**DOCUMENT 6**

**SCHEDULE 6 – CONTRACT MANAGEMENT, REPORTING AND INFORMATION REQUIREMENTS**

1. **Data Processing Services**

##### SCOPE

* 1. The Co-ordinating Commissioner appoints the Provider as a Data Processor to perform the Data Processing Services.
  2. When delivering the Data Processing Services, the Provider must, in addition to its other obligations under this Contract, comply with the provisions of this Schedule 6F.
  3. This Schedule 6F applies for so long as the Provider acts as a Data Processor in connection with this Contract.

##### DATA PROTECTION

* 1. The Parties acknowledge that for the purposes of Data Protection Legislation in relation to the Data Processing Services the Co-ordinating Commissioner is the Data Controller and the Provider is the Data Processor. The Provider must process the Processor Data only to the extent necessary to perform the Data Processing Services and only in accordance with written instructions set out in this Schedule, including instructions regarding transfers of Personal Data outside the UK or to an international organisation unless such transfer is required by Law, in which case the Provider must inform the Co-ordinating Commissioner of that requirement before processing takes place, unless this is prohibited by Law on the grounds of public interest.
  2. The Provider must notify the Co-ordinating Commissioner immediately if it considers that carrying out any of the Co-ordinating Commissioner’s instructions would infringe Data Protection Legislation.
  3. The Provider must provide all reasonable assistance to the Co-ordinating Commissioner in the preparation of any Data Protection Impact Assessment prior to commencing any processing. Such assistance may, at the discretion of the Co-ordinating Commissioner, include:
     1. a systematic description of the envisaged processing operations and the purpose of the processing;
     2. an assessment of the necessity and proportionality of the processing operations in relation to the Data Processing Services;
     3. an assessment of the risks to the rights and freedoms of Data Subjects; and
     4. the measures envisaged to address the risks, including safeguards, security measures and mechanisms to ensure the protection of Personal Data.
  4. The Provider must, in relation to any Personal Data processed in connection with its obligations under this Schedule 6F:
     1. process that Personal Data only in accordance with Annex A, unless the Provider is required to do otherwise by Law. If it is so required, the Provider must promptly notify the Co-ordinating Commissioner before processing the Personal Data unless prohibited by Law;
     2. ensure that it has in place Protective Measures, which have been reviewed and approved by the Co-ordinating Commissioner as appropriate to protect against a Data Loss Event having taken account of the:
        1. nature, scope, context and purposes of processing the data to be protected;
        2. likelihood and level of harm that might result from a Data Loss Event;
        3. state of technological development; and
        4. cost of implementing any measures;
     3. ensure that:
        1. when delivering the Data Processing Services the Provider Staff only process Personal Data in accordance with this Schedule 6F (and in particular Annex A);
        2. it takes all reasonable steps to ensure the reliability and integrity of any Provider Staff who have access to the Personal Data and ensure that they:
           1. are aware of and comply with the Provider’s duties under this paragraph;
           2. are subject to appropriate confidentiality undertakings with the Provider and any Sub- processor;
           3. are informed of the confidential nature of the Personal Data and do not publish, disclose or divulge any of the Personal Data to any third party unless directed in writing to do so by the Co-ordinating Commissioner or as otherwise permitted by this Contract;
           4. have undergone adequate training in the use, care, protection and handling of Personal Data; and
           5. are aware of and trained in the policies and procedures identified in GC21.11 (*Patient Confidentiality, Data Protection, Freedom of Information and Transparency*).
     4. not transfer Personal Data outside of the UK unless the prior written consent of the Co-ordinating Commissioner has been obtained and the following conditions are fulfilled:
        1. the Co-ordinating Commissioner or the Provider has provided appropriate safeguards in relation to the transfer as determined by the Co-ordinating Commissioner;
        2. the Data Subject has enforceable rights and effective legal remedies;
        3. the Provider complies with its obligations under Data Protection Legislation by providing an adequate level of protection to any Personal Data that is transferred (or, if it is not so bound, uses its best endeavours to assist the Co-ordinating Commissioner in meeting its obligations); and
        4. the Provider complies with any reasonable instructions notified to it in advance by the Co- ordinating Commissioner with respect to the processing of the Personal Data;
     5. at the written direction of the Co-ordinating Commissioner, delete or return Personal Data (and any copies of it) to the Co-ordinating Commissioner on termination of the Data Processing Services and certify to the Co-ordinating Commissioner that it has done so within five Operational Days of any such instructions being issued, unless the Provider is required by Law to retain the Personal Data;
     6. if the Provider is required by any Law or Regulatory or Supervisory Body to retain any Processor Data that it would otherwise be required to destroy under this paragraph [2.4,](#_bookmark56) notify the Co-ordinating Commissioner in writing of that retention giving details of the Processor Data that it must retain and the reasons for its retention; and
     7. co-operate fully with the Co-ordinating Commissioner during any handover arising from the cessation of any part of the Data Processing Services, and if the Co-ordinating Commissioner directs the Provider to migrate Processor Data to the Co-ordinating Commissioner or to a third party, provide all reasonable assistance with ensuring safe migration including ensuring the integrity of Processor Data and the nomination of a named point of contact for the Co-ordinating Commissioner.
  5. Subject to paragraph [2.6,](#_bookmark58) the Provider must notify the Co-ordinating Commissioner immediately if, in relation to any Personal Data processed in connection with its obligations under this Schedule 6F, it:
     1. receives a Data Subject Access Request (or purported Data Subject Access Request);
     2. receives a request to rectify, block or erase any Personal Data;
     3. receives any other request, complaint or communication relating to obligations under Data Protection Legislation owed by the Provider or any Commissioner;
     4. receives any communication from the Information Commissioner or any other Regulatory or Supervisory Body (including any communication concerned with the systems on which Personal Data is processed under this Schedule 6F);
