampling frame for cohorts? | | Choose an item. |
| **4.4.02** | Does the proposal involve flagging of individuals on the NHSCR for long term follow up? | | Choose an item. |
| **4.4.03** | If yes,is flagging necessary: | | |
|  | To trace and contact individuals throughout the UK? | | |
|  | To be informed of fact and cause of death? | | |
|  | To be informed of the incidence of on-going cancers? | | |
|  | To be informed of emigrations prospectively and retrospectively? | | |
| **4.4.04** | Is any other NRS involvement required? Please provide details |  | |

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| **4.5** | **Making Contact with Individuals** *Please read section 4.5 of the guidance* | | | | |
| **4.5.01** | Is any direct contact with any group of individuals required? If Yes, please provide details below | | | | Choose an item. |
|  | Contact Group and Method of contact | | | | Contact by (whom) |
|  | Hospital Consultants | ☐ Letter | ☐ Phone | ☐ Other (specify) : |  |
| Other NHSS Staff | ☐ Letter | ☐ Phone | ☐ Other (specify) : |  |
| General Practitioners | ☐ Letter | ☐ Phone | ☐ Other (specify) : |  |
| Patients/Public | ☐ Letter | ☐ Phone | ☐ Other (specify) : |  |
| Relatives of participants | ☐ Letter | ☐ Phone | ☐ Other (specify): |  |
| Others (please specify): | ☐ Letter | ☐ Phone | ☐ Other (specify) : |  |
| **4.5.02** | Please explain why contact is being made – append copies of relevant correspondence as supporting evidence | | | | |
|  | *If applicable* | | | | |

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| **4.6** | **Community Health Index (CHI) Database** *Please read section 4.6 of the guidance* | |
| *Complete this section if access to CHI Database is required* | | |
| **4.6.01** | What monitoring and audit of the use of CHI is planned? Please provide details |  |
| **4.6.02** | What technical method will be used to access CHI (online read-only, download, other extract, anonymised extract, etc)? Please provide details |  |
| **4.6.03** | Have any risks been identified in the proposal which relate specifically to CHI? |  |

## Section 5 – Methodology & Data Processing

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **5.1** | **Methodology** *Please read section 5.1 of the guidance* | | | | |
| **5.1.01** | Does the proposal require any of the following: | | | | |
| Data matching/linking  Use of matched controls | Single anonymised data extract | | | |
| Other (please specify): | | | | |
| **5.1.02** | Who is carrying out any indexing/  linkage/anonymisation, and where? | | | | *If applicable* |
| **5.1.03** | Which data sources listed at section 4.1 and 4.2 will NSS/NRS receive identifiers for linkage purposes? | | | | *If applicable* |
| **5.1.04** | What variables will be provided for linkage? | | | | |
| CHI Number | | Forename | Surname | |
| Date of Birth | | Address or Postcode | NHS Number | |
| Other Please Specify: | | | | |

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| **5.2** | **Access** *Please read section 5.2 of the guidance* | |
| *Complete the following section if you answered ‘No’ to question 3.6.1* | | |
| **5.2.01** | At what location is identifiable or potentially identifiable data being accessed? |  |
| **5.2.02** | Please provide details of security policy/procedure governing access to this physical and technical environment – append supporting documentation |  |
| **5.2.03** | Does this policy/procedure cover password policy in detail? Please provide details/ append supporting documentation |  |
| **5.2.04** | Does this policy/procedure cover user account management, including review or removal of access to sensitive/personal data, in detail? Please provide details/ append supporting documentation |  |
| **5.2.05** | Will individuals with access to data have individual or shared accounts? |  |
| **5.2.06** | Will the data be accessed by staff working off site eg staff working from home at any time during the duration of the proposal? | Choose an item. |
| **5.2.06b** | If yes, are policies/procedures in place to facilitate, monitor and audit this access? Please provide details/ append supporting documentation | *If applicable* |
| **5.2.07** | Provide any additional detail of how data is protected from unauthorised access | *If applicable* |

