

Cabinet

DOCUMENTS FOR THE MEMBERS ROOM

Tuesday, 17th July, 2018
at 4.30 pm

MEMBERS ROOM DOCUMENTS ATTACHED TO THE
LISTED REPORTS

Contacts

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MEMBERS ROOM DOCUMENTS

- 9 **JOINT AIR QUALITY UNIT (JAQU), CLEAN AIR ZONE EARLY MEASURES FUND** (Pages 1 - 6)
- 10 **EDUCATION CAPITAL PROGRAMME (SECONDARY SCHOOLS EXPANSION)** (Pages 7 - 10)
- 11 **CONSORTIA COMMISSIONING OF CHILDREN'S RESIDENTIAL CARE** (Pages 11 - 18)
- 12 **CONNECTED SOUTHAMPTON - 20 YEAR LOCAL TRANSPORT PLAN** (Pages 19 - 40)
- 13 **ADDITIONAL LICENSING SCHEME FOR HOUSES IN MULTIPLE OCCUPATION (HMOS) - CONSULTATION RESULTS AND FINAL APPROVAL** (Pages 41 - 58)
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Monday, 9 July 2018

SERVICE DIRECTOR, LEGAL AND GOVERNANCE



Equality and Safety Impact

The **Public Sector Equality Duty** (Section 149 of the Equality Act) requires public bodies to have due regard to the need to eliminate discrimination, advance equality of opportunity, and foster good relations between different people carrying out their activities.

The Equality Duty supports good decision making – it encourages public bodies to be more efficient and effective by understanding how different people will be affected by their activities, so that their policies and services are appropriate and accessible to all and meet different people’s needs. The Council’s Equality and Safety Impact Assessment (ESIA) includes an assessment of the community safety impact assessment to comply with Section 17 of the Crime and Disorder Act and will enable the Council to better understand the potential impact of proposals and consider mitigating action.

Name or Brief Description of Proposal	Clean Air Zone (CAZ) Early Measures Fund
Brief Service Profile (including number of customers)	
<p>SCC, in partnership with New Forest District Council, has secured £1,731,677 from the Government’s Clean Air Zone Early Measures Fund to deliver a set of projects prior to the implementation of the city’s Clean Air Zone in 2019/2020 that will reduce harmful emissions. Southampton is one of 5 cities from across the country identified for the first round of Clean Air Zones. This funding, that has been allocated by JAQU, is aimed specially at lowering emissions from the city’s vehicle fleet before the introduction of the Southampton Clean Air Zone.</p> <p>The total funding of £1,731,677 will be delivered within the 2018/2019 financial year, with £1,545,000 allocated for cycle infrastructure and promotional activities along two corridors identified in the Southampton Cycle Strategy (A33 The Avenue and the A3024 Bursledon Road-Bitterne Road West), £55,000 allocated for additional investment in the city’s emerging Legible Cycle network wayfinding signage, £81,677 for marketing and communications work linked to the promotion of cycling and the National Clean Air Day and £50,000 for feasibility and design work for cycle route development in the east of the New Forest District linked to Southampton.</p> <p>As part of this project, there is £385,000 of match funding from the council’s LTP Capital budget and Roads Programmes to support delivery of the cycle infrastructure works through already committed works along The Avenue.</p>	
Summary of Impact and Issues	
<p>Southampton is the eighth most polluted city in the UK, accounting for 100 avoidable deaths each year. The National Air Quality Plan for Nitrogen Dioxide in UK (2017) has identified Southampton as one of five UK cities, outside London, that are not expected</p>	

to meet national air quality limit values by 2020. As such Southampton is mandated to establish a Clean Air Zone (CAZ) by the end of 2019. This project will form part of the SCC's Clean Air Zone Strategy and Clean Air Zone Implementation Plan (adopted in November 2016) of which the aim is to bring about compliance with the air quality objectives within the shortest possible time.

At present the Council is pursuing CAZ options that could potentially include a penalty charge for non-compliant vehicles operating within its boundary. A recommendation of the CAZ Strategy and Implementation Plan is to deliver improved infrastructure for sustainable modes to facilitate increased cycling rates as an effective mechanism for delivering direct emission reductions alongside the introduction of a CAZ.

Whilst private cars are unlikely to be restricted, as part of a charging CAZ or other alternative arrangements currently being evaluated, a vital part of the long term success of the CAZ will be changing people's travel behaviours and habits, particularly away from private cars to alternative sustainable and healthy active modes of transport, or different routes or times to get into the city centre, to reduce the proportional contribution private cars make to pollution levels at key points in the city. The Clean Air Strategy establishes a requirement to 'increase the uptake of public transport, cycling and walking' amongst the list of associated mitigating measures and the JAQU funding that has been secured supports this priority.

Potential Positive Impacts

The funding secured from the Government's Clean Air Zone Early Measures Fund will focus on supporting a number of the priority outcomes identified in the Southampton Cycle Strategy and Clean Air Strategy around improving air quality, supporting businesses and organisations, and collaborating with communities and residents. Improved cycle infrastructure and behaviour change measures will deliver a number of positive impacts:

- Reduced dependence on the private car through an increased number of people choosing to cycle;
- By addressing congestion and improving rates of active travel, we will also improve the overall life chances of those who are facing social exclusion - reducing the impact of air pollution and the effects of inactivity;
- Improved journeys for existing cyclists using the two routes targeted for improvement through use of the funds. Continued use of these routes by existing cyclists will help to establish cycling as a social norm - Drivers using the same arterial routes see 'people like them' cycling alongside, giving increased exposure to a new social norm Monday to Friday. This is fundamental to our plan to "Develop a Walking and Cycling Culture";
- The two routes are through neighbourhoods with a high propensity for cycling as mapped using the Department for Transport's Propensity for Cycling tool, so the measures will reach audiences with a greater likelihood to change their behaviour;
- Perception of safety has been shown to be a significant barrier to people taking up cycling. This is confirmed locally by people's intentions in the Southampton Travel Attitudes Survey 2015, where a third of respondents wanted to cycle more often but felt they were not confident enough to cycle on the road. The capital investment proposed through use of the CAZ Early

<p>Measures funding will provide direct, safe, and segregated routes along the two corridors which will help to mitigate such concerns;</p> <ul style="list-style-type: none"> • Coupling investment in cycle infrastructure with promotional work will ensure that residents and commuters who don't currently cycle know about the improvements to the two routes; • With widening social exclusion, offering opportunities to widen transport horizons is essential for those currently outside employment. For those on lower incomes, travel becomes a higher percentage of their household budget. By improving cycle routes through wayfinding and capital improvements, as well as by offering improved information about active travel, it expands the travel options for those looking for work. 	
Responsible Service Manager	Pete Boustred
Date	
Approved by Senior Manager	
Date	

