Data Sharing Agreement
DARS-NIC-137838-F1V7K-v0.2

1 Parties
This Data Sharing Agreement is made between:

1.1 The Health and Social Care Information Centre ("NHS Digital"), a non-departmental public body established pursuant to section 252 of the Health and Social Care Act 2012 whose address is 1 Trevelyan Square, Boar Lane, Leeds LS1 6AE; and

1.2 The party whose details are set out in Annex A: section 1b (the "Data Recipient").

2 Status of this Agreement
This Data Sharing Agreement ("DSA") is subject to the terms of the Data Sharing Framework Contract made between NHS Digital and the Data Recipient, as detailed in Annex A: section 1b. This DSA comprises:

2.1 the details set out in this document;
2.2 the Annexes to this document.

2.2 In the event of any conflict between any provision of this DSA and the Data Sharing Framework Contract:
2.2.1 the Special Conditions in Annex A section 6 of this DSA shall prevail, followed by,
2.2.2 Part 1 of the Data Sharing Framework Contract, followed by,
2.2.3 Part 2 of the Data Sharing Framework Contract, followed by,
2.2.4 the Data Sharing Framework Contract Schedules, followed by,
2.2.5 the remainder of the terms of this DSA (other than the Annexes), and then followed by,
2.2.6 the other Annexes to this DSA.

3 Term and Termination of this DSA
This DSA shall commence on the start date specified in Annex A: section 1a and, unless otherwise terminated in accordance with the terms of this DSA and/or the Data Sharing Framework Contract, shall continue until the end date specified in Annex A: section 1a (the "Term").

3.1 This DSA will terminate automatically on the termination or expiry of the Data Sharing Framework Contract, save where a New Contract has been agreed by the parties.

3.2 This DSA may be terminated prior to the end of the Term:
3.2.1 by the Data Recipient at any time by notifying NHS Digital in writing;
3.2.2 by NHS Digital at any time by giving to the Data Recipient not less than one months' prior notice in writing; or
3.2.3 in accordance with the provisions of the Data Sharing Framework Contract (or any New Contract) from time to time in force.

3.4 This DSA may be updated or varied from time to time by:
3.4.1 NHS Digital notifying the Data Recipient of the update in accordance with Clause 18.2 of the Data Sharing Framework Contract; or
3.4.2 NHS Digital and the Data Recipient agreeing the variation in accordance with Clause 18.3 of the Data Sharing Framework Contract.

3.5 Where this DSA is updated or varied in accordance with Clause 3.4, NHS Digital shall issue an updated version of the DSA to the Data Recipient to reflect the update or variation to the terms ("Updated DSA"). NHS Digital shall allocate a new sequential version number to the Updated DSA to identify that the DSA is updated or varied. For example, a DSA with reference DARS-NIC-NNNNN-NNNNN-v1.1, would be updated to DSA DARS-NIC-NNNNN-NNNNN-v2.0.

3.6 The parties acknowledge that this DSA, as updated or varied in accordance with Clause 3.4, shall be read and construed as the same appears in an Updated DSA. Except as updated or varied in accordance with Clause 3.4, this DSA shall continue in full force and effect.

4 Data
4.1 Annex B: section 2, sets out the details of the Data that will be provided by NHS Digital to the Data Recipient under this DSA.

4.2 NHS Digital shall supply the Data to the Data Recipient or its nominated Data Processor in accordance with the data transfer method set out in Annex B: section 2.

4.3 The Data Recipient shall:

4.3.1 comply with the provisions set out in Annex A and Annex B; and

4.3.2 only process and store the Data at the location(s) specified in Annex A: Section 2.

4.4 Where Annex A states that the Data Recipient is entitled to sub-licence the Data, the Data Recipient shall enter into a Sub-Licence which is compliant with the requirements set out in Annex A: section 10 together with Clause 3.3 of Part 2 and Schedule 4 of the Data Sharing Framework Contract, and shall procure that the sub-licensor complies with its obligations as set out in Annex A: Section 10 and Schedule 4 (Sub-licensing conditions) of the Data Sharing Framework Contract.

4.5 The Data Recipient shall comply with the requirements of Clause 3 of the Data Sharing Framework Contract in respect of any sub-licensing of the Data.

