

Individual Rights Policy

Version No: 1

Document Summary:

The UK General Data Protection Regulation gives individuals a number of rights in relation to their personal data. This policy will document those rights and how Mersey and West Lancashire Teaching Hospital NHS Trust will identify and manage these requests.

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Document Control

[Author to complete all sections apart from Section 4 & 5]

Section 1 – Document Information

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	Directorate	Informatics
Brief Description of amendments		
This is a new policy		
Please state if a document has been superseded.		
Does the document follow the Trust agreed format?		Yes
Are all mandatory headings complete?		Yes
Does the document outline clearly the monitoring compliance and performance management?		Yes
Equality Analysis completed?		Yes
Data Protection Impact Analysis completed?		Yes

Section 2 – Consultation Information*

*Please remember to consult with all services provided by the Trust, including Community & Primary Care

Consultation Completed		<input checked="" type="checkbox"/> Trust wide	<input type="checkbox"/> Local	<input checked="" type="checkbox"/> Specific staff group
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Section 3 – Version Control

Version	Date Approved	Brief Summary of Changes
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	Click here to enter a date.	
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Section 4 – Approval – To be completed by Document Control

Document approved		<input checked="" type="checkbox"/> Approved	<input type="checkbox"/> Approved with minor amendments
Assurance provided by author & Chair		<input checked="" type="checkbox"/> Minutes of meeting	
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1. Scope

This policy is applicable to all staff who are directly employed by and for whom Mersey and West Lancashire Teaching Hospital NHS Trust (hereafter referred to as the Trust) has a legal responsibility for, who will need access to personal, confidential and / or corporate information at the Trust. Further, this policy applies to all third parties and others authorised to undertake work on behalf of the Trust. The collective term 'staff' is used throughout this policy to mean all these groups.

It is the responsibility of **All Trust staff** to respond to and assist with processing requests submitted under the Individual Rights contained within Data Protection legislation as soon as it is received by the Trust.

2. Introduction

The UK General Data Protection Regulation (UK GDPR) forms part of the data protection regime in the UK, together with the Data Protection Act 2018 (DPA 2018). The UK GDPR applies to Data Controllers and Data Processors who process personal data. The UK GDPR provides rights for individuals where an organisation is processing their personal data.

3. Statement of Intent

The purpose of this policy is to re-enforce the Trust's commitment to complying to the Individual Rights as outlined in the UK General Data Protection Regulation.

The UK GDPR provides the following rights for individuals over their personal data in articles 15 – 22, and additionally article 7 and article 77:

- The right to be informed (Articles 13 & 14)
- The right of access (Article 15)
- The right to rectification (Article 16)
- The right to erasure (Article 17)
- The right to restrict processing (Article 18)
- The right to data portability (Article 20)
- The right to object (Article 21)
- Rights in relation to automated decision making and profiling (Article 22)
- The right to withdraw consent (Article 7)
- The right to complain (Article 77)
- Article 12 of the UK GDPR provides that:

MWL shall take appropriate measures to provide any communication under articles 15 to 22 relating to the data subject in a concise, transparent, intelligible, and easily accessible form, using clear and plain language, in particular for any information addressed

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specifically to a child. The information shall be provided in writing or by other means, including where appropriate by electronic means.

MWL shall facilitate the exercise of individual rights under articles 15 to 22.

MWL shall provide information on action taken on a request under articles 15 to 22 to the individual without undue delay and in any event within one month of receipt of the request. **That period may be extended by a further two months where necessary, considering the complexity and number of the requests.** The controller shall inform the data subject of any such extension within one month of receipt of the request, together with the reasons for the delay. Where the data subject makes the request by electronic form means, the information shall be provided by electronic means where possible, unless otherwise requested by the data subject.

4. Definitions

Definition	Meaning
Personal Data	Also referred to as personal identifiable information. It is anything that contains the means to identify an individual and may consist of: <ul style="list-style-type: none">• a person's name, address, full post code, date of birth;• pictures, photographs, videos, audio tapes or other images of patients.• NHS number and local patient identifiable codes.• 'Online identifiers' include IP addresses and cookie identifiers which may be personal data;• anything else that may be used to identify a patient directly or indirectly. For example, rare diseases, drug treatments or statistical analyses which have very small numbers within a small population may allow individuals to be identified.
Sensitive Personal Data / Special Category Data	Certain categories of information are legally defined as particularly sensitive and should be most carefully protected by additional requirements stated within legislation. Under the Data Protection Act 2018, this type of data is now known as 'Special Category' data and relates to data about an individual's race; ethnic origin; politics; religion; genetics; biometrics (where used for ID purposes); health; sex life; or sexual orientation.
Confidential Information	Confidential information can be anything that relates to patients, staff (including non-contract, volunteers, bank and agency staff, locums, student placements), their family or friends, however stored. Information may be held in paper or electronic format, computer file or printouts, video, photograph or even heard by word of mouth. It includes information stored on portable devices such as laptops; mobile phones; removable media; recording devices and digital cameras etc. It can take many forms including medical notes, audits, employee records, occupational health records etc. It also includes any company e.g. Trust business confidential information.

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Anonymised Data	This is information which does not identify an individual directly, and information which cannot reasonably be used to determine identity. Anonymisation requires the removal of name, address, full post code and any other detail or combination of details that might support identification.
Pseudonymised Data	Similar to anonymised data in that in the possession of the information holder / recipient it cannot be used by the holder to easily identify an individual. However, it differs in that the original provider of the information may retain a means of identifying individuals. This will often be achieved by attaching codes or other unique references to information so that the data will only be identifiable to those who have access to the key or index. Pseudonymisation allows information about the same individual to be linked in a way that true anonymisation does not.
Processing	Processing means any operation or set of operations which are performed on personal data or on sets of personal data, whether or not by automated means, such as collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction.
Consent	Consent of the data subject means any freely given, specific, informed, and unambiguous indication of the data subject's wishes by which he or she, by a statement or by a clear affirmative action, signifies agreement to the processing of personal data relating to him or her.
Data Controller	This means the natural or legal person, public authority, agency, or other body which, alone or jointly with others, determines the purposes and means of the processing of personal data. In this case The Trust.
ICO	Information Commissioner's Office - The UK's independent authority set up to uphold information rights in the public interest, promoting openness by public bodies and data privacy.

5. Duties, Accountabilities and Responsibilities

5.1 Chief Executive

The Chief Executive has overall responsibility for the strategic and operational management of the Trust including and ensuring that Trust policies comply with all legal, statutory and good practice guidance requirements.

5.2 Senior Information Risk Owner (SIRO)

The Director of Informatics is the Trust's SIRO and provides advice to the Chief Executive in regard to any information risk and will assure the Board that IG and the individual rights, as outlined in this policy, are managed appropriately.

5.3 Caldicott Guardian

The Caldicott Guardian is responsible for ensuring that the Trust processes satisfy the highest practical standards for handling and managing patient information.

The role of the guardian is to safeguard and govern uses made of patient information within the Trust, as well as data flows to other NHS and non-NHS organisations. Caldicott Guardianship is a key component of broader Information Governance.

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The Guardian is responsible for the establishment of procedures governing access to, and the use of, person-identifiable patient information and, where appropriate, the transfer of that information to other bodies.

The Guardian utilises the UK Caldicott Guardian Council's 'A Manual for Caldicott Guardians' to assist them in embedding the Caldicott principles within the Trust. This document sets the role of the Caldicott Guardian within an organisational Caldicott / Confidentiality function which is itself a part of broader Information Governance.

5.4 Data Protection Officer

The UK General Data Protection Regulation (UK GDPR) requires that all public authorities nominate a Data Protection Officer (DPO). Section 7 of the Data Protection Act 2018 defines the Trust as a public authority and as such must nominate a DPO.

