NHS ELECTRONIC STAFF RECORD

ESR-NHS0099 - Controlling access to the ESR Data Warehouse

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Approval:

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1. DOCUMENT CONTROL

1.1. CHANGE RECORD

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1.2. REVIEWERS

Name	Position
Paul Spooner	NHS ESR Programme Director
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NHS Development Team	
Data Warehouse Reference Group	

1.3. DISTRIBUTION

Copy No.	Name	Location
1	Library Master	Project Library
2	NHS Development Team	[Shared Folder]

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3. INTRODUCTION

Given the nature of much of the data held within the ESR Data Warehouse it is necessary to place safeguards around access to it. This document provides details of the criteria against which organisations are granted access to the ESR Data Warehouse, and describes the procedures which are used to provide access to organisations and to individuals within those organisations.

This document will be reviewed on an annual basis and updated as necessary.

4. CONTROLLING ACCESS TO THE ESR DATA WAREHOUSE

4.1. ORGANISATIONAL ACCESS

1) Formal requests for access to the ESR Data Warehouse will be determined as follows:

   a) NHS supra-level organisations, the Department of Health for England (DH), and the Welsh Government are deemed to be eligible for access to the ESR Data Warehouse
      i) "NHS supra-level" refers to NHS employing authorities operating at a regional or national level.
      ii) Requests from the organisations noted above can be approved by the NHS ESR Programme Director
   b) Requests from organisations not included in point 1) a) above will be submitted to the NHSBSA Director of Workforce for consideration and approval/rejection. The NHSBSA's Director of Workforce will only approve access where this is deemed to be in the strategic interests of the NHS under the stewardship of the DH and of the ESR Programme.

2) All formal requests are subject to the following criteria:

   a) A satisfactory business requirement must be submitted.
   b) The commercial and data protection checks made by the NHS ESR Head of Finance & Commercials are satisfied.
   c) Where an access request would require the creation of a new User Profile (e.g. To restrict access to specific organisations or data items) this is subject to further criteria:
      i) It must be in the strategic interests of the ESR Programme as determined by the ESR Programme Director.
         e.g. Providing the requested access would enhance the usage and reputation of the ESR solution.
      ii) It must be approved by the NHS ESR Programme Director.
      iii) The necessary resource must be available.

      Note that the NHSBSA Director of Workforce will be informed of any decision to create a new User Profile.

3) Involvement of the Data Warehouse Reference Group:

   a) Any changes to the NHS structure which might significantly affect the number of organisations requiring access to the Data Warehouse, or change the type of organisation for whom access is being considered, are discussed by the Data Warehouse Reference Group (DWRG).
   b) DWRG will be informed as soon as possible by email of all formal requests for access to the Data Warehouse.
   c) DWRG will be informed as soon as possible by email of the outcome of all formal requests for access to the Data Warehouse. (See Appendix A – Flowchart for the specific notification trigger points)
   d) Any comments or advice from DWRG regarding organisational access issues should be made via the NHS ESR Central team who will liaise with the NHS ESR Programme Director and/or the NHSBSA Director of Workforce as appropriate and provide feedback.
   e) Note however, that the NHS ESR Programme Director and/or the NHSBSA Director of Workforce will have responsibility for determining which organisations are to be granted access.

The procedure for requesting organisational access to the ESR Data Warehouse is described at Appendix A.

4.2. USER ACCESS

It is the responsibility of the employing organisation to approve user access to the ESR Data Warehouse and to ensure that individuals are aware of their responsibilities in accessing and using the data.

The procedure for controlling user access is described at Appendix C.

APPENDIX A – PROCEDURE FOR ORGANISATIONAL ACCESS REQUESTS

1. The HR Director (or equivalent) for the organisation should submit a **request** for access (including a completed **Business Case** form - see Appendix B) by e-mail to esr.pmo@nhs.net;

   1.1. The request will be logged in the DW Access Request Log.

   1.2. DWRG will be informed of the request.

2. The Senior Development Advisor - Workforce Information & Quality assesses the business case from an **Access Control** perspective.

