

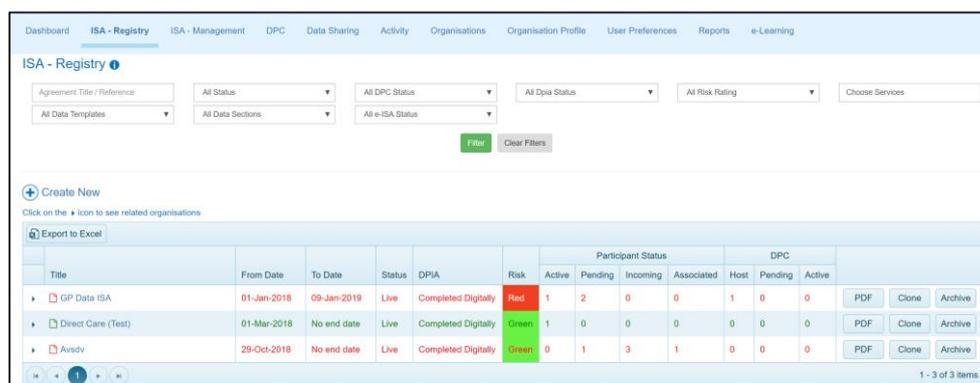
1. Create an Information Sharing Agreement (ISA)

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

The tabs are:

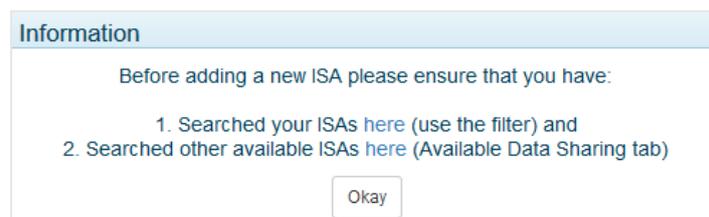
- **Details:** holds the metadata information about the ISA as well as the electronic copy of the Agreement
- **DPIA:** requires you to carry out a checklist and complete a full digital DPIA
- **DPIA Risks/Issues:** allows you to log any risks or issues associated with this ISA
- **e-ISA details:** holds the principles and details of sharing
- **e-ISA Data Directory:** allows for the creation of a statement of sharing, who will have access and data templates
- **DPCs:** allows you to attach your organisations data processing contracts and processing organisation onto this 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
- **Contacts:** holds the details of the contact person within the host organisation who is creating the 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



Title	From Date	To Date	Status	DPIA	Risk	Participant Status				DPC		PDF	Clone	Archive	
						Active	Pending	Incoming	Associated	Host	Pending				Active
GP Data ISA	01-Jan-2018	09-Jan-2019	Live	Completed Digitally	Red	1	2	0	0	1	0	0			
Direct Care (Test)	01-Mar-2018	No end date	Live	Completed Digitally	Green	1	0	0	0	0	0	0			
Avedv	29-Oct-2018	No end date	Live	Completed Digitally	Green	0	1	3	1	0	0	0			

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

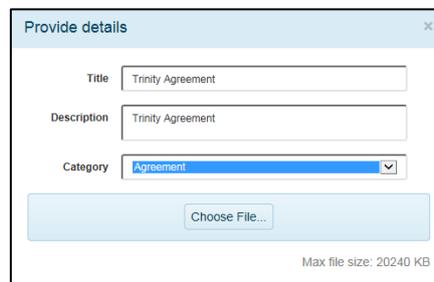
2. ISA 'Details' Tab

1. Under the 'Details' tab, populate all required fields (pink fields are mandatory) as per the ISA agreement

2. Using the drop-down for Status, change the status for this ISA to Draft, this will allow you to save the ISA while you are creating it without the need to complete all mandatory fields before being able to save it. Once you have completed all mandatory fields and have set the ISA status to live, you can only save if all requirements have been met
3. Enter the region or regions this ISA will cover. Choosing All Regions will make this ISA a pan-London ISA
4. Enter a suitable title for the ISA. Click on the icon for guidance
5. Enter the Background of the ISA, this is often a copy of the overview or introduction of the document version of the ISA pasted into the screen
6. Enter the type of services that this ISA covers. This will be helpful for other organisations to find your ISA by the type of service
7. Enter a 'Valid From' and 'Valid To' date using the calendar icons ()
8. 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
9. 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
10. 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

