

# Standard Operating Procedure for the Management of Subject Access Requests

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## Lincolnshire West CCG

### Standard Operating Procedure for the Management of Subject Access Requests

#### Version Control Sheet

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## Introduction

Data Protection Legislation; General Data Protection Regulations and Data Protection Act 2018 gives individuals the right, or their authorised representative, the right to apply to access personal data that an organisation holds about them.

This procedure applies to Lincolnshire West CCG ('the CCG'), for records for which they are the Data Controller. The CCG must ensure there is a procedure in place to respond to requests made under GDPR, Data Protection Act 2018 and Access to Health Records Act 1990. This procedure aims to ensure that individual's rights under Data Protection Legislation are met.

## General Data Protection Regulation / Data Protection Act 2018

The General Data Protection Regulation provides the 'right of access' to individuals.

Individuals have the right to access their personal data as well as the right to obtain confirmation that we are processing their personal data and other supplementary information. This is commonly referred to as subject access. Individuals are able to make a subject access request verbally or in writing, in which organisations have one month to respond and in most circumstances, cannot charge a fee.

## Access To Health Records Act 1990

The Access to Health Records Act 1990 provides a right for authorised people to apply to access information contained within a deceased person's health record.

## Who Can Make A Request

### Subject Access Requests – General Data Protection Regulation

Subject Access Requests can be made by:

- The individual themselves
- Those who have parental responsibility (if requesting a child's record)
- A representative nominated by the individual to act on their behalf such as solicitors or a relative. In these circumstances, valid consent by the individual granting the authority must accompany the application
- In certain situations a person granted an attorney or agent by the Court of Protection on behalf of an adult who is capable of consent
- The Police\*
- A solicitor acting on behalf of the individual (if the claim is or likely to be against the Trust it should be treated no differently)
- Via a Court Order\*

\*Note requests made under these circumstances must have the appropriate documentation to support the application for access.

GDPR does not specify how to make a valid request. A valid SAR can be made verbally or in writing and does not have to be made to a specific person or contact point.

The Act that the individual is exercising their rights under does not have to be stated within the request and the CCG have a legal responsibility to identify that an individual has made a request for personal information and handle it accordingly.

It is good practice to have a policy for recording details of the requests received, particularly those made by phone or in person.

Standard forms can make it easier for the CCG to recognise a subject access request and for the individual to include all details we might need in order to locate the information they require. However, even if you have a form, an individual is still able to submit a subject access request by any means, so the CCG would still need to comply with any requests received by letter, standard email or verbally. Therefore, although you may invite individuals to use a form, we must make it clear that it is not compulsory and do not try to use this as a way of extending the one month time limit for responding.

In order to be able to comply with a request, the CCG should ensure that contact information is requested from the individual. Further information may need to be requested in order to assist with the collation of all information the individual requires, for example;

- Full name
- Address
- Date of birth
- Type of information they are looking for; they may have made a complaint to the organisations and require all information that is filed in relation to this complaint / complaints process
- Timescale of which the information is required

### **Requests made under Access to Health Records Act 1990 for deceased person's records**

Requests made under the Access to Health Records Act 1990 can be requested by:

- The patient's personal representative - a personal representative is the executor or administrator of the deceased person's estate.
- Any person who may have a claim arising out of the patient's death.

### **Where the request is to be sent to**

Requests can be made in writing to or forwarded for processing to:

Applications by post

**Terry Vine**  
Deputy Chief Nurse  
**Phone: 01522 515351**

Applications by email

**Email:** [liwccg.sar.lwccg@nhs.net](mailto:liwccg.sar.lwccg@nhs.net)

The CCG should be aware that requests can be made verbally, face to face or over the phone and can also be made via social media, verbally or via the CCGs websites.

## Key Roles

The CCG's Subject Access Lead is Terry Vine, Deputy Chief Nurse. They are responsible for managing the request for information and responding to the applicant.

The CCG's Caldicott Guardian is Wendy Martin. The Caldicott Guardian is responsible for overseeing the request process and approving release of the information to the applicant.

