## Data Protection Impact Assessment

# Project Details

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| **Name of Project** |
| HAF Platform Programme |
| **Brief Summary of Project** |
| The HAF is a government funded programme to offer holiday activities and food to pupils who are eligible for free school meals. The platform allows the Local Authority to validate access for those eligible for the programme and also track and evaluate its impact and engagement  For the purpose of working with the local NHS , we are engaging with the University Hospital Southampton to support the testing of COVID through its commissioned programmes.  The Department of Health and Social Care (DHSC) has appointed University Hospital Southampton NHS Foundation Trust (“UHS”) to establish a sub-regional COVID-19 direct RT-LAMP saliva testing hub and to enable the carrying out of the Covid-19 direct RT-LAMP saliva testing in schools, colleges and universities in the region, UHS and the schools, colleges and universities are required to share limited categories of personal data for the COVID-19 testing programme (‘the Programme’). |
| **Estimated Completion Date** |
| 1.2.2022 |
| **Name of Project Lead** |
| Internal - Bryn Roberts (SCC) / External - Luke Newman (Testlands/Southampton Health & Wellbeing Movement) |

# Details of Person Conducting DPIA

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| **Name** |
| Bryn Roberts |
| **Position** |
| Service Manager for Inclusion |
| **Contact Email Address** |
| Bryn.roberts@southampton.gov.uk |

# Step 1: Identifying the need for a DPIA

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| **Does you project involve the processing of personal data?** |
| “Processing” means collecting, recording, organising, structuring, storing, adapting, altering, retrieving, consulting, using, disclosing, combining, restricting, erasing or destroying.  It should be integral to the project, and not just incidental to it. |
| ✅ Yes  ☐ No |
| If your project does **not** involve the processing of personal data, tick the declaration at the end of this section.  If your project **does** involve the processing of personal data, proceed to the next set of screening questions below. |

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| **Does your project involve any of the following? (Not all may apply, tick those that do)** |
| ✅ The collection of new information about individuals  ✅ Compelling individuals to provide information about themselves  ✅ The disclosure of information about individuals to organisations or people who have not previously had routine access to the information  ✅ The use of existing information about individuals for a purpose it is not currently used for, or in a way it is not currently used  ☐ Contacting individuals in ways which they may find intrusive  ☐ Making changes to the way personal information is obtained, recorded, transmitted, deleted, or held |
| **Are you planning to carry out any of the following? (Not all may apply, tick those that do)** |
| ✅ Evaluation or scoring  ✅ Processing of sensitive data or data of a highly personal nature  ✅ Processing on a large scale[[1]](#footnote-1)  ☐ Processing of data concerning vulnerable data subjects  ☐ Processing that involves preventing data subjects from exercising a right or using a service or contract |

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| **Do you plan to…? (Not all may apply, tick those that do)** |
| ☐ Use systematic and extensive profiling or automated decision-making to make significant decisions about people  ✅ Process special-category data[[2]](#footnote-2) or criminal-offence data on a large scale  ☐ Systematically monitor a publicly accessible place on a large scale  ☐ Use innovative technological or organisational solutions  ✅ Use profiling, automated decision-making or special category data to help make decisions on someone’s access to a service, opportunity or benefit  ✅ Carry out profiling on a large scale  ☐ Process biometric or genetic data  ✅ Combine, compare or match data from multiple sources  ☐ Process personal data without providing a privacy notice directly to the individual  ✅ Process personal data in a way that involves tracking individuals’ online or offline location or behavior  ✅ Process children’s personal data for profiling or automated decision-making or for marketing purposes, or offer online services directly to them  ☐ Process personal data that could result in a risk of physical harm in the event of a security breach |

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| **If you have ticked any of these, please proceed to Step 2.** |
| If **none** of these apply, please tick the below box, and return the form to the Information Lawyer (Data Protection Officer) at [dataprotection@southampton.gov.uk](mailto:dataprotection@southampton.gov.uk) |
| ☐ None of the screening statements in Step 1 of this document apply to the project, and I have determined that it is not necessary to conduct a Data Protection Impact Assessment |

