

Information Governance Team

STANDARD OPERATING PROCEDURE 2023

Subject Access Requests

Procedure Guidance

This SOP is designed to outline the required process for completing a Subject Access Request from receipt to completion.

Upon Receipt – Emails Requests

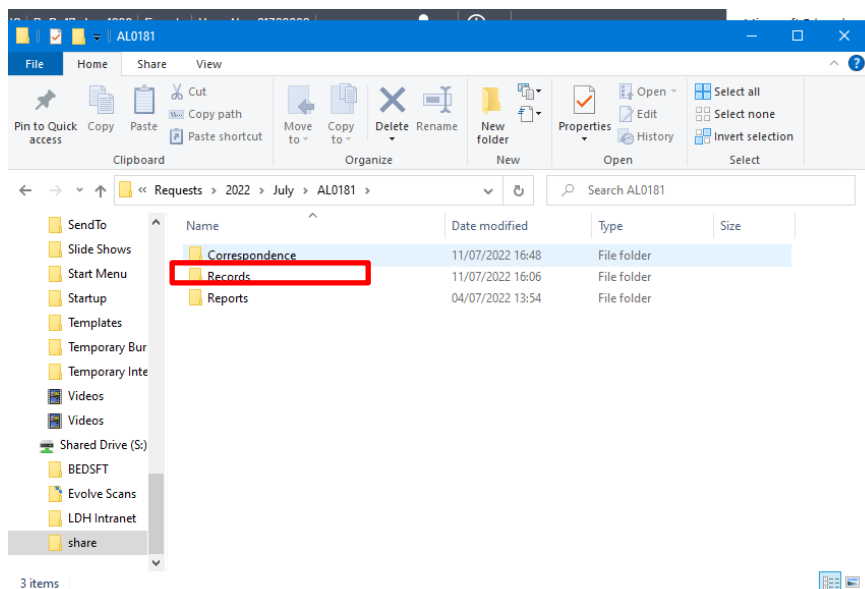
1. Emails are to be actioned at the time specified on the rota (see appendix 1). New email requests are to be printed and immediately recorded on the spreadsheets to ensure accuracy. Once the email has been printed and logged, the email is to be deleted.
2. All details should be added to the spreadsheet including the records required (ie, 'All notes and Imaging').
3. Once details are added, a front sheet should be printed. The request should then be in the pile to be completed in date order (oldest on top). This process will be reviewed upon clearance of backlog.

Upon Receipt – Postal Requests

1. Post is delivered around 11am each day. The post is to be opened, date stamped and requests added to the spreadsheet at the times specified on the rota (see appendix 1).
2. All details should be added to the spreadsheet including the records required (ie, 'All notes and Imaging')
3. Once details are added, a front sheet should be printed. The request should then be placed in the pile to be completed in date order (oldest on top). This process will be reviewed upon clearance of backlog.

Completing a Request

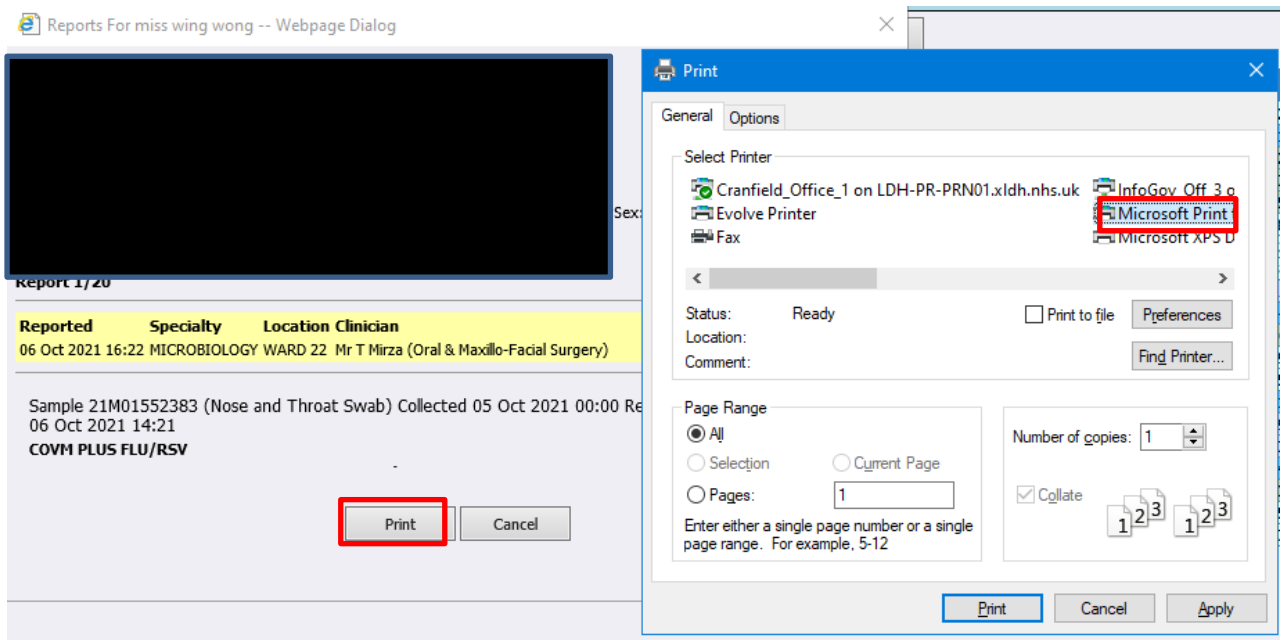
1. Check the request to specify what records are required.
2. If Evolve notes are required, first check the records to ensure no misfiles or 3rd Party information and then export the file and save to the relevant request folder in the shared drive (This PC – Shared Drive – Share – Patient Services – Requests – 2022 – Month – Request Folder – Records).