     5. receives a request from any third party for disclosure of Personal Data where compliance with such request is required or purported to be required by Law;
     6. becomes aware of or reasonably suspects a Data Loss Event; or
     7. becomes aware of or reasonably suspects that it has in any way caused the Co-ordinating Commissioner or other Commissioner to breach Data Protection Legislation.
  6. The Provider’s obligation to notify under paragraph [2.5](#_bookmark57) includes the provision of further information to the Co-ordinating Commissioner in phases, as details become available.
  7. The Provider must provide whatever co-operation the Co-ordinating Commissioner reasonably requires to remedy any issue notified to the Co-ordinating Commissioner under paragraphs [2.5](#_bookmark57) and [2.6](#_bookmark58) as soon as reasonably practicable.
  8. Taking into account the nature of the processing, the Provider must provide the Co-ordinating Commissioner with full assistance in relation to either Party's obligations under Data Protection Legislation and any complaint, communication or request made under paragraph [2.5](#_bookmark57) (and insofar as possible within the timescales reasonably required by the Co-ordinating Commissioner) including by promptly providing:
     1. the Co-ordinating Commissioner with full details and copies of the complaint, communication or request;
     2. such assistance as is reasonably requested by the Co-ordinating Commissioner to enable the Co- ordinating Commissioner to comply with a Data Subject Access Request within the relevant timescales set out in Data Protection Legislation;
     3. assistance as requested by the Co-ordinating Commissioner following any Data Loss Event;
     4. assistance as requested by the Co-ordinating Commissioner with respect to any request from the Information Commissioner’s Office, or any consultation by the Co-ordinating Commissioner with the Information Commissioner's Office.
  9. Without prejudice to the generality of GC15 *(Governance, Transaction Records and Audit),* the Provider must allow for audits of its delivery of the Data Processing Services by the Co-ordinating Commissioner or the Co-ordinating Commissioner’s designated auditor.
  10. For the avoidance of doubt the provisions of GC12 *(Assignment and Sub-contracting)* apply to the delivery of any Data Processing Services.
  11. Without prejudice to GC12, before allowing any Sub-processor to process any Personal Data related to this Schedule 6F, the Provider must:
      1. notify the Co-ordinating Commissioner in writing of the intended Sub-processor and processing;
      2. obtain the written consent of the Co-ordinating Commissioner;
      3. carry out appropriate due diligence of the Sub-processor and ensure this is documented;
      4. enter into a binding written agreement with the Sub-processor which as far as practicable includes equivalent terms to those set out in this Schedule 6F and in any event includes the requirements set out at GC21.16.3; and
      5. provide the Co-ordinating Commissioner with such information regarding the Sub-processor as the Co-ordinating Commissioner may reasonably require.
  12. The Provider must create and maintain a record of all categories of data processing activities carried out under this Schedule 6F, containing:
      1. the categories of processing carried out under this Schedule 6F;
      2. where applicable, transfers of Personal Data to a third country or an international organisation, including the identification of that third country or international organisation and, where relevant, the documentation of suitable safeguards;
      3. a general description of the Protective Measures taken to ensure the security and integrity of the Personal Data processed under this Schedule 6F; and
      4. a log recording the processing of the Processor Data by or on behalf of the Provider comprising, as a minimum, details of the Processor Data concerned, how the Processor Data was processed, when the Processor Data was processed and the identity of any individual carrying out the processing.
  13. The Provider warrants and undertakes that it will deliver the Data Processing Services in accordance with all Data Protection Legislation and this Contract and in particular that it has in place Protective Measures that are sufficient to ensure that the delivery of the Data Processing Services complies with Data Protection Legislation and ensures that the rights of Data Subjects are protected.
  14. The Provider must comply at all times with those obligations set out at Article 32 of the UK GDPR and equivalent provisions implemented into Law by DPA 2018.
  15. The Provider must assist the Commissioners in ensuring compliance with the obligations set out at Article 32 to 36 of the UK GDPR and equivalent provisions implemented into Law, taking into account the nature of processing and the information available to the Provider.
  16. The Provider must take prompt and proper remedial action regarding any Data Loss Event.
  17. The Provider must assist the Co-ordinating Commissioner by taking appropriate technical and organisational measures, insofar as this is possible, for the fulfilment of the Commissioners’ obligation to respond to requests for exercising rights granted to individuals by Data Protection Legislation.

### Annex A

**Data Processing Services**

##### Processing, Personal Data and Data Subjects

1. The Provider must comply with any further written instructions with respect to processing by the Co- ordinating Commissioner.
2. Any such further instructions shall be incorporated into this Annex.

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| **Description** | **Details** |
| Subject matter of the processing | *Patient records, quality and reporting, and financial data.* |
| Duration of the processing | *As per this contract term* |
| Nature and purposes of the processing | *As required to support delivery of the NHS Practitioner Health service, and as required by schedule 4 and Schedule 6.* |
| Type of Personal Data | *Personal data of Service Users and staff, including name, DoB, address, contact details, personal demographic data (sex, religion, etc) and clinical records associated with this service.* |
| Categories of Data Subject | *Staff (including volunteers, agents, and temporary workers), suppliers, patients, members of the public, users of a particular website.* |
| Plan for return and destruction of the data once the processing is complete UNLESS requirement under law to preserve that type of data | *Data on current and previous patients are retained by NHS Practitioner Health (in case of re-admission) and secured by the incumbent provider. This data is subject to transfer to an alternate Supplier should this contract or new contract be transferred to a newly appointed Supplier following re- procurement.*  *In scope of the above, relevant data protection legislation applies.* |