Step 2: Describe the processing

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| **Details of the Personal Data** |
| **What type of personal data is being processed? Tick all that apply** |
| ✅ Education and training details  ✅ Employment details  ✅ Family, lifestyle and social circumstances  ✅ Financial details  ✅ Goods or services provided and related information  ✅ Personal details issued as an identifier (e.g. NHS Number)  ✅ Personal details, including any information that identiﬁes the data subject and their personal characteristics |

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| **What is the nature of the data?** |
| **INFO:** Detail the type of personal data being processed. List any fields that will be processed (e.g. name, address, data of birth, NHS number, video images) |
| **HAF Programme**  Name  Address  Date of Birth  Contact Number  Personal Interests  Wellbeing activity levels  Household income (Optional)  Employment Status (Optional)  Education Level (Optional)  Child’s SEND status and permission to contact school (Ofsted Registered Provisions)  Child’s medical conditions/needs - Safeguarding  Child’s dietary requirements – Safeguarding  Names of individuals who will be collecting the child after the provision has finished – Safeguarding  **NHS Covid Saliva Testing**   * first and last name * address, including postcode * mobile phone number * email address * date of birth * sex as registered at your GP * your test results (forming part of your medical record, by authorised NHS staff, including your GP, the NHS Track and Trace service and the local Health Protection Team to initiate contact tracing) * your GP surgery * your NHS Number * for staff your employee/payroll number |

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| **What special category / sensitive data is being processed?** Tick all that apply |
| ✅ Physical or mental health  ☐ Religious or philosophical beliefs  ☐ Trade union membership  ✅ Sexual orientation (Optional)  ☐ Criminal record  ☐ Criminal proceedings  ✅ Racial or ethnic origin (Optional)  ☐ Political opinions  ☐ Biometric or Genetic data  ✅ Gender status (Optional)  ☐ No special category / sensitive data |
| **What is the nature of the data?** Please provide further information |
| .The above data is being collected on the basis of ensuring the safety and wellbeing of the child when attending a commissioned |

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| **Does the project involve the use of social care data?** |
| ☐ Yes  ✅ No |
| **Does the project utilise existing and established IT systems, or require the use / procurement of a new system?** |
| ✅ Existing / established system  ✅ New system  It is using an existing and established system but adapting and developing it to suit the project. It also will be cross referenced with the LA’s ONE system to establish the FSM eligibility from schools data |

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| **The nature of the processing** |
| **How will the data be collected?** E.g. via form, system transfer, face to face etc. |
| Online form and face to face |
| **How will the data be used?** |
| To enable eligible families/pupils to access provision and complete registration. The data will also be used to validate eligibility  To enable pupils, partners and delivery agents to carry out their duties safely and reduce the risk of infection amongst the programmes |
| **How will the data be stored?** |
| The data will be held within an SQL Database, using a secure HTTPS web connection provided by Comodo Internet Security |
| **How will the data be deleted?** E.g. Manually, via automated process etc. |
| This will be deleted following completion of the project  For the purpose of the testing, the information on positive results held by schools will be kept for no longer than is necessary to take the necessary steps to initiate contact tracing within the School or University to minimise the spread of the virus.  The information processed by the NHS is kept for as long as it is required to provide you with direct care and to support NHS initiatives to fight COVID-19.  Information held for direct care purposes are stored in line with the Records Management Code of Practice for Health and Social Care 2016. This means such information will be held for up to 8 years before it is deleted.  Any personal data gathered as part of this Programme for other purposes will be deleted at the end of the Programme. |
| **What is the source of the data?** i.e. What is the flow of data into the Council? |
| Personal data is collected direct from the parent/carer on the sign up platform. This information is cross referenced with the city councils ONE system that parents already sign up through Schools Information sharing agreement. Data regarding individuals use for the purpose of the HAF project will remain within the platform and will not be stored on any SCC platforms.  Personal data will come from the parent on a voluntary basis via sign up process of the platform |
| **Will you be sharing data with anyone?** |
| **INFO:** If yes, please provide details |
| Yes. Some limited information will be shared with those organisations we have commissioned to offer services on our behalf as part of the scheme. This will be to enable them to access the provision and relevant safeguarding details. (dietary, medical, contact details etc)  We have legal duties to keep information about you confidential. Strict rules apply to keep your information safe and comply with Data Protection Act 2018, the UK General Data Protection Regulation (GDPR) and organisational Data Protection policies.  The NHS database used to store your/your child’s personal data linked with your health data is held securely on NHS servers and access to this information is tightly governed, in line with Data Protection requirements. |
| **If so, how will the data be transferred?** |
| Access to information will remain within the platform and commissioned organisations will be able to access information only from those individuals who have signed up for their provision. Information will not be extracted by external organisations |
| **If the data is being shared, will this be governed by an agreement?** e.g. contract, data sharing agreement, data processing agreement |
| Yes a data sharing agreement with all partners. Information will only be available to providers to enable them to view who is accessing their provision and relevant personal data in respect to safety and meeting needs |