Potential Impact

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
Age	Children, the elderly and people with existing lung or heart conditions are the most susceptible to the health effects of air pollution. Children living in highly polluted areas are four times more likely to have reduced lung function in adulthood than those living in an area of low pollution. Strategies, such as the initiatives outlined in the package of measures funded in Southampton by the CAZ Early Measures Fund, can contribute to reducing exposure and reversing this effect.	Not applicable
Disability	Mapping of Chronic Obstructive Pulmonary Disease (COPD) hospital admissions, asthma hospital admissions and cardiovascular hospital admissions against air quality management areas in Southampton City show close correlation. Those areas in Southampton with the highest pollution levels are also areas where hospital admissions for these conditions are highest. These are also areas of significant deprivation	Not applicable

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
	and where we would expect health outcomes to be worse. Mapping of COPD and asthma prevalence against air quality management areas also shows some degree of correlation. Initiatives which contribute to an improvement in air quality will profoundly benefit those suffering from these conditions.	
Gender Reassignment	No direct impact	Not applicable
Marriage and Civil Partnership	No direct impact	Not applicable
Pregnancy and Maternity	More recent evidence has shown that air pollution has effects across the life-course. It is associated with low birth weight, premature birth, organ damage and even stillbirth. Exposure to ultrafine particles in pregnancy has been linked to adverse developmental abnormalities in children including low IQ. Strategies, such as the initiatives outlined in the package of measures funded in Southampton by the CAZ Early Measures Fund can contribute to reducing exposure and reversing this effect.	Not applicable
Race	No direct impact	Not applicable
Religion or Belief	No direct impact	Not applicable
Sex	No direct impact	Not applicable
Sexual Orientation	No direct impact	Not applicable
Community Safety	Cycle infrastructure up the Avenue/Bassett Avenue will offer an alternative route to Lovers Walk for cyclists wanted to travel at speed with the potential to reduce average cycle speeds along Lovers Walk and increasing the safety of pedestrians.	Not applicable
Poverty	The identified cycle routes pass through and connect areas of deprivation within the city with established cycle ways improving alternative means of access to community facilities.	Not applicable
Health &	Focus on transferring short	None

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
Wellbeing	distance trips away from the car to healthy & active travel by investing in high quality segregated cycle infrastructure.	
Other Significant Impacts	No significant impacts identified.	Not applicable

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Equality and Safety Impact Assessment


The **Public Sector Equality Duty** (Section 149 of the Equality Act) requires public bodies to have due regard to the need to eliminate discrimination, advance equality of opportunity, and foster good relations between different people carrying out their activities.

The Equality Duty supports good decision making – it encourages public bodies to be more efficient and effective by understanding how different people will be affected by their activities, so that their policies and services are appropriate and accessible to all and meet different people’s needs. The Council’s Equality and Safety Impact Assessment (ESIA) includes an assessment of the community safety impact assessment to comply with Section 17 of the Crime and Disorder Act and will enable the Council to better understand the potential impact of proposals and consider mitigating action.

Name or Brief Description of Proposal	Creation of an Additional 1,500 Secondary School Places And future proposals to increase the provision of SEND (specialist) school places.
Brief Service Profile (including number of customers)	
There are currently around 10,800 children and around six hundred staff who work in the twelve secondary schools in the city. All school facilities are open for community use in the City.	
Summary of Impact and Issues	
<p>The Education Capital Programme has yet to be formally approved by Council. This EISA will be continually monitored, evaluated and updated throughout the programme.</p> <p>Accessibility to schools and buildings – Southampton CC needs to ensure all new buildings are fully accessible to all</p> <p>Schools are community facilities the impact on the whole communities they serve.</p>	
Potential Positive Impacts	
As the proposals will involve the creation of new buildings and	

accommodation there is an excellent opportunity to ensure best practice is embraced in the design and construction of buildings in line with our duties within Equalities Act and all other relevant legislation.

In the development of the Programme Blueprint all community users of schools facilities will be considered in the specification and design of the buildings

Responsible Service Manager	Paul Atkins
Date	June 28 th 2018
Approved by Senior Manager	Hilary Brooks 
Date	June 28 th 2018

Potential Impact

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
Age	The principle cohort of schools are Children and Young People and therefore the designs for new buildings will need to be aligned fully to the needs of children and will need t	Adoption of Building Bulletin BB103 guidelines in the design of new school accomodation
Disability	The Education Capital Programme will adopt a fully inclusive approach SEND specialists within Southampton City Council will be engaged and involved in the design of facilities The SEND Code of Practice	Ensure all new buildings are fully accessible and designed and built in line with all regulations and best practice. SEND representation on Programme Board Building Bulletin 101 – SEND places
Gender Reassignment	To be reviewed, updated and monitored throughout the programme	To be reviewed and monitored throughout the programme

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
Marriage and Civil Partnership	To be reviewed, updated and monitored throughout the programme	To be reviewed, updated and monitored throughout the programme
Pregnancy and Maternity	To be reviewed, updated and monitored throughout the programme	To be reviewed, updated and monitored throughout the programme
Race	To be reviewed, updated and monitored throughout the programme	To be reviewed, updated and monitored throughout the programme
Religion or Belief	To be reviewed, updated and monitored throughout the programme	To be reviewed, updated and monitored throughout the programme
Sex	To be reviewed, updated and monitored throughout the programme	To be reviewed, updated and monitored throughout the programme
Sexual Orientation	To be reviewed, updated and monitored throughout the programme	To be reviewed, updated and monitored throughout the programme
Community Safety	Buildings and their use will be fully considered in the design and construction in order to promote community safety and reduce crime	Ensure buildings are safe and secure and designed in line with best practice and building regulations
Poverty	To be reviewed, updated and monitored throughout the programme	To be reviewed, updated and monitored throughout the programme
Health & Wellbeing	To be reviewed, updated and monitored throughout the programme	To be reviewed, updated and monitored throughout the programme
Other Significant Impacts	To be reviewed, updated and monitored throughout the programme	To be reviewed, updated and monitored throughout the programme

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Equality and Safety Impact Assessment

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<p>Name or Brief Description of Proposal</p>	<p>Consortia Commissioning of Children’s Residential Care</p> <p>Appointment of successful providers to a Framework Agreement following the outcome of the procurement process for the Consortia Commissioning of Children’s Residential Care comprising of eighteen Local Authorities and led by Southampton City Council.</p>
<p>Brief Service Profile (including number of customers)</p>	<p>Looked After Children requiring residential care that cannot be accommodated in in-house provision. Southampton City Council has approximately 30 children currently placed in independent residential accommodation.</p>
<p>Summary of Impact and Issues</p>	<p>Local Authorities across the Southern Region of England have come together to commission children’s residential care using a framework agreement, in order to fulfil their statutory duty to provide high quality residential care to looked after children within their Authority. Commissioning as a consortium of (18) Authorities allows us to meaningfully engage with the market whilst enabling us to achieve efficiencies in the purchasing and development of services</p>