   2.1. If the organisation does not fit the requirements set out in section 4.1 1) a) Controlling Access to the ESR Data Warehouse then the NHSBSA Director of Workforce will be asked to consider granting access on an exceptional basis.

      a. If the NHSBSA Director of Workforce approves the request then the organisation will be informed, go to step 2.2.

      b. If the NHSBSA Director of Workforce rejects the request then the organisation will be informed. An organisation may choose to submit a further application but this will be regarded as a new request starting at step 1.

   2.2. If a suitable User Profile exists go to step 3.

   2.3. If no suitable User Profile exists the organisation will be informed that the current Data Warehouse build cannot meet their request. The organisation is then expected to:

      a. Modify their request and resubmit their application (Go to step 1.) or,

      b. Request that a new User profile is created and go to step 3.
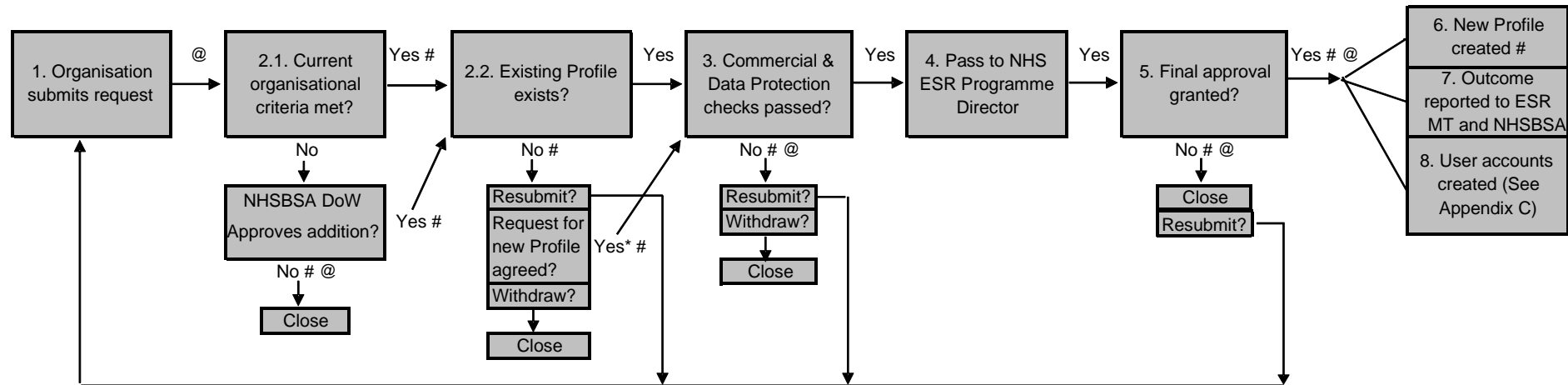
         Note that a new User Profile will only be created if:

         - The creation of the profile is deemed to be in the strategic interests of ESR. The NHSBSA Director of Workforce will be informed of the creation of any new Profile.

         - The request for access is approved by the NHS ESR Programme Director in step 5.

         - The necessary resource is available.

         or,

      c. Withdraw their request. The withdrawal date is then entered on the DW Access Request Log and DWRG informed.

3. The Business Case form is passed to the NHS ESR Head of Finance & Commercials for **commercial and Data Protection checks**:

   3.1. If granting the request is not deemed to breach any commercial agreements or data protection legislation then it will be approved. Go to step 4.

   3.2. If not approved the organisations will be informed of the reason(s). The organisation is then expected to either:

      3.2.1. Modify their request and resubmit the application. Return to step 1.

      3.2.2. Withdraw their request. The withdrawal date is then entered in the log and DWRG informed.

4. The Business Case form is returned to the Senior Development Advisor - Workforce Information & Quality to add the **Recommended Outcome Summary** following the feasibility checks.

