



ECTU Central Office SOP_OP_19: ECTU File and/or Email Access for External & Non-Substantive ECTU Staff.

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Authorship and Approval			
Name and Designation	Author/Reviewer/ Approval/ Authorisation	Date	Signature
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Tanya Tharakan, QA Manager	QA Authorisation	18 Oct 2023	See retained email approval dated 18 Oct 2023

Document Revision History		
Version No.	Effective Date	Summary of Revisions
1.0	08 Nov 2023	Initial creation

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1.0 PURPOSE

There are occasions when it is necessary that access is granted to ECTU folders to those outside of ECTU. There are certain considerations that need to be taken into account before deciding if access can be provided before the conclusion of the trial.

This SOP describes the process required to be followed when providing ECTU file, mail box and folder access to a third party who is not a substantive ECTU staff member.

2.0 SCOPE

This SOP applies to those in ECTU who seek to provide access to electronic folders held on the ECTU common drive and/or ECTU email inboxes to a third party who do not currently have access and are not a substantive staff member of ECTU.

3.0 RESPONSIBILITIES

It is the responsibility of the ECTU staff member who is seeking access on the behalf of a third party to advise their Team Lead/Line Manager of the request and obtain approval to proceed with granting access.

The Team Lead/Line Manager is responsible for assessing the legitimacy of this request.

It is the person seeking access on behalf of a third party who is responsible for ensuring that relevant SOPs/WPDs/Policies are read and any updates communicated to third party and read receipts retained.

QA will maintain and annually review a tracker (External Access to ECTU Folder and Email Inbox Tracker) of those external to ECTU who have access to drives.

The Trial Manager is responsible for following the process to request access via the IS Team, and to request removal of access when it is no longer required and informing QA.

4.0 PROCEDURE

4.1 Assessment of the Access Request

4.1.1 Once it is identified that an individual external to ECTU requires access to electronic files on the ECTU common drive and/ or ECTU email inbox, the member of ECTU unit requesting this should discuss the request with their Team Leader/Line Manager.

4.1.2 The following information should be provided to Team Lead/Line manager for consideration:

- Name of individual who requires access
- What access is required and at what folder hierarchy / email account level
- Why is access required (Note: special consideration must be given to the impact of access, for example trial confidentiality, ability to send email from a trial mailbox with attachments, accidental deletions etc.)

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- Their current status regarding UoE Credentials
- Appropriate training i.e. GCP training less than 24 months old, along with trial specific training, as required.

4.1.3. The Team Lead will discuss at the Operational meeting and provide feedback, either approval to proceed or the request is denied, to the team member who requested access via email copying in QA. This should be retained in TMF Section 6.

For Files/ Folders: The email must include the name of third party, folders they require access to (File path), the date they require access and for how long.

For Email Inbox: The email must include the name of third party, email inbox they require access to, the date they require access and for how long

For Files/ Folders and Inbox: The email must include the name of third party, folders (File path) and email inbox they require access to, the date they require access and for how long.

The information will be added to External Access to ECTU Folders and Email Inbox Tracker

If Access has been granted

4.2.1 The member of ECTU requesting access must:

- A) Consult with the QA Manager to generate the list of SOPs/ WPDs/ Policies based on those tasks that will be undertaken once access has been provided. This list will then be communicated to both the person requesting access for completion and the recipient, via the QA mailbox. This will be recorded in the External Access to ECTU Folders and Email Inbox Tracker.
- B) Obtain the read receipt confirmation for all documents on the list generated in point A and communicate this to the QA mailbox. This will provide confirmation that the individual is suitably trained in those ECTU procedures appropriate to the task they will be performing. QA will retain evidence of read receipts. This will be recorded in the External Access to ECTU Folders and Email Inbox Tracker
- C) Obtain a signed and dated [ECTU Declaration of Confidentiality Form](#)

The above documents should be retained in TMF Section 6.

4.2.2 Once the above points have been completed the Trial Manager will contact UoE IS helpdesk and ask for access to be given. IS will require the following information to allow access to be given:

- Individuals UUN (If third party is not a member of UoE, Team Lead/Line Manager will need to first contact IS to set up individual with UoE visitor status)
- Details of the folder to be accessed (file path should be provided, note it may only be possible to provide access to folder at a higher level within the structure i.e. study folder, and not specific folders within that study folder.)

4.2.3 Once IS have provided access this should be communicated to those involved, copying in QA.

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4.2.4 The study delegation log, if appropriate, should be updated to reflect the responsibilities/tasks to be performed following access being provided.

Note: In the case of requests for email access, IS should contact the mailbox Administrator to validate the request before granting access.

4.3 Once Access has been provided

4.3.1 A record of those individuals external to ECTU who have access to ECTU files/email inboxes will be maintained by QA.

4.3.2 It is the responsibility of QA to ensure that any updates to SOPs/WPDs/Policies that were originally read or new documents that become relevant are communicated and a read receipt retained.

4.4 If Access has been denied

In the case where access has been denied, (for example where the risk of access is deemed too high, or the request not justified) alternative methods of sharing information will be considered by the Operations team, and conveyed to the Trial Manager/ Team Lead and the requester.

4.5 When access is no longer required

4.5.1 When access is no longer required to folders on shared ECTU drive and/or ECTU email inboxes the Trial Manager will contact IS and request that access is removed and inform QA once this has been completed.

4.5.2 QA will update the tracker with appropriate dates.

4.5.3 QA will review the tracker on an annual basis and ensure that all who have access still require it.

5.0 RELEVANT DOCUMENTS AND REFERENCES

- [ECTU Declaration of Confidentiality Form](#)
- [External Access to ECTU Folders and Email Inbox Tracker](#)

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