	<p>and advocating better care on behalf of children and young people.</p> <p>Effective and appropriate use of the Framework Agreement will give Southampton City Council and its Partners assurance of quality in the provision of residential care services to children and young people, and also a mechanism for price stability within a market which is characterised by variable and escalating costs.</p>
<p>Potential Positive Impacts</p>	<ul style="list-style-type: none"> • Positive outcomes for looked after children and young people through provision of high quality services. • High quality residential placements for looked after children, which, wherever possible, are as close to the home authority as is appropriate. • Improvements in the relevancy and effectiveness of high cost therapeutic placements for the most vulnerable children. • Safe and effective crisis placements in a manner that is compliant with current legislation. • Sufficiently meet the needs of children and young people in residential care. • Improve placement choice which matches need and provides placements to enable the Authorities to meet their sufficiency duty. • Improve placement stability. • Provide clarity on placements which meet the requirements of the Local Authorities in terms of placements for children and young people with disabilities (the 'Local Offer'). • Compliance in commissioning and procurement

	<p>practice and other relevant legislation and standards.</p> <ul style="list-style-type: none"> • Demonstrate value for money and efficient use of public funds and where possible realise savings. • Improve partnership working between Providers and Authorities. • Enable transparency in pricing because costs will be submitted in the tender rather than at the point of each placement, ensuring best value in the use of public funds. • Consistency in terms of the referral process. • Shared Co-ordination of the Framework Agreement including monitoring, performance and quality. • Capacity assurance for different need groups and geographical areas. <p>The Consortium has identified a number of key areas where positive impacts for children and young people are to be evidenced by Providers:</p> <ol style="list-style-type: none"> 1. Safety 2. Physical Health 3. Resilience 4. Self-Esteem 5. Emotional Intelligence 6. Control 7. Relationships 8. Achievement 9. Identity and Social Presentation 10. Preparation for Adulthood.
Responsible Service Manager	<u>Chris Pelletier</u>
Date	

Approved by Senior Manager	Chris Pelletier
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Signature	Chris Pelletier
Date	27/06/18

Potential Impact

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
Age	This Consortia commissioning is expected to have positive impacts on children and young people in our care irrespective of their background or personal characteristics, including: improving outcomes through high quality placements, provide closer to home residential experiences, increase the effectiveness of therapeutic placements for our most vulnerable children and young people and improve placement stability for children and young people in our care.	The mechanisms within this Framework Agreement allow for individual placement agreement for each child or young person, specifying the needs to be met and outcomes required.
Disability	There is a specific Lot within this Framework Agreement, Lot 6 – Children with Disabilities. This Lot provides bespoke services to children and young people with disabilities requiring planned and/ or same day residential care and accommodation.	The mechanisms within this Framework Agreement allow for individual placement agreement for each child or young person, specifying the needs to be met and outcomes required.
Gender Reassignment	The award and subsequent use of this Framework Agreement is expected to have positive impacts to the children and young people in our care, irrespective of their background or personal characteristics.	The mechanisms within this Framework Agreement allow for individual placement agreement for each child or young person, specifying the needs to be met and outcomes required.
Marriage and Civil Partnership	Not applicable	Not applicable
Pregnancy and Maternity	There is a specific Lot within this Framework Agreement, Lot 4 – Residential Parenting Assessments and the award and subsequent	Parents and their Children requiring a placement for the purposes of conducting an assessment of parenting

	<p>use of this Framework Agreement is expected to have positive impacts to the children and young people in our care, irrespective of their background or personal characteristics.</p>	<p>capacity, who are normally resident within our care are included in this Framework Agreement.</p> <p>Furthermore, the mechanisms within this Framework Agreement allow for individual placement agreement for each child or young person, specifying the needs to be met and outcomes required.</p>
Race	<p>The award and subsequent use of this Framework Agreement is expected to have positive impacts to the children and young people in our care, irrespective of their background or personal characteristics.</p>	<p>The mechanisms within this Framework Agreement allow for individual placement agreement for each child or young person, specifying the needs to be met and outcomes required.</p>
Religion or Belief	<p>The award and subsequent use of this Framework Agreement is expected to have positive impacts to the children and young people in our care, irrespective of their background or personal characteristics.</p>	<p>The mechanisms within this Framework Agreement allow for individual placement agreement for each child or young person, specifying the needs to be met and outcomes required.</p>
Sex	<p>The award and subsequent use of this Framework Agreement is expected to have positive impacts to the children and young people in our care, irrespective of their background or personal characteristics.</p>	<p>The mechanisms within this Framework Agreement allow for individual placement agreement for each child or young person, specifying the needs to be met and outcomes required.</p>
Sexual Orientation	<p>The award and subsequent use of this Framework Agreement is expected to have positive impacts to the children and young people</p>	<p>The mechanisms within this Framework Agreement allow for individual placement agreement for</p>

	in our care, irrespective of their background or personal characteristics.	each child or young person, specifying the needs to be met and outcomes required.
Community Safety	<p>The award and subsequent use of this Framework Agreement is expected to have positive impacts to the children and young people in our care, irrespective of their background or personal characteristics.</p> <p>Furthermore, the Framework Agreement provides standards in transition between placements to adult services and placement cessation.</p>	<p>The mechanisms within this Framework Agreement allow for individual placement agreement for each child or young person, specifying the needs to be met and outcomes required.</p> <p>Assessment and care plans seek to ensure the most appropriate placement support for children and young people in the care of the authority.</p>
Poverty	The award and subsequent use of this Framework Agreement is expected to have positive impacts to the children and young people in our care, irrespective of their background or personal characteristics.	The mechanisms within this Framework Agreement allow for individual placement agreement for each child or young person, specifying the needs to be met and outcomes required.
Other Significant Impacts		



Privacy Impact Assessment Report

1 PROJECT TITLE

Consortia Commissioning of Children's Residential Care

2 PROJECT DESCRIPTION

Consortia Commissioning of a Framework Agreement for Children's Residential Care led by Southampton City Council.

3 SERVICE AREA

Children's Social Care and Integrated Commissioning Unit

4 PRIVACY RISKS IDENTIFIED

- a) Personal Information will not be secure.
 - i. Once a placement has been selected, there is a risk that the transfer of sensitive personal data will not be secure when passed to the provider, as the transfer of information between the Council and the provider may be done verbally (either by telephone or face-to-face).
- b) Personal Information will not be accurate or up to date
 - i. As the transfer of information between the Council and the provider may be done verbally (either by telephone or face-to-face), there is an increased risk to the accuracy of the data being transferred.

5 PRIVACY RISK SOLUTIONS

- a) Personal Information will not be secure.
 - i. Information should be handled in accordance with the Council's Data Handling and Reporting Incidents Policy, available online (https://staffinfo.southampton.gov.uk/Images/Information%20Security%20-%20Data%20Handling%20and%20Reporting%20Incidents%20Policy%20v1.0_tcm67-385071.pdf).