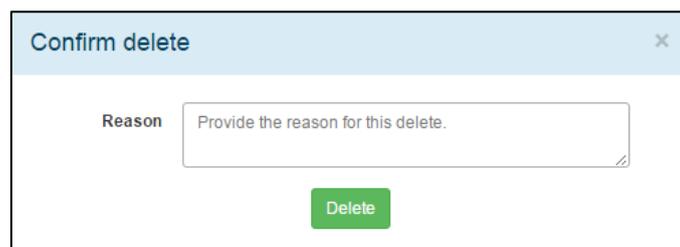
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11. To make the ISA visible and allow other organisations to view it and be able to request access to it, ensure that the 'Searchable by others?' drop-down is set to 'Yes'
12. To allow an RSU to manage your ISA select Yes from the drop down. This will allow them to accept other organisations requests to join the ISA and generally manage the information on the ISA. It will not give the RSU the ability to fill out the DPIA or DPIA risks and issues tabs on your organisations behalf but they can manage all other tabs.
13. To show that the host organisation approves the ISA select Active from the drop down, at which point the Approval Person will need populating and a date of approval should be given. Where a change to the ISA is made that requires participants to accept the ISA the host approval will be set back to Pending and will require resetting to Active. All currently created ISAs will have the status Pre-Approved (Historic record)
14. Finally, upload the Agreement by using the Upload New ( Upload New) button and provide details of the document



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

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



16. 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
17. To update an existing ISA document, select the New Version ( New Version) button
18. 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

Provide details

Reason: Provide the reason for this update.

Title: Trinity Care ISA

Description: Trinity Care ISA

Category: Agreement

Choose File...

Max file size: 20240 KB

3. DPIA Tab

See quick guide **Data Protection Impact Assessment (DPIA)** to complete a mandatory DPIA checklist.

4. ISA 'Risks/Issues' Tab

Please complete associated risks/issues. These are mandatory - at least one must be specified. In addition, please specify the overall risk rating for this ISA.

Please Select...

Date	Type	Description	Likelihood	Impact	Score	Owner	Status	Mitigating
+ Add new record								

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

3. Select the RAG risk rating from the list of options
4. To add an individual risk/issue for the ISA, click the **Add New Record** () button

5. The risk/Issue Edit screen is displayed. Complete all required fields

6. Once all fields, including the Likelihood and Impact fields using the drop downs, click the update button

7. The Likelihood and Impact scores are combined to give an overall score for the risk and is calculated from the following risk rating matrix, which is accessed via the **i** symbol

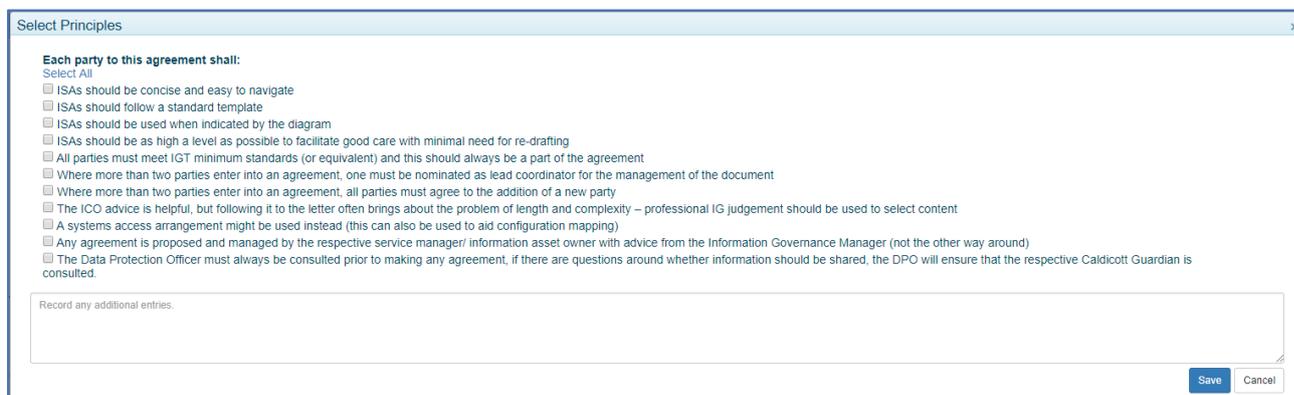
LIKELIHOOD	IMPACT				
	Negligible (1)	Minor (2)	Moderate (3)	Major (4)	Catastrophic (5)
Rare (1)	1	2	3	4	5
Unlikely (2)	2	4	6	8	10
Possible (3)	3	6	9	12	15
Likely (4)	4	8	12	16	20
Almost Certain (5)	5	10	15	20	25
1-3 Low Risk		4-6 Moderate Risk		8-12 High Risk	
				15-25 Extreme Risk	

Okay

5. e-ISA Details

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1. Complete the e-ISA Details screen, some information has been pulled through from the DPIA tab. Click the e-ISA Details tab
2. Ensure all information on the left of the screen is correct and complete
3. To select the principles of the ISA click the Select () button