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| **Describe the scope of the processing** |
| **How often will the data be collected and used?** |
| Updated/verified annually by each user and used to report frequently |
| **How long will you keep it?** |
| **INFO:** Please specify a time period, and the corresponding entry on the Council’s Retention Schedule:  <https://staffinfo.southampton.gov.uk/information-governance/records-management/retention.aspx>  If unsure, contact the Senior Records Officer: [records.management@southampton.gov.uk](mailto:records.management@southampton.gov.uk) |
| Details will be deleted following the closure of the project and all financial returns have been completed to the DfE  The information on positive results held by schools will be kept for no longer than is necessary to take the necessary steps to initiate contact tracing within the School or University to minimise the spread of the virus.  The information processed by the NHS is kept for as long as it is required to provide you with direct care and to support NHS initiatives to fight COVID-19. Information held for direct care purposes are stored in line with the Records Management Code of Practice for Health and Social Care 2016. This means such information will be held for up to 8 years before it is deleted.  Any personal data gathered as part of this Programme for other purposes will be deleted at the end of the Programme. |
| **How many individuals are affected?** |
| Up to 10,000 |
| **What geographical area does it cover?** |
| Southampton |

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| **Describe the context of the processing** |
| **What is the nature of your relationship with the individuals?** |
| **INFO:** Detail who the data subjects will be (e.g. residents, carers, pupils, staff, professionals) |
| Residents of Southampton |
| **How much control will they have over their data?** Will they be able to change it, access it, delete it etc.? |
| They will be able to update their data whenever they like using their online account  By law, you have a number of rights under data protection legislation, this testing programme does not take away or reduce these rights.  You have the right to contact the us to ask for the following:   * to be informed about the data held about you * to access the data held about you * to have the data held about you edited or updated where it is inaccurate or incomplete * to request that data held about you be erased * to request that the use of your data be restricted * to object to the use of your data   Further information about your data protection rights appears on the Information Commissioner’s website at:  <https://ico.org.uk/for-organisations/guide-to-data-protection/principle-6-rights/>. |
| **Would they reasonably expect the Council to use their data in this way?** |
| **INFO:** Please provide details to support your answer |
| Data we are obtaining is already being used by areas of the council for different projects or systems. The information given by the user will only be used to facilitate access to provision and validation of eligibility |

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| **Do they include children or other vulnerable groups?** |
| **INFO:** If yes, please provide details |
| Yes, individual child data will be collected and used. |

