GD030 R&D Asset Register Guidance

The R&D Asset Register is an Excel workbook named:

[N:\Shared\R&D PROJECTS\Asset register\R&D Information Asset Register.xlsx](file:///N:\Shared\R&D%20PROJECTS\Asset%20register\R&D%20Information%20Asset%20Register.xlsx)

It is a big file and lots of the tabs link to other tabs within the workbook. It can be quite slow to load and quite slow to update due to the cross-referenced and calculated cells.

Be patient, there is only one file, please don’t break it!

Contents

[Excel Workbook Contents 2](#_Toc140672397)

[Navigation within Worksheets (Tabs) 3](#_Toc140672398)

[Workbook Tabs 4](#_Toc140672399)

[Front Page Tab 4](#_Toc140672400)

[Asset Description Tab 4](#_Toc140672401)

[Asset Security Tab 5](#_Toc140672402)

[Information Flow Tab 6](#_Toc140672403)

[Risk Assessment Tab 7](#_Toc140672404)

[Risk Assessment History Tab 8](#_Toc140672405)

[Quarterly Risk Review 9](#_Toc140672406)

[Issues and Support 10](#_Toc140672407)

[Document History 11](#_Toc140672408)

## Excel Workbook Contents

The workbook contains the following worksheets (tabs) as working parts of the asset register:

* Front page
* Asset description
* Asset security
* Information flow
* Risk assessment
* Risk assessment history

There are also three worksheets containing guidance:

* Guidance
* Guidance1
* Guidance2

Guidance on cell colours

The background colour of a cell determines if you can enter or update data.

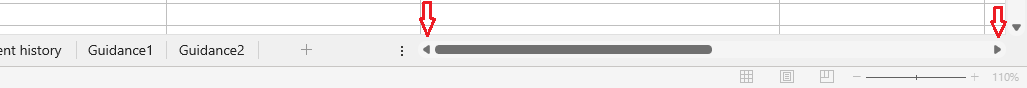
* A white background means that you can either enter data, or for cells that contain drop-down lists you can select an item from that list.
* A grey background means one of the following:
  + The cell reads its contents from elsewhere in the workbook, so you should not attempt to enter data into it.
  + The cell is controlled by a drop-down list in a cell somewhere to the left on the same row. For example, on the Asset Description tab the Asset Status column controls the next three columns to the right (Date archived, Location stored, Date destroyed). If, for example, the Asset Status is set to “Archived” then the backgrounds of Date Archived and Location Stored turn from grey to white so that data can be entered into those cells.
  + In one exceptional case, on the Asset Security tab, it may be appropriate to enter data in grey cells F – H if asset data is stored in a commercial 3rd party system, but some data is also stored on the N-drive and/or EDGE.
* A pink background only exists in the Asset No. column on these tabs: Asset description. Asset Security, Information Flow, Risk Assessment and Risk Assessment History. You should enter the asset number in this cell and the asset’s name will be derived from the Front Page tab.
* An orange background means that the cell reads its contents from elsewhere in the workbook, so you should not enter data. It only applies to cells containing risk review dates and signifies that the risk review is due for the current quarter.
* A red background means that the cell reads its contents from elsewhere in the workbook, so you should not enter data. It only applies to cells containing risk review dates and signifies that the risk review has not been done for the current quarter and wasn’t done for the previous quarter too. It also displays when a risk review is missing (no risk review has ever been done).

### Navigation within Worksheets (Tabs)

Some of the worksheets are quite wide and spread off to the right or left of what is visible on-screen.

You can of course move from one cell to the next updateable cell on the right using the keyboard Tab key (or Shift+Tab to move one cell to the left).

However, it may be easier to use the horizontal scroll bar at the bottom right of Excel. More specifically the left and right scroll-arrows which control the scroll bar seem to work more effectively than using the mouse to drag the scroll bar:



## Workbook Tabs

### Front Page Tab

This tab gives you an overall view of all the studies, for each study you can see the current status of that study (active, archived etc.) in column F. It also displays the completeness of some of the other working tabs (Asset description, Asset security, Risk assessment, Information flow) in columns K – N.

Columns G and H display the baseline and current risk rating. Column I displays the date that the last risk review was undertaken.

