

Data Protection Impact Assessment

Project Details

Name of Project
Additional HMO licensing Scheme – 12 week public consultation on proposals
Brief Summary of Project
<p>Consultation on the proposal to designate an area of the city for Additional HMO licensing. All smaller HMO and HMOs within purpose built accommodation blocks would be subject to licensing. This will cover the following wards; Bevois, Bargate, Banister & Polygon, Portswood, Swaythling, Freemantle, Shirley, Bassett & Millbrook.</p> <p>A series of questions will be asked on opinions on the scheme. No personal data will be collected on the recipients.</p>
Estimated Completion Date
February 2025
Name of Project Lead
Steven Hayes-Arter

Details of Person Conducting DPIA

Name
Steven Hayes-Arter
Position
Service Manager Private Sector Housing & Port Health
Contact Email Address
Steven.hayes-arter@southampton.gov.uk

Step 1: Identifying the need for a DPIA

Does your project involve the processing of personal data by or on behalf of Southampton City Council?

“Personal Data” means information that relates to an individual, who can be identified (either by the information alone, or when combined with other information).

“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 by or on behalf of Southampton City Council, tick the declaration at the end of this section.

If your project **does** involve the processing of personal data by or on behalf of Southampton City Council, proceed to the next set of screening questions below.

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 scale¹
- Processing of data concerning vulnerable data subjects
- Processing that involves preventing data subjects from exercising a right or using a service or contract

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 data² 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 behaviour
- 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

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.

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.

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

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

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

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)

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
- Criminal record
- Criminal proceedings
- Racial or ethnic origin
- Political opinions
- Biometric or Genetic data
- No special category / sensitive data

What is the nature of the special category / sensitive data? Please provide further information

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

The nature of the processing

Briefly describe the flow of personal data

INFO: Describe “the journey” of the data, from the point of collection from the data subject, through the various parties and departments involved.

How will the data be collected? E.g. via form, system transfer, face to face etc.

How will the data be used?

How will the data be stored?

How will the data be deleted? E.g. Manually, via automated process etc.

What is the source of the data? i.e. What is the flow of data into the Council?

Will you be sharing data with anyone?

INFO: If yes, please provide details

If so, how will the data be transferred?

If the data is being shared, will this be governed by an agreement? e.g. contract, data sharing agreement, data processing agreement

Describe the scope of the processing

How often will the data be collected and used?

How long will you keep the data, and how is this length of time justified?

Is the time period reflected in the Council's Retention Schedule?

<https://staffinfo.southampton.gov.uk/information-governance/records-management/retention.aspx>

INFO: Please specify the corresponding entry on the Council's Retention Schedule. If unsure, contact the Information Officer (Data Management): records.management@southampton.gov.uk

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? Will they be able to change it, access it, delete it etc.?

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

INFO: Please provide details to support your answer

Do they include children or other vulnerable groups?

INFO: If yes, please provide details

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

INFO: If yes, please provide details

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

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

INFO: If yes, please provide details

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?

INFO: Please confirm which of the Council's key goals this will support, and how

Goal:

- Strong foundations for life
- A proud and resilient city
- A prosperous city
- A successful, sustainable organisation

Please explain how the goal is met

Step 3: Consultation

Consider how to consult with relevant stakeholders

Do you think it's necessary to consult with the public about the processing?
If not, why?

INFO: Please provide details to support your answer

Who else do you need to involve, or have you already involved within the Council?

INFO: e.g. IT services, records management

Do you plan to consult IT, external information security experts, or any other experts? If not, why?

INFO: Please provide details to support your answer

DPIA continues on next page.

Step 4: Assess necessity and proportionality

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

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.

Why is the processing deemed necessary?

INFO: e.g. Is the Council under an obligation to provide a service, or is there a particular problem that the project is trying to address?

Does the processing actually achieve your purpose?

INFO: Please provide details to support your answer

Is there another way to achieve the same outcome?

INFO: Please details to support your answer

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?

Aside from existing corporate processes, will there be any additional measures in place to support individuals exercising their privacy rights?

INFO: Data subject's rights include the right to access, rectify, erase, port, and restrict their data.

Additional measures could include self-service options to enable individuals to change / update their personal data, or download copies of their data

If a third party is carrying out the processing on our behalf, what measures will be in place to ensure they 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 third party that contains data protection obligations?

How do you safeguard any international transfers of personal data?

INFO: If there are no international transfers involved, please state this

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

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

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

Describe source of risk and nature of potential impact on individuals. Include associated compliance and corporate risks as necessary.	Likelihood of harm	Severity of harm	Overall risk
1.	Remote Possible Probable	Minimal Significant Severe	Low Medium High
2.	Remote Possible Probable	Minimal Significant Severe	Low Medium High
3.	Remote Possible Probable	Minimal Significant Severe	Low Medium High
4.	Remote Possible Probable	Minimal Significant Severe	Low Medium High
5.	Remote Possible Probable	Minimal Significant Severe	Low Medium High
6.	Remote Possible Probable	Minimal Significant Severe	Low Medium High

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

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

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

Data Protection Act 2018 Schedule 1 Condition

Further Information

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

Comments from the Data Protection Officer

Comments from the Information Officer (Data Management)

Comments from the Head of IT

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
Information Officer (Data Management) reviewed DPIA on:		SRO should advise on records management matters
Head of IT reviewed DPIA on:		Head of IT should advise on IT security matters
Measures approved by Project Lead on:		Integrate actions back into project plan, with date and responsibility for completion
Comments from Project Lead:		
Residual risks approved by Information Asset Owner / Administrator on:		The relevant IAO or IAA is required to accept any residual risks associated with the processing.
Comments from IAO / IAA:		
Project approved by Caldicott Guardian (CG) on:		The relevant Caldicott Guardian is required to approve any project involving the processing of social care data.
Comments from CG:		
Residual high risks approved by the Senior Information Risk Owner (SIRO) on:		If accepting any residual high risk, consult the ICO before going ahead
Comments from SIRO:		

Step 9: Review

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