5 Data Processor

5.1 The Data Recipient wishes to engage the party whose details are set out in Annex A: section 1c to act as its Data Processor to carry out the processing activities set out in Annex A: section 5.

5.2 NHS Digital consents to the appointment by the Data Recipient of the party whose details are set out in Annex A: section 1c to act as its Data Processor solely for the processing activities set out Annex A: section 5. No other processing or use is permitted by the Data Processor.

5.3 The Data Recipient shall be responsible for all acts and omissions of the Data Processor as if they were acts and omissions of the Data Recipient under this DSA.

6 Charges

6.1 The Data Recipient shall pay the Charges set out in Annex A: section 11 in accordance with the payment terms contained there and in the Data Sharing Framework Contract.

7 Data Access

7.1 Under the terms of this DSA, the Data Recipient must ensure that access to the Data is managed, auditable and restricted to those individuals who need to process the Data for the Purpose outlined in this DSA.

SCHEDULE 1

Interpretation

1.1 In this DSA the following expressions have the following meanings. Defined terms not detailed below shall be interpreted in accordance with the defined terms set out in the DSFC:

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Data Recipient</td>
<td>means the party named in Annex A: section 1b who will be a Data Controller of any Personal Data to be shared under and in accordance with this DSA;</td>
</tr>
<tr>
<td>Data Sharing Framework Contract or DSFC</td>
<td>means the Data Sharing Framework Contract as detailed in Annex A: section 1b;</td>
</tr>
<tr>
<td>Identifiable Data</td>
<td>means Personal Data, but extended to apply to dead as well as living individuals;</td>
</tr>
<tr>
<td>Non-identifiable Data</td>
<td>means Data that is not Identifiable Data;</td>
</tr>
<tr>
<td>Term</td>
<td>has the meaning given in Clause 3.1 of this DSA.</td>
</tr>
</tbody>
</table>

1.2 The rules of interpretation in the DSFC shall apply to this DSA.

Annex A: Application Summary

1a: General
1b: Data Controller(s)

- NHS Digital
  
  Data Controller: NHS Digital
  
  Organisation Type: Agency/Public Body
  
  Data Controller Type: Sole Data Controller
  
  NHS Digital Framework Contract Reference: CON-12345-67890
  
  Contract Expiry Date: 31/07/2018
  
  Security Assurances for Data Controller
  
  Type: IG Toolkit
  
  Version: 15
  
  Date Completed: 30/09/2017
  
  Comments: IGT comments go here
  
  IGT Score: 100
  
  IGT Reviewed Date: 01/09/2017
  
  Date Checked by NHS Digital: 01/09/2017
  
  DPA Registration
  
  DPA Registration Number: 12345
  
  DPA Organisation Name:
  
  Expiry Date: 30/09/2019
  
  DPA Checked On: 01/09/2017
  
  Activity Recorded: Activity recorded statement goes here
  
  Where the Data Controller named in section 1b is processing Data, it is only entitled to process the Data at the location(s) specified in section 2a for the Purpose(s) outlined in section 5 subject to the Special Conditions in section 6, unless otherwise specified in section 6. Any processing of Data by an agreed Data Processor specified in section 1c shall be subject to the same restrictions. These details are therefore not repeated in section 1c.

1c: Data Processor(s)

- NHS Digital
  
  Data Processor Area: England/Wales
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Organisation Address: 1, Trevelyan Square, Boar Ln, Leeds LS1 6AE

Security Assurances for Data Processor
Type: IG Toolkit
Version: 15
Date Completed: 31/08/2019
Comments: IGT comments go here

IGT Score: 100
IGT Reviewed Date: 01/09/2017
Date Checked by NHS Digital: 01/09/2017

DPA Registration
DPA Registration Number: 12345
DPA Organisation Name: 
Expiry Date: 30/09/2019
DPA Checked On: 01/09/2017
Activity Recorded: activity recorded goes here

2. Locations

2a. Processing Location(s)

DEMO Data Processing Address
Location Area: England & Wales
Organisation Address: ad 1
                                   ad 2
                                   ad 3
                                   Leeds
                                   West Yorkshire
                                   LS1 1AB
                                   England

2b. Storage Location(s)