When adding a new study start with this tab:

* Column A: Enter the next asset number in sequence.
* Column B: Enter the P0 number and asset name e.g. “P09999 EXAMPLE Study”.
* Column C: Enter the name of the asset’s administrator.
* Column D: Select the appropriate category of the asset from the drop-down list.

### Asset Description Tab

Enter the asset number in column A on the next free row.

Column B will be populated from elsewhere.

Column C, the Asset Status is selected (and can be updated) from a drop-down list.

If an asset’s status is archived, then the date it was archived, and its storage location, should be entered in columns D and E. The cells in columns D and E will change from grey to white to remind you to do this.

If an asset’s status is destroyed, then the date it was destroyed should be entered into column F. The cell in column F will change from grey to white to remind you to do this.

Columns G – K (Roles of all asset users, Description of asset function, Categories of information held or comprising the asset, Description of sensitive data, Supplier name and contact for third-party systems) have self-explanatory headings and should have appropriate wording entered for the study

Column L (Is Consent the legal basis for processing?) is a Yes/No drop-down, if “No is selected” then the legal basis for processing must be entered into column M. The cell in column M will change from grey to white to remind you to do this.

Column N (Any access from outside the trust?) is a Yes/No drop-down, if “Yes” is selected then you must enter details in column O. The cell in column O will change from grey to white to remind you to do this.

### Asset Security Tab

Enter the asset number in column A on the next free row.

Column B will be populated from elsewhere.

Columns C refers to the storage location of paper records, leave blank if all electronic.

Column D refers to the storage location of electronic records, leave blank if all paper.

Column E is a Yes/No drop-down; select Yes if electronic records are stored on a commercial system such as OpenClinica.

Columns F – H must have appropriate wording if there is a “No” in column E. The cells in columns F - H will change from grey to white to remind you to do this. It is also appropriate to populate these cells if using a commercial system but also using other storage like the N-drive and EDGE; in such cases the cells will remain grey, but you can still type into them.

Columns I – L should have appropriate wording entered relating to access to electronic based studies.

Column M regarding managing leavers should have appropriate wording entered.

Column N regarding staff awareness of roles and responsibilities should have appropriate wording entered.

Column O is a Yes/No drop-down; select Yes if there is a business continuity plan and add a reference to the plan in column P.

Column P must detail where the business continuity plan can be found if there is a Yes in column E. The cell in columns P will change from grey to white to remind you to do this.

Column Q should have entered the date of the last time the business continuity plan was tested or, be left blank if it hasn’t yet been tested. The cell in columns Q will change from grey to white to remind you to do this if column O has been set to “Yes”.

### Information Flow Tab

Column A should have the asset number entered manually.

You can enter more than one row for the same asset on this tab, for example blood samples being couriered out to an external analysis company and OCT images being received from sites would require a row each.

Columns B and C are populated from elsewhere.

Column D should have the description of the data entered.

Column E is a In/Out drop-down, you should select the option which describes the direction of flow.

Column F should have the description entered of who is sending the information and who is receiving it.

Column G have should have the method of transfer entered.

Column H is a Yes/No drop-down; select Yes if explicit consent has been given to transfer the information.

Column I is a Yes/No drop-down; select Yes if the information being transferred is anonymised.

Column J (Please specify which patient identifiers are included) If the answer in column I is “No” you must then enter the patient identifiers that are included in the information being transferred. The cell in column J will change from grey to white to remind you to do this.

### Risk Assessment Tab

*Further useful information on risk assessment values is available on tabs Guidance1 and Guidance2. Columns E and F of the Risk Assessment tab hyperlink to these two guidance tabs for easy access.*

Enter the asset number in column A on the next free row.

Column B will be populated from elsewhere.

Enter a description of the threats in column C.

Enter a description of the impact if the threats materialised in column D.

Enter a number to signify the severity of the impact of the inherent threat in column E (use the hyperlinked column heading to see the values permitted and their meanings). Do not consider any mitigating factors that would reduce the severity.

Enter a number to signify the likelihood of the impact of the inherent threat in column F (use the hyperlinked column heading to see the values permitted and their meanings). Do not consider any mitigating factors that would reduce the likelihood.

Column G is automatically calculated from the values you have entered in the two preceding columns.

Enter details of the controls that are in place to prevent the inherent threat occurring in column H.