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| **5.3** | **Store & Use** *Please read section 5.3 of the guidance* | |
| *Complete the following section if you answered ‘No’ to question 3.6.1* | | |
| **5.3.01** | Where is data being stored and used? (location, organisation, address – refer to addresses in previous sections if appropriate) |  |
| **5.3.02** | Data Protection Registration Number | *If applicable* |
| **5.3.03** | ISO 27001 Cert. No. | *If applicable* |
| **5.3.04** | Please provide details of security policy/procedure governing storage and use of data within this physical and technical environment – append supporting documentation |  |
| **5.3.05** | Does this policy/procedure cover the implementation of up-to-date controls for the detection and prevention of malware? Please provide details/ append supporting documentation |  |
| **5.3.06** | Does this policy/procedure cover access control and auditing of system administrator activity? Please provide details/ append supporting documentation |  |
| **5.3.07** | Does this policy/procedure cover the production of backups and the controls in place around these? Please provide details/ append supporting documentation |  |
| **5.3.08** | Does this policy/procedure describe the controls in place to prohibit unauthorised copying of data? Please provide details/ append supporting documentation |  |
| **5.3.09** | Does this policy/procedure describe physical and site controls? Please provide details/ append supporting documentation |  |
| **5.3.10** | Does this policy/procedure cover hardware repair, replacement or disposal and protection of data from inappropriate access during such procedures? Please provide details/ append supporting documentation |  |
| **5.3.11** | Describe the systems, software and security used to store and use data - please provide details/ append supporting documentation |  |
| **5.3.12** | Is outsourced IT in use? Please give details |  |
| *Please repeat section 5.3 above for each relevant location in the proposal – see guidance* | | |
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| **5.4** | **Transfer** *Please read section 5.4 of the guidance* | |
| **5.4.01** | Please provide details of security policy/procedure to ensure that data will be transferred in such a way that it is protected from inappropriate or unauthorised access (mention email encryption, secure file transfer protocols SFTP, device encryption, physical controls, etc, as appropriate) - append supporting documentation |  |
| **5.4.02** | At what intervals/ trigger points will data transfer take place? |  |
| **5.4.03** | Will any identifiable or potentially identifiable data be transferred outside of the UK? | Choose an item. |
| **5.4.03b** | If yes,please provide details of the country of destination, the method of transfer, the proposed location and method of storage outside of the UK, and details of any further onward transfer | *If applicable* |
| **5.4.04** | Other than initial transfers from source systems, is there any copying of data required within the proposal? Please give details |  |

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| **5.5** | **Dissemination** *Please read section 5.5 of the guidance* | |
| **5.5.01** | Will proposal findings be published or disseminated beyond the proposal team? | Choose an item. *If you have answered ‘No’, go directly to section 5.6* |
| **5.5.01a** | If yes, how will proposal findings be published or disseminated, to what audience and in what format? Please give details | *If applicable* |
| **5.5.01b** | If yes, what steps will be taken to ensure that persons cannot be identified in published findings (eg disclosure control procedures (safe haven), use of aliases, numbers, avoidance of small geographical areas, avoidance of small numbers , etc)? Please give details | *If applicable* |
| **5.5.01c** | If yes, are there any circumstances where a living or dead individual would be cited? (eg where a person consented to their data being used as a case study)? Please give details | *If applicable* |
| **5.5.01d** | If yes, were any permissions to publish data required or sought (for example from data controllers)? Please provide details | *If applicable* |

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| **5.6** | **Retain/Dispose** *Please read section 5.6 of the guidance* | |
| **5.6.01** | Which information/data/records retention policy will you be applying to the proposal data (details of the policy and the organisation to which it belongs)? |  |
| **5.6.02** | How long do you intend to retain identifiable or potentially identifiable data after the conclusion of the proposal (including archive/backup copies)? |  |
| **5.6.03** | Who will retain the data and where? |  |
| **5.6.04** | What is the purpose for retaining the data for the specified time? |  |
| **5.6.05** | What method of disposal or destruction will be used when this period has expired (including archive/backup copies)? |  |
| **5.6.06** | What evidence will be obtained that destruction has occurred (eg IT supplier certificate of destruction, etc)? |  |