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| **Are you aware of any prior concerns over this type of processing or security flaws?** |
| **INFO:** If yes, please provide details |
| No |
| **Is the processing novel in any way?** E.g. do other local authorities have a similar process in place? |
| **INFO:** If yes, please provide details |
| No, there are many systems that collect data on individuals wellbeing activities and interests, this will almost always include personal data. A local example is the Connect4families run by Hampshire County Council.  For the purpose of the saliva testing, all schools and colleges in the city have signed up to the same programme and agreements |
| **Are there any current issues of public concern that should be considered?** |
| **INFO:** If yes, please provide details |
| No |

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| **Describe the purposes of the processing** |
| **What do you want to achieve?** |
| Real time data that enables key decision makers within the city to make decisions to sustainably develop the health and wellbeing of everyone within Southampton. |
| **What is the intended effect on individuals?** |
| To improve the health and wellbeing of everyone in Southampton  To keep staff, children and families safe and to reduce risk of infection |

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| **What are the benefits of the processing – for the Council, and more broadly?** |
| **INFO:** Please confirm which of the Council’s key outcomes this will support, and how |
| **Outcome:**  ✅ Southampton has strong and sustainable economic growth  ✅ Children and young people get a good start in life  ✅ People in Southampton live safe, healthy, independent lives  ✅ Southampton is an attractive modern city, where people are proud to live and work  **How:**  The project is there to engage some of the city’s most vulnerable families and offer provision and activities for the school holidays. We have attempted to us local providers and ensure that funding remains within the city and for our children.  Children will get access to free childcare as well as enriching activities and free healthy food. This will enable them to grow their independence, skills and personal development and ensure their physical health is at the centre of the project  Through an effective social media campaign the project is hoping to really put Southampton on the map and we have already received positive national coverage.  This will also allow the council to offer well needed provision, but to ensure we have a safe environment where risk to infection is kept to a minimum |

# Step 3: Consultation process

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| **Consider how to consult with relevant stakeholders** |
| **Describe when and how you will seek individuals’ views – or justify why it’s not appropriate to do so** |
| Key officers within the council have already been briefed and are keen to see this in action. We have an opportunity to build this and make a real impact so going out to a wider audience to gain feedback would be damaging to the time scale of being able to deliver this on time.  The saliva testing is purely a voluntary basis and parents/carers have the ability to remove this agreement at any time |

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| **Who else do you need to involve, or have you already involved within the Council?** |
| **INFO:** e.g. IT services, records management |
| This process has had the full backing of the council leaders and directorate. Parties who are involved in the process will be:   * Legal Services * Web Management * Management Information commissioned services * Communications Team   Council SMT and Cabinet |
| **Do you need to ask your processors to assist?** |
| **INFO:** Processors are third parties who will process the personal data on our behalf |
| Succeedin Limited, Leeward, 24 Montserrat Road, Lee on the Solent, Hampshire PO13 9LT |
| **Do you plan to consult information security experts, or any other experts?** |
| **INFO:** Please provide details to support your answer |
| The online platform being used is supported by a strategic partner who have the necessary credentials for: Data Server Management: are ISQ 27001:2013 certified. Succeedin are registered with the ICO since 2018.  Registration no: ZA308588. Ensuring best practice in the data management is maintained. |

# Step 4: Assess necessity and proportionality

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| **Describe compliance and proportionality measures** |
| **What do you consider your lawful basis for processing to be?** Please choose one of the following… |
| **INFO:** There should generally only be one legal basis for processing. |
| ☐ The data subject has given consent  ☐ The processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract  ☐ The processing is necessary for compliance with a legal obligation to which the Council is subject  ✅ The processing is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the Council  ☐ The processing is necessary for the purposes of the legitimate interests pursued by the Council or by a third party |