NHS digital storage location demo
Location Area: England & Wales
Organisation Address: AD 1
                                   AD 2
                                   AD 3
                                   Leeds
                                   West Yorkshire
                                   ABC 123
                                   England
2c. Territory of use

England/Wales

3. Datasets Held/Requested

3a. Data Access Already Given

<table>
<thead>
<tr>
<th>Dataset</th>
<th>Extract Type</th>
<th>Identifiability</th>
<th>Sensitivity</th>
<th>Periods</th>
<th>Legal Basis for Dissemination</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hospital Episode Statistics Accident and Emergency</td>
<td>Extract</td>
<td>Pseudo/Anonymised</td>
<td>Non Sensitive</td>
<td>2014/15 2015/16</td>
<td>Health and Social Care Act 2012 - s261(1)</td>
<td>Monthly</td>
</tr>
</tbody>
</table>

Data Minimisation

Information about filters goes here

<table>
<thead>
<tr>
<th>Dataset</th>
<th>Extract Type</th>
<th>Identifiability</th>
<th>Sensitivity</th>
<th>Periods</th>
<th>Legal Basis for Dissemination</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Office for National Statistics Mortality Data</td>
<td>Extract</td>
<td>Pseudo/Anonymised</td>
<td>Non Sensitive</td>
<td>Historic data</td>
<td>Health and Social Care Act 2012 - s261(1)</td>
<td>Monthly</td>
</tr>
</tbody>
</table>

Data Minimisation

Information about filters goes here.

3b. Additional Data Access Requested

<table>
<thead>
<tr>
<th>Dataset</th>
<th>Extract Type</th>
<th>Identifiability</th>
<th>Sensitivity</th>
<th>Periods</th>
<th>Legal Basis for Dissemination</th>
<th>Frequency</th>
</tr>
</thead>
</table>

Data Minimisation

Information about filters goes here

<table>
<thead>
<tr>
<th>Dataset</th>
<th>Extract Type</th>
<th>Identifiability</th>
<th>Sensitivity</th>
<th>Periods</th>
<th>Legal Basis for Dissemination</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Office for National Statistics Mortality Data</td>
<td>Extract</td>
<td>Pseudo/Anonymised</td>
<td>Non Sensitive</td>
<td>Latest available release</td>
<td>Health and Social Care Act 2012 - s261(1)</td>
<td>Monthly</td>
</tr>
</tbody>
</table>

Data Minimisation

Information about filters goes here.

3c. Patient objections

Patient Objections applied? Yes

Patient objections explanation should go here.

4. Fair processing

Information about fair processing requirements in relation to the data in this application.
5. Purpose/Methods/Outputs

5a. Objective for processing:
Objective for processing statements go here.

5b. Processing activities:
Objective for processing activities go here.

5c. Specific Outputs Expected, Including Target Date:
Specific outputs expected, including target date statement

5d. Benefits
i. Expected Measurable Benefits to Health and/or Social Care Including Target Date:
Expected measurable benefits to health and/or social care including target date statement

ii. Yielded Benefits:
Information about yielded benefits to date go here.

5e. Is the Purpose of this Application in Anyway Commercial?
Yes
Commercial purposes explanation goes here.

6. Special Conditions
Information about special conditions go here e.g ONS.

7. Approval Considerations

<table>
<thead>
<tr>
<th>Materials Reviewed</th>
<th>Version</th>
<th>Date of Document</th>
<th>Date of Approval</th>
<th>Expiry / Review Date</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Consent Form</td>
<td>1</td>
<td>30/09/2017</td>
<td>29/09/2017</td>
<td>28/09/2017</td>
<td>Demo comments about evidence go here</td>
</tr>
<tr>
<td>Patient Information</td>
<td>3</td>
<td>30/09/2017</td>
<td>29/09/2017</td>
<td>28/09/2017</td>
<td>Demo comments about evidence go here</td>
</tr>
</tbody>
</table>

8. Period and Funding

8a. Data Retention
For the Data Recipient to give an indication of the duration that the Data Recipient would wish to retain the data (however if this period exceeds the Term a new DSA would need to be in place).

| Indicative Data Retention Period: | 31/07/2019 |
| Reason for this Period:         | explanation of data retention goes here |