5. The Business Case form is then passed to NHS ESR Programme Director for **final approval**:

   5.1. If approved then the organisation is informed and the date is recorded in the log and the NHSBSA Director of Workforce is informed. Go to step 6.

   5.2. If not approved then the organisation is informed of the reason(s). An organisation may choose to submit a further application but this will be regarded as a new request starting at step 1.

6. If a new User Profile is required and the necessary approvals are granted and resource identified, the Senior Development Advisor - Workforce Information & Quality will raise an SR requesting that a **new User Profile** is created. Once a target release date is agreed for the new profile, the requesting organisation will be informed of the timeline.

7. The Senior Development Advisor - Workforce Information & Quality will report to the ESR Management Team and the NHSBSA Director of Workforce of access being granted to the Organisation.

8. The organisation should follow the procedure set out in Appendix C to have 'Super User' and other User accounts created.

A flow chart summarising this procedure follows:

Appendix A - Flowchart

1. Organisation submits request

— @ →

2.1. Current organisational criteria met?

Yes # →

2.2. Existing Profile exists?

Yes →

3. Commercial & Data Protection checks passed?

Yes →

4. Pass to NHS ESR Programme Director

Yes →

5. Final approval granted?

Yes # @ →

6. New Profile created #

7. Outcome reported to ESR MT and NHSBSA

8. User accounts created (See Appendix C)

2.1 No → NHSBSA DoW Approves addition?
- Yes # →
- No # @ → Close

2.2 No # → Resubmit? / Request for new Profile agreed? (Yes* #) / Withdraw? → Close

3 No # @ → Resubmit? / Withdraw? → Close

5 No # @ → Close / Resubmit?

= Organisation informed   * = Subject to approval by NHS ESR Central Team   @ = DWRG informed

APPENDIX B – ACCESS REQUEST BUSINESS CASE FORM

ESR DATA WAREHOUSE ORGANISATION ACCESS REQUEST BUSINESS CASE FORM

Name:	
Job Title:	
On behalf of (Organisation):	
Contact e-mail address:	
Contact telephone number:	
Date:	

1. Reason for Access Request (Please outline the business justification for your organisation's request to access the Data Warehouse):

2. Statement on Information Governance compliance (see DSP Toolkit (https://www.dsptoolkit.nhs.uk/ for further information):

3. Details of Type of Access (Please outline the range of data items you wish to be able to see/not see and the appropriate organisations and staff groups where appropriate – this information may be derived from your reason for the access request):

4. Recommended Outcome Summary (To be completed by ESR Senior Development Advisor - Workforce Information & Quality):

5. NHS ESR Programme Director Approved: Yes / No   Date:

APPENDIX C – PROCEDURES FOR INDIVIDUAL ACCESS

1. **Granting access to an individual**

    1.1. The Data Warehouse 'Super User(s)' in each organisation is responsible for raising a Service Request (SR) via the ESR Service Desk to request that access be enabled for an individual.

    1.2. The below path should be followed within the ESR Service Desk to submit the request:

    Home > Request a new Service > AC > ACDW > Data Warehouse > Create Data Warehouse User Account

    1.3. The following details must be supplied for each individual requiring access:

    - Name
    - Email Address
    - Telephone Number
    - Employing Organisation
    - DW User Profile

    1.4. It is the responsibility of the Super User to ensure that the individual has a genuine business reason for accessing the Data Warehouse and that they are, or will be, adequately trained to use it appropriately.

    1.5. Employing organisations must ensure that all Data Warehouse users are aware of their responsibilities in accessing and using data. Organisations should make use of the Data Security and Protection Toolkit (https://www.dsptoolkit.nhs.uk/) which draws together the legal rules and central guidance against which Data Warehouse using organisations are required to assess themselves.

    1.6. The IBM Data Warehouse Team will create a user account and inform the Super User and the user when this is done. The user will be contacted separately, by phone, to inform them of their temporary password which they should change upon first use.

    1.7. In cases where an organisation has no current Super User able to raise an SR via ESR Service Desk the HR Director (or equivalent) for the organisation should supply the proposed user details via e-mail to esr.pmo@nhs.net.