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| **Please provide further information to support this** |
| **INFO:** For example, if the processing is necessary in order for the Council to perform a statutory function, detail the relevant legislation. |
| Local authorities are statutorily responsible for safeguarding in relation to children in need, under s.17 of the Children Act 1989, and looked after children under s.20 of the Children Act 1989.  “Safeguarding” includes   * protecting children from maltreatment * preventing impairment of children’s mental and physical health or development * ensuring that children grow up in circumstances consistent with the provision of safe and effective care * taking action to enable all children to have the best outcomes   **Why our use of your personal data is lawful**  In order for our use of your/your child’s personal data to be lawful, we need to meet one (or more) conditions in the data protection legislation. For the purposes of this programme, the relevant conditions are:  For processing personal data by the NHS and School/College:   * Article 6(1)(e) GDPR, to perform a public task as part of our function as a department.   The University’s lawful basis for processing your personal data for operational delivery of the Programme is legitimate interests. GDPR Article 6(1)(f).  For processing special category data by the NHS:   * GDPR Article 9(2)(i) – the processing is necessary for reasons of public interest in the area of public health * Data Protection Act 2018 – Schedule 1, Part 1, (2) (2) (f) – health or social care purposes * Regulations 3(1) and (4) of the Health Service (Control of Patient Information) Regulations 2002 (COPI) – the processing is necessary for a COVID-19 purpose |
| **Does the processing actually achieve your purpose?** |
| **INFO:** Please provide details to support your answer |
| Yes. We are capable of monitoring access, impact and various evaluative processes. It will also enable us to easily be able to report back to the DfE fully to enable all funding to be reclaimed to the city |

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| **Is there another way to achieve the same outcome?** |
| **INFO:** Please details to support your answer |
| Yes, the old method of using handwritten registration forms but then there will be the requirement of paper destruction after use as the date would be transferred to an online application. |
| **How will you prevent function creep?** |
| **INFO:** Function creep is where data collected for one purpose is used for another purpose over time. |
| Data is stored securely through the commissioned platform and only administrators assigned by HAF team have the ability to get full access to information. Selected information is available to signed up partners to enable them to perform their safeguarding roles, but only to those children and families who have signed up to their service  For the purpose of the NHS Testing, this is stored in the UK by the NHS only |
| **How will you ensure data quality and data minimisation?** |
| **INFO:** We should only use the minimum amount of personal data possible to achieve the purpose of the processing. |
| By requested the specific data fields that we know are needed for us to promote the activities of the SHWM. |
| **What information will you give individuals about the processing?** |
| There will be a link to the privacy and data policies that we have. |
| **How will you help to support their rights?** |
| **INFO:** Data subject’s rights include the right to access, rectify, erase, port, and restrict their data. |
| They will have the ability to see their held data at anytime by logging onto their account. They will have limited ability to amend / delete, as there is a need to maintain most of the data to be able to successfully report back to the DfE.. Following the completion of the project this can be totally deleted if so wished.. |
| **What measures do you take to ensure processors comply with the UK GDPR, and assist the Council in supporting individuals in exercising their rights?** |
| **INFO:** E.g. will there be a contract in place with the processor that contains data protection obligations? |
| Yes, contacts with other organisations are in place so there will one in place |
| **How do you safeguard any international transfers of personal data?** |
| **INFO:** If there are no international transfers involved, please state this |
| With the existing relationships and known policies they have we are very confident that their security measures in place. This is a cloud solution, operated in the UK with UK servers under Fast Hosts and managed by Succeedin |

# Step 5: Send DPIA Form to the Data Protection Officer

After completing this part of the form, please send the document to the Information Lawyer (Data Protection Officer) at [dataprotection@southampton.gov.uk](mailto:dataprotection@southampton.gov.uk)

The DPO will review the information provided, and identify and assess the privacy risks.