## Timescales

Data Protection Legislation – The CCG must act on a subject access request without undue delay and provide a response within one month. This time limit is calculated from the day after the request is received until the corresponding calendar date in the next month (i.e. for a request received on 3 September, the time limit will start the next day (4 September) and the CCG will have until 4 October to comply with the request).

The response timescale can be extended by a further two months if the request is complex or if a number of requests have been received from the same individual. You must let the individual know within one month of receiving their request and explain why the extension is necessary.

Access to Health Records Act 1990 – The CCG should reply to the request within 21 days where the record has been added to in the last 40 days, and within 40 days otherwise.

## Fees

As of the 25<sup>th</sup> May 2018, organisations are no longer able to charge a fee for complying with a subject access request, in most circumstances.

However, where the request can be evidenced as being 'manifestly unfounded or excessive' you may charge a "reasonable fee" to cover the administrative costs of complying with the request

You can also charge a "reasonable fee" if an individual requests further copies of data following a previous request for the same information, again to cover only the administrative costs.

## Procedure

### Step 1

- Check which scope the request falls under:
  - If the subject is living – Subject Access\*
  - If the subject is deceased – Access to Health Records
- Is there sufficient information to verify the subject's identity\*
- Is there the necessary information to verify the authorised representative's identity
- Is there the adequate information to enable the CCG to locate the information requested
- Does the CCG hold the information requested

\*Note

- The request doesn't have to quote the Act in order to be processed as a Subject Access Request.
- If identity needs to be verified, the deadline clock stops until the CCG is satisfied with identity of the data subject and/or their representative
- Acceptable forms of ID are located in Appendix M. However if the subject is known to the CCG i.e. a member of staff, verifying identity may not be required.

## Step 2

- Log the request using the CCG request log generating a reference number and calculate deadline for response
- Acknowledge receipt of the request providing the necessary contact details
- If further information is required an Access to Personal Information Form (see Appendix B) should be enclosed. Ask the applicant to complete and return to the CCG, however note that this is not compulsory
- If the CCG isn't the Data Controller of the information requested, a response letter informing the applicant of this must be sent as soon as possible providing any detail to where they may be able to locate the correct Data Controller (see Appendix A).
- If a reply is not received within one month of the letter being sent a reminder letter should be sent (see Appendix G) asking if the application is still required. If after a further 10 working days no response has been received, the request can be closed.

## Step 3

- Identify the service area(s) the request relates to
- Request the identified service area(s) collate, photocopy and check the requested information and if any exemption applies (see Appendix F). If the service area(s) are unsure whether information needs to be redacted or exempted, they should refer to the trained CCG's Subject Access Lead or Caldicott Guardian.
- Ask the service area to contact the Subject Access Lead if there are any reasons why the request cannot be met to the timescale and if they think that the timescale may need to be extended. If this is the case, the requestor should be informed without delay.
- Request the service area return the relevant information 5 working days before the deadline date at the latest to ensure all the relevant information has been received and that there is still time to complete any final checks prior to responding.

## Step 4

- If records haven't been received 7 days prior to the deadline date, contact the service the request was sent to and ask for an update.\*
- If after searching for the records it is found the CCG isn't the Data Controller of the information requested and doesn't hold the records, the applicant must be informed as soon as possible (see Appendix H).



- Once the requested information has been received back from the service; check the records relate to the correct subject, check all the relevant information is included and the records have been authorised for release by the Caldicott Guardian (see Appendix E).
- Complete a final check of the records ensuring no duplication, that the records are legible, there are no abbreviations, if so provide a list of abbreviations to the applicant and if sections illegible, provide a transcription alongside the original. Also identify if any information falls under an exemption.\*
- Scan a copy or photocopy the information that is going to be released for future reference, ensuring that a copy of the information both prior and subsequent to any redactions is kept..

Note\*

- If the service area informs that they are unable to provide the required information in time to meet the deadline, ask them to confirm when it is likely they will be able to and inform the requestor of this as soon as possible.
- A list of exemptions can be found at Appendix L.