Select Principles

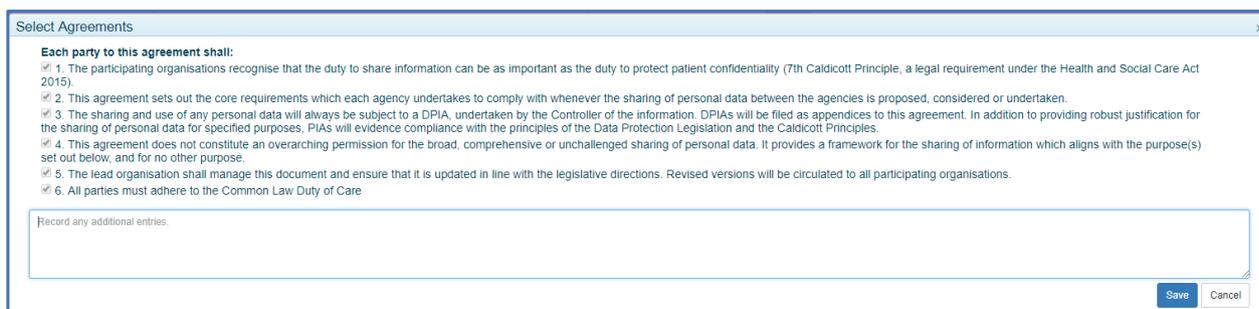
Each party to this agreement shall:

Select All

- ISAs should be concise and easy to navigate
- ISAs should follow a standard template
- ISAs should be used when indicated by the diagram
- ISAs should be as high a level as possible to facilitate good care with minimal need for re-drafting
- All parties must meet IGT minimum standards (or equivalent) and this should always be a part of the agreement
- Where more than two parties enter into an agreement, one must be nominated as lead coordinator for the management of the document
- Where more than two parties enter into an agreement, all parties must agree to the addition of a new party
- The ICO advice is helpful, but following it to the letter often brings about the problem of length and complexity – professional IG judgement should be used to select content
- A systems access arrangement might be used instead (this can also be used to aid configuration mapping)
- Any agreement is proposed and managed by the respective service manager/ information asset owner with advice from the Information Governance Manager (not the other way around)
- The Data Protection Officer must always be consulted prior to making any agreement, if there are questions around whether information should be shared, the DPO will ensure that the respective Caldicott Guardian is consulted.

Record any additional entries:

4. The Select Principles window is displayed, select each principle that applies to this ISA using the checkboxes
5. Any additional principles can be entered into the free text field at the bottom of the window
6. Once complete click the save button to return to the e-ISA Details screen
7. Click the Please select agreements Select () button to display the 6 default agreements



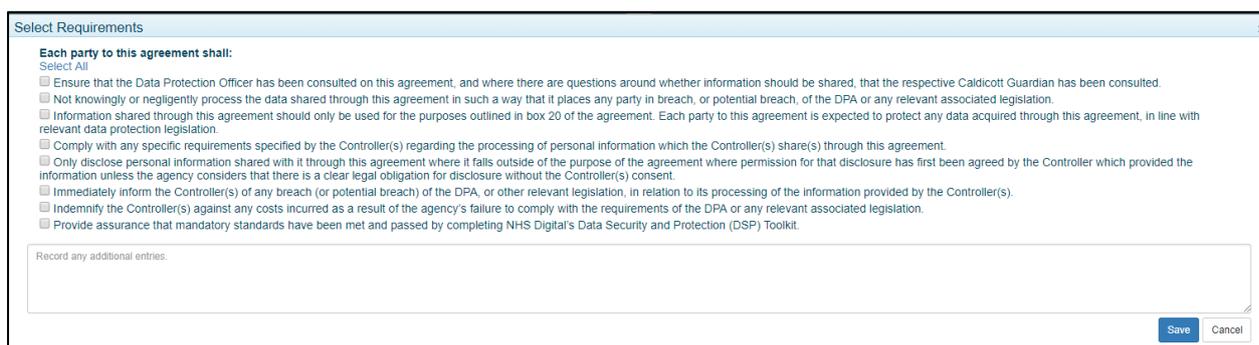
Select Agreements

Each party to this agreement shall:

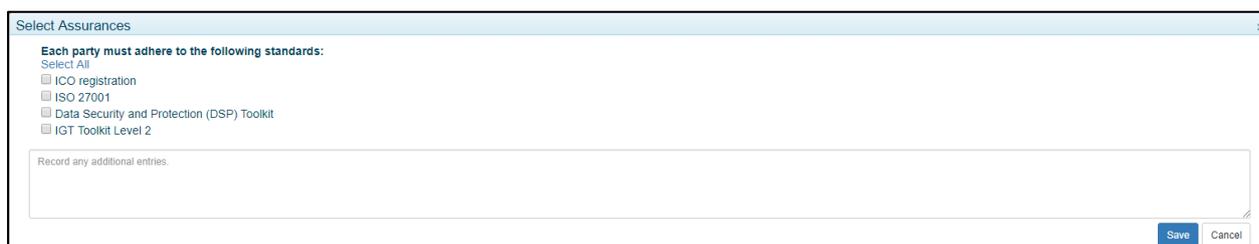
- 1. The participating organisations recognise that the duty to share information can be as important as the duty to protect patient confidentiality (7th Caldicott Principle, a legal requirement under the Health and Social Care Act 2015)
- 2. This agreement sets out the core requirements which each agency undertakes to comply with whenever the sharing of personal data between the agencies is proposed, considered or undertaken.
- 3. The sharing and use of any personal data will always be subject to a DPIA, undertaken by the Controller of the information. DPIAs will be filed as appendices to this agreement. In addition to providing robust justification for the sharing of personal data for specified purposes, PIAs will evidence compliance with the principles of the Data Protection Legislation and the Caldicott Principles.
- 4. This agreement does not constitute an overarching permission for the broad, comprehensive or unchallenged sharing of personal data. It provides a framework for the sharing of information which aligns with the purpose(s) set out below, and for no other purpose.
- 5. The lead organisation shall manage this document and ensure that it is updated in line with the legislative directions. Revised versions will be circulated to all participating organisations.
- 6. All parties must adhere to the Common Law Duty of Care