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| **5.7** | **Review** *Please read section 5.7 of the guidance* | |
| **5.7.01** | Describe how the mechanisms which safeguard data security will be audited and reviewed at regular intervals to ensure their continued efficacy |  |
| **5.7.02** | Describe any resource implications to any of the proposed measures for the protection of physical or technical security of information which are unresolved at the time of this application? (for example encryption of devices is an intention not yet fulfilled, training is not yet undertaken, etc) |  |
| **5.7.03** | Describe the breach reporting mechanisms to be invoked in the event of any inappropriate access to data or other information security incident |  |

## Section 6 – Declaration

* I DECLARE THAT this application is accurate, and that, should it be successful, any health data made accessible will be used for no other purpose, and in no other way, than as described above.
* I UNDERTAKE TO notify the Public Benefit and Privacy Panel of any future changes to the purpose or manner in which data is processed in accordance with this application.
* I UNDERSTAND THAT any future applications by me, or my employing or sponsoring organisation, may be refused should any health data made accessible be used for any other purpose or in any other way than that described above.
* I CERTIFY THAT all those who have access to health data in this proposal are aware of the requirements of confidentiality and understand that any breach (eg disclosure of confidential information to a person not authorised to receive it) will be reported to the data controller, and in the case of NHS Scotland originated data to Scottish Government eHealth division.
* I GUARANTEE THAT no publication will appear in any form in which an individual may be identified without the written permission of that individual, and that I will apply appropriate disclosure control when planning publications involving the data requested.
* I UNDERSTAND THAT the Data Controller, and agents acting on its behalf, reserves the right to inspect the data on the sites where it is being processed.

To be signified by the APPLICANT

|  |  |
| --- | --- |
| Name (in Capitals): | Date: |

* I DECLARE THAT (the applicant named above) is a *bona fide* worker engaged in a reputable project and that the data he/she asks for can be entrusted to him/her in the knowledge that he/she will conscientiously discharge his/her obligations, including in regard to confidentiality of the data, as stated in the declaration above.

To be signified by the INFORMATION CUSTODIAN named in Section 1.3 above (where the Information Custodian is not the applicant).

|  |  |
| --- | --- |
| Name (in Capitals): | Date: |

## 

## Section 7 - Supporting Evidence

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| **Supporting Evidence** *Please read section 7 of the guidance* |
| Please list each piece of supporting evidence which you have included with your application in the box below – the name of each should clearly indicate what the document/file/reference is about |
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## Appendix A – Reference lists for applicants