2. **Terminating access for an individual**

    2.1. When access is no longer required or appropriate for an individual the Super User must raise an SR as soon as possible so that access to the account can be prevented. (Note that the person's access to stored data which they had previously had legitimate access to must also be assessed and withdrawn or restricted if necessary.)

    There are two separate options to prevent access:

    Lock the User Account – This option should be used where access to the account needs to be temporarily prevented (i.e. The User is on career break, maternity leave, secondment etc. but is expected to return to their role in the future). Note that when an account has not been accessed in the previous 90 days it will be automatically locked and will require a Service Request from the Super User in order to unlock it if required.

    Delete the User Account – This option should be used when access needs to be permanently prevented. (i.e. The employee has left the organisation, or is now in a role not requiring access.)

    2.2. The below path should be followed within the ESR Service Desk to lock an account:

Home > Request a new Service > AC > ACDW > Data Warehouse > Lock Data Warehouse User Account

2.3. The following details must be supplied for each individual whose account requires locking:

- Data Warehouse User Name
- Email Address
- Telephone Number
- Employing Organisation
- DW User Profile
- Reason for locking account

2.4. The below path should be followed within the ESR Service Desk to delete an account:

Home > Request a new Service > AC > ACDW > Data Warehouse > Delete Data Warehouse User Account

2.5. The following details must be supplied for each individual whose account requires locking:

- Data Warehouse User Name
- Email Address
- Telephone Number
- Employing Organisation
- DW User Profile
- Reason for deleting account

2.6. Organisations will wish to ensure that Users share any relevant reports before they lose access to their account.

3. Dealing with changed circumstances of an existing user

3.1. <u>Transfer to a different organisation</u>: When a person leaves an organisation the Super User in that organisation should request that the person's access is terminated. Assuming that access is required the Super User in the new organisation should request that access be granted. This process ensures that access is properly controlled by the new organisation and the potentially different User Profile will apply the correct restrictions on access to organisations and data items.

3.2. <u>Additional position</u>: If a person remains in post but also takes up a post in another organisation then the Super User in the new organisation must raise an SR requesting access – if it is found that the appropriate User Profile is already held then no further action is necessary; whereas if a different User Profile is needed then the individual will be given a second account.

3.3. <u>Secondment</u>: When a person is seconded to an organisation that has not been granted access to the Data Warehouse it is the responsibility of the Super User in the employing authority to decide if access should be revoked or not for the duration of the secondment. Access should only remain if there is a business need to access the Data Warehouse in the role that the person now occupies.

4. Changing a Super User

4.1. When a Super User is due to leave an organisation or a change in Super User is required for any other reason, the current Super User should raise an SR through the ESR Service Desk in advance of the change requesting that a service desk account is created for the new Super User.

4.2. The below path should be followed within the ESR Service Desk to submit the request:

Home > Request a new Service > AC > ACDW > Service Desk > New ESR Service Desk User Account

4.3. Once the new Super User account has been created then a second SR should be raised through the ESR Service Desk (By either the new Super User or the Super User who wishes to relinquish their access) requesting that the Super User account is deleted.

4.4. The below path should be followed within the ESR Service Desk to submit the request:

Home > Request a new Service > AC > ACDW > Service Desk > Delete ESR Service Desk User

5. Confirmation of individuals who continue to require access

5.1. To help ensure that individuals do not continue to access the Data Warehouse when not appropriate the following procedure must be followed:

5.1.1. A list of Data Warehouse users in an organisation will be sent to the Super User on a monthly basis by the ESR NHS Central Team. This process is now automated so it is important that organisations maintain their Super User contact details.

5.1.2. The Super User in each organisation must check the names on the list of active accounts and ensure that an SR is raised to remove access for any person no longer requiring it. An SR must also be raised when a locked account is required to be deleted; this is not an automatic process and organisations will need to determine an appropriate length of time between the locking and deletion of an account.