8b. Funding Sources

| Type of Funding Source: | EU/International |
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Awarding Institution: Demo University
EU/International programme: EU
Reference and title of project/activity: Demo title of project
Year of submission/award: 30/09/2017
Applicant or Partner: Partner
Funding evidence URL:

9. ONS Users

<table>
<thead>
<tr>
<th>Name</th>
<th>Role</th>
<th>Organisation (if different from applicant)</th>
<th>Legal basis</th>
<th>Expiry / Review Date</th>
<th>AR ref number</th>
<th>Email address</th>
</tr>
</thead>
<tbody>
<tr>
<td>Joe Bloggs</td>
<td>Demo Job role</td>
<td>Demo Organisation</td>
<td></td>
<td>30/09/2019</td>
<td>ABCD</td>
<td><a href="mailto:JBloggs@demo.com">JBloggs@demo.com</a></td>
</tr>
<tr>
<td>John Smith</td>
<td>Demo Job role</td>
<td>Demo Organisation</td>
<td></td>
<td>30/09/2019</td>
<td>12345</td>
<td><a href="mailto:johnsmith@demo.com">johnsmith@demo.com</a></td>
</tr>
</tbody>
</table>

10. Sub-licensing

Does sub-licensing apply? Yes
Duration: demo duration
Third party sub-licensees: demo third party sub licensees
Details of Data: demo details of data statement
Processing Activities: demo processing activities
Special Conditions: demo special conditions

The Data Recipient is responsible for entering into a Sub-Licence that meets the requirements set out in Clause 3.3 and Schedule 4 of the Data Sharing Framework Contract.

11. Charges

Set up and first year service charge £1,000.00
Annual Service Charge £1,000.00

Principals of charging: NHS Digital operates on a cost recovery basis and does not seek to make an operating profit from providing its services. The following costs to NHS Digital are included in the Service Charges and Annual Charges below:

• all design and/or implementation specific services required to generate bespoke datasets or extracts;
• all administration services associated with providing access to the same;
• delivery and maintenance services to support the ongoing provision of bespoke datasets or extracts;
• administration costs associated with carrying out annual reviews of Data Recipients.

These charges do not include the costs associated with the investigation of a breach, planning and performance of audit(s), and any prosecution activity.

Service Charge: setup, licence, service and annual review charges

The Service Charge is a one-off fee per DSA, and is payable in advance. The Annual Review charges included in the Service Charge are based on the number of annual reviews to be carried out during the Term of the DSA.
Audit fees are payable where NHS Digital undertakes an audit or investigation which in NHS Digital’s reasonable opinion, reveals that the Data Recipient either has not complied, or is not complying, with any of its obligations under the Data Sharing Framework Contract and/or this DSA. The audit fees stated in the table below are an estimate only and the Data Recipient is responsible for promptly reimbursing NHS Digital for all reasonable costs of the audit and the full cost of any investigation which NHS Digital may commence prior to an audit taking place in accordance with Clause 7 (Audit and specific rights) of the Data Sharing Framework Contract. Audit fees are payable at cost, and shall include the costs for all activity for investigation, as well as activities associated with the performance of the audit:

**Estimated audit fees per audit:** £15,000 (variable depending on circumstances).
Annex B: Additional technical information

1. Data to be received by NHS Digital under this agreement

The customer will provide a cohort to NHS Digital

A new cohort will be provided by NHS Digital under this agreement

Recruitment to this cohort has completed

The approximate maximum size the cohort could reach over the lifetime of the DSA is 100

The data items being supplied to NHS Digital by the Customer are:

- Study ID
- NHS Number
- Date Of Birth
- Surname
- Forename
- Sex
- Postcode
- Middle Names/Initials
- Current Address
- Previous Address
- Place of birth
- Place of death
- Previous surname
- Also known as

The legal basis for the data being sent to (or reused by) NHS Digital is Section 42(4) of the Statistics and Registration Service Act (2007) as amended by section 287 of the Health and Social Care Act (2012)

2. NHS Digital data covered by this agreement

A summary of the datasets covered by this agreement is shown in section 3 above.