Record any additional entries:

8. The Select Agreements window is displayed with the 6 default principles listed
9. Further principles can be added into the free text field at the bottom
10. Once you have added any additional agreements, click the save button
11. Click the Please select requirements () button to display the requirements window



12. The select requirements window is displayed showing a list of potential requirements to choose from
13. Select the required requirements using the check-boxes to the left of each requirement
14. Any additional requirement can be added in the free text box at the bottom of the window
15. Once you have added any additional agreements, click the save button
16. Click the Please select assurances (Select) button to display the assurances window



17. The select assurances window is displayed listing standards to be adhered to
18. Select the required assurances using the check box to the left of each assurance
19. Add any additional assurances in the free text field at the bottom of the window
20. Once complete click the Save button to return to the e-ISA Details tab

6. ISA Data Directory

1. Complete the e-ISA Data Directory screen, Click the e-ISA Data Directory tab

The screenshot shows the 'ISA - Registry > Edit Details' page. The 'e-ISA Data Directory' tab is selected. The main content area is titled 'Statements of Sharing' and contains a green button labeled 'Add new Statement of Sharing'. There are 'Previous' and 'Next' buttons on the right side of the section. At the bottom right, there are 'Save and stay', 'Save and return', and 'Cancel' buttons.

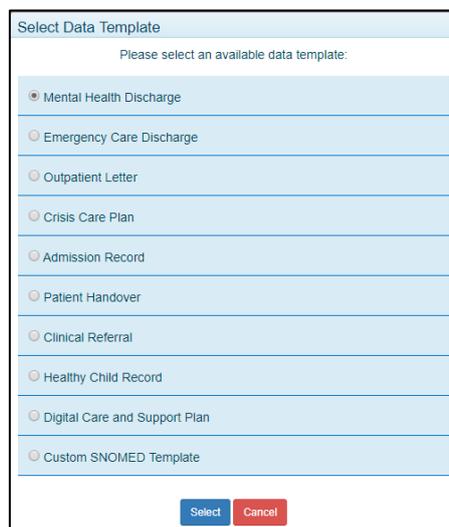
2. Click on the Add new statement of sharing () button
3. The Statement of Sharing screen is displayed.

The screenshot shows the 'Statement of Sharing' form. The 'Details' section on the left includes fields for 'Statement of Sharing Title', 'Sharing Arrangement', and 'System configuration'. Below these are sections for 'Sharing For', 'Access Methods', 'Format of Data', 'Privacy Levels', and 'Care Setting', each with multiple checkboxes. The 'Who will have access?' section on the right has three dropdown menus for 'Administrative Staff Supporting Direct Care', 'Registered Health or Care Professionals', and 'Unregistered and supervised health and care professional'. There is also a 'Specify another role' text field. At the bottom right, there are 'Add new Data Template', 'Upload new Data File', and 'Select template file' options, along with 'Previous' and 'Next' buttons.

The screenshot shows the 'Retention Policy' and 'Exclude/Sensitive Codes' fields. The 'Retention Policy' field has an information icon (i) next to it. The 'Exclude/Sensitive Codes' field has a placeholder text 'Optional exclude or sensitive codes'. At the bottom right, there are 'Save and stay', 'Save and return', and 'Cancel' buttons.

4. Further information and guidance for both Privacy Levels and Retention Policy can be downloaded by clicking on the  next to each field
5. Complete the Who will have access section on the right of the screen
6. Other roles can be added using the free text field at the bottom of the section where needed

- To complete the Data section you can use one of the pre-defined Data Templates using the Add new Data Template (Add new Data Template) button



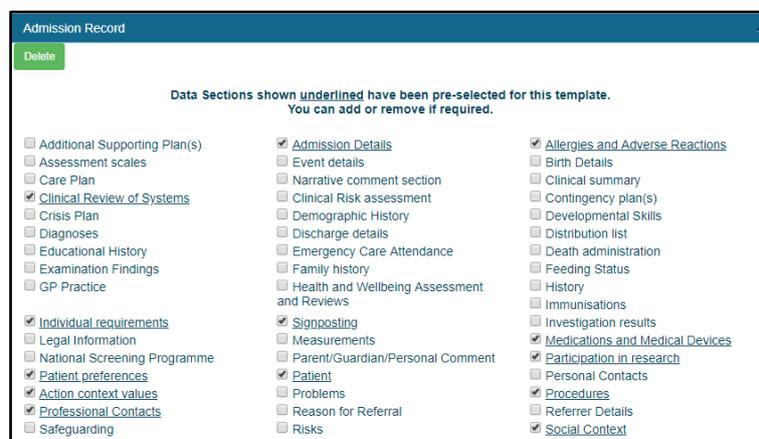
Select Data Template

Please select an available data template:

- Mental Health Discharge
- Emergency Care Discharge
- Outpatient Letter
- Crisis Care Plan
- Admission Record
- Patient Handover
- Clinical Referral
- Healthy Child Record
- Digital Care and Support Plan
- Custom SNOMED Template

Select Cancel

- A list of pre-defined templates is displayed, select the one you want to use and click the Select (Select) button
- Your chosen template is displayed, and you can now select the data sections to include.



Admission Record

Delete

Data Sections shown underlined have been pre-selected for this template. You can add or remove if required.

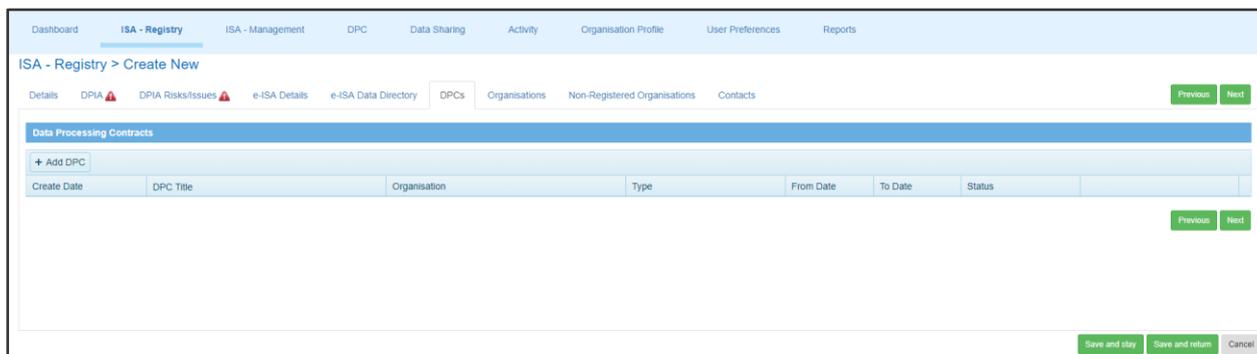
<input type="checkbox"/> Additional Supporting Plan(s)	<input checked="" type="checkbox"/> <u>Admission Details</u>	<input checked="" type="checkbox"/> <u>Allergies and Adverse Reactions</u>
<input type="checkbox"/> Assessment scales	<input type="checkbox"/> Event details	<input type="checkbox"/> Birth Details
<input type="checkbox"/> Care Plan	<input type="checkbox"/> Narrative comment section	<input type="checkbox"/> Clinical summary
<input checked="" type="checkbox"/> <u>Clinical Review of Systems</u>	<input type="checkbox"/> Clinical Risk assessment	<input type="checkbox"/> Contingency plan(s)
<input type="checkbox"/> Crisis Plan	<input type="checkbox"/> Demographic History	<input type="checkbox"/> Developmental Skills
<input type="checkbox"/> Diagnoses	<input type="checkbox"/> Discharge details	<input type="checkbox"/> Distribution list
<input type="checkbox"/> Educational History	<input type="checkbox"/> Emergency Care Attendance	<input type="checkbox"/> Death administration
<input type="checkbox"/> Examination Findings	<input type="checkbox"/> Family history	<input type="checkbox"/> Feeding Status
<input type="checkbox"/> GP Practice	<input type="checkbox"/> Health and Wellbeing Assessment and Reviews	<input type="checkbox"/> History
<input checked="" type="checkbox"/> <u>Individual requirements</u>	<input checked="" type="checkbox"/> <u>Signposting</u>	<input type="checkbox"/> Immunisations
<input type="checkbox"/> Legal Information	<input type="checkbox"/> Measurements	<input type="checkbox"/> Investigation results
<input type="checkbox"/> National Screening Programme	<input type="checkbox"/> Parent/Guardian/Personal Comment	<input checked="" type="checkbox"/> <u>Medications and Medical Devices</u>
<input checked="" type="checkbox"/> <u>Patient preferences</u>	<input checked="" type="checkbox"/> <u>Patient</u>	<input checked="" type="checkbox"/> <u>Participation in research</u>
<input checked="" type="checkbox"/> <u>Action context values</u>	<input type="checkbox"/> Problems	<input type="checkbox"/> Personal Contacts
<input checked="" type="checkbox"/> <u>Professional Contacts</u>	<input type="checkbox"/> Reason for Referral	<input checked="" type="checkbox"/> <u>Procedures</u>
<input type="checkbox"/> Safeguarding	<input type="checkbox"/> Risks	<input type="checkbox"/> Referrer Details
		<input checked="" type="checkbox"/> <u>Social Context</u>