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| **1. Examples of Existing Datasets and Data Sources** | |
| [SMR 00 Outpatients](http://www.ndc.scot.nhs.uk/National-Datasets/data.asp?SubID=1) | [SMR 04 Mental Health](http://www.ndc.scot.nhs.uk/National-Datasets/data.asp?SubID=4) |
| [SMR 01 Inpatients and Day Cases](http://www.ndc.scot.nhs.uk/National-Datasets/data.asp?SubID=2) | [SMR 06 Cancer Registration](http://www.ndc.scot.nhs.uk/National-Datasets/data.asp?ID=5&SubID=104) |
| [SMR 02 Maternity](http://www.ndc.scot.nhs.uk/National-Datasets/data.asp?SubID=3) | [SMR 11/SBR Neonatal/Scottish Birth Records](http://www.ndc.scot.nhs.uk/National-Datasets/data.asp?ID=1&SubID=6) |
| [Scottish Drugs Misuse Database (SDMD)](http://www.isdscotland.org/Health-Topics/Drugs-and-Alcohol-Misuse/Drugs-Misuse/Scottish-Drug-Misuse-Database/) | [Birth Registrations](http://www.ndc.scot.nhs.uk/National-Datasets/data.asp?SubID=14) |
| [A&E – Accident & Emergency](http://www.ndc.scot.nhs.uk/National-Datasets/data.asp?SubID=10) | [Stillbirth Registrations](http://www.ndc.scot.nhs.uk/National-Datasets/data.asp?SubID=14) |
| [PIS Prescribing Information](http://www.ndc.scot.nhs.uk/National-Datasets/data.asp?SubID=11) | [Death Registrations](http://www.ndc.scot.nhs.uk/National-Datasets/data.asp?SubID=14) |
| [CHSP-PS](http://www.ndc.scot.nhs.uk/National-Datasets/data.asp?SubID=28)/[CHSP-S](http://www.ndc.scot.nhs.uk/National-Datasets/data.asp?SubID=29)/[SIRS](http://www.ndc.scot.nhs.uk/National-Datasets/data.asp?SubID=87) – Child Health Surveillance and Immunisation | [SCI-DC](http://www.sci-diabetes.scot.nhs.uk/) |
| NHS National Service Scotland’s Information Services Division (ISD) maintains a [National Dataset Catalogue (NDC)](http://www.ndc.scot.nhs.uk/National-Datasets/index.asp) containing details of all health and health related datasets that are held by ISD. The Administrative Data Liaison Service (ADLS) publishes further information on key [NHSScotland datasets](http://www.adls.ac.uk/nhs-scotland/) | |

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| **2. Common Identifiable Variables** | | |
| Forename | Middle Name | Surname |
| CHI Number | Date of Birth | UK NHS Birth Registration Number |
| Gender | Postcode |  |

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| **3. Recognised Safe Havens** |
| [NHS NSS ISD Electronic Data Research Innovation Service](http://www.isdscotland.org/Products-and-Services/eDRIS/) ([@Farr Institute](http://www.farrinstitute.org/centre/Scotland/3_About.html)) |
| [NHS Research Scotland South East (ACCORD)](http://www.accord.ed.ac.uk/) |
| [NHS Research Scotland East (TASC)](http://www.tahsc.org/) |
| [NHS Research Scotland North (DaSH)](http://www.abdn.ac.uk/iahs/facilities/grampian-data-safe-haven.php) |
| [NHS Research Scotland West](http://www.nhsresearchscotland.org.uk/214_West+.html) |
| [University of Dundee Health Informatics Centre](https://medicine.dundee.ac.uk/hic-safe-haven) (HIC) |
| [National Records Scotland Scottish Longitudinal Study (SLS)](http://sls.lscs.ac.uk/) |
| [Robertson Centre @ Glasgow University](http://www.gla.ac.uk/researchinstitutes/healthwellbeing/research/robertsoncentreforbiostatistics/) |

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| **4. Research and Information Governance Training** |
| [MRC Research Data and Confidentiality online module](http://www.byglearning.co.uk/mrcrsc-lms/course/category.php?id=1) |
| [University of Edinburgh SHIP Information Governance training](http://www.law.ed.ac.uk/teaching/online_distance_learning/cpd_courses/ship_information_governance/course_overview) |
| [NHS Health and Social Care Information Centre On-line Information Governance training](https://www.igtt.hscic.gov.uk/igte/index.cfm) |
| [NHSScotland Information Governance eLearning](http://www.nes.scot.nhs.uk/education-and-training/educational-development/initiatives/information-governance.aspx):   * Safe Information Handling (Foundation Level) * Information Handling in Practice (Intermediate Level) |

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| **5. Sensitive Data Categories** |  |  |
| Abortion | Mental health | Contraception |
| Pregnancy in age < 16 years | Drugs and alcohol misuse | Crime related statistics |
| Sexually transmitted disease | Suicide | Ethnicity |
| Assisted conception |  |  |

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| **6. Vulnerable Populations** | |
| Adults with Incapacity | Drugs users |
| Minority ethnic groups | Specific religious affiliation |

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## Appendix B –The Caldicott Principles & the Data Protection Principles (& Schedules)

