

# Data Protection Impact Assessment

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## **What is a Data Protection Impact Assessment?**

A Data Protection Impact Assessment (“DPIA”) is a process that assists organisations in identifying and minimising the privacy risks of new projects or policies. Projects of all sizes could impact on personal data.

The DPIA will help to ensure that potential problems are identified at an early stage, when addressing them will often be simpler and less costly.

Conducting a DPIA should benefit the Council by producing better policies and systems, and improving the relationship with individuals.

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## **Why should I carry out a DPIA?**

Carrying out an effective DPIA should benefit the people affected by a project and also the organisation carrying out the project.

Not only is it a legal requirement in some cases, it is often the most effective way to demonstrate to the Information Commissioner’s Officer how personal data processing complies with data protection legislation.

A project which has been subject to a DPIA should be less privacy intrusive and therefore less likely to affect individuals in a negative way.

A DPIA should improve transparency and make it easier for individuals to understand how and why their information is being used.

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## **When should I carry out a DPIA?**

The core principles of DPIA can be applied to any project that involves the use of personal data, or to any other activity that could have an impact on the privacy of individuals.

Answering the screening questions in Step 1 of this document should help you identify the need for a DPIA at an early stage of your project, which can then be built into your project management or other business process.

## Who should carry out a DPIA?

Responsibility for conducting a DPIA should be placed at senior manager level. A DPIA has strategic significance and direct responsibility for the DPIA must, therefore, be assumed by a senior manager.

The senior manager should ensure effective management of the privacy impacts arising from the project, and avoid expensive re-work and retro-fitting of features by discovering issues early.

A senior manager can delegate responsibilities for conducting a DPIA to three alternatives:

- a) An appointment within the overall project team;
- b) Someone who is outside the project; or
- c) An external consultant.

Each of these alternatives has its own advantages and disadvantages, and careful consideration should be given on each project as to who would be best-placed for carrying out the DPIA.

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## How do I carry out a DPIA?

Working through each section of this document will guide you through the DPIA process.

The requirement for a DPIA will be identified by answering the questions in Step 1. If a requirement has been identified, you should complete all the remaining sections in order.

After Step 5, the Information Lawyer (Data Protection Officer) will review the DPIA within 14 days of receipt, and complete the rest of the assessment within 28 days. The DPO will identify any privacy risks, and proposed measures to address them.

These measures must then be agreed by the project lead, Information Asset Owner or Administrator, and, in some cases, the Senior Information Risk Owner.

Advice can be found at the beginning of each section, but if further information or assistance is required, please contact the Information Lawyer (Data Protection Officer) on 023 8083 2676 or at [information@southampton.gov.uk](mailto:information@southampton.gov.uk).

Data Protection Impact Assessment			
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<b>Date last amended</b>	2 <sup>nd</sup> November 2018	<b>Approval date</b>	2 <sup>nd</sup> November 2018
<b>Lead officer</b>	Chris Thornton, Information Lawyer (Data Protection Officer)	<b>Review date</b>	2 <sup>nd</sup> November 2019
<b>Contact</b>	<a href="mailto:information@southampton.gov.uk">information@southampton.gov.uk</a>	<b>Effective date</b>	2 <sup>nd</sup> November 2019

## Project Details

<b>Name of Project</b>
Freight Consolidation, Delivery and Service Planning and Fleet Accreditation – Public Service Vehicles. Southampton Local Plan for EU Nitrogen Dioxide Compliance Within the Shortest Possible Time
<b>Brief Summary of Project</b>
<p>Southampton City Council were directed by government to undertake an assessment of air quality in the city, and produce a business case for a Plan to comply with the EU AAQD for NO<sub>2</sub> in the shortest possible time which will be submitted to the Secretary of State for Environment for approval and subsequent funding. The business case has identified measures that pending decision from Cabinet on 22<sup>nd</sup> January 2019 and subsequent approval by the Secretary of State, will be implemented in 2019 to improve air quality.</p> <p>As part of this plan it is proposed to support Freight Consolidation (FC), Delivery and Service Planning (DSP) and Fleet Accreditation (FA) for HGV operators. FC will provide a facility for HGV operators to consolidate their deliveries to fewer vehicles. DSP's will evaluate existing business practices and provide recommendations for practices that are more efficient and promote improved air quality. FA will evaluate businesses existing vehicle fleets and recommend alternative vehicles or technological solutions that will improve air quality.</p> <p>SCC will appoint a third party consultant to undertake the work. It is not anticipated that personal data is required for the success of the projects.</p>
<b>Estimated Completion Date</b>
Q4 2019/20
<b>Name of Project Lead</b>
Steve Guppy

## Details of Person Conducting DPIA

<b>Name</b>
Steve Guppy
<b>Position</b>
Scientific Service – Service Manager
<b>Contact Email Address</b>
<a href="mailto:steve.guppy@southampton.gov.uk">steve.guppy@southampton.gov.uk</a>

## Step 1: Identify the need for a DPIA

### Does your project involve... (tick all that apply)

- 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
- The use of profiling, automated decision-making, or special category data<sup>1</sup> to make significant decisions about people (e.g. their access to a service, opportunity, or benefit).
- The processing of special category data<sup>1</sup> or criminal offence data on a large scale.
- Systematically monitoring a publicly accessible place on a large scale.
- The use of new technologies.
- Carrying out profiling on a large scale.
- Processing biometric or genetic data.
- Combining, comparing, or matching data from multiple sources.
- Processing personal data without providing a privacy notice directly to the individual.
- Processing personal data in a way which involves tracking individuals' online or offline location or behaviour.
- Processing children's personal data for profiling or automated decision-making or for marketing purposes, or offer online services directly to them.
- Processing personal data which could result in a risk of physical harm in the event of a security breach.