- You can add further templates including the custom SNOMED template, (this template has no preselected data types), as needed by repeating steps 7-9 above
- To download a blank template in excel format in either SNOWMED coding format or Standard coding format click the Select template file dropdown and choose the format required. The template can now be populated and uploaded, see step 12 below
- To upload a template from file, click on the Upload new Data File (Upload new Data File) button

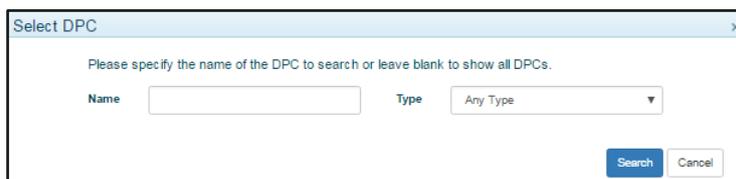
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- Once all Statement of Sharing sections has been completed, click the Save SOS () button to finalise the statement of sharing
- Before moving to the next tab click the Save and Stay or Save and Return button at the bottom right of the window

7. ISA 'DPCs' Tab



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

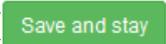


- From the 'Select DPC' pop-up dialog box, search for the DPC by the *name* or by the contract/deed/agreement *type*
- Select the **Search** () button. Leave it blank to show a list of all the DPCs that your organisation is hosting



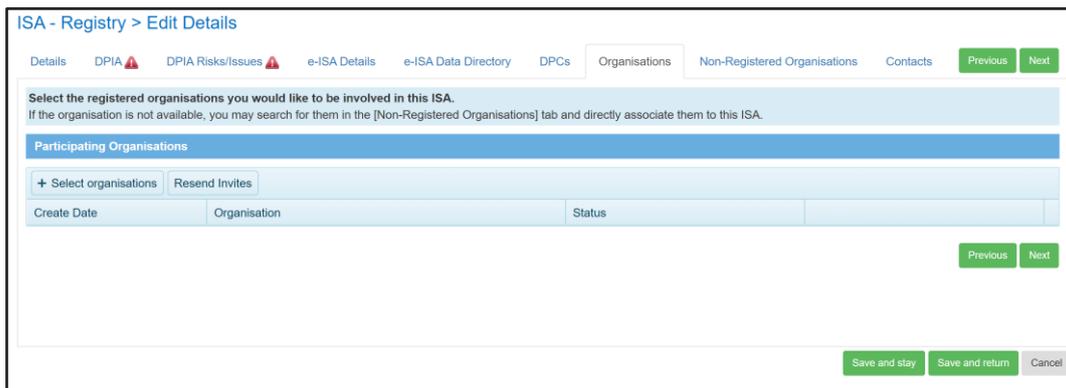
Note: DPCs that have already been added to this ISA will be flagged with a red triangle () icon.

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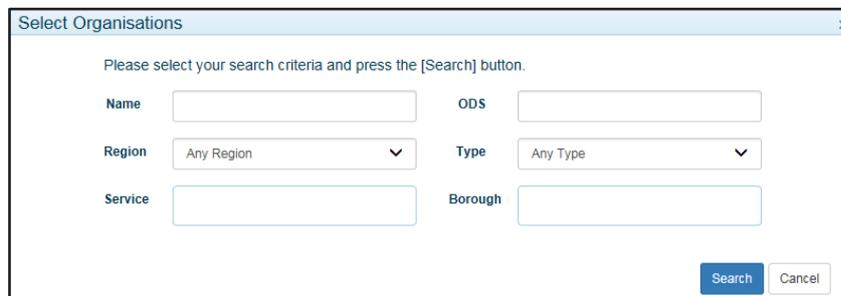
5. On the 'Select DPC' dialog box, click the **Select** () button adjacent to the DPC title to add it to the ISA
6. Once done, click the **Save and stay** () or the **Save and return** () button to commit the changes

8. ISA 'Organisations' Tab

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



2. To invite an organisation onto the ISA, Click the '**Select organisation**' button
3. The 'Select Organisation' pop-up window (above) is displayed



4. You can search for an organisation by:
 - 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** () button

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

- From the search result, place a tick in the check box, highlighted, next to the organisation or organisations you want to invite to participate in the ISA
- Click the **Select** button
- You will be prompted to **Confirm** or **Cancel** your selection

Please confirm you wish to add the selected organisation

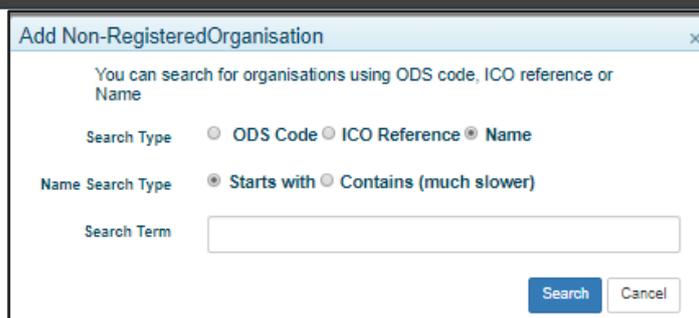
- To remove an organisation from the 'Organisations' tab. Select the **Delete** () button adjacent to the organisation name