3. If ICE reports are required, print the reports to PDF and save PDF's to folder in shared drive (as above).

The screenshot shows a web application interface for viewing reports. The top section has filters for 'Location', 'Filter by specialty', and 'Requesting Clinician'. There are also date filters for 'Show reports up to' and 'Show reports from'. A 'Print' button is highlighted with a red box. Below the filters is a table of reports with columns for Status, Investigation, Requesting Clinician, Location, Sample Number, and dates for Collected, Sample Received, and Report.

Status	Investigation	Requesting Clinician	Location	Sample Number	Collected	Sample Received	Report
F	COVM PLUS FLU/R...	Mr T Mirza	WARD 22	21M01552383	05 Oct 2021 00:00	06 Oct 2021 14:21	06 Oct 2021 1
F	FULL BLOOD COUN...	Mr T Mirza	WARD 22	21B00413913	06 Oct 2021 12:14	06 Oct 2021 12:14	06 Oct 2021 1
F	XR Orthopantom...	Mr T Mirza	WARD 22	3801527	06 Oct 2021 10:08	06 Oct 2021 10:08	06 Oct 2021 1
F	Import of Non C...	ALLEN SA	RC971ZIM	3800788	01 Jul 2021 09:47	01 Jul 2021 09:47	05 Oct 2021 0
F	Import of Non C...	ALLEN SA	RC971ZIM	3800786	19 Apr 2017 09:45	19 Apr 2017 09:45	05 Oct 2021 0
F	COVM PLUS FLU/R...	Dr R (Micro) Mulla	HOME TREATMENT	21M01551138	03 Oct 2021 00:00	03 Oct 2021 11:15	03 Oct 2021 1
F	CORONAVIRUS MIC	Dr R (Micro) Mulla	HOME TREATMENT	21M01547018	22 Sep 2021 00:00	22 Sep 2021 18:12	23 Sep 2021 1
F	MRSA SCREEN	Mr T Mirza	PRE-OP ASSESSMENT UNIT	21M03048869	11 Aug 2021 00:00	11 Aug 2021 15:49	12 Aug 2021 1
F	GROUP AND SCREE...	Mr A Parbhoo	PRE-OP ASSESSMENT UNIT	21T00025966	11 Aug 2021 12:41	11 Aug 2021 16:43	11 Aug 2021 1
CM F	FULL BLOOD COUN...	Mr A Parbhoo	PRE-OP ASSESSMENT UNIT	21B00337645	11 Aug 2021 16:13	11 Aug 2021 16:13	11 Aug 2021 1
F	XR Orthopantom...	Majumdar A	COBHAM CLINIC	3537724	03 Nov 2020 10:21	03 Nov 2020 10:21	03 Nov 2020 1
F	MRSA SCREEN	Mr R Bunyan	WARD 20	20M03063360	29 Oct 2020 00:00	30 Oct 2020 12:27	31 Oct 2020 1



4. If Imaging is required, establish format the imaging is required in. If possible use the IEP (see IEP procedure for use) but discs can be provided if required. This will be more prevalent with Public requests.
5. At this stage you can burn the disc. Insert a disc and ensure that the disc is formatted prior to burning. Double click the disc drive and you will be automatically prompted to do this.
6. Then drag the files from the shared drive folders to the disc. The burn will automatically start.
7. Once disc is burned, eject and label the disc **clearly and legibly** with patient name and solicitor's reference number and place in to disc envelope.
8. Print the Enclosed letter and password letter from the spreadsheet. Take a padded envelope and place the disc and enclosed letter in this and address to the requester. If an imaging disc was ordered this can also be included in the package. Put the password letter in a separate window envelope.
9. You can then complete the front sheet and spreadsheet – date and initial the sections **clearly and legibly** that need completing and stick the Barcode sticker from the recorded delivery label in the stated box. Go on to the spreadsheet and mark as complete including the dates and tracking number.
10. Take the post book and complete the postal details – stick the tracking number sticker from the recorded delivery label in the appropriate box.
11. You can now stick the delivery label to the padded envelope and place in post tray along with password letter (Password letter does NOT need a recorded delivery label).
12. Take the request paperwork (Letter, consent form and front sheet) and scan to your email. Add the PDF to the Correspondence Folder in Shared drive. (This PC –

Shared Drive – Share – Patient Services – Requests – 2022 – Month – Request Folder – Communications). The paperwork can now be put in a shred bag.

Appendix A

Daily Time Management Rota

8.30am - 10am: Print emails from AHR inbox, deal with queries, add new requests to spreadsheet

10am – 3.30pm: Work on request pile and complete SAR's, focusing on completing as many as possible.

3.30pm – 4.30pm: Open post from the day, add to spreadsheet, print emails from inbox and deal with queries.

- The focus needs to be on clearing the backlog of requests – please note, when the second SAR team member starts the tasks can be split between you.
- NB: the phones will still need to be answered – again this can be shared when fully staffed.

Appendix B

Business Continuity Planning

- In case of system failures (Evolve, Medviewer) – staff will focus on uploading outstanding requests to spreadsheets, completing any requests that can be fulfilled without use of records systems (imaging only etc) and other ad hoc task
- In case of full system failure, staff member will liaise with DM to arrange alternative tasks
- In case of staff absences, Deputy IG Manager will ensure cover is arranged if appropriate. This could include any staff members that are SAR trained or DM themselves. In absence of DM, this will be responsibility of IG Manager.