The DPO role is a senior role with reporting channels directly to the highest level of management and has the requisite professional qualities and expert knowledge of data protection compliance.

Article 39 of the UK GDPR defines the duties of the DPO as:

- Informing and advising employees about their obligations to comply with the UK GDPR, the Data Protection Act and other legislation and monitoring compliance with such legislation.
- Monitoring compliance with data protection policies and appropriate documentation that demonstrates commitments to and ownership of IG responsibilities, for example, production of an IG Framework document supported by relevant policies and procedures.
- Raising awareness of data protection issues with staff and at a senior level
- Raising awareness of data security training and monitoring compliance.
- Providing advice and guidance on Data Protection Impact Assessments (DPIAs) as per Article 38 of the UK GDPR.
- To be the first point of contact with the supervisory authorities, including the ICO, and individuals whose data is being processed.
- Developing and maintaining comprehensive and appropriate documentation
- Monitoring compliance and carrying out Audits
- Maintaining expert knowledge in data protection.

The DPO for the Trust is the Head of Risk Assurance

5.5 The Information Governance Team

The Information Governance (IG) Team is responsible for advising on the IG strategic direction, the development of policy and guidance for the Trust, and also operational

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support to the Trust on Information Governance compliance which includes supporting the completion of individuals rights as outlined in this policy.

5.6 Access Team

The Access team will record, manage, and process all Individual Rights requests that fall under the remit of this policy.

5.7 Information Asset Owner

IAOs under the responsibility of the SIRO will:

- Lead and foster a culture that values, protects and uses information for the success of the Trust and benefit of its patients and staff.
- Know what information comprises or is associated with the asset(s) and understand the nature and justification of information flows to and from the asset.
- Know who has access to the asset, whether system or information, and why, and ensure access is monitored and compliant with policy.
- Understand and address risks to the asset and provide assurance to the SIRO.
- Ensure there is a legal basis for processing and for any disclosures.
- Ensure all information assets are recorded on the Information Asset Register (IAR) and maintained.
- Refer queries about any of the above to the Data Protection Officer and Information Governance team, and
- Undertake specialist information asset training as required.

6. Process

One of the aims of the UK General Data Protection Regulation is to empower individuals and give them control over their personal data. The UK GDPR has a chapter on the rights of data subjects (individuals) which includes the right of access, the right to rectification, the right to erasure, the right to restrict processing, the right to data portability, the right to object and the right not to be subject to a decision based solely on automated processing.

6.1 The Right to be Informed

Articles 13 and 14 of the UK GDPR relates to an individual's right to be informed about their collection and processing of their personal data. This is a key transparency requirement under UK GDPR. Information provided to individuals must be clear and concise about how the Trust processes data (including personal data, pseudonymised data and also anonymised data).

Individuals must be informed why the Trust are processing their data (the purpose) the retention period and if their data will be shared with anyone outside of the Trust. This is referred to as 'privacy information'. The information provided to individuals must be clear

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and concise about how the Trust processes data (including personal data, pseudonymised data and also anonymised data). This information about the processing must be easily accessible (for example, via a website or published on a leaflet); be written in clear and plain language (particularly if addressed to a child) and provided free of charge. This is often referred to as a “Privacy Notice.”

What information must be provided to individuals?

The table summarises information that must be provided under the UK GDPR. What the Trust need to tell individuals differs slightly depending on whether the Trust has collected personal data from the individual it relates to or if it has been obtained it from another source.

Information the Trust needs to provide	Personal data collected from individuals	Personal data obtained from other sources
The name and contact details of the Trust	✓	✓
The name and contact details of a representative (if applicable)	✓	✓
The name and contact details of the Trust’s Data Protection Officer	✓	✓
The purposes of processing	✓	✓
The lawful basis for processing	✓	✓
The legitimate interest for processing (if applicable)	✓	✓

The categories of personal data obtained		✓
The recipients or categories of recipients of the personal data	✓	✓
Details of transfers of the personal data to any third countries or international organisations	✓	✓
The retention periods for the personal data	✓	✓
The rights available to individuals in respect of the processing	✓	✓
Where consent is used as the legal basis the right to withdraw consent	✓	✓
The right to lodge a complaint with a supervisory authority	✓	✓
The source of the personal data		✓
The details of whether individuals are under a statutory or contractual obligation to provide the personal data	✓	

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The details of the existence of automated decision-making, including profiling	✓	✓
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A Privacy Notice must be provided to individuals at the time personal data is collected from them.

If personal data is obtained from other sources, individuals must be provided with "Privacy Notice" information within a reasonable period of obtaining the data and no later than one month. If the personal data is used to communicate with an individual the privacy information should be provided at the latest on the first communication. Or, if disclosing the personal at the latest when the data is disclosed.

Regular reviews should be undertaken to check the privacy notice remains accurate and up to date. If personal data is used for any new purpose(s) or the way data is being processed is changed, the privacy notice must be updated as soon as possible. Any new use of personal data should be communicated and brought to the attention of the individuals involved before any processing has commenced.

There are some exceptions when privacy information does not have to be supplied as detailed below:

- If an individual already has the information

If the data has been obtained from another source individuals do not have to provide an individual with privacy information if:

- Providing the information to the individual would be impossible / the individual already has the information
- Providing the information to the individual would involve a disproportionate effort
- Providing the information to the individual would render impossible or seriously impair the achievement of the objectives of the processing
- There is a legal requirement to obtain or disclose the personal data
- The organisation is subject to an obligation of professional secrecy regulated by law that covers the personal data.

Privacy Notice information can be communicated by using a combination of different techniques including publishing on websites / intranets / notice boards, providing hard copy information via leaflets / posters and communications / briefings to the public and staff.

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6.2 The Right of Access – Article 15

The right of access (also referred to as ‘Subject Access Request’ gives individuals the right have confirmation the Trust is processing their data, request a copy of and / or to view their personal data held / processed by the Trust as well as other supplementary information. It helps individuals to understand how and why as a Trust we use their data and provides reassurance that we are processing it lawfully. In addition, it provides individuals with a chance to check their data is accurate.

An individual and / or their legal representative are the only people who can request access to their personal data processed by the Trust.

The table below provides outlines how the request from an individual can be made including information about fees, identity checks and requests made on behalf of another individual.

The Right of Access – Article 15 of the UK GDPR	
How can the request be made?	<p>The request can be made verbally or in writing to any part of the Trust and it does not have to state it is a ‘right of access’ or ‘subject access request’ or refer to Article 15 of the UK GDPR as long as the individual is requesting access to their own personal data. The request can be made to any part of the Trust, including via social media, and does not have to be to a specific person or lead.</p> <p>If the request is made verbally (via the telephone), the Trust will ensure it has a process for recording details of this request. The Trust will confirm the request in writing which allows the Trust to check the validity of the request, for example, their identification as this could be anyone calling to make a request.</p> <p>Obtaining a request in writing also assists to confirm with the requester that the Trust has understood their request fully. This can prevent disputes about how the request has been interpreted.</p>