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<sup>1</sup> personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, or trade union membership, and the processing of genetic data, biometric data for the purpose of uniquely identifying a natural person, data concerning health or data concerning a natural person's sex life or sexual orientation

**If you answered “yes” to 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 [information@southampton.gov.uk](mailto:information@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

### The nature of the processing

How will you collect data?

How will you use the data?

How will you store the data?

How will you delete the data?

What is the source of the data?

Will you be sharing data with anyone?

### Describe the scope of the processing

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)

Name, address, vehicle registration, SCC licensed vehicle plate number, proposed vehicles licensed vehicle plate number (new vehicle that will replace existing licensed vehicle)

Does it include special category or criminal offence data?

**INFO:** "Special category" data includes personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, or trade union membership, and the processing of genetic data, biometric data for the purpose of uniquely identifying a natural person, data concerning health or data concerning a natural person's sex life or sexual orientation.

**How much data will you be collecting and using?**

**How often will the data be collected and used?**

**How long will you keep it?**

**How many individuals are affected?**

**What geographical area does it cover?**

**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)

**How much control will they have over their data?**

**Would they reasonably expect the Council to use their data in this way?**

**Do they include children or other vulnerable groups?**

**Are you aware of any prior concerns over this type of processing or security flaws?**

**Is the processing novel in any way?**

**INFO:** Does it involve any innovative or new technology, or is the processing unique or unusual?

**What is the current state of technology in this area?**

**Are there any current issues of public concern that should be considered?**

**Describe the purposes of the processing**

**What do you want to achieve?**

**What is the intended effect on individuals?**

**What are the benefits of the processing – for the Council, and more broadly?**

### Step 3: Consultation process

**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**

**Who else do you need to involve within your organisation?**

**INFO:** e.g. IT services, records management

**Do you need to ask your processors to assist?**

**INFO:** processors are third parties who will process the personal data on our behalf

**Do you plan to consult information security experts, or any other experts?**



## Step 4: Assess necessity and proportionality

### Describe compliance and proportionality measures

**What is your lawful basis for processing?** Please choose one of the following...

- 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

**Does the processing actually achieve your purpose?**

**Is there another way to achieve the same outcome?**

**How will you prevent function creep?**

**INFO:** Function creep is where data collected for one purpose is used for another purpose over time.

**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.

**What information will you give individuals about the processing?**

**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.

**What measures do you take to ensure processors comply with the GDPR, and assist the Council in supporting individuals in exercising their rights?**

**How do you safeguard any international transfers of personal data?**

## 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 [information@southampton.gov.uk](mailto:information@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)

<b>Describe source of risk and nature of potential impact on individuals.</b> Include associated compliance and corporate risks as necessary.	<b>Likelihood of harm</b>	<b>Severity of harm</b>	<b>Overall risk</b>
1.	Remote, possible or probable	Minimal, significant or severe	Low, medium or high
2.	Remote, possible or probable	Minimal, significant or severe	Low, medium or high
3.	Remote, possible or probable	Minimal, significant or severe	Low, medium or high
4.	Remote, possible or probable	Minimal, significant or severe	Low, medium or high
5.	Remote, possible or probable	Minimal, significant or severe	Low, medium or high
6.	Remote, possible or probable	Minimal, significant or severe	Low, medium or high

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

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
1.		Eliminated Reduced Accepted	Low Medium High
2.		Eliminated Reduced Accepted	Low Medium High
3.		Eliminated Reduced Accepted	Low Medium High
4.		Eliminated Reduced Accepted	Low Medium High
5.		Eliminated Reduced Accepted	Low Medium High
6.		Eliminated Reduced Accepted	Low Medium High
<b>Comments from the Data Protection Officer</b>			
<b>Comments from the Senior Records Officer</b>			

## Step 8: Sign off

Item	Date	Notes
DPO reviewed DPIA and provided advice on:		DPO should advise on compliance, step 7 measures and whether processing can proceed
Senior Records Officer reviewed DPIA on:		SRO should advise on records management matters
Measures approved by Project Manager on:		Integrate actions back into project plan, with date and responsibility for completion
Comments from Project Manager:		
Residual risks approved by Information Asset Owner / Administrator on:		
Comments from IAO / IAA:		
Residual high risks approved by the Senior Information Risk Owner on:		If accepting any residual high risk, consult the ICO before going ahead
Comments from SIRO:		