Enter a number to signify the residual severity of the impact threat in column I (use the hyperlinked column heading to see the values permitted and their meanings). Do consider any mitigating factors, specified in column H, that would reduce the severity.

Enter a number to signify the residual likelihood of the threat in column J (use the hyperlinked column heading to see the values permitted and their meanings). Do consider any mitigating factors, specified in column H, that would reduce the severity.

Column K is automatically calculated from the values you have entered in the two preceding columns.

Select a value from the drop-down in column L. Whether you Accept the risk, remove it or require further controls. Any option other than “Accept” will require you to discuss this asset with Information Governance and take their guidance.

### Risk Assessment History Tab

A new row must be added when the asset is initially registered. A new row must be added in each subsequent quarter until the asset is archived or destroyed.

Column A should have the asset number entered manually.

Columns B and C are populated from elsewhere.

Enter today’s date in column D.

Column E will be automatically calculated from the date in column D.

In column F (Has the risk rating been reviewed) select Yes or No, as appropriate:

When the asset is initially added to the register then answer “Yes”, as you will have just added the initial risk rating.

If you are doing a quarterly review then review the risk first, then come back to this tab and select “Yes”.

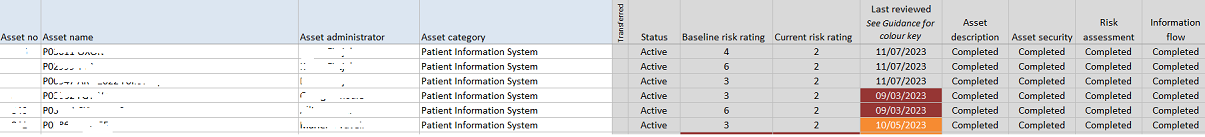
In column G enter your name, as the risk reviewer.

Column H (Were there any updates required?) is a Yes/No drop-down. Select the appropriate value. If this is the initial risk review, then answer “Yes”.

If you answered “Yes” in column H add details in column I. The cell will change from grey to white to remind you to do this. If this is the initial risk assessment, then put “Added asset to register”.

## Quarterly Risk Review

You are required to review the risks to the asset when you add it to the Asset Register and subsequently during each quarter of the calendar. The Front Page tab shows when an asset is overdue to be reviewed, when it is due for review this quarter, and when it has been reviewed this quarter:



The first three rows show assets that have already been reviewed during this quarter.

The next two rows show assets that weren’t reviewed during last quarter and are awaiting review in this quarter.

The final row shows an asset which is still to be reviewed during the current quarter.

Locate your asset on the front page, note the asset number as you will need it later. If the asset is in need of risk review its cell in column I will be orange or red.

Select the Risk Assessment tab. Review the details recorded for your asset. You should satisfy yourself that all the risks and likelihood of them occurring are recorded and that all the mitigations to reduce the risk or likelihood are still appropriate.

If new risks are now present or some risks no longer exists update accordingly. If mitigations have changed also update them..

Now select the Risk Assessment History tab.

On the first free row add your asset’s number in column A.

Columns B and C are populated from elsewhere.

Enter today’s date in column D.

Column E will be automatically calculated from the date in column D.

In column F (Has the risk rating been reviewed) select “Yes”.

In column G enter your name, as the risk reviewer.

Column H (Were there any updates required?) is a Yes/No drop-down. Select the appropriate value, if you made any changes on the Risk Assessment tab then answer “Yes”.

If you answered “Yes” in column H add details in column I. The cell will change from grey to white to remind you to do this. If this is the initial risk assessment, then put “Added asset to register”.

Select the Front Page tab again and check that the cells for your asset in columns G – I are populated and showing grey background.

Save the workbook and close it.

## Issues and Support

If you find a problem or idiosyncrasy with the Asset Register workbook please email the Data Management team at [papworth.openclinica@nhs.net](mailto:papworth.openclinica@nhs.net) and let us know about the issue you’re having. We’ll investigate and fix the problem if we can. We don’t use this very often so won’t spot the problem unless you tell us.

You can also contact us for help in using it, or if you think that something needs amending, or adding.

## Document History

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| --- | --- | --- | --- |
| Version | Date | Author | Details |
| 0.1 | 19/07/2023 | Simon Lumley | Initial draft version, for review. |
| 1.0 | June 2024 | Simon Lumley | Draft approved |
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