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| **1. Caldicott Principles** |
| 1. **Justify the purpose(s)** Every single proposed use or transfer of patient identifiable information within or from an organization should be clearly defined and scrutinized, with continuing uses regularly reviewed, by an appropriate guardian. |
| 1. **Don't use patient identifiable information unless it is necessary** Patient identifiable information items should not be included unless it is essential for the specified purpose(s) of that flow. The need for patients to be identified should be considered at each stage of satisfying the purpose(s). |
| 1. **Use the minimum necessary patient-identifiable information** Where use of patient identifiable information is considered to be essential, the inclusion of each individual item of information should be considered and justified so that the minimum amount of identifiable information is transferred or accessible as is necessary for a given function to be carried out. |
| 1. **Access to patient identifiable information should be on a strict need-to-know basis** Only those individuals who need access to patient identifiable information should have access to it, and they should only have access to the information items that they need to see. This may mean introducing access controls or splitting information flows where one information flow is used for several purposes. |
| 1. **Everyone with access to patient identifiable information should be aware of their responsibilities** Action should be taken to ensure that those handling patient identifiable information - both clinical and non-clinical staff - are made fully aware of their responsibilities and obligations to respect patient confidentiality. |
| 1. **Understand and comply with the law** Every use of patient identifiable information must be lawful. Someone in each organization handling patient information should be responsible for ensuring that the organization complies with legal requirements. |
| 1. **The duty to share information can be as important as the duty to protect patient confidentiality**   Health and social care professionals should have the confidence to share information in the best interests of their patients within the framework set out by these principles. They should be supported by the policies of their employers, regulators and professional bodies. |

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| **2. Data Protection Principles** |
| 1. Personal data shall be processed fairly and lawfully and, in particular, shall not be processed unless – (a) at least one of the conditions in Schedule 2 is met, and (b) in the case of sensitive personal data, at least one of the conditions in Schedule 3 is also met |
| 1. Personal data shall be obtained only for one or more specified and lawful purposes, and shall not be further processed in any manner incompatible with that purpose or those purposes |
| 1. Personal data shall be adequate, relevant and not excessive in relation to the purpose or purposes for which they are processed |
| 1. Personal data shall be accurate and, where necessary, kept up to date |
| 1. Personal data processed for any purpose or purposes shall not be kept for longer than is necessary for that purpose or those purposes |
| 1. Personal data shall be processed in accordance with the rights of data subjects under this Act |
| 1. Appropriate technical and organizational measures shall be taken against unauthorized or unlawful processing of personal data and against accidental loss or destruction of, or damage to, personal data |
| 1. Personal data shall not be transferred to a country or territory outside the European Economic Area unless that country or territory ensures an adequate level of protection for the rights and freedoms of data subjects in relation to the processing of personal data |

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| **3. Data Protection Schedule 2 & 3 Conditions** |
| **Schedule 2 – Conditions for Processing any Personal Data** |
| 1. The data subject has given his **consent** to the processing |
| 2. The processing is necessary—  (a) for the **performance of a contract** to which the data subject is a party, or  (b) for the taking of steps at the request of the data subject with a view to entering into a contract |
| 3. The processing is necessary for compliance with any **legal obligation** to which the data controller is subject, other than an obligation imposed by contract |
| 4. The processing is necessary in order to protect the **vital interests** of the data subject |
| 5. The processing is necessary—  (a) for the administration of **justice**,  (aa) for the exercise of any functions of either **House of Parliament**,  (b) for the exercise of any functions conferred on any person by or under any **enactment**,  (c) for the exercise of any functions of the **Crown, a Minister of the Crown or a government department**, or  (d) for the exercise of any other functions of a **public nature exercised in the public interest** by any person |
| 6. (1) The processing is necessary for the purposes of **legitimate interests** pursued by the data controller or by the third party or parties to whom the data are disclosed, except where the processing is unwarranted in any particular case by reason of prejudice to the rights and freedoms or legitimate interests of the data subject.  (2) The Secretary of State may by order specify particular circumstances in which this condition is, or is not, to be taken to be satisfied |
| **Schedule 3 – Conditions for Processing any Sensitive Personal Data** |
| 1. The data subject has given his **explicit consent** to the processing of the personal data |
| 2. (1) The processing is necessary for the purposes of exercising or performing any right or obligation which is conferred or imposed by law on the data controller in connection with **employment** |
| 3. The processing is necessary—  (a) in order to protect the **vital interests** of the data subject or another person, in a case where—  (i) **consent cannot be given** by or on behalf of the data subject, or  (ii) the data controller **cannot reasonably be expected to obtain the consent** of the data subject, or  (b) in order to protect the **vital interests** of another person, in a case where **consent** by or on behalf of the data subject has been **unreasonably withheld** |
| 4. The processing—  (a) is carried out in the course of its **legitimate activities** by any body or association which—  (i) is **not established or conducted for profit**, and  (ii) exists for political, philosophical, religious or trade-union purposes,  (b) is carried out with appropriate safeguards for the rights and freedoms of data subjects,  (c) relates only to individuals who either are members of the body or association or have regular contact with it in connection with its purposes, and  (d) does not involve disclosure of the personal data to a third party without the consent of the data subject |
| 5. The information contained in the personal data has been **made public** as a result of steps deliberately taken **by the data subject** |
| 6. The processing—  (a) is necessary for the purpose of, or in connection with, any **legal proceedings** (including prospective legal proceedings),  (b) is necessary for the purpose of obtaining **legal advice**, or  (c) is otherwise necessary for the purposes of establishing, exercising or defending **legal rights** |
| 7. (1) The processing is necessary—  (a) for the **administration of justice**,  (aa) for the exercise of any functions of either **House of Parliament**,  (b) for the exercise of any functions conferred on any person by or under an **enactment**, or  (c) for the exercise of any functions of the **Crown, a Minister of the Crown or a government department**  (2)The Secretary of State may by order—  (a) exclude the application of sub-paragraph (1) in such cases as may be specified, or  (b) provide that, in such cases as may be specified, the condition in sub-paragraph (1) is not to be regarded as satisfied unless such further conditions as may be specified in the order are also satisfied |
| 7A. (1) The processing—  (a) is either—  (i) the disclosure of sensitive personal data by a person as a member of an **anti-fraud** organisation or otherwise in accordance with any arrangements made by such an organisation; or  (ii) any other processing by that person or another person of sensitive personal data so disclosed; and  (b) is necessary for the purposes of preventing fraud or a particular kind of fraud  (2) In this paragraph “an anti-fraud organisation” means any unincorporated association, body corporate or other person which enables or facilitates any sharing of information to prevent fraud or a particular kind of fraud or which has any of these functions as its purpose or one of its purposes |
| 8. (1) The processing is necessary for **medical purposes** and is undertaken by—  (a) a health professional, or  (b) a person who in the circumstances owes a duty of confidentiality which is equivalent to that which would arise if that person were a health professional  (2) In this paragraph “medical purposes” includes the purposes of preventative medicine, medical diagnosis, medical research, the provision of care and treatment and the management of healthcare services |
| 9. (1) The processing—  (a) is of sensitive personal data consisting of information as to **racial or ethnic origin**,  (b) is necessary for the purpose of identifying or keeping under review the existence or absence of **equality of opportunity** or treatment between persons of different racial or ethnic origins, with a view to enabling such equality to be promoted or maintained, and  (c) is carried out with appropriate safeguards for the rights and freedoms of data subjects  (2) The Secretary of State may by order specify circumstances in which processing falling within sub-paragraph (1)(a) and (b) is, or is not, to be taken for the purposes of sub-paragraph (1)(c) to be carried out with appropriate safeguards for the rights and freedoms of data subjects |
| 10. The personal data are processed in circumstances specified in an order made by the Secretary of State for the purposes of this paragraph |