2a. Data already held

- Hospital Episode Statistics Accident and Emergency
  
  **Peri**
  
  Periods
  
  2014/15
  
  2015/16
  
  **Sensitive fields**
  
  [AESTAFFCODE] A&E staff member code
  
  **Identifiable fields**
  
  [AEATTENDNO] Attendance number
  
  **Other fields**
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Filters/minimisation efforts
Information about filters goes here

Data Transfer Method
- Office for National Statistics Mortality Data

Periods
Historic data

Sensitive fields
- [cause_of_death_neonatal] Neonatal cause of death,
- [cause_of_death_non_neonatal] Non-neonatal cause of death,
- [cause_of_death_row_pos] Cause of death row position,
- [dod] Date of Death,
- [dor] Date of Registration,
- [resstha] Strategic Health Authority of usual residence of deceased

Identifiable fields
- [dod] Date of Death

Other fields

Filters/minimisation efforts
Information about filters goes here.

Data Transfer Method
- Tibco MFT

2b. Additional data provided under this agreement

- Hospital Episode Statistics Accident and Emergency

Periods
2016/17
2016/17_M13
2017/18_M05
2017/18_M06
2017/18_M07
2017/18_M08
2017/18_M09
2017/18_M10
2017/18_M11
2017/18_M12
2017/18_M13
2018/19_M02
2018/19_M03
2018/19_M04

Sensitive fields
[AESTAFFCODE] A&E staff member code

Identifiable fields
[AEATTENDNO] Attendance number

Other fields
[AEARRIVALMODE] Arrival mode, [AEATTEND_EXC_PLANNED] Attendances excluding planned,
[AEATTENDCAT] Attendance category,
[AEATTENDDISP] Attendance disposal,
[ADEPTTYPE] Department type,
[AEINCLTYPE] Incident location type,
[AEPATGROUP] Patient group,
[AEREFSOURCE] Source of referral for A&E,
[ARRIVALDATE] Arrival date,
[ARRIVALTIME] Arrival time,
[CONCLUDUR] Duration to conclusion,
[CONCLTIME] Conclusion time,
[DEPDUR] Duration to departure,
[DEPTIME] Departure time,
[FYEAR] Financial Year,
[INITDUR] Duration to assessment,
[INITTIME] Initial assessment time,
[PARTYEAR] Year and month of data,
[TRETDUR] Duration to treatment,
[TRETTIME] Time seen for treatment

Filters/minimisation efforts
Information about filters goes here

Data Transfer Method
Tibco MFT

• Office for National Statistics Mortality Data

Periods
Latest available release

Sensitive fields
[cause_of_death_neonatal] Neonatal cause of death,
[cause_of_death_non_neonatal] Non-neonatal cause of death,
[cause_of_death_row_pos] Cause of death row position,
[dod] Date of Death,
[dor] Date of Registration,
[resstha] Strategic Health Authority of usual residence of deceased

Identifiable fields
[dod] Date of Death

Other fields

Filters/minimisation efforts
information about filters goes here.

Data Transfer Method Tibco MFT

3. Additional Information

Recommended product(s)

<table>
<thead>
<tr>
<th>Product</th>
<th>Yes/No</th>
</tr>
</thead>
<tbody>
<tr>
<td>List Clean</td>
<td>No</td>
</tr>
<tr>
<td>Patient Status</td>
<td>No</td>
</tr>
<tr>
<td>Patient Tracking</td>
<td>No</td>
</tr>
</tbody>
</table>

Additional Technical Detail

Additional details about production go here...

----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------
Annex C: Approval Information

Signed for and on behalf of the Information Asset Owner:

<table>
<thead>
<tr>
<th>Name:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Electronic approval reference:</td>
<td></td>
</tr>
<tr>
<td>Organisation Name:</td>
<td>NHS Digital</td>
</tr>
<tr>
<td>Role:</td>
<td></td>
</tr>
<tr>
<td>Date/time:</td>
<td></td>
</tr>
</tbody>
</table>

Signed for and on behalf of NHS Digital:

<table>
<thead>
<tr>
<th>Name:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Electronic approval reference:</td>
<td></td>
</tr>
<tr>
<td>Role:</td>
<td></td>
</tr>
<tr>
<td>Date/time:</td>
<td></td>
</tr>
</tbody>
</table>

Signed for and on behalf of the Data Recipient:

| Organisation Name: |  |
| Electronic approval reference: |  |
| Name: |  |
| Position in organisation: |  |
| Date: |  |