If sensitive personal information is being transferred verbally, extra care should be taken to ensure that conversations are not overheard by people who do not need to have access to the information.

- b) Personal Information will not be accurate or up to date
 - i. When transferring personal information verbally, extra care should be taken to confirm the details, to ensure the accuracy of the information is maintained.

Other methods of transfer should be explored, and a solution found that ensures that the transfer is both secure and maintains the accuracy of the information.

If verbal disclosures are to be used, guidance should be given to staff to reduce the risk of inaccurate transfers being made.

6 PRIVACY RISK OUTCOMES

- a) Personal Information will not be secure.
 - i. Risk reduced.
- b) Personal Information will not be accurate or up to date
 - i. As the transfer of information between the Council and the provider may be done verbally (either by telephone or face-to-face), there is an increased risk to the accuracy of the data being transferred.

7 COMMENTS AND FURTHER RECOMMENDATIONS

The above recommendations are in addition to the measures already proposed by the service area within the PIA document itself (and related correspondence), which have been deemed adequate on review.

Equality and Safety Impact Assessment



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The Equality Duty supports good decision making – it encourages public bodies to be more efficient and effective by understanding how different people will be affected by their activities, so that their policies and services are appropriate and accessible to all and meet different people’s needs. The Council’s Equality and Safety Impact Assessment (ESIA) includes an assessment of the community safety impact assessment to comply with Section 17 of the Crime and Disorder Act and will enable the Council to better understand the potential impact of proposals and consider mitigating action.

Name or Brief Description of Proposal	Connected Southampton 2040 (Local Transport Plan 4)
Brief Service Profile (including number of customers)	
<p>Connected Southampton 2040 is the names for the Local Transport Plan (LTP) and is Southampton City Council’s (SCC) draft transport strategy for the City. It sets out the long term approach for managing and improving transport in Southampton for the next twenty years and how it supports the creation of a successful, healthy and sustainable city. The document provides the direction of travel for how SCC will plan and deliver improvements to the transport network, these could range from complex projects and strategies for spatial areas, down to individual interventions. It will demonstrate how SCC and our stakeholders and partners will work together to prepare, invest in and maximise the use of the transport network for the next twenty years to 2040.</p> <p>As the Local Transport Authority, SCC has a statutory duty to produce a Local Transport Plan (LTP) for Southampton under the Transport Act 2000, as amended by the Local Transport Act 2008. The 2008 Act requires LTPs to consist of a long term strategy and a short term implementation plan. It permits LTAs to replace and amend the long term strategy as and when they require. The current LTP (LTP3) was published in 2011 and covered the period to 2031, and the Implementation Plan covers the period 2015-2018. This is the fourth LTP (LTP4) will cover the period up to 2040 and an Implementation Plan will be prepared to cover 2019-2022.</p> <p>Connected Southampton 2040 identifies the proposed transport priorities for Southampton and reflects changes to the nature of challenges and opportunities the city faces, SCC’s bold growth ambitions and a different policy, funding and governance landscape.</p> <p>The draft of Southampton Connected 2040 will affect all 254,700 people who are resident in the city, all 135,000 people who work within the city and the 200,000 staying visitors to Southampton every year, as well as passenger and freight movements via the port of Southampton. All of these people and employers utilise the city’s transport network.</p>	
Summary of Impact and Issues	
Connected Southampton 2040 sets out how SCC will respond to transport and travel challenges of accommodating planned growth, and the increased demand for travel	

for people and goods that this will generate, addressing traffic congestion, maintaining the road network, improving public transport, air quality and road safety in the city. It also considers the role transport can play in accessing employment and training, improving health and reducing social inequalities.

Connected Southampton 2040 sets out an ambitious vision for how SCC plans to respond to transport and travel challenges from the planned growth, changes in the population, health inequalities and air pollution. Three strategic goals have been developed which will be turned into action through eight themes detailing out how the city's transport network will be developed.

- **Successful Southampton** – looks to support the sustainable economic growth of the city by planning for growth, investing in the network and maximising it so it is modern, innovative, resilient and fit for purpose to respond to the growth challenges. It provides the necessary connections to Southampton's major economic drivers, connects people and goods with where they want to go enabling them to get around easily;
- **A System for Everyone** – looks at how the design and layout of a place and new technologies can shape Southampton into being somewhere people want to be. Regardless of who they are or how they are getting around people can access it easily, are respected, safe and have an equal share in the network; and
- **Changing the Way People Travel** – looks to support people in transforming their travel habits by creating an environment where they can get around sustainably, healthily and cleanly.

Connected Southampton 2040 will take a spatial approach to implementing the new transport strategy. Distinct areas of the city have been identified focusing on how they work, how people move about, what barriers there are, what they want and what is planned there for the future. The spatial areas are:

- **The City Centre**
- **Economic Drivers** – main hubs for development including the Port, Hospitals, Universities, Itchen Riverside, Adanac Park, Woolston, and Millbrook;
- **Neighbourhoods** – as a diverse city there are series of local distinctive neighbourhoods where people live that link to the City's District Centres; and
- **Travel to Work Area** – recognising that people's journeys don't stop at the city boundary and there are complex travel patterns both into and out of Southampton.

The strategy does not set out details of how and when these projects would be delivered, and more detailed impact assessments on specific projects will be undertaken alongside any implementation proposals.

Potential Positive Impacts

Over the short, medium and long term, we expect that Connected Southampton 2040 will help to achieve the following:

- A high quality public transport system serving the city
- A comprehensive cycle network connecting all parts of the city together
- Better range of travel options, resulting in reduced dependence on the private car
- Lower volumes of vehicular traffic using residential streets in suburban areas
- Reallocation of road space to favour pedestrians, cyclists and public transport users

<ul style="list-style-type: none"> • A city centre that is less dominated by motorised vehicles and car parks • High quality public realm improvements • Improved air quality • Improved quality of new development and more sustainable regeneration schemes • Improved ability to secure bids for Government and LEP funding 	
Responsible Service Manager	Pete Boustred, Service Manager – Strategic Transport
Date	
Approved by Senior Manager	Sam Fox, Service Lead – Infrastructure, Planning & Development
Date	

Potential Impact

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
Age	<p>The interventions in Connected Southampton 2040 are proposed to improve travel choices and availability for those who do not have access to a private vehicle and who currently may have difficulty accessing some destinations such as business parks, retail areas, health facilities, education, and opportunities for sport and recreation. For example, journey planning tools, maps and information will help improve awareness of the different travel options and routes available.</p> <p>Bus services in Southampton carry a high proportion of elderly and younger passengers, so the development of a strategy for public transport that is more reliable and frequent services sought through Connected Southampton would help improve access to key facilities (retail, health and education). Total concessionary bus journeys in Southampton (including senior citizen and disability passes) across four bus operators Apr 2017-Mar 2018 totalled 4,385,932, and there are currently 27,442 senior citizen bus passes issued in Southampton.</p> <p>The delivery of the Southampton Cycle Network of cycle Freeways and Quietways and safer residential streets will encourage fewer car trips for short local journeys, improving health and activity.</p> <p>Proposals for improving the public realm, including design of streets of healthy streets with with provision of street furniture that can</p>	Positive impacts

