**Grasmere Surgery**

**Complying with the National Data-Opt-Out Guidance Policy**

|  |  |
| --- | --- |
| **Version** | 2 |
| **Date of Last Review** |  |
| **Date of Next Review** | July 2022 |
| **Monitoring Body** | Grasmere Surgery |
| **Approved By** | Practice Manager SM |

**Table of contents**

[1 Introduction 2](#_Toc20143708)

[1.1 Guidance statement 2](#_Toc20143709)

[1.2 Status 2](#_Toc20143710)

[1.3 Training and support 2](#_Toc20143711)

[1.4 Purpose 2](#_Toc20143712)

[2 Scope 3](#_Toc20143713)

[2.1 Who it applies to 3](#_Toc20143714)

[2.2 Why and how it applies to them 3](#_Toc20143715)

[2.3 Data Protection Officer’s advice 3](#_Toc20143716)

[3 Requirements 4](#_Toc20143717)

[3.1 Compliance and understanding the National Data Opt-Out 4](#_Toc20143718)

[3.2 Setting or changing an opt-out choice 4](#_Toc20143719)

[3.3 Upholding the opt-out and declaring compliance 4](#_Toc20143720)

[3.4 Compliance and Implementation Guide 5](#_Toc20143721)

[3.5 Understanding if the data you use or disclose is in scope 6](#_Toc20143722)

[4 Resources to inform patients of their opt-out choices 7](#_Toc20143723)

[4.1 General resources 7](#_Toc20143724)

[4.2 Accessible resources 7](#_Toc20143725)

[4.3 Tailored resources 7](#_Toc20143726)

[4.4 Other languages 7](#_Toc20143727)

[5 Summary 7](#_Toc20143729)

# Introduction

## Guidance statement

National Data Opt-Out (NDO-O) was introduced along with the Data Protection Act 2018 and GDPR on 25th May 2018.

This followed recommendations from the National Data Guardian (NDG) that patients should be able to opt-out of their personal confidential data being used for purposes other than their direct medical care.

The NDG states that, *“A patient should be able to state their preference once (online or in person), confident in the knowledge that this will be applied across the health and social care system”.*

The choice to opt in or out applies only to the healthcare system in England. It does not apply to health and social care services accessed in Scotland, Wales or Northern Ireland.

GP surgeries and other health care professionals are to confirm with NDO-O 1st August 2022.

## Status

This document and any procedures contained within it are contractual and therefore form part of your contract of employment. Employees will be consulted regarding any modifications or change to the document’s status.

## Training and support

The practice will provide support to all within the practice to understand their rights and responsibilities with regards to this information. Additional support will be provided to managers and supervisors to enable them to deal more effectively with matters arising from this guidance.

## Purpose

This guidance provides outline advice on the NDO-O policy with which general practice is required to comply by the revised date of 31st July 2022 – previously this was 31st March 2020, and then 30th September 2020.

It covers the procedures which need to be in place to enable practices to identify when patient data needs to be removed before it is disclosed to certain third parties.

It should be noted that NDO-O now replaces the previous type 2 opt-out codes which can no longer be used, although any type 2 opt-outs which have previously been submitted to NHS Digital have been automatically converted to national data opt-outs.

This Surgery uses System 1 which has been programmed to ensure that any such data has been removed which belongs to patients who have chosen to opt-in.

# Scope

## Who it applies to

The NDO-O policy applies to all general practices in England.

Therefore, all staff are expected to know the requirements of this policy and to provide information to patients to make them aware of their rights and how they can register their choice to either opt in or out.

## Why and how it applies to them

All staff are to ensure compliance with all requirements of the NDO-O policy. Failure to comply with the policy and any associated [breaches](https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-law-enforcement-processing/personal-data-breaches/) of patient data or confidentiality could lead to prosecution or imposition of [penalties](https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-law-enforcement-processing/penalties/) by the Information Commissioners Office (ICO).

## [Data Protection Officer’s advice](#_Data_Protection_Officer’s)

Our Data Protection Officer (DPO) is Jonathan Kerry, their advice must always be sought and followed regarding NDO-O matters.

# Requirements

## Compliance and understanding the National Data Opt-Out

NHS Digital provides information for GP practices[[1]](#footnote-1) regarding compliance with and understanding of the National Data Opt-Out[[2]](#footnote-2). The main points are detailed in this chapter.

## Setting or changing an opt-out choice

A patient has to register their choice to opt out only once, and that registration applies to all healthcare settings and organisations, not just general practice. They can do this by using one of the following:

1. [Online service](https://www.nhs.uk/your-nhs-data-matters/manage-your-choice/) – Patients registering need to know their NHS number or their postcode as registered at their GP practice
2. Telephone service **0300 303 5678** which is open Monday to Friday between 0900 and 1700
3. [NHS App](https://www.nhs.uk/apps-library/nhs-app/) – for use by patients aged 13 and over (95% of surgeries are now connected to the NHS App). The app can be downloaded from the [App Store](https://apps.apple.com/gb/app/nhs-app/id1388411277) or [Google play](https://play.google.com/store/apps/details?id=com.nhs.online.nhsonline)

1. Getting a healthcare professional to assist patients in prison or other secure settings to register an opt-out choice. For patients detained in such settings [Guidance](https://digital.nhs.uk/services/national-data-opt-out/guidance-for-detained-and-secure-estates) is available on NHS Digital and a [Proxy form](https://digital.nhs.uk/services/national-data-opt-out/guidance-for-detained-and-secure-estates) is available to assist in registration.

## Upholding the opt-out and declaring compliance

As the national data opt-out policy applies to nearly all practices, they need to uphold patient choices to opt out[[3]](#footnote-3) by removing the records of any patient before using or disclosing information other than for the purpose of that patient’s immediate healthcare.

The national data opt-out compliance and implementation guide[[4]](#footnote-4) takes users through the steps they need to follow to achieve compliance by the revised date of 30th September 2020, and it has now been enforced from 31st July 2022.

## Compliance and implementation guide

The National data opt-out: compliance and implementation guide take users through the steps they need to follow to achieve compliance by 31st July 2022. Before doing so, it presents an overview of the process and advises that users should consider:

* How long it will take to be compliant (the advice and guidance of the practice’s DPO will be invaluable in making this assessment)
* Who should be involved in the implementation?

The guide outlines the five steps that need to be taken to achieve compliance.[[5]](#footnote-5) However, as step 2, implementing a technical solution, will be carried out by clinical system suppliers on behalf of GP practices, they do not need to implement step 3, i.e. set up the technical solution and use the Message Exchange for Social Care and Health (MESH) which accesses the Check for National Opt-Outs Service[[6]](#footnote-6).

Step 1 Assess data disclosures and update procedures.

Step 2 Decide whether to implement a technical solution. Note the four principal GP system suppliers have been commissioned to assist GP practices to comply with the NDO-O by developing and embedding a technical solution in their systems.

Step 3 Set up the technical solution and use the Message Exchange for Social Care and Health (MESH) which accesses the Check for National Opt-Outs Service. Practices only need to consider doing this if they hold and generate patient data reports using a system/software other than their clinical system.

Step 4 Implement new processes. This suggests that a Data Protection Impact Assessment (DPIA) should be completed using the format shown at the link which is based on the ICO template.[[7]](#footnote-7) It is strongly advised that completion of the DPIA is left to the practice’s DPO.

Step 5 Plan communications and declare compliance. This step requires practices to consider communications and to declare compliance:

* Internally with all staff
* Externally with patients including updating the [practice’s website and privacy notice](https://digital.nhs.uk/binaries/content/assets/website-assets/services/national-data-opt-out/supporting-patients---information-and-resources/pn-template-text-v2.0-191218.docx) using a suggested wording
* With other organisations with which the practice works who may be affected by the practice becoming compliant with the NDO-O
* Decide date to declare compliance
* Declare compliance

## Understanding if the data you use or disclose is in scope

In relation to the COVID-19 pandemic, NHSx[[8]](#footnote-8) has issued Information Governance Advice for health care professionals[[9]](#footnote-9) as well as a notice[[10]](#footnote-10) under Regulation 3(4) of the Health Service Control of Patient Information Regulations 2002 which requires organisations to process certain confidential information to assist in combatting the virus.

This notice will expire on 30th September but may be reviewed on or before that date and may be extended if required.

This understanding is covered by a series of nine questions which practices need to ask themselves:

1. Is the use or disclosure [confidential patient information](https://digital.nhs.uk/services/national-data-opt-out/understanding-the-national-data-opt-out/confidential-patient-information)?
2. Is the use or disclosure for [individual care or research and planning](https://digital.nhs.uk/services/national-data-opt-out/understanding-the-national-data-opt-out/individual-care-and-research-and-planning-uses-of-data)?
3. Does the practice have explicit [consent for the use or disclosure](https://digital.nhs.uk/services/national-data-opt-out/operational-policy-guidance-document/when-does-a-national-data-opt-out-not-apply#6-1-consent)? Note that the NDO-O does not apply where explicit consent has been obtained from the patient for a specific purpose and that there are also three other main exemptions:
	* Communicable diseases and risks to public health, such as the COVID-19 pandemic
	* Overriding public interest
	* Information required by law or court order
4. Is the disclosure for the [purpose of monitoring and control of communicable disease](https://digital.nhs.uk/services/national-data-opt-out/understanding-the-national-data-opt-out#is-the-disclosure-for-the-purpose-of-monitoring-and-control-of-communicable-disease-or-other-risks-to-public-health-) or other risks to public health? If it is, NDO-O out does not apply
5. Is the use or disclosure in the [overriding public interest](https://digital.nhs.uk/services/national-data-opt-out/understanding-the-national-data-opt-out#is-the-use-or-disclosure-in-the-overriding-public-interest-)?
6. Is the information being disclosed [because of a legal requirement](https://digital.nhs.uk/services/national-data-opt-out/understanding-the-national-data-opt-out/legally-required-data-disclosures)?
7. Is the use or disclosure to an [arms-length body](https://digital.nhs.uk/services/national-data-opt-out/understanding-the-national-data-opt-out#is-the-use-or-disclosure-to-a-national-or-arms-length-body-)?
8. Is the use or disclosure to [support payment and invoice validation](https://digital.nhs.uk/services/national-data-opt-out/understanding-the-national-data-opt-out#is-the-use-or-disclosure-to-support-payment-and-invoice-validation-)?
9. Is the legal basis for the [use of disclosure Section 251 approval](https://digital.nhs.uk/services/national-data-opt-out/understanding-the-national-data-opt-out#is-the-legal-basis-for-the-use-or-disclosure-section-251-approval-)?

# Resources to inform patients of their opt-out choices

## General resources

To assist practices, A4 posters and patient hand-outs were sent to practices in June 2018 and were displayed in patient waiting areas.

## Accessible resources

These accessible resources include:

* [British Sign Language video](https://www.youtube.com/watch?v=0BwUsKDqPQ8&feature=youtu.be) of the patient hand-out
* [Audio version](https://s3.eu-west-2.amazonaws.com/files.digital.nhs.uk/assets/Your%2BData%2BMatters%2B-%2BSign%2BLanguage%2BVersion%2BAUDIO%2BONLY.wav) of the patient hand-out
* Braille version of the patient hand-out which can be ordered from [NHS England Health Publications](https://www.healthpublications.gov.uk/Home.html)
* An easy read booklet of the patient hand-out for patients with learning disabilities as well as a larger print version can be downloaded from the resources for patients [NHS Digital web page](https://digital.nhs.uk/services/national-data-opt-out/supporting-patients-information-and-resources)

## Tailored resources

These tailored resources, which can also be downloaded from the same link to the NHS Digital web page in the preceding paragraph include guidance for:

* Black and minority (BME) patients
* Carers
* Young people
* Patients with a previous type 2 opt-out

## 4.4 Other Languages

## A patient hand-out in 11 languages is available from the NHS Digital web page.[[11]](#footnote-11)

# Summary

This guidance enables member practices to understand the NDO-O policy with which general practice is required to comply by 31st July 2022. It covers the requirements and procedures which need to be in place to enable practices to identify when patient data needs to be removed before it is disclosed to certain third parties.

Additionally, it identifies the sources where they can access and download resources to enable them and their patients to understand and follow the guidance required to fulfill their obligations as required by the National Data Guardian.

At the time of publication, all key documents have been referenced in this guidance.

1. <https://digital.nhs.uk/services/national-data-opt-out/information-for-gp-practices> [↑](#footnote-ref-1)
2. <https://digital.nhs.uk/services/national-data-opt-out/understanding-the-national-data-opt-out> [↑](#footnote-ref-2)
3. <https://digital.nhs.uk/services/national-data-opt-out/understanding-the-national-data-opt-out#upholding-the-opt-out-and-declaring-compliance> [↑](#footnote-ref-3)
4. <https://digital.nhs.uk/services/national-data-opt-out/compliance-with-the-national-data-opt-out/compliance-implementation-guide> [↑](#footnote-ref-4)
5. <https://digital.nhs.uk/services/national-data-opt-out/compliance-with-the-national-data-opt-out/compliance-implementation-guide#assess-data-disclosures-and-update-procedures> [↑](#footnote-ref-5)
6. <https://digital.nhs.uk/services/national-data-opt-out/compliance-with-the-national-data-opt-out/check-for-national-data-opt-outs-service> [↑](#footnote-ref-6)
7. [DPIA ICO Template](https://ico.org.uk/media/about-the-ico/consultations/2258461/dpia-template-v04-post-comms-review-20180308.pdf) [↑](#footnote-ref-7)
8. <https://www.nhsx.nhs.uk/who-we-are> [↑](#footnote-ref-8)
9. [COVID-19 Information Governance advice for health and care professionals](https://www.nhsx.nhs.uk/key-information-and-tools/information-governance-guidance/health-care-professionals) [↑](#footnote-ref-9)
10. [COVID-19 Notice under Regulation3(4) of the Health Service Control of Patient Information Regulations 2002](https://www.nhsx.nhs.uk/assets/Final_General_COPI_Notice.pdf) [↑](#footnote-ref-10)
11. <https://digital.nhs.uk/services/national-data-opt-out/supporting-patients-information-and-resources> [↑](#footnote-ref-11)