9. ISA 'Non-Registered Organisations' Tab

Create Date	Organisation	Source	Reference
+ Add new record			

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

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Add Non-Registered Organisation

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

Search Type ODS Code ICO Reference Name

Name Search Type Starts with Contains (much slower)

Search Term

- 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
- Select a **search type** option, if searching on Name select Name Search Type, and enter the **search term** followed by the Search () button



Add Non-Registered Organisation

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

Search Type ODS Code ICO Reference Name

Name Search Type Starts with Contains (much slower)

Search Term

Organisation	Source	Reference	
Testvale Surgery (J82132)	IG Toolkit	J82132	 See Org
TESTON & WATERINGBURY NURSERY GROUP	Information Commissioner	Z1270559	<input type="button" value="Select"/>
TESTERWORLD LTD (2008846)	Information Commissioner	Z1533551	<input type="button" value="Select"/>
TEST INSPECT LTD (5299500)	Information Commissioner	Z1767802	<input type="button" value="Select"/>

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

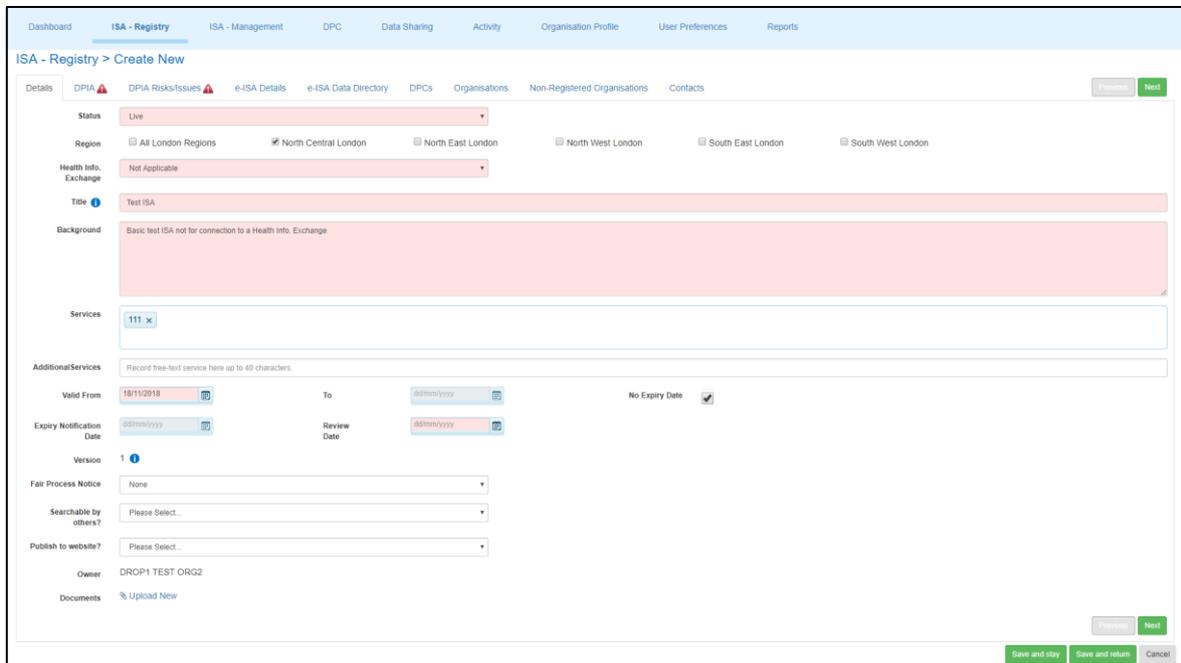
There are quarterly updates of the ICO codes, toolkits and Caldecott Guardian National Register, therefore, it may not hold the most up-to-date records.

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

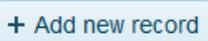
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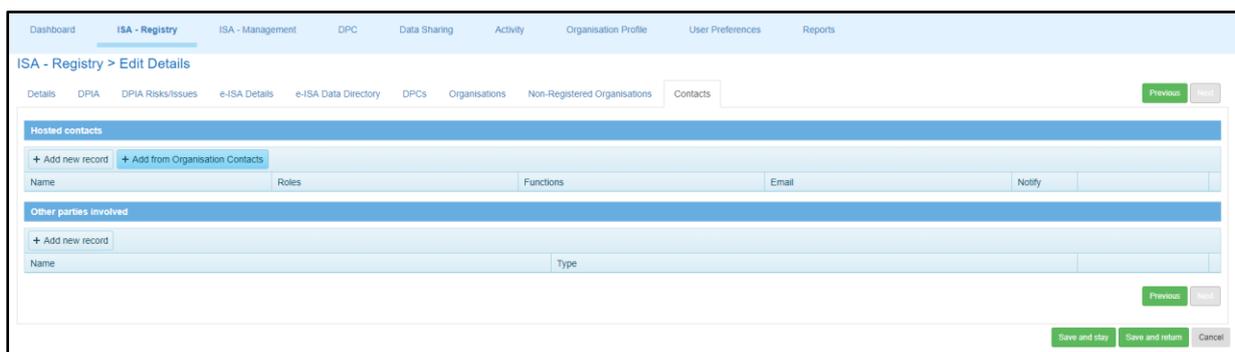
10. ISA 'Contacts' Tab

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

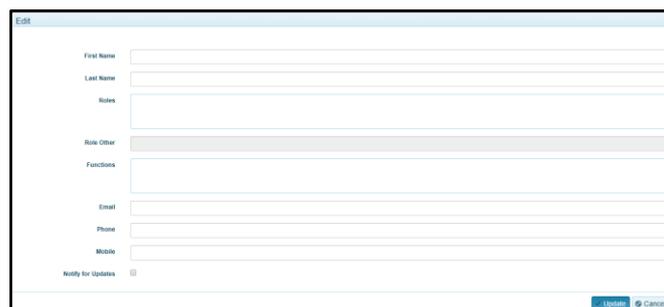


1.10.1. Add New Contacts:

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



3. The Edit screen is displayed with contact fields



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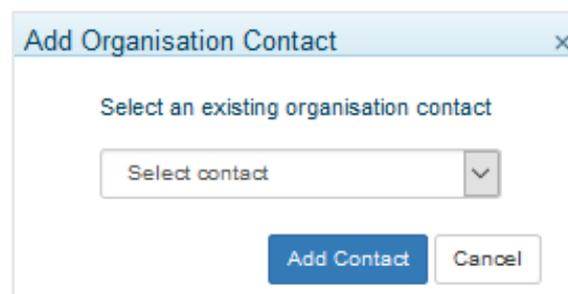
- Populate the fields for the new person to be added.

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

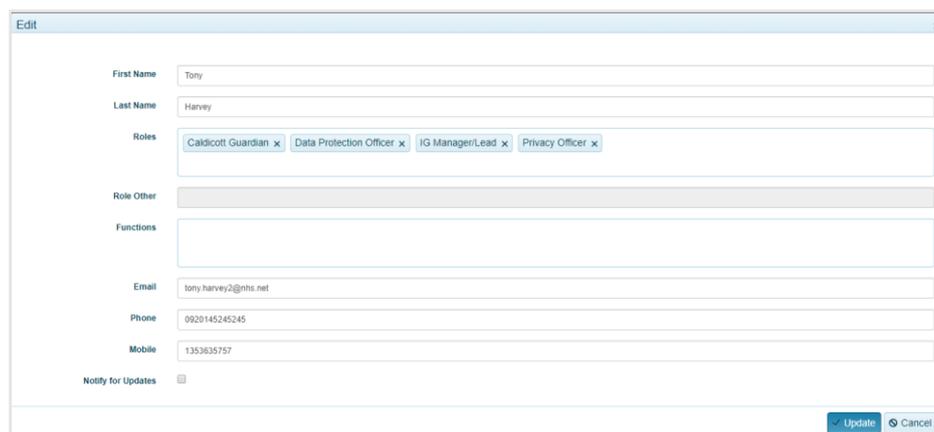
- If you want to notify the person that they have been added as a hosted contact in the ISA then please tick on the 'Notify for Updates' check box
- Click the **Update** () button at the bottom right of the screen. The contact screen will then close and contact details will be added to the ISA

1.10.2. Add Existing Contacts:

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



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



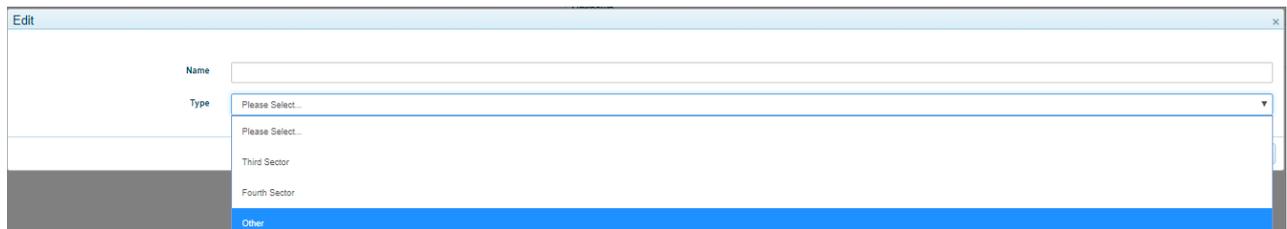
- If you want to notify the person that they have been added as a hosted contact in the ISA then place a tick on the 'Notify for Updates' check box
- Click the **Update** () button at the bottom right of the screen. The contact's screen will then close and contact details are added to the ISA

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

1.10.3. Add Other Parties Involved

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



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