### Step 5 – IF APPLICABLE

- If any information should fall under an exemption and information requires redacting, this can be completed by using a black marker on the relevant information which should then be photocopied. This process should be repeated until all the information is no longer visible.
- If any requests are subject to an exemption these should be confirmed with the Caldicott Guardian, be logged within the request log and a record made on the Caldicott Issues Log. Separate copies of the redacted and original information must be kept and the reasons for each redaction noted should they be questioned following responding to the applicant.
- When responding to the requestor an explanation must be provided to explain the reason why information has been exempted, unless the CCG's Caldicott Guardian has justified why the reasons for exemption shouldn't be shared with the applicant using the Caldicott log i.e. release would cause unwarranted and substantial damage or distress.

### Step 6

- Collate the information authorised for release and complete the appropriate covering letter\*
- The applicant may specify the method in which they receive the information. This would usually be either by email, hand collection or by post.
- If the applicant requests the information via email:
  - Confirm the email address the information is to be sent to
  - Mark the email for the attention of a named person and Private and Confidential.
  - Send from an NHS.net account (preferably a shared inbox) using the 'Send Secure' guidance – guidance can be found at <http://systems.hscic.gov.uk/nhsmail/secure/senders.pdf>.
  - Request acknowledgement that the email has been received
- If the applicant requests to hand collect the information:
  - a date and time should be agreed ensuring if necessary the appropriate ID is available
- If the applicant requests information via post:

- Enclose the information in a tamper proof envelope, sent to the attention of a named person, marked Private and Confidential and the address clearly marked to where the information is to be delivered to. Ensure a return address is included on the envelope in case of failed delivery.
- The information must be sent by Recorded Delivery as a minimum and retaining the postal number
- Once all relevant information has been sent the request log needs to be updated.

**\*Note**

- Examples of covering letters can be found in Appendices I, J and K.

## **Other Areas For Consideration**

### **Supervised access to view records**

Viewing the records is an option but only if both parties agree.

If the viewing is supported the process of reviewing the data sources and records follows the same process. The records must not be left unattended with the patient / service user so the appropriate senior manager must remain in the room to ensure that the records are not tampered with and to explain any entries or terminology or decipher and help with any legibility queries.

On occasions research organisations will request access to the records as part of a research project. Access can only be approved to relevant information with the prior written consent of the person or their personal representative. The appropriate senior manager must be informed and the records reviewed as per the process above and the information disclosed to the research organisation.

If a person wishes to view their records and then wants to be provided with copies this would still come under the one access request.

### **Police requests**

Requests where the consent is available may be processed in the same way as solicitors or third party requests to release notes to the police. The Information Governance Support Officer and / or the Caldicott Guardian should be informed of any requests for records from the police which are not accompanied by the written consent of the data subject. The request from the police must be in writing to comply with the Data Protection Act Section 29 (3) (the prevention and detection of a crime or the apprehension or prosecution of offenders) and must be signed by a senior ranking officer.

Original health records must not be given to the police and there will be no charge for copies of records.

### **Court Order requests**

All court orders and associated documents must be brought to the attention of the Information Governance Support Officer and / or the Caldicott Guardian. Authorisation will be requested from the professional involved and copies of records will be given to the Court. The original records must not be released.

## Records not held by the CCG

### Records held by another organisation to whom the CCG does not contract services

If the request relates to a request for records where the CCG is not the Data Controller, a letter should be sent to the applicant (see Appendix A) advising the CCG is not the Data Controller and provide suggestions to where the request should be forwarded to.

## Complaints

If the applicant is dissatisfied with the information provided or the manner the request has been handled by the CCG, they are entitled to complain following the CCG's complaints procedure.

Complaints should be forwarded to:

### Complaints

NHS Lincolnshire West Clinical Commissioning Group  
Cross O'Cliff  
Bracebridge Heath  
Lincoln  
LN4 2HN

Telephone: 01522 515380

Email: [complaints@lincolnshirewestccg.nhs.uk](mailto:complaints@lincolnshirewestccg.nhs.uk)

If the applicant is still dissatisfied once the complaints process is completed, they are entitled to make a complaint to the Information Commissioners Office (ICO).

The Information Commissioner's Office  
Wycliffe House  
Water Lane  
Wilmslow  
Cheshire  
SK9 5AF  
Telephone: 0303 123 1113  
Email: [casework@ico.gsi.gov.uk](mailto:casework@ico.gsi.gov.uk)  
Website: [www.ico.org.uk](http://www.ico.org.uk)

## Appendices

### APPENDIX A – Incorrect Data Controller Response

Enquires directed to:

Direct No:

Fax No:

Email:

Our ref:

Your ref:

Address

Address

Address

Postcode

Date

CONFIDENTIAL

Dear Sir/madam

Re: Name - D.O.B.

Thank you for your request dated XXXXXX regarding your personal information.

XXX CCG can only provide information held by this organisation, as the registered Data Controller.

As the information you require is held by **INSERT NAMES / ADDRESSES OF POSSIBLE DATA CONTROLLERS**, a request will have to be sent to these organisation(s) individually, following their Subject Access process, as they are Data Controllers in their own right.

If you wish to discuss the matter further, please contact me on the above number.

Yours sincerely

**Department Name**

## APPENDIX B – Application for Access to Personal information

### APPLICATION FOR ACCESS TO PERSONAL INFORMATION

Once completed, please send this form to:	XXX
---	-----

#### Section 1 – Individual's Details Requested

Individual's full name	
Previous name(s)	
Date of birth	
NHS Number (if known)	
Applicant's Current Address	
Applicant's Previous Address (if applicable)	
Contact information – Telephone number, email address	

#### Section 2 – Description of the information you require

Please provide as much information as possible giving full details of the periods you are interested in.

Types of Information Required	Date

--	--

Section 3 – Declaration

I declare that the information given by me is correct to the best of my knowledge and that I am entitled to apply for access to the personal information referred to above under the terms of the General Data Protection Regulation/ Data Protection Act 2018/Access to Health Records Act 1990.

Applicants Name	
Address to which reply should be sent (if different from above) including postcode	
Signature of applicant	

(If you are not the person named in Section 1, please tick  one of the following boxes)

I am the parent/guardian of an individual under 16 years old who has completed the Authorisation section (Section 5).	
I am the parent/guardian of an individual under 16 years old who (is unable to understand the request/has consented to my making this request).	
I am the deceased patient's personal representative and attach confirmation of my appointment by a court to manage the patient's affairs	
I am the legal representative of the individual, and they have given signed authorisation (Section 5)	
Other (please specify)	

Section 4 – Authorisation

I hereby authorise XXXX CCG to release the requested personal data that they may hold relating to me to ..... (enter the name of the person acting on your behalf), to whom I have given consent to act on my behalf.

Signature of Applicant.....  
Date.....

## APPENDIX C – Acknowledgement Letter – If no further information required

Enquires directed to:

Direct No:

Fax No:

Email:

Our ref:

Your ref:

Address

Date

CONFIDENTIAL

Dear [REQUESTER NAME]

Re: Subject Access Request

Thank you for your request made on the [DD/MM/YYYY] for your Right of Access to information that falls under Data Protection Legislation held by XXXX. We confirm that verification of identity is satisfactory for the organisation to process the request made. We started work on this request on [+1 day after DD/MM/YYYY of request made date, or the date confirmation of identity was confirmed] you can expect a reply from the CCG no later than [one calendar month DD/MM/YYYY].

*E.g. request made 4<sup>th</sup> June 2018, Clock start: 5<sup>th</sup> June 2018, Response deadline 5<sup>th</sup> July 2018  
Confirmation of identity not supplied until 13<sup>th</sup> June 2018, Response deadline 13<sup>th</sup> July 2018  
{please remove}*

The Right of Access to Personal information an organisation holds on persons is not an automatic right of access to all information. In some cases not all information is required to be released, in particular information that may cause damage or distress to the requester, or a 3<sup>rd</sup> Party. We will assess whether any of the exemption categories apply to your request and if they do we will inform you on the release of the information.

If you have any questions or queries in relation to the handling of your Right of Access request please contact [CONTACT DETAILS] who will be happy to respond to your query.

You can also contact the Information Commissioners Office if you are not happy with the processing of this Right of Access request:

By Post: Information Commissioners Office, Wycliffe House, Water Lane, Wilmslow, Cheshire SK9 5AF

By Telephone: 0300 123 1113

Or via the Complaints Live Chat facility on the ICO's website: <https://ico.org.uk/>.

## APPENDIX D – Acknowledgement letter – requesting further information

Enquires directed to:

Direct No:

Fax No:

Email:

Our ref:

Your ref:

Address

Address

Address

Postcode

Date

CONFIDENTIAL

Dear Sir/madam

Re: Name - D.O.B.

Thank you for your letter dated ....., requesting a copy of your personal information. We will deal with your request in accordance with the General Data Protection Regulation / Data Protection Act 2018/Access to Health Records Act 1990.

In order to process this request for information, we require further information from you. Please find enclosed an application for access to personal information form. Please note that this is not compulsory to complete, but will help us to identify and locate the information which you require.

In addition to this please supply a copy of your identification or your authority to act on behalf of the data subject. A list of acceptable forms of identification has been provided with this letter.

(\*delete if proof of ID not required)

We will deal with your request within the statutory timescales.

(\*delete reference to fee is no fee is being charged). I look forward to hearing from you.

Yours sincerely

Department Name

Enc. Application for Access to Personal Information form, list of acceptable forms of identification



**APPENDIX E – Authorisation to Release Records Form**

AGREEMENT TO DISCLOSURE OF RECORDS

The form and documents to be released (copies of health/personnel records) must be sent to:

**Name and job title of Caldicott Guardian Here**

Documents must not be released directly to the applicant

Person's Name	
Date of Birth	
Address	

**AUTHORISER'S DECLARATION** – Please tick relevant box or boxes

1 I agree to the attached records being released to the above named person or the person's authorised representative.

2 Part or the whole of the records has been withheld on grounds that:

Disclosure is likely to cause serious harm to the physical or mental health of the person or of another individual

Access would disclose information relating to, or provided by, a third party who is not a NHS health care professional and has not consented to their information being disclosed

The record contains information the person expressly stated must not be released

The person is under 16 and I do not think he/she fully understands what an application to see their records means

LIST OF EXEMPTIONS/REDACTIONS ON PAGE 2 PROVIDED – Please include page number and reason

LIST OF RECORDS TO SEND:-

1.

2.

3.

Subject Access Administrator Name (please print) .....

Post held .....

Signature ..... Date .....

Caldicott Guardian name (please print) .....

Signature ..... Date .....

No.	Page Number	Reason for exemption/redaction
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		

## APPENDIX F - Request for Records to Service Area

Dear **service area,**

Please find attached a request for records in relation to ...**NAME OF PATIENT.....**

Please could you kindly retrieve a copy of these records and ensure that they are checked and redacted if necessary.

Should you have any questions please contact **myself.**

The CCG's Caldicott Guardian will be approving all records prior to release to the applicant.

Please could these be returned to me no later than **.....**

Kind regards

Subject Access Lead

## APPENDIX G – No Response Letter

Enquires directed to:

Direct No:

Fax No:

Email:

Our ref:

Your ref:

Address

Address

Address

Postcode

Date

CONFIDENTIAL

Dear Sir/Madam,

Re: **Name - D.O.B.**

I refer to your request for personal information under the General Data Protection Regulation / Data Protection Act 2018 /Access to Health Records 1990 about the above named individual.

I am writing to advise you that the CCG has not yet received clarification / proof of identity / address information to continue with this request. (\***delete/amend as appropriate**)

If the information is still required can you please return the previously sent application form completed or provide further detail in order for us to identify and locate the information which you require (\***please delete if an application form has not been requested**).

If no further communication is received within 10 days of the date of this letter the CCG will assume the information is no longer required and close this request

If you have any queries about this letter, please contact me. Please remember to quote the reference number above in any future communication.

Yours sincerely

**Department Name**

## APPENDIX H – Personal Information not held

Enquires directed to:

Direct No:

Fax No:

Email:

Our ref:

Your ref:

Address

Address

Address

Postcode

Date

CONFIDENTIAL

Dear Sir/Madam,

Re: **Name - D.O.B.**

I refer to your request for personal information under the General Data Protection Regulation / Data Protection Act 2018 /Access to Health Records 1990 about the above named individual.

I am writing to advise you that following a search of our paper and electronic records, I have established that the information you requested is not held by this organisation.

However we think it may be held by the following:

INSERT – Names / Addresses on possible data controllers

If you have any queries about this letter, please contact me. Please remember to quote the reference number above in any future communication.

Yours sincerely

**Department Name**

## APPENDIX I - Response to the Applicant – Full Disclosure

Enquires directed to:

Direct No:

Fax No:

Email:

Our ref:

Your ref:

Address

Address

Address

Postcode

Date

CONFIDENTIAL

Dear Sir/Madam,

Re: **Name - D.O.B.**

Further to your request for ..... records in relation to the above named person, please find enclosed:-

1.

2.

I trust that this information satisfies your request but if you should wish to discuss the matter further, please contact me on the above number.

Yours sincerely

**Department Name**

## APPENDIX J – Response to the Applicant – Partial Disclosure

Enquires directed to:

Direct No:

Fax No:

Email:

Our ref:

Your ref:

Address

Address

Address

Postcode

Date

CONFIDENTIAL

Dear Sir/Madam,

Re: **Name - D.O.B**

Further to your request for ..... records in relation to the above named person, please find enclosed the following records:

- 

We are unable to provide you with a complete copy of the information requested due to it falling under the following exemption(s):

- 

If you wish to discuss the matter further, please contact me on the above number.

Should you be unhappy with the response received, you have the right to complain to the Information Commissioner's Office. The Information Commissioner can be contacted by:

Information Commissioner's Office

Wycliffe House Water Lane

Wilmslow

Cheshire

SK9 5AF

Tel: 0303 123 1113

Yours sincerely

**Department Name**

## APPENDIX K – Response to Applicant – Refusal of Disclosure

Enquires directed to:

Direct No:

Fax No:

Email:

Our ref:

Your ref:

Address

Address

Address

Postcode

Date

CONFIDENTIAL

Dear Sir/Madam,

Re: **Name - D.O.B**

I write further to your request for ..... records in relation to the above named person.

We are unable to provide you with the information you requested due to it falling under the following exemption(s):

- 

If you wish to discuss the matter further, please contact me on the above number.

Should you be unhappy with the response received, you have the right to complain to the Information Commissioner's Office. The Information Commissioner can be contacted by:

Information Commissioner's Office

Wycliffe House Water Lane

Wilmslow

Cheshire

SK9 5AF

Tel: 0303 123 1113

Yours sincerely

**Department Name**



## APPENDIX L – Subject Access Exemptions – Where right of subject access does not apply

Category	Exemption
Crime and Taxation	Section of the personal information contained in the records, or individual records that relate to the prevention and detection of crime or the apprehension or prosecution of offenders.
Health, Education and Social Work	Social work records exemptions comes under the Data Protection (Subject Access Modification)(Social Work) Order 2000 relates to personal information used for social work purposes: Where release of information may prejudice the carrying out of social work by causing serious harm to the physical or mental condition of the data subject or others. Certain third party's information can be released if they are a "relevant person " (a list is contained in the order) as long as release of the information does not cause serious harm to the relevant person's physical or mental condition.
Research, history statistics	Where the personal data is used solely for research purposes and as long as resulting statistics are not made available which identify the person.
Human fertilisation and embryology	Personal information can be withheld in certain circumstances where it relates to human fertilization and embryology.
<p>The full list of subject areas where exemptions as designated by the Freedom of Information Act 2000 may apply:</p> <ul style="list-style-type: none"> <li>• National security</li> <li>• Crime and taxation</li> <li>• Health, education and social work</li> <li>• Regulatory activity</li> <li>• Journalism, literature and art</li> <li>• Research, history and statistics</li> <li>• Information made available to the public or by under enactment</li> <li>• Domestic purpose</li> <li>• Confidential references</li> <li>• Armed forces</li> <li>• Judicial appointments</li> <li>• Crown employment</li> <li>• Management forecasts</li> <li>• Negotiations</li> <li>• Examination marks</li> <li>• Examination scripts</li> <li>• Legal professional privilege</li> <li>• Self incrimination</li> <li>• Crown appointments</li> <li>• Human fertilisation and embryology, and adoption records and reports</li> </ul>	

## APPENDIX M – Acceptable Forms of Identification

For verification of identity the following combinations are acceptable when applying for a request for personal information\*:

- Two forms of photographic personal identification and one document confirming their address

OR

- One form of photographic personal identification and two documents confirming their address.

Note\*

- If you are applying on behalf of an individual proof of entitlement will also be required separately.

Acceptable Photo Personal Identity Documents

- Current UK (Channel Islands, Isle of Man or Irish) passport or EU/other nationalities passports.
- Passports of non-EU nationals containing UK stamps, a visa or a UK residence permit showing the immigration status of the holder in the UK\*
- Current UK (or EU/other nationalities) Photo-card Driving Licence (providing that the person checking is confident that non-UK Photo-card Driving Licences are genuine)
- A national ID card and/or other valid documentation relating to immigration status and permission to work\*

Any document not listed above are not acceptable forms of identification e.g. organisational ID card.

Acceptable Non-Photo Personal Identity Documents

- Full UK Birth Certificate – issued within 6 weeks of birth;
- Current Full Driving Licence (old version); (Provisional Driving Licences are not acceptable);
- Residence permit issued by Home Office to EU Nationals on inspection of own-country passport;
- Adoption certificate;
- Marriage/Civil Partnership certificate;
- Divorce or annulment papers;
- Police registration document;

- Certificate of employment in HM Forces;
- Current benefit book or card or original notification letter from the Department of Work and Pensions (DWP) confirming legal right to benefit;
- Most recent HM Revenues and Customs (previously Inland Revenue) tax notification;
- Current firearms certificate;
- Application Registration Card (ARC) issued to people seeking asylum in the UK (or previously issued standard acknowledgement letters, SAL1 or SAL2 forms);
- GV3 form issued to people who want to travel in the UK without valid travel documents;
- Home Office letter IS KOS EX or KOS EX2;
- Building industry sub-contractor's certificate issued by HM Revenues and Customs (previously Inland Revenue)

#### Acceptable 'Active in the Community' Documents

To confirm the address, the following documents are acceptable:

- Recent utility bill or a certificate from a supplier of utilities confirming the arrangement to pay for the services on pre-payment terms (note: mobile telephone bills should not be accepted as they can be sent to different addresses). Utility bills in joint names are permissible;\*
- Local authority tax bill (valid for current year);\*
- Current UK photocard driving licence (if not already presented as a personal ID document);
- Current Full UK driving licence (old version) (if not already presented as a personal ID document);
- Bank, building society or credit union statement or passbook containing current address;
- Most recent mortgage statement from a recognised lender;\*
- Current local council rent card or tenancy agreement;
- Current benefit book or card or original notification letter from Department of Work and Pensions (DWP) confirming the rights to benefit;
- Confirmation from an electoral register search that a person of that name lives at the claimed address;\*
- Court Order.\*

- Copy of the section of the Will which names you as Executor;
- Copy of Grant of Probate;
- Copy of Letters of Administration;
- Letter from solicitor confirming entitlement;

*\*The date on these documents should be within the last 6 months (unless there is a good reason for it not to be e.g. clear evidence that the person was not living in the UK for 6 months or more) and the must contain the name and address of the applicant*

APPENDIX N – Process Summary Flowchart