What is the timescale for complying with a request? Can the timescale be extended?	<p>The Trust has one month to respond. This is calculated from the day the request is received.</p> <p>The timescale to respond can be extended by a further two months if the request is complex or if a number of requests have been received from the individual.</p> <p>The individual must be informed within one month of receipt of their request with an explanation as to why the extension is necessary.</p>
Can a fee be charged?	<p>No fee can be charged unless the request can be proved to be manifestly unfounded or excessive.</p> <p>If it is decided that it is manifestly unfounded or excessive or further copies are requested a reasonable admin fee can be charged.</p> <p>If challenged this fee must be justified.</p>
Can ID be requested?	<p>Yes, if the Trust is unsure of the identity of the individual. This should be requested (as soon as possible) to provide enough information to enable the Trust to confirm their identity.</p> <p>The period for responding to the request begins when the Trust receives the additional information.</p>
Can a third party make a request?	<p>Yes, a right of access can be made via a third party. This could be a solicitor acting on behalf of a client or an individual who feels more comfortable allowing someone else to act for them.</p> <p>If a third party is making the request the Trust needs to be satisfied that the third party making the request is entitled to act on behalf of the individual. A written authority or general power of attorney should be requested.</p> <p>It is the responsibility of the 3rd party to provide evidence of their entitlement to act on behalf of an individual.</p>
Requests where an individual lacks mental capacity	<p>There are no specific provisions in the UK GDPR but the Mental Capacity Act 2005 enables a third party to exercise subject access rights on behalf of such an individual.</p>
Requests for access to children's data	<p>Where a child is competent, they are entitled to make or consent to a right of access request to their record(s).</p> <p>Even if a child is too young to understand the implications of their right of access it is still the right of the child rather than of anyone else such as a parent or guardian. It is the child who has a right of access to the information held about them, even though in the case of young children</p>

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	<p>these rights are likely to be exercised by those with parental responsibility for them.</p> <p>Before responding to a right of access request for personal data in relation to a child the Trust will consider the maturity of the child. If it is decided the child is mature enough and can fully understand their rights the response will be directed at the child. However, if the child authorises the parent to act on their behalf or if it is in the best interests of the child for the parent to act this can be considered.</p> <p>When considering borderline cases the Trust will consider:</p> <ul style="list-style-type: none"> • The child's level of maturity and their ability to make decisions • The nature of the personal data • Any court orders relating to personal access or responsibility • Any duty of confidence owed to the child or young person • Any consequences of allowing those with parental responsibility access to the child / young person's information. This is particularly important if there have been any allegations of abuse or ill treatment • Any detriment to the child / young person if anyone with parental responsibility cannot access this information • Any views the child / young person may have about whether their parents / those with parental responsibility should have access to information about them. <p>For further information please refer to: https://ico.org.uk/for-organisations/guide-to-data-protection/key-data-protection-themes/children/</p>
Can a right of access request be refused?	<p>Yes.</p> <p>The Trust can refuse if the request is manifestly unfounded or excessive. Deciding if a request is excessive or unfounded is not easy, the context of the request should be considered.</p> <p>The request can also be refused if an exemption applies.</p>

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	The Trust are accountable for any decisions made and a record / log should be made of such decisions. The Trust must be able to demonstrate to the ICO, if asked, the reasons for the refusal.
Actions required if a request is refused.	<p>If it is decided to refuse or reject a right of access, the individual must be informed without undue delay and within one month of receipt of the request.</p> <p>The individual must be informed of the reason for refusal and their right to make a complaint to the ICO. They can also if required enforce this right through a judicial remedy.</p>

Recital 59 and 63 of the UK GDPR recommends that organisations 'provide means for requests to be made electronically, especially where personal data are processed by electronic means. A right of access form that allows individuals to make their request via an electronic form to the Trust (if they wish to do so) will be emailed to the individual.

It must be noted that although an individual may use an application form, it must be made clear that this is not compulsory, and it must not be used to extend the one-month time limit for responding.

When responding to a right of access request an individual must also be provided with additional information about data processing activities within the Trust. This information is outlined in the Trust's Privacy Notice.

If an individual makes a request electronically the information should be provided in a commonly used electronic format unless the individual requests otherwise. For example, if an individual does request that information is provided in hard copy and posted out to them, then the Trust must honour this request.

The UK GDPR also recommends that where possible, provision for remote access to a secure self-service system to provide an individual with direct access to his or her information (Recital 63).

All right of access requests should be referred to the Trust's Access to Health Records Team where it will be logged and dealt with appropriately.

6.3 Right to Rectification – Article 16

Article 16 of the UK GDPR allows individuals the right to have inaccurate personal data rectified. An individual may also be able to have incomplete personal data completed – although this depends on the purpose for the processing. The UK GDPR does not give a definition of the term accuracy however, the Data Protection Act 2018 (DPA 2018) states that personal data is inaccurate if it is incorrect or misleading as to any matter of fact.

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This right has close links to the accuracy principle of the UK GDPR (Article 5(1) (d)). Steps may have already been taken to ensure that the personal data was accurate when obtained but this right imposes a specific obligation to reconsider the accuracy of personal data upon request.

If a request for rectification is received, reasonable steps must be taken by the Trust to check the accuracy of the data and if deemed necessary the data should be rectified. All arguments and evidence provided by the data subject should be taken into account and documented for audit trail purposes. The accuracy of personal data is important and so every effort should be made to check the accuracy (e.g. if required to make a significant decision that will effect an individual). Inaccurate information also breaches one of the UK GDPR Principles, Article 5 (1) (e) – Accuracy.

Determining whether personal data is inaccurate can be complex if the data refers to a mistake that has subsequently been resolved. It may be possible to argue that the record of the mistake is, in itself, accurate and should be kept. In such circumstances the fact that a mistake was made should be noted in the individual's data.

It is also complex if the data in question records an opinion. Opinions are, by their very nature, subjective, and it can be difficult to conclude that the record of an opinion is inaccurate. As long as the record shows clearly that the information is an opinion and, where appropriate, whose opinion it is, it may be difficult to say that it is inaccurate and needs to be rectified.

While the case is being considered, individuals also have the right under Article 18 to request restriction of the processing of their personal data. This is while they contest its accuracy and while it's being checked. As a matter of good practice, processing of the data in question should be restricted whilst the data is verified whether or not the individual has exercised their right to restriction.

If satisfied that the personal data is accurate and does not require rectification, the individual must be informed of this by the Trust and that there will be no amendment to their data. The decision for refusal must be explained to the individual and if they are unhappy with this decision, they should be informed of their right to make a complaint to the ICO.

It is good practice for the Trust to place a note indicating that the individual challenges the accuracy of the data and the reasons for doing so.

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The Right to Rectification – Article 16 of the UK GDPR

How can the request be made?	<p>The request can be made verbally or in writing to any part of the Trust and it does not have to mention the phrase 'request for rectification' or refer to Article 16 of UK GDPR as long as the individual has challenged the accuracy of their data asked for it to be corrected, or has asked that the Trust take steps to complete data held about them that is incomplete.</p> <p>If a verbal request is made this can be challenging but there is a legal responsibility to identify that an individual has made a request.</p> <p>It is also good practice that the Trust checks the detail of the request to ensure that the individual's request is understood. This should be formally logged as this can help avoid later disputes about the request has been interpreted.</p>
What is the timescale for complying with a request? Can the timescale be extended?	<p>The Trust has one month to respond which should be calculated from the day the request is received.</p> <p>The timescale to respond by a further two months if the request is complex or a number of requests have been received from the individual.</p> <p>The individual must be informed within one month of receiving their request and explain why the extension is necessary.</p>
Can a fee be charged?	<p>No fee can be charged unless the request can be <i>proved</i> to be manifestly unfounded or excessive.</p> <p>If it is decided it is manifestly unfounded or excessive or further copies are requested a reasonable admin fee can be charged.</p> <p>If challenged the Trust must be able to justify this admin fee.</p>
Can ID be requested?	<p>Yes, it is important that the identity of the individual is confirmed and enough information to enable confirmation of their identity can be requested.</p> <p>This should not delay the timeframe for compliance.</p>
Can a request for rectification be refused?	<p>Yes.</p> <p>The Trust can refuse if the request is manifestly unfounded or excessive. Deciding if a request is excessive or</p>

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	<p>unfounded is not easy, the context of the request should be considered.</p> <p>The Trust are accountable for any decisions made and a record / log should be made of such decisions.</p> <p>The request can also be refused if an exemption applies.</p>
Actions required if a request is refused.	<p>If it is decided to refuse or reject the right of rectification request, the individual must be informed without undue delay and within one month of receipt of the request.</p> <p>The individual must be informed of the reason for refusal and their right to make a complaint to the ICO. They can also if required enforce this right through a judicial remedy.</p>
Do we have to tell other organisations if we rectify data?	<p>Yes, if the Trust have disclosed personal data to others they must be contacted and informed of the rectification or completion of personal data unless this proves impossible or involves disproportional effort. The individual must also be informed about the other recipients of their personal data.</p>

For more information about this and the right to rectification, please refer to the ICO website link below:

<https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/individual-rights/right-to-rectification/>

6.4 The Right to Erasure – Article 17

Article 17 of the UK GDPR states that individuals have the right to have personal data erased. This is also known as the ‘right to be forgotten’. The right is not absolute and only applies in certain circumstances which are as follows:

- The personal data is no longer necessary for the purpose which it was originally collected or processed for
- The lawful basis for holding the data was **consent** and the individual withdraws their consent
- Legitimate interests was the basis for processing, and the individual objects to the processing of their data and there is no overriding legitimate interest to continue this processing
- The personal data is being processed for direct marketing purposes and the individual objects to that processing
- The data is being processed unlawfully (i.e. in breach of the lawfulness requirement of the 1st principle)
- There is a duty to comply with a legal obligation to have the data erased
- The personal data is being processed to offer information society services to a child.

Important - the right to erasure does not apply for healthcare data processed by the Trust. Consent is not the legal basis used for processing personal data for direct care (including administration) in the NHS and therefore this right does not apply. If this right applied (if consent was obtained) it would become problematic to deliver effective safe care and treatment to patients if, for example, some of their previous medical history had been deleted. This would impose a high patient safety risk.

The Right to Erasure – Article 17 of the UK GDPR	
How can the request be made?	<p>The request can be made verbally or in writing to any part of the Trust and it does not have to include the phrase 'request for erasure' or Article 17 as long as one of the conditions listed in listed above applies.</p> <p>If a verbal request is made this can be challenging but there is a legal responsibility to identify that an individual has made a request.</p> <p>It is also good practice that the Trust checks the detail of the request to ensure that the request has been understood. This should be formally logged as this can help avoid later disputes about the request has been interpreted.</p>
What is the timescale for complying with a request? Can the timescale be extended?	<p>The Trust has one month to respond which should be calculated from the day the request is received. For more detail of how this is calculated please refer to the definitions section.</p> <p>The timescale to respond by a further two months if the request is complex or a number of requests have been received from the individual.</p> <p>The individual must be informed within one month of receiving their request and explain why the extension is necessary.</p>
Can a fee be charged?	<p>No fee can be charged unless the request can be proved to be manifestly unfounded or excessive.</p> <p>If it is decided it is manifestly unfounded or excessive or further copies are requested a reasonable admin fee can be charged.</p> <p>If challenged the Trust must be able to justify this admin fee.</p>
Can ID be requested?	<p>Yes, it is important that the identity of the individual is confirmed and enough information to enable confirmation of their identity can be requested.</p> <p>This should not delay the timeframe for compliance.</p>

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Requests for access to children's data	<p>There is an emphasis on the right to have personal data erased if the request relates to data collected from a child. This reflects the enhanced protection of children's information, especially in online environments, under the UK GDPR.</p> <p>Therefore, if the Trust processes data collected from children, the Trust will give particular weight to any request for erasure if the processing of the data is based upon consent given by a child – especially any processing of their personal data on the internet.</p> <p>This is still the case when the data subject is no longer a child, because a child may not have been fully aware of the risks involved in the processing at the time of consent.</p> <p>For further details about the right to erasure and children's personal data please refer to the ICO guidance regarding children's privacy at: https://ico.org.uk/for-organisations/guide-to-data-protection/key-data-protection-themes/children/</p>
Can we refuse a right of erasure request?	<p>Yes.</p> <p>The Trust can refuse if the request is manifestly unfounded or excessive. Deciding if a request is excessive or unfounded is not easy, the context of the request should be considered. The Trust are accountable for any decisions made and a record / log should be made of such decisions.</p> <p>The request can also be refused if an exemption applies. Please refer to the link below for more detail regarding manifestly unfounded or excessive requests, exemptions and the right to erasure.</p>
Actions required if a request for erasure is refused.	<p>If a request for erasure is refused the individual must be informed without undue delay and within one month of receipt of the request.</p> <p>The Trust must also inform the individual of the reason for refusal and their right to make a complaint to the ICO along with their ability to enforce this right through a judicial remedy.</p>
Do we have to tell other organisations about the erasure of personal data?	<p>Yes (unless it is impossible or involves disproportional effort) in the following circumstances.</p> <p>Where the personal data has been disclosed to others or where the personal data has been made public in an online environment (e.g. a social network, forum or website).</p> <p>If asked, the Trust must also inform the individual about these recipients</p>

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The right to erasure does not apply if processing is necessary for one of the following reasons:

- To exercise the right of freedom of expression and information
- To comply with a legal obligation
- For the performance of a task carried out in the public interest or in the exercise of official authority
- For archiving purposes in the public interest, scientific research historical research or statistical purposes where erasure is likely to render impossible or seriously impair the achievement of that processing; or
- For the establishment, exercise or defence of legal claims

The UK GDPR also specifies two circumstances where the right to erasure will not apply to special category data:

- If the processing is necessary for public health purposes in the public interest (e.g. protecting against serious cross-border threats to health, or ensuring high standards of quality and safety of health care and of medicinal products or medical devices)
- If the processing is necessary for the purposes of preventative or occupational medicine (e.g. where the processing is necessary for the working capacity of an employee; for medical diagnosis; for the provision of health or social care; or for the management of health or social care systems or services). This only applies where the data is being processed by or under the responsibility of a professional subject to a legal obligation of professional secrecy (e.g. a health professional).

For more detail re the Right to Erasure please refer to: <https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/individual-rights/right-to-erasure/>

6.5 The Right to Restrict Processing – Article 18

Article 18 of the UK GDPR gives individuals the right to restrict the processing of their personal data in certain circumstances. This means that an individual can limit the way that an organisation uses their data. This is an alternative to requesting the erasure of their data.

Individuals have the right to restrict the processing of their personal data where they have a particular reason for wanting the restriction. This may be because they have issues with the content of the information the Trust holds or how the data has been processed. In most cases, it will not be required to restrict an individual's personal data indefinitely, but there will need to have the restriction in place for a certain period of time.

Individuals have the right to request restriction of the processing of their personal data in the following circumstances:

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- The individual contests the accuracy of their personal data and the Trust are verifying the accuracy of the data
- The data has been unlawfully processed (i.e. in breach of the lawfulness requirement of the first principle of the UK GDPR) and the individual opposes erasure and requests restriction instead
- The Trust no longer need the personal data but the individual needs the Trust to keep it in order to establish, exercise or defend a legal claim or
- The individual has objected to the Trust processing their data under Article 21(1) (the right to object), and the Trust are considering whether the legitimate grounds override those of the individual.

Although this is distinct from the right to rectification and the right to object, there are close links with those rights as per below:

- If an individual has challenged the accuracy of their data and asked for the Trust to rectify it (Article 16), they also have a right to request the Trust restrict processing while the request is being considered or
- If an individual exercises their right to object under Article 21(1), they also have a right to request the Trust restrict processing while the objection is considered.

The Right to Restrict Processing – Article 18 of the UK GDPR	
How can the request be made?	The request can be made verbally or in writing to any part of the organisation and it does not have to include the phrase 'request for restriction' or refer to Article 18 of the GDPR.
What is the timescale for complying with a request?	<p>The Trust must act upon the request without undue delay and at the latest within one month of receipt of the request.</p> <p>This can be extended by a further two months if the request is complex or the Trust have received a number of requests from the individual. The Trust must let the individual know within one month of receiving their request and explain why the extension is necessary.</p>
Can a fee be charged?	<p>In most cases a fee cannot be charged unless the request can be proved to be manifestly unfounded or excessive.</p> <p>If it is decided it is manifestly unfounded or excessive or further copies are requested a reasonable admin fee can be charged.</p> <p>If challenged the Trust must be able to justify this admin fee.</p>

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	If a fee is requested the Trust do not need to comply with the request until the fee is received.
Can ID be requested?	If the Trust has doubts about the identity of the person making the request the Trust can ask for more information from the individual but this must be done without undue delay and within one month. The Trust do not need to comply with the request until the additional information has been received.
Can a request for restriction be refused?	Yes. The Trust can refuse if the request is manifestly unfounded or excessive. Deciding if a request is excessive or unfounded is not easy, the context of the request should be considered. The Trust are accountable for any decisions made and a record / log should be made of such decisions. The request can also be refused if an exemption applies. Please refer to the link below for more detail regarding manifestly unfounded or excessive requests, exemptions and the right to restriction
Actions required if a request for restriction is refused.	If a request for restriction is refused the individual must be informed without undue delay and within one month of receipt of the request. The Trust must also inform the individual of the reason for refusal and their right to make a compliant to the ICO along with their ability to enforce this right through a judicial remedy.
Do we have to tell other organisations about the restriction of personal data?	Yes, if the personal data has been disclosed to others each recipient must be contacted (unless it is impossible or involves disproportional effort) and informed of the restriction. If asked, the Trust must also inform the individual about these recipients

As good practice, processing of the data should be automatically restricted whilst the accuracy or the legitimate grounds for processing the personal data in question is considered.

Processes that enable restriction of personal data should be in place to do this if required.

The definition of processing includes a broad range of operations including collection, structuring, dissemination and erasure of data.

The GDPR suggests a number of different methods that could be used to restrict data, such as:

- Temporarily moving the data to another processing system;
- Making the data unavailable to users; or
- Temporarily removing published data from a website.

It is particularly important that consideration is taken as to how personal data that the Trust no longer need to process is stored and where the individual has requested the Trust restricts processing (effectively requesting that the Trust do not erase the data).

If using an automated filing system, technical measures must be used to ensure that any further processing cannot take place and that the data cannot be changed whilst the restriction is in place. A note should be placed on the system that the processing of this data has been restricted.

Once the data is restricted, processing must cease except to store it and unless:

- The individual has consented;
- It is required for the establishment, exercise or defence of legal claims;
- It is required for the protection of the rights of another person (natural or legal); or
- It is required for reasons of important public interest.

In many cases the restriction of processing is only temporary, specifically when the restriction is on the grounds that:

- The individual has disputed the accuracy of the personal data and the Trust are investigating this; or
- The individual has objected to the Trust processing their data on the basis that it is necessary for the performance of a task carried out in the public interest or the purposes of legitimate interests, and the Trust are considering whether the legitimate grounds override those of the individual.

Once a decision has been made on the accuracy of the data, or whether legitimate grounds override those of the individual, a decision can be made to lift the restriction. If this is the case the individual must be informed before the restriction is lifted.

As noted above, these two conditions are linked to the right to rectification (Article 16) and the right to object (Article 21). This means that if the Trust inform an individual that the restriction is being lifted (on the grounds that the Trust are satisfied that the data is accurate, or that the legitimate grounds override theirs), then the individual should be informed of the reasons for the refusal to act upon their rights under Articles 16 or 21. They should also be informed of their right to make a complaint to the ICO or another supervisory authority; and their ability to seek a judicial remedy.

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For more detail re the Right to Restrict Processing please refer to the ICO guidance at: <https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/individual-rights/right-to-restrict-processing/>

6.6 The Right to Data Portability – Article 20

The right to data portability allows individuals to obtain and reuse personal data they have provided to a data controller (the Trust) in a structured, commonly used and machine readable format. It allows individuals to move, copy or transfer data easily from one IT environment to another (for e.g. to take advantage of services that use data to find a better deal). It also makes it easier for individuals to move to a new data controller e.g. to move to a new electricity supplier.

The right to data portability applies when:

- The lawful basis for processing the information is consent **or** for the performance of a contract; and
- Processing is being carried out by automated means (i.e. excluding paper files).

Information is only within the scope of data portability if it is the personal data supplied by an individual to the Trust.

Examples of where this right may be exercised include the history of website usage or search activities, traffic and location data; or 'raw' data processed by connected objects such as smart meters and wearable devices.

It does not include any additional data created based on the data an individual has provided. For example, if data is provided by an individual to create a user profile then this data would not be in scope of data portability. Please note this data would need to be provided it to an individual if they make a right of access request. In addition, it would be good practice to include this data in a response for data portability.

The right to data portability only applies to personal data and not anonymous data. However, pseudonymised data that can be clearly linked back to an individual (e.g. where that individual provides the respective identifier) is within scope of the right.

If the requested information includes information about others (e.g. third party data) consideration would need to be taken whether transmitting that data would adversely affect the rights and freedoms of those third parties.

If the requested data has been provided by multiple data subjects (e.g. a joint bank account) all parties need to agree to the portability request. This means that agreement will have to be sought from all the parties involved.

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Individuals have the right to receive their personal data and store it for further personal use. This allows the individual to manage and reuse their personal data. For example, an individual wants to retrieve their contact list from a webmail application to build a wedding list or to store their data in a personal data store. This can be achieved by either:

- Directly transmitting the requested data to the individual; or
- Providing access to an automated tool that allows the individual to extract the requested data themselves.

This does not create an obligation to allow individuals more general and routine access to systems – only for the extraction of their data following a portability request. There may be a preferred method of providing the information requested depending on the amount and complexity of the data requested. In either case, both methods must be secure.

Individuals have the right to ask the Trust to transmit their personal data directly to another controller without hindrance. If it is technically feasible this should be done.

The technical feasibility of a transmission should be considered on a request-by-request basis. The right to data portability does not create an obligation to adopt or maintain processing systems which are technically compatible with those of other organisations (GDPR Recital 68). However, a reasonable approach should be taken, and this should not generally create a barrier to transmission.

If the Trust provide information directly to an individual or to another organisation in response to a data portability request, the Trust are not responsible for any subsequent processing carried out by the individual or the other organisation. However, the Trust are responsible for the transmission of the data and need to take appropriate measures to ensure that it is transmitted securely and to the right destination.

If data is provided to an individual, it is possible that they will store the information in a system with less security than the Trust's own. Individuals should be made aware of this so that they can take steps to protect the information they have received.

Other provisions in the UK GDPR must be complied with. For example, whilst there is no specific obligation under the right to data portability to check and verify the quality of the data transmitted, reasonable steps should already be in place to ensure the accuracy of this data in order to comply with the requirements of the accuracy principle of the UK GDPR.

When personal data is received that has been transmitted as part of a data portability request, this must be processed in line with data protection requirements.

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In deciding whether to accept and retain personal data, consideration should be taken as to whether the data is relevant and not excessive in relation to the purposes for which it will be processed. There also needs to be consideration as to whether the data contains any third-party information.

New controllers need to ensure that there is an appropriate lawful basis for processing any third-party data and that this processing does not adversely affect the rights and freedoms of those third parties. If personal data is received which there is no reason to keep, it should be deleted as soon as possible. When data is accepted and retained, it becomes the controller's responsibility to ensure compliance with the requirements of the UK GDPR.

The Right to Data Portability - Article 20 of the UK GDPR	
How can the request be made?	The request can be made verbally or in writing to any part of the Trust and it does not have to include the phrase 'request for data portability or refer to Article 20 of the UK GDPR.
What is the timescale for complying with a request? Can the timescale be extended?	<p>The Trust has one month to respond. This is calculated from the day the request is received. For more detail of how this is calculated please refer to the definitions section.</p> <p>The timescale to respond by a further two months if the request is complex or a number of requests have been received from the individual.</p> <p>The individual must be informed within one month of receiving their request and explain why the extension is necessary.</p>
Can a fee be charged?	<p>No fee can be charged unless the request can be proved to be manifestly unfounded or excessive.</p> <p>If it is decided, it is manifestly unfounded or excessive or further copies are requested a reasonable admin fee can be charged.</p> <p>If challenged the Trust must be able to justify this admin fee and the individual should be informed promptly of this.</p>
Can ID be requested?	If the Trust has doubts about the identity of the person making the request the Trust can ask for more information.
Actions to be taken if the request is refused	The Trust can refuse to comply with a request for data portability if it is manifestly unfounded or excessive. Deciding if a request is excessive or unfounded is not easy, the context of the request should be considered. The Trust are accountable for any decisions made and a record / log should be made of such decisions.

	The request can also be refused if an exemption applies.
Actions required if a request for data portability is refused.	<p>If a request for restriction is refused the individual must be informed without undue delay and within one month of receipt of the request.</p> <p>The Trust must also inform the individual of the reason for refusal and their right to make a compliant to the ICO along with their ability to enforce this right through a judicial remedy.</p>

For more information relating to data portability please refer to articles 13, 20 and recital 68.

6.7 The Right to Object – Article 21

In certain circumstances Article 21 of the UK GDPR gives individuals the right to object to the processing of their personal data. This effectively allows individuals to ask the Trust to stop processing their personal data. The objection may be in relation to all of the personal data the Trust hold about an individual or it may relate to the purpose the Trust process the data for.

Individuals can object if the lawful basis for processing is:

- a task carried out in the public interest
- the exercise of official authority
- legitimate interests (or those of a third party).

In these circumstances, the right to object is not absolute. An individual must give specific reasons why they are objecting to the processing of their data. The Trust can refuse to comply if we can demonstrate compelling legitimate grounds for the processing, which override the interests, rights and freedoms of the individual or the processing is for the establishment, exercise or defence of legal claims.

When deciding if the Trust have compelling legitimate grounds which override the interests of the individual the reasons why they have objected to the processing of their data need to be considered. In particular, if an individual objects on the grounds that the processing is causing them substantial damage or distress (e.g. the processing is causing them financial loss), the grounds for their objection will have more weight. In making a decision on this we need to balance the individual's interests, rights and freedoms with the Trust's legitimate grounds for processing. During this process it is the responsibility of the Trust to demonstrate that the Trust legitimate grounds override those of the individual.

If processing data for scientific or historical research, or statistical purposes, the right to object is more limited.

Individuals have the absolute right to object to the processing of their personal data if it is for direct marketing purposes, there are no exemptions or grounds for refusal.

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However, this does not automatically mean that the individual's personal data should be erased, and in most cases, it will be preferable to suppress their details. Suppression involves retaining just enough information about them to ensure that their preference not to receive direct marketing is respected in future.

Please note the Trust does not undertake direct marketing.

If the Trust are satisfied that processing the personal data in question does not need to stop, the individual should be informed of this decision and informed of their right to make a complaint to the ICO or another supervisory authority and their ability to seek to enforce their rights through a judicial remedy.

If processing data for scientific or historical research, or statistical purposes, the right to object is more limited. Where processing personal data for these purposes, the right to object (including the right of access, rectification, and restriction on processing) is more restricted and the Data Protection Act 2018 allows the UK to provide derogations from these rights if it is likely to render impossible or seriously impair the achievement of the specific purposes.

The Data Protection Act 2018 (Part 6 of Schedule 2) sets out exemptions for this processing. Section 19 of the DPA 2018 provides safeguards to ensure that personal data is not processed by researchers to support measures or decisions with respect to particular individuals and is not processed in such a way as will or is likely to cause substantial damage or distress to anyone.

If an objection is received, it might be possible for processing to continue if it can be demonstrated that there is a compelling legitimate reason, or the processing is necessary for legal claims.

The Right to Object – Article 21 of the UK GDPR	
How can the request be made?	<p>The request can be made verbally or in writing to any part of the Trust and it does not have to include the phrase 'objection to processing' or refer to Article 21 of the UK GDPR.</p> <p>It can also be made to any part of the Trust and does not have to be to a specific person or contact point.</p>
What is the timescale for complying with a request?	<p>The Trust must act upon the request without undue delay and at the latest within one month of receipt of the request.</p> <p>This can be extended by a further two months if the request</p>

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	is complex or the Trust have received a number of requests from the individual. The Trust must let the individual know within one month of receiving their request and explain why the extension is necessary.
Can a fee be charged?	No, a fee cannot be charged unless the request can be proved to be manifestly unfounded or excessive. If it is decided it is manifestly unfounded or excessive or further copies are requested a reasonable admin fee can be charged.
Can ID be requested?	If the Trust has doubts about the identity of the person making the request the Trust can ask for more information from the individual but this must be done without undue delay and within one month. The period for responding to the objection begins when the information is received.
Can a request be refused?	Yes, in certain circumstances depending on the lawful basis for processing. Please refer to the information as above. The Trust can also refuse if the request is manifestly unfounded or excessive. Deciding if a request is excessive or unfounded is not easy, the context of the request should be considered. The Trust are accountable for any decisions made and a record / log should be made of such decisions. The request can also be refused if an exemption applies. Please refer to the link below for more detail regarding manifestly unfounded or excessive requests, exemptions and the right to object.
Actions required if a request is refused.	If a request for restriction is refused the individual must be informed without undue delay and within one month of receipt of the request. The Trust must also inform the individual of the reason for refusal and their right to make a compliant to the ICO along with their ability to enforce this right through a judicial remedy.

The UK GDPR states that individuals must be informed of their right to object at the time of the first communication with them (via Privacy Notice information) where:

- Personal data is processed for direct marketing purposes,

or the lawful basis for processing is:

- Public task (for the performance of a task carried out in the public interest),

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- Public task (for the exercise of official authority), or
- Legitimate interests.

If one of the conditions above applies, the right to object should be brought, explicitly, to the individual's attention. This information should be presented clearly and separately from any other information.

If processing personal data for research or statistical purposes information about the right to object (along with information about the other rights of the individual) should be included in the Privacy Notice.

Where an objection to the processing of personal data is received and there are grounds for refusal the processing must stop. This could mean that personal data may need to be erased but this may not be appropriate data if there is a need to retain the data for those purposes. For example, when an individual objects to the processing of their data for direct marketing, their details can be placed onto a suppression list to ensure that the organisation continues to comply with their objection. However, the data must be clearly marked so that it is not processed for purposes the individual has objected to.

For more detail please refer to: <https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/individual-rights/right-to-object/>

6.8 The Right to Prevent Automated Individual Decision Making – Article 22

Automated individual decision-making and profiling is a decision made by automated means without any human involvement. Examples of this include an online decision to award a loan; and a recruitment aptitude test which uses pre-programmed algorithms and criteria.

Automated individual decision-making does not have to involve profiling, although it often will do. The UK GDPR says that profiling is:

“Any form of automated processing of personal data consisting of the use of personal data to evaluate certain personal aspects relating to a natural person, in particular to analyse or predict aspects concerning that natural person’s performance at work, economic situation, health, personal preferences, interests, reliability, behaviour, location or movements.”

Organisations use profiling to find something out about individuals' preferences, predict their behaviour and make decisions. Automated individual decision-making and profiling can lead to quicker and more consistent decisions, but if they are used irresponsibly there are significant risks for individuals.

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GDPR restricts organisations from making solely automated decisions, including those based on profiling, that have a legal or similarly significant effect on individuals.

“The data subject shall have the right not to be subject to a decision based solely on automated processing, including profiling, which produces legal effects concerning him or her or similarly significantly affects him or her.”

Automated decision-making can be carried out when this is:

- Necessary for entering into or performance of a contract between an organisation and the individual;
- Authorised by law (for example, for the purposes of fraud or tax evasion); or
- Based on the individual's explicit consent.

If processing special category data, the Trust can only carry out processing described in Article 22(1) if:

- There is individual's explicit consent; **or**
- The processing is necessary for reasons of substantial public interest

Decisions based solely on automated processing about children should not be made if this will have a legal or similarly significant effect on them. Please refer to the ICO Guide on Children:

<https://ico.org.uk/for-organisations/guide-to-the-general-data-protection-regulation-gdpr/applications/children/>

Automated decision-making including profiling is considered to be high-risk processing; therefore, UK GDPR requires that a Data Protection Impact Assessment (DPIA) is completed. This will identify potential risks in order to have a plan in place to mitigate them.

As well as restricting the circumstances in which the Trust can carry out solely automated individual decision-making (as described in Article 22(1)), GDPR also:

- Requires individuals are provided with specific information about the processing;
- Are obliged to take steps to prevent errors, bias and discrimination; and
- Gives individuals rights to challenge and request a review of the decision.

These provisions are designed to increase individuals' understanding of how we might be using their personal data. We must ensure that we:

- Provide meaningful information about the logic involved in the decision-

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making process, as well as the significance and the envisaged consequences for the individual;

- Use appropriate mathematical or statistical procedures;
- Ensure that individuals can obtain human intervention / express their point of view; and obtain an explanation of the decision and challenge it;
- Put appropriate technical and organisational measures in place, so that the Trust can correct inaccuracies and minimise the risk of errors;
- Secure personal data in a way that is proportionate to the risk to the interests and rights of the individual, and that prevents discriminatory effects.

6.9 The right to withdraw consent (where used as the legal basis for processing) – Article 7

Where consent is used as the legal basis for processing the UK GDPR sets a high standard. It must be freely given, unambiguous and involve a clear affirmative action (an opt-in) and records kept demonstrating consent. Pre-ticked opt-in boxes cannot be used and consent should be separate from other terms and conditions.

Inappropriate or invalid consent could destroy trust, harm the reputation of the Trust and thus the Trust may be subject to penalties / fines from the Information Commissioner's Office (ICO).

UK GDPR gives data subjects a specific right to withdraw consent where this is used as a legal basis for processing. This right must be clearly communicated (for example, via Privacy Notices / consent forms etc.) and there must be easy and user-friendly methods available and amenable to withdraw consent at any time.

6.10 The Right to Lodge a Complaint with the ICO – Article 77

Article 77 of the UK GDPR gives data subject the right to lodge a complaint with a supervisory authority (the Information Commissioner's Office (ICO)) where an individual considers that the processing of personal data relating to him or her infringes this regulation. The ICO with which the complaint has been lodged will inform the complainant on the progress and the outcome of the complaint including the possibility of a judicial remedy pursuant to Article 78. For more detail please refer to Recital 141 and 143.

Individuals are informed about the right to lodge a complaint via the Trust's Privacy Notice for patients and for staff.

Complaints relating to the way the Trust have processed personal data should be directed in the first instance to the Trust's Data Protection Officer (DPO).

If an individual is unhappy with the response given, they have the right to lodge their complaint to the Information Commissioner's Office (ICO).

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7. Training

[Provide a brief outline of any training requirements. If training is mandatory you must refer to the Trust Induction, Mandatory and Risk Management Training Policy – Training Needs Analysis. If the policy contains mandatory training ensure that this is appropriately monitored in section 8 of the procedural document.]

What aspect/s of this policy will require staff training?	Which staff groups require this training?	Is this training covered in the Trust's Statutory & Mandatory Training Policy?	If no, how will the training be delivered?	Who will deliver the training?	How often will staff require training	Who will ensure and monitor that staff have this training
All	Access Health Records	No	Role specific training is provided	Information Governance and Senior Members of Access team	Start of role and refresher training when legislation is updated	Information Governance

8. Monitoring Compliance

8.1 Key Performance Indicators (KPIs) of the Policy

No	Key Performance Indicators (KPIs) Expected Outcomes
1.	Requests completed within the regulatory 30 day compliance period

8.2 Performance Management of the Policy

Minimum Requirement to be Monitored	Lead(s)	Tool	Frequency	Reporting Arrangements	Lead(s) for acting on Recommendations
Compliance Periods	Access to Health Records Service Manager	Right of Access Logs	Monthly	IGSG	IG Leads, DPO, SIRO

9. References/Bibliography/Relevant Legislation/National Guidelines

No	Reference
1.	UK General Data Protection Regulation
2.	Data Protection Act 2018
3.	Information Commissioner's website
4.	

10. Related Trust Documents

[List any procedural documents which are referenced within the text.]

No	Related Document
1.	Information Governance Policy
2.	Information Governance Strategy
3.	Information Governance Training Needs Analysis

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11. Equality Analysis Form

The EIA screening must be carried out on all policies, procedures, organisational changes, service changes, cost improvement programmes and transformation projects at the earliest stage in the planning process. Where the screening identifies that a full EIA needs to be completed, please use the full EIA template.

The completed EIA screening form must be attached to all procedural documents prior to their submission to the appropriate approving body. A separate copy of the assessment must be forwarded to the Head of Patient Inclusion and Experience for monitoring purposes via the following email, cheryl.farmer@sthk.nhs.uk. If the assessment is related to workforce a copy should be sent to the workforce Head of Equality, Diversity and Inclusion for workforce equality&diversity@sthk.nhs.uk.

If this screening assessment indicates that discrimination could potentially be introduced then seek advice from either the Head of Patient Inclusion and Experience or Head of Equality, Diversity (Workforce) and Inclusion.

A full equality impact assessment must be considered on any cost improvement schemes, organisational changes or service changes that could have an impact on patients or staff.

Title of function	Individual Rights Policy
Brief description of function to be assessed	Policy
Date of assessment	06/09/2024
Lead Executive Director	Malcolm Gandy
Name of assessor	Stephen Brooks
Job title of assessor	Deputy Data Protection Officer

Equality, Diversity & Inclusion

Does the policy/proposal:

- 1) Have the potential to or will in practice, discriminate against equality groups
- 2) Promote equality of opportunity, or foster good relations between equality groups?
- 3) Where there is potential unlawful discrimination, is this justifiable?

	Negative Impact	Positive Impact	Justification/ evidence and data source
Age	No	No	Policy underpins a data subjects rights in relation to their personal information the Trust holds.
Disability	No	No	
Gender reassignment	No	No	
Pregnancy or maternity	No	No	
Race	No	No	
Religion or belief	No	No	
Sex	No	No	
Sexual orientation	No	No	

Human Rights

Is the policy/proposal infringing on the Human Rights of individuals or groups?

	Negative Impact	Positive Impact	Justification/ evidence and data source
Right to life	No	Neutral	Policy underpins a data subjects rights in relation to their personal information the Trust holds.
Right to be free from inhumane or degrading treatment	No	Neutral	
Right to Liberty/security	No	Neutral	
Right to privacy/family life, home and correspondence	No	Neutral	
Right to freedom of Thought/conscience	No	Neutral	
Right to Freedom of expression	No	Neutral	
Right to a fair trial	No	Neutral	

Health Inequalities

Is the policy/proposal addressing health inequalities and are there potential or actual negative impact on health inequality groups, or positive impacts? Where there is potential unlawful impacts is this justifiable.

	Negative Impact	Positive Impact	Justification/ evidence and data source
Deprived Populations	No	No	
Inclusion health groups	No	No	
5 child clinical areas	No	No	
5 adult clinical areas	No	No	

Outcome

After completing all of the above sections, please review the responses and consider the outcome.

Is a full EIA required?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Please include rationale:
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Sign off

Name of approving manager	
Job title of approving manager	
Date approved	

12. Data Protection Impact Assessment Screening Tool

If you answer **YES** or **UNSURE** to any of the questions below a full Data Protection Impact Assessment will need to be completed in line with Trust policy.

	Yes	No	Unsure	Comments - Document initial comments on the issue and the privacy impacts or clarification why it is not an issue
Is the information about individuals likely to raise privacy concerns or expectations e.g. health records, criminal records or other information people would consider particularly private?		X		
Will the procedural document lead to the collection of new information about individuals?		X		
Are you using information about individuals for a purpose it is not currently used for, or in a way it is not currently used?		X		
Will the implementation of the procedural document require you to contact individuals in ways which they may find intrusive?		X		
Will the information about individuals be disclosed to organisations or people who have not previously had routine access to the information?		X		
Does the procedural document involve you using new technology which might be perceived as being intrusive? e.g. biometrics or facial recognition		X		
Will the procedural document result in you making decisions or taking action against individuals in ways which can have a significant impact on them?		X		
Will the implementation of the procedural document compel individuals to provide information about themselves?		X		

Sign off if no requirement to continue with Data Protection Impact Assessment:

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Confirmation that the responses to the above questions are all NO and therefore there is no requirement to continue with the Data Protection Impact Assessment

Policy author _____ **Date** 01/05/2024 _____

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13. Appendix 1 – Brief Guide to the Rights of an Individual under UK GDPR **The right to be informed – Articles 13 & 14**

Individuals have the right to be informed about the collection and use of their personal data. This underpins the principles of UK GDPR.

- Individuals must be provided with privacy information regarding the processing of personal data – this is known as a “Privacy Notice”
- Privacy notice information must be provided to individuals at the time their personal data is collected from them.
- If personal data is obtained from other sources individuals must be provided with privacy information within a reasonable period of obtaining the data and no later than one month.
- Privacy notice information does not have to be provided if an individual already has the information or if it would involve a disproportionate effort to provide it to them.
- The information provided to people must be concise, transparent, intelligible, easily accessible, and it must use clear and plain language.
- It is often most effective to provide privacy information to people using a combination of different techniques including websites, layering, dashboards, and communications. User feedback is a good way to get feedback on how effective the delivery of the Trust’s privacy information.
- The Privacy Notice must be regularly reviewed and where necessary updated. Any new uses of an individual’s personal data must be brought to the individual’s attention.
- User testing should be undertaken to evaluate how effective privacy information is.
- Getting the right to be informed correct can help to ensure compliance with other aspects of the UK GDPR and build trust with people, but getting it wrong can leave the organisation open to fines and lead to reputational damage.

What should be provided in a Privacy Notice?

This differs slightly depending on whether personal data is collected from an individual or obtained from another source.

The right to access – subject access – Article 15

Individuals have the right to access their own personal data formerly referred to as “subject access”.

- The request for a right to access can be made by an individual verbally or in writing. If made verbally, it is highly recommended the Trust requests written confirmation

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of this

- The timeframe for compliance is one month
- No, a fee cannot be charged unless the request can be proved to be manifestly unfounded or excessive or further copies are requested. If this is the case a reasonable admin fee can be charged however this fee must be justified.

An individual is entitled to:

- Confirmation that the Trust are processing their personal data;
- A copy of their personal data requested; and
- Other supplementary information regarding data processing – this corresponds to the information that is detailed in the Trust Privacy Notice

The right to rectification – Article 16

- The UK GDPR includes a right for individuals to have inaccurate personal data rectified, or completed if it is incomplete.
- The request for rectification can be made by an individual verbally or in writing.
- The timeframe for compliance is one month
- No, a fee cannot be charged unless the request can be proved to be manifestly unfounded or excessive or further copies are requested. If this is the case a reasonable admin fee can be charged however this fee must be justified.
- In certain circumstances the Trust can refuse a request for rectification.
- This right is closely linked to the controller's obligations under the accuracy principle of the UK GDPR (Article (5) (1) (d)).

The right to erasure – Article 17

The UK GDPR introduces a right for individuals to have personal data erased. The right to erasure is also known as 'the right to be forgotten'.

- The request for erasure can be made by an individual verbally or in writing.
- The timeframe for compliance is one calendar
- The right is not absolute and only applies if data is no longer required, processing is based on consent and this is withdrawn, data has been unlawfully processed, an individual objects and there is a need to have the data erased, the data has been deleted to comply with a legal obligation and where the data has been collected in relation to the offer of information society services

The right to request restriction – Article 18

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Individuals have the right to request the restriction or suppression of their personal data.

- This is not an absolute right and only applies in certain circumstances.
- When processing is restricted, the personal data can be stored but it must not be used.
- The request for restriction can be made by an individual verbally or in writing.
- The timeframe for compliance is one month
- This right has close links to the right to rectification (Article 16) and the right to object (Article 21).
- If there is a decision to lift a restriction on processing the individual must be told.
- If data is shared with any recipients and it is restricted those recipients must be told.

The right to data portability – Article 20

The right to data portability allows individuals to obtain and reuse their personal data for their own purposes across different services.

- It allows individuals to move copy or transfer personal data easily from one IT environment to another in a safe and secure way, without affecting its usability.
- Doing this enables individuals to take advantage of applications and services that can use this data to find them a better deal or help them understand their spending habits.
- The right only applies to where processing is based on consent and processing is carried out by automated means.
- The request for data portability can be made by an individual verbally or in writing.
- The timeframe for compliance is one month.

The right to object – Article 21

The UK GDPR gives individuals the right to object to the processing of their personal data in certain circumstances.

- Individuals have an absolute right to stop their data being used for direct marketing.
- In other cases where the right to object applies it may be possible to continue processing if it can be shown that there is a compelling reason for doing so.
- Individuals must be told about their right to object (included in Privacy Notices).
- An individual can make an objection verbally or in writing.
- The timeframe for compliance is one month.

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Rights related to automated decision making including profiling – Article 22

The GDPR has provisions on:

- Automated individual decision-making and profiling
- Automated individual decision-making is making a decision solely by automated means without any human involvement
- Profiling is automated processing of personal data to evaluate certain things about an individual. Profiling can be part of an automated decision-making process
- Article 22 of the UK GDPR has additional rules to protect individuals if the Trust are carrying out solely automated decision-making that has legal or similarly significant effects on them.
- The Trust can only carry out this type of decision-making where the decision is necessary for the entry into or performance of a contract; or authorised by Union or Member state law applicable to the controller or it is based on the individual's explicit consent.
- If any processing falls under Article 22 it must be identified and individuals **MUST** be informed and given information about the processing.