# Step 6: Identify and assess risks (DPO to complete)

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| **Describe source of risk and nature of potential impact on individuals.** Include associated compliance and corporate risksas necessary. | **Likelihood of harm** | **Severity of harm** | **Overall risk** |
| 1. N/A – all reasonable privacy risks identified and addressed. | Remote Possible Probable | Minimal Significant Severe | Low Medium High |

# Step 7: Identify legal basis and measures to reduce risk (DPO to complete)

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| **Condition(s) for Processing** |
| **Personal Data** |
| ☐ The data subject has given consent  ☐ The processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract  ☐ The processing is necessary for compliance with a legal obligation to which the Council is subject  The processing is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the Council  ☐ The processing is necessary for the purposes of the legitimate interests pursued by the Council or by a third party |
| **Further Information** |
| Local authorities are statutorily responsible for safeguarding in relation to children in need, under s.17 of the Children Act 1989, and looked after children under s.20 of the Children Act 1989. |

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| **Special Categories of Personal Data** |
| ☐ The data subject has given explicit consent  ☐ The processing is necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or of the data subject in the field of employment and social security and social protection law  The processing is necessary for reasons of substantial public interest  ☐ The processing is necessary for the purposes of preventive or occupational medicine, for the assessment of the working capacity of the employee, medical diagnosis, the provision of health or social care or treatment or the management of health or social care systems  ☐ The processing is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes  ☐ No special category data being processed |
| **Further Information** |
| Local authorities are statutorily responsible for safeguarding in relation to children in need, under s.17 of the Children Act 1989, and looked after children under s.20 of the Children Act 1989.  There is substantial public interest in ensuring that the welfare of Children is safeguarded, and that they are protected against maltreatment. |
| **Data Protection Act 2018 Schedule 1 Condition** |
| SCHEDULE 1, PART 2, Paragraph 6 |
| **Further Information** |
| As stated above, the processing is necessary for the exercise of a function conferred on the Council, and there is substantial public interest in doing so. |

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| **Identify additional measures you could take to reduce or eliminate risks identified as medium or high risk in step 5** | | | |
| **Risk** | **Options to reduce or eliminate risk** | **Effect on risk** | **Residual risk** |
|  | N/A – all reasonable privacy risks identified and addressed. | Eliminated  Reduced  Accepted | Low  Medium  High |
| **Comments from the Data Protection Officer** | | | |
| This DPIA should be read in conjunction with DPIA ref. CLT-037124 in respect of school saliva testing. | | | |
| **Comments from the Senior Records Officer** | | | |
| No additional comments. | | | |
| **Comments from the Head of IT** | | | |
| Not consulted due to the use of existing / established systems. | | | |

# Step 8: Sign off

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| **Item** | | **Date** | **Notes** |
| DPO reviewed DPIA and provided advice on: | | 6th December 2021 | DPO should advise on compliance, step 7 measures and whether processing can proceed |
| Senior Records Officer reviewed DPIA on: | | 9th July 2021 | SRO should advise on records management matters |
| Head of IT reviewed DPIA on: | | N/A | Head of IT should advise on IT security matters |
| Measures approved by Project Lead on: | | 6th January 2022 | Integrate actions back into project plan, with date and responsibility for completion |
|  | Comments from Project Lead: | No comments. | |
| Residual risks approved by Information Asset Owner / Administrator on: | | 3rd February 2022 | The relevant IAO or IAA is required to accept any residual risks associated with the processing. |
|  | Comments from IAO / IAA: | No comments. | |
| Project approved by Caldicott Guardian (CG) on: | | N/A | The relevant Caldicott Guardian is required to approve any project involving the processing of social care data. |
|  | Comments from CG: | N/A | |
| Residual high risks approved by the Senior Information Risk Owner (SIRO) on: | | N/A | If accepting any residual high risk, consult the ICO before going ahead |
|  | Comments from SIRO: | N/A | |

Step 9: Review

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| **Item** | **Date** | **Comments** |
| DPO reviewed DPIA on: |  |  |
| Date of next review: |  | |

1. “Large scale” can mean the number of individuals involved, the volume of data, the variety of data, the duration of processing, or geographical area. [↑](#footnote-ref-1)
2. Special category data is personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, or trade union membership, genetic data, biometric data, data concerning health or data concerning a natural person’s sex life or sexual orientation. [↑](#footnote-ref-2)