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
	act as rest points or wayfinding information will help improve quality of life for older people.	
Disability	<p>Connected Southampton will help improve travel choice for those without the use of a car, (for example those with visual impairments or mobility restrictions) have difficulty accessing some destinations.</p> <p>Total concessionary bus journeys in Southampton (including senior citizen and disability passes) across four bus operators Apr 2017-Mar 2018 totalled 4,385,932. There are currently 2,717 disability bus passes issued in Southampton.</p> <p>Mobility as a Service – the use of a portal (typically an app), to access and pay for transport services such as shared and public transport as required, as an alternative to private car ownership – offers opportunities to deliver better dial-a-ride provision for those with mobility impairments.</p> <p>Planned improvements to the public transport network with investment in the quality of services and any bus priority measures investment will improve reliability of services, enabling improved independence and access to services for people with disabilities. More than 60% of bus stops in the city already have real time displays, and more will be provided as funding allows. All buses have next stop audio visual announcements.</p> <p>Infrastructure and behaviour changes schemes all have to incorporate measures to make it easier and safer for people with all forms of disability to access transport and travel around.</p> <p>The planned improvements to the public realm, including provision of street furniture as places to rest will help improve quality of life for mobility impaired people.</p>	Positive impacts
Gender Reassignment	No impacts identified in relation to LTP4 proposals.	N/A
Marriage and Civil Partnership	No impacts identified in relation to LTP4 proposals.	N/A

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
Pregnancy and Maternity	<p>Improvements to the public realm, including provision of street furniture as places to rest will help improve quality of life for pregnant women and those with young infants.</p> <p>Improvements in the vicinity of schools and nurseries, crossing roads and on the walking and cycling networks will be designed to take account of the needs of parents or carers with buggies.</p>	Positive impacts
Race	No impacts identified in relation to LTP4 proposals.	N/A
Religion or Belief	No impacts identified in relation to LTP4 proposals.	N/A
Sex	No impacts identified in relation to LTP4 proposals.	N/A
Sexual Orientation	No impacts identified in relation to LTP4 proposals.	N/A
Community Safety	<p>The delivery of highway maintenance improvements, high quality cycle infrastructure through the Southampton Cycle Network, Active Travel Zones, public realm enhancements and road safety schemes will help improve perceptions about safety.</p> <p>The LTP4 Strategy seeks to improve quality of bus information (via real time displays, mobile phones and the web). Increased information alongside ensuring that bus stops are located in places with good natural surveillance, which can improve feelings of personal security particularly after dark. 41% of respondents to the Southampton Cycle Survey reported a near miss while cycling but only 15% reported them to the Police. Research for the DfT from 2004 indicated that around 50% of women and young people felt unsafe waiting at a bus stop after dark.</p>	Positive impacts
Poverty	Connected Southampton seeks to improve travel choices for everyone and some interventions will focus on infrastructure or behaviour change projects in areas of deprivation, which will improve personal mobility and help lower income households without access to a car to get around. This can, in turn, improve employment options.	N/A – positive impacts

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
	<p>The planned measures to develop improved walking and cycling links will improve accessibility and widen travel choice.</p> <p>The provision of travel training and travel advice for people will help improve access to employment and local services, helping to reduce social exclusion.</p> <p>Proposed improvements to multi-modal smartcard ticketing could offer benefits to people in low income areas, improving value for money of multi-leg journeys.</p>	
Health & Wellbeing	<p>The planned delivery of improved public transport networks will help offer an alternative to driving, which will reduce congestion and air pollution.</p> <p>Southampton has a high rate of under 75 mortality from respiratory disease considered preventable, at 34.6 people per 100,000 compared to the England rate of 18.6 per 100,000. The delivery of measures that improve air quality from transport sources will reduce exposure to harmful emissions.</p> <p>The investment in walking and cycling infrastructure improvements and workplace and school travel plans and the promotion of active forms of transport will help to reduce levels of physical inactivity, tackling obesity and improving health. In Southampton 33.2% of adults are inactive (do less than 30 minutes per week) compared to 28.7% in England. 62.7% of adults In Southampton are classed as overweight or obese, compared to an England average of 61.3%.</p>	N/A – positive impacts
Other Significant Impacts		Consultation with local communities at the individual scheme design stage will identify the needs of individuals or groups with relevant Protected Characteristics as

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
		defined in the Equalities Act 2010.

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

Whilst not a legal requirement, 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.

When should I carry out a DPIA?

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Answering the screening questions in **Section 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.

How do I carry out a DPIA?

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The Information Lawyer (Data Protection Officer) will review the DPIA within 14 days of receipt, and a draft DPIA report will be issued within 28 days. The report will confirm whether the proposed measures to address the privacy risks identified are adequate, and make recommendations for additional measures needed.

These measures will be reviewed once in place to ensure that they are effective.

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The project will compel individuals to provide information about themselves.

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You are using information about individuals for a purpose it is not currently used for, or in a way it is not currently used.

The project involves you using new technology which might be perceived as being privacy intrusive. For example, the use of biometrics, facial recognition, or profiling.

The project will result in you making decisions or taking action against individuals in ways which can have a significant impact on them.

The information about individuals is of a kind particularly likely to raise privacy concerns or expectations. For example, health records, criminal records, or other information that people would consider to be particularly private.

The project will require you to contact individuals in ways which they may find intrusive.

The project involves making changes to the way personal information is obtained, recorded, transmitted, deleted, or held.

If any of these statements apply to your project, it is an indication that a DPIA would be a useful exercise, and you should complete the rest of the assessment, including the Data Protection Impact Assessment Statement in **Section 5**.

If none of these statements apply, it is not necessary to carry out a DPIA for your project, but you will still need to complete the Data Protection Impact Assessment Statement in **Section 5**.

Section 2 - Identifying the Need for a DPIA

Briefly explain what the project aims to achieve, what the benefits will be to the Council, to individuals, and to other parties.

Section 3 - Describe the Information Flows

The collection, use, sharing, and deletion of personal data should be described here.

Section 4 - Identifying the Privacy Risks

Answering the questions below will help identify the key privacy risks, and the associated compliance and corporate risks.

The questions cover the key data protection principles, and whilst all may not be relevant to your project, they may prompt you to consider areas of risk which aren't initially apparent.

Principle 1

Personal data shall be processed lawfully, fairly and in a transparent manner in relation to the data subject.

What personal data will be collected and/or shared?

With whom will the personal data be shared?

How will individuals be told about the use of their personal data?

Conditions for processing

For all data (tick all that apply):

The data subject has given consent to the processing.

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.

Does your project involves the processing of the following?

Tick all that apply:

data revealing racial or ethnic origin

political opinions

religious or philosophical beliefs

trade-union membership

genetic data or biometric data for the purpose of uniquely identifying a natural person

data concerning health

data concerning a natural person's sex life or sexual orientation

If so, which of the following apply?

The data subject has given explicit consent to the processing.

The processing is necessary for the purposes of carrying out the obligations and exercising specific rights of the Council or of the data subject in the field of employment and social security and social protection law.

The processing is necessary for the establishment, exercise, or defence of legal claims, or whenever courts are acting in their judicial capacity.

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 and services.

The processing is necessary for reasons of public interest in the area of public health, such as protecting against serious cross-border threats to health or ensuring high standards of quality and safety of health care and of medicinal products or medical devices.

The processing is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes.

If you are relying on consent to process personal data, how will this be collected and recorded?

What will you do if consent is withheld or withdrawn? How will this be recorded?

Can an alternative condition for processing (see page 7) be used instead of consent? If yes, please provide details. See conditions on page 6 for options.

How will individuals be informed at the point of collection about how their personal data will be used?

Will any personal data be published on the Internet or in other media? If yes, please provide details.

Will a third party contractor be processing the personal data on our behalf, or involved at any stage in the data processing process?

Principle 2

Personal data shall be collected for specified, explicit, and legitimate purposes, and not further processed in a manner that is incompatible with those purposes.

Do you envisage using the personal data for any other purpose in the future? If so, please provide details.

Principle 3

Personal data shall be adequate, relevant, and limited to what is necessary in relation to the purposes for which they are processed.

Are you satisfied that the personal data processed is of good enough quality for the purposes proposed? If not, why not?

Is there any personal data that you could not use, without compromising the needs of the project? If yes, please provide details.

How will you ensure that only personal data that is adequate, relevant, and not excessive in relation to the purpose for which it is processed?

Principle 4

Personal data shall be accurate and, where necessary, kept up to date.

Are you able to update and amend personal data when necessary, after it has been collected and recorded? Please provide details.

How will you ensure that personal data obtained from individuals or other organisations is accurate?

Principle 5

Personal data shall be kept in a form which permits identification of data subjects for no longer than is necessary for the purposes for which the personal data are processed.

What retention periods are suitable for the personal data you will be processing?

How will you ensure the personal data is deleted in line with your retention periods?

What processes will be put in place for the destruction of the personal data?

Principle 6

Personal data shall be processed in accordance with the rights of data subjects under this Act.

If an individual requested a copy of the personal data held about them, detail how this would be provided to them.

If the project involves marketing, have you got a procedure for individuals to opt out of their personal data being used for that purpose?

Principle 7

Personal data shall be processed in a manner that ensures appropriate security of the personal data, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organisational measures.

Where, and in what format, will the personal data be kept?

Will an IT system or application be used to process the personal data? Please provide details.

How will this system provide protection against security risks to the personal data?

What training and instructions are necessary to ensure that staff know how to operate the system securely?

Will staff ever process the personal data away from the office (e.g. via paper files, on laptops, tablets, or smart phones)? If so, please provide details.

How will access to the personal data be controlled?

Principle 8

Personal data shall not be transferred to a country or territory outside the European Economic Area (EEA) unless that country or territory ensures and adequate level of protection for the rights and freedoms of data subjects in relation to the processing of personal data.

Will the project require you to transfer personal data outside of the EEA? If yes, please provide details.

If you will be making transfers, how will you ensure that the personal data is adequately protected?

If a contractor is being used to process the personal data, where are they (and their data stores) based?

Section 5 - Data Protection Impact Assessment Statement

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Position:

Project Summary:

Estimated date of project completion:

Please choose one of the following options:

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Document Information

Title: Data Protection Impact Assessment

Author: Chris Thornton, Senior Legal Assistant (Information)

Version: v2.7

Owner: Information Governance Board on behalf of the Council's Management Team

Agreed by: Information Governance Board on behalf of the Council's Management Team

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Equality and Safety Impact Assessment

The **public sector Equality Duty** (Section 149 of the Equality Act) requires public bodies to have due regard to the need to eliminate discrimination, advance equality of opportunity, and foster good relations between different people carrying out their activities.

The Equality Duty supports good decision making – it encourages public bodies to be more efficient and effective by understanding how different people will be affected by their activities, so that their policies and services are appropriate and accessible to all and meet different people’s needs. The Council’s Equality and Safety Impact Assessment (ESIA) includes an assessment of the community safety impact assessment to comply with section 17 of the Crime and Disorder Act and will enable the council to better understand the potential impact of the budget proposals and consider mitigating action.

<p>Name or Brief Description of Proposal</p>	<p>To designate the four wards of Bevois, Bargate, Portswood & Swaythling as a further additional Houses in Multiple Occupation (HMOs) licensing area for five years. This will mean that all HMOs not covered by the Mandatory HMO licensing scheme in this area will require licensing</p>
<p>Brief Service Profile (including number of customers)</p>	<p>The HMO Licensing team administers the licensing of Houses in Multiple Occupation in Southampton. Properties are licensed in accordance with standards on Fire Safety, amenities and health & safety. This includes the Mandatory licensing of 600 HMOs, and Additional licensing of approximately 4200 smaller HMOs. The team consists 6.5 FTE staff.</p>
<p>Summary of Impact and Issues</p>	<p>The designation of these four wards will mean that approximately 1600-2000 HMOs will require licensing, the majority of which have held a license for the past five years under the previous additional scheme. Some HMOs will be required to carry our remedial work to bring them up to the required standards. The scheme is funded by the licensing fees so there are no capital implications.</p>

Potential Positive Impacts	The standards and most importantly the safety of the HMOs in these four wards will be improved, reducing the likelihood of issues for the occupiers and those living nearby. The management of the HMOs will be improved reducing the impact of the HMOs on the local environment. The provision of HMO wardens as part of the scheme will ensure complaints and issues arising from HMOs will be dealt with promptly and effectively.
Responsible Service Manager	Steven Hayes-Arter, Service Manager for HMO licensing & Adaptations
Date	

Approved by Senior Manager	Rosie Zambra – Service Lead - Environment, Street Scene & Health
Signature	<i>Rosie Zambra</i>
Date	6th July 2018

Potential Impact

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
Age	The majority of HMO tenants are aged between 18-34 of which this age group makes up about 50% of the population in these wards (Source: Hampshire County Environment Department's 2017 based Small Area Population Forecasts) Positive impact – HMO licensing will ensure properties are safe to live in for all age groups.	The scheme will be widely publicised and copies of HMO licenses and conditions will be on display at the property so that occupant know what to expect in terms of property conditions and safety and how to report issues.
Disability	From 2011 census data these four wards have around 11-14% of the population living with some form of disability. HMO licensing places no restrictions on tenancy types that would impact persons with disabilities. Positive impact –	

	HMO licensing will improve the safety of HMOs. Tenants with disabilities would benefit from safer properties	
Gender Reassignment	None	
Marriage and Civil Partnership	None	
Pregnancy and Maternity	HMO licensing places no restrictions on tenancy types that would impact pregnant women or those with young babies. HMO licensing will improve the safety of HMOs.	
Race	Census data from 2011 indicates that the majority of residents in these four wards are White British, with Portswood & Swaythling over 70% White British. The number is lower in Bevois at 44.6% with a large number of Asian British at 28%. HMO licensing places no restrictions on tenancy types that would impact on persons from certain ethnic groups.	
Religion or Belief	None	
Sex	None	
Sexual Orientation	None	
Community Safety	Positive impact – licensing powers allow action to be taken against HMO landlords with anti-social tenants	
Poverty	Introduction of license fee may lead to less HMOs being available, which could lead to	License fees kept to reasonable level to minimise impacts on tenants.

	<p>rent increases which could impact those on low income.</p> <p>If properties are not let out they risk becoming empty. Long term empty properties can have negative impact on local community e.g. eyesore risk, squatters</p>	<p>Council has legal powers to deal with empty properties and will work proactively to reduce the number and impact of empty homes</p>
<p>Other Significant Impacts</p>		



Equality and Safety Impact Assessment

The **Public Sector Equality Duty** (Section 149 of the Equality Act) requires public bodies to have due regard to the need to eliminate discrimination, advance equality of opportunity, and foster good relations between different people carrying out their activities.

The Equality Duty supports good decision making – it encourages public bodies to be more efficient and effective by understanding how different people will be affected by their activities, so that their policies and services are appropriate and accessible to all and meet different people’s needs. The Council’s Equality and Safety Impact Assessment (ESIA) includes an assessment of the community safety impact assessment to comply with Section 17 of the Crime and Disorder Act and will enable the Council to better understand the potential impact of proposals and consider mitigating action.

<p>Name or Brief Description of Proposal</p>	<p>The purpose of the report is to propose a model for the future delivery of some adoption related services as a Regional Adoption Agency (RAA) comprising Hampshire County Council, Isle of Wight Council, Portsmouth City Council and Southampton City Council. The proposal in line with government policy and will ultimately support an increase in family finding for children whose plans are to be adopted.</p>
<p>Brief Service Profile (including number of customers)</p>	
<p>Adopt South is expected to have a potential 2,350 customers. Of these it is projected that 35 % of these would be Southampton those that would previously have received their service from Southampton Adoption Service. Within the region the number of potential customers is as follows The model seeks to build on the current good practice within each authority to further improve performance and deliver a more cohesive, efficient and effective service for some of our most vulnerable children and their families. The new RAA, to be known as Adopt South, will continue to work with its existing Voluntary Adoption Agency partners and other key stakeholders to help shape the new service.</p>	
<p>Summary of Impact and Issues</p>	
<p>In June 2015, the Department for Education (DfE) published 'Regionalising Adoption' and asked all adoption agencies in England to consider how to work much more closely together on a regional basis. This was enacted as the Education and Adoption Act 2016, which advised authorities and voluntary adoption agencies to join together to form Regional Adoption Agencies (RAAs). The Government's view is that structural change will improve the process for</p>	

children and adopters leading to improved numbers of children being adopted, an improved experience for adopters and improved timeliness overall. The DfE expects the RAA programme to deliver consistently good and innovative adoption practice that ensures improved life chances for children.

In late 2015, the four authorities in the Adopt South grouping (Portsmouth City Council, Southampton City Council, Isle of Wight Council and Hampshire County Council) were awarded DfE funding to undertake work to establish a model for regional adoption in the area, with an expectation that this would be fully embedded by no later than 2020. The authorities have engaged actively since 2016 in a programme of work to develop a model that fulfils the criteria put in place by the DfE for a Regional Adoption Agency; that does not represent an unacceptable risk to any of the authorities involved; retains flexibility to enable authorities to respond to future policy; and, most importantly, is considered to provide genuine opportunities for improving the outcomes for children and families.

A model is now recommended that sets out a clear operating model, service offer, structural model and financial framework.

Potential Positive Impacts

There will be increased regional resources for marketing and recruitment of adopters leading to a greater number of adopters being recruited for those children within the region with a plan for adoption. There will be an increased offer in respect of post adoption support for those families who are eligible.

The anticipation is that working at a regional level will improve the services available to prospective and approved adopters, by making a wider range of advice and support available; and will improve prospects for children waiting for adoption by increasing the pool of adopters available in the region. It is not expected to be detrimental to any groups as there is no change to policy underpinning adoption and no changes to arrangements for accessing services.

Responsible Service Manager	Dorenda Chapman Service manager adoption Fostering
Date	3 rd July 2018
Approved by Senior Manager	Jane White
Date	3 rd July 2018

Potential Impact

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
Age	<p>Service users will need to understand that their personal information can be shared between the Local authority and the Regional Adoption Agency</p>	<p>The Adoption and Care Planning (Miscellaneous Amendments) Regulations 2018 makes provision for information to be shared between Local Authority Agencies and Regional Adoption Agencies. Protocols will be put in place in the next phase outlining the mechanism for this to take place.</p> <p>The data management systems and processes will need to comply with all necessary legislative responsibilities.</p> <p>Marketing and recruitment information will be clear as to the regional nature of the agency.</p>
Disability	<p>Service users will need to understand that their personal information can be shared between the Local authority and the Regional Adoption Agency</p> <p>The location of Adoption Panels may change with the need for some to travel further to attend</p>	<p>The Adoption and Care Planning (Miscellaneous Amendments) Regulations 2018 makes provision for information to be shared between Local Authority Agencies and Regional Adoption Agencies. Protocols will be put in place in the next phase outlining the mechanism for this to take place.</p> <p>The data management systems and processes will need to comply with all necessary legislative responsibilities.</p>

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
		<p>Marketing and recruitment information will be clear as to the regional nature of the agency. Consideration will be given to the siting of Panels to minimise travel time for those attending. These will take place in buildings that have suitable access and facilities.</p>
<p>Gender Reassignment</p>	<p>Service users will need to understand that their personal information can be shared between the Local authority and the Regional Adoption Agency</p>	<p>The Adoption and Care Planning (Miscellaneous Amendments) Regulations 2018 makes provision for information to be shared between Local Authority Agencies and Regional Adoption Agencies. Protocols will be put in place in the next phase outlining the mechanism for this to take place.</p> <p>The data management systems and processes will need to comply with all necessary legislative responsibilities.</p> <p>Marketing and recruitment information will be clear as to the regional nature of the agency.</p>
<p>Marriage and Civil Partnership</p>	<p>Service users will need to understand that their personal information can be shared between the Local authority and the Regional Adoption Agency</p>	<p>The Adoption and Care Planning (Miscellaneous Amendments) Regulations 2018 makes provision for information to be shared between Local Authority Agencies and Regional Adoption Agencies. Protocols will be put in place in the next</p>

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
		<p>phase outlining the mechanism for this to take place.</p> <p>The data management systems and processes will need to comply with all necessary legislative responsibilities.</p> <p>Marketing and recruitment information will be clear as to the regional nature of the agency.</p>
Pregnancy and Maternity	<p>Service users will need to understand that their personal information can be shared between the Local authority and the Regional Adoption Agency</p>	<p>The Adoption and Care Planning (Miscellaneous Amendments) Regulations 2018 makes provision for information to be shared between Local Authority Agencies and Regional Adoption Agencies. Protocols will be put in place in the next phase outlining the mechanism for this to take place.</p> <p>The data management systems and processes will need to comply with all necessary legislative responsibilities.</p> <p>Marketing and recruitment information will be clear as to the regional nature of the agency.</p>
Race	<p>Service users will need to understand that their personal information can be shared between the Local authority and the Regional Adoption Agency</p>	<p>The Adoption and Care Planning (Miscellaneous Amendments) Regulations 2018 makes provision for information to be shared between Local Authority Agencies</p>

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
		<p>and Regional Adoption Agencies. Protocols will in put in place in the next phase outlining the mechanism for this to take place.</p> <p>The data management systems and processes will need to comply with all necessary legislative responsibilities.</p> <p>Marketing and recruitment information will be clear as to the regional nature of the agency.</p>
Religion or Belief	Service users will need to understand that their personal information can be shared between the Local authority and the Regional Adoption Agency	<p>The Adoption and Care Planning (Miscellaneous Amendments) Regulations 2018 makes provision for information to be shared between Local Authority Agencies and Regional Adoption Agencies. Protocols will in put in place in the next phase outlining the mechanism for this to take place.</p> <p>The data management systems and processes will need to comply with all necessary legislative responsibilities.</p> <p>Marketing and recruitment information will be clear as to the regional nature of the agency.</p>
Sex	Service users will need to understand that their personal information can be shared between the Local authority and	<p>The Adoption and Care Planning (Miscellaneous Amendments) Regulations 2018 makes</p>

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
	the Regional Adoption Agency	<p>provision for information to be shared between Local Authority Agencies and Regional Adoption Agencies. Protocols will in put in place in the next phase outlining the mechanism for this to take place.</p> <p>The data management systems and processes will need to comply with all necessary legislative responsibilities.</p> <p>Marketing and recruitment information will be clear as to the regional nature of the agency.</p>
Sexual Orientation	Service users will need to understand that their personal information can be shared between the Local authority and the Regional Adoption Agency	<p>The Adoption and Care Planning (Miscellaneous Amendments) Regulations 2018 makes provision for information to be shared between Local Authority Agencies and Regional Adoption Agencies. Protocols will in put in place in the next phase outlining the mechanism for this to take place.</p> <p>The data management systems and processes will need to comply with all necessary legislative responsibilities.</p> <p>Marketing and recruitment information will be clear as to the regional nature of the agency.</p>
Community	Service users will need to	The Adoption and Care

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
Safety	understand that their personal information can be shared between the Local authority and the Regional Adoption Agency	<p>Planning (Miscellaneous Amendments) Regulations 2018 makes provision for information to be shared between Local Authority Agencies and Regional Adoption Agencies. Protocols will be put in place in the next phase outlining the mechanism for this to take place.</p> <p>The data management systems and processes will need to comply with all necessary legislative responsibilities.</p> <p>Marketing and recruitment information will be clear as to the regional nature of the agency.</p>
Poverty	Service users will need to understand that their personal information can be shared between the Local authority and the Regional Adoption Agency	<p>The Adoption and Care Planning (Miscellaneous Amendments) Regulations 2018 makes provision for information to be shared between Local Authority Agencies and Regional Adoption Agencies. Protocols will be put in place in the next phase outlining the mechanism for this to take place.</p> <p>The data management systems and processes will need to comply with all necessary legislative responsibilities.</p> <p>Marketing and recruitment information will be clear as to the</p>

Impact Assessment	Details of Impact	Possible Solutions & Mitigating Actions
	<p>Adoption Allowances are set at different across the four partnership areas</p>	<p>regional nature of the agency.</p> <p>These will be uniform across the Region so that applicants will have clarity as to the adoption allowance offer.</p>
Health & Wellbeing	<p>Service users will need to understand that their personal information can be shared between the Local authority and the Regional Adoption Agency</p>	<p>The Adoption and Care Planning (Miscellaneous Amendments) Regulations 2018 makes provision for information to be shared between Local Authority Agencies and Regional Adoption Agencies. Protocols will be put in place in the next phase outlining the mechanism for this to take place.</p> <p>The data management systems and processes will need to comply with all necessary legislative responsibilities.</p> <p>Marketing and recruitment information will be clear as to the regional nature of the agency.</p>
Other Significant Impacts	<p>The decision at this stage is to merge management processes and practice across the authorities rather than change policies or access to services. There may be changes to policy recommended to members as part of the wider development of the project.</p>	<p>These would be subject to an EIA in their own right as part of the discrete decision-making process</p>

DRAFT



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.

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.

Whilst not a legal requirement, 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.

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 **Section 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.

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 **Section 1**. If a requirement has been identified, you should complete all the remaining sections in order.

The Data Protection Impact Assessment Statement in **Section 7** should be completed in all cases, and a copy of this document should be sent to the Information Lawyer (Data Protection Officer) to record and review.

The Information Lawyer (Data Protection Officer) will review the DPIA within 14 days of receipt, and a draft DPIA report will be issued within 28 days. The report will confirm whether the proposed measures to address the privacy risks identified are adequate, and make recommendations for additional measures needed.

These measures will be reviewed once in place to ensure that they are effective.

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.

Section 1 - Screening Statements

The following statements will help you decide whether a DPIA is necessary for your project.

Please tick all that apply.

The project will involve the collection of new information about individuals.

The project will compel individuals to provide information about themselves.

Information about individuals will be disclosed to organisations or people who have not previously had routine access to the information.

You are using information about individuals for a purpose it is not currently used for, or in a way it is not currently used.

The project involves you using new technology which might be perceived as being privacy intrusive. For example, the use of biometrics, facial recognition, or profiling.

The project will result in you making decisions or taking action against individuals in ways which can have a significant impact on them.

The information about individuals is of a kind particularly likely to raise privacy concerns or expectations. For example, health records, criminal records, or other information that people would consider to be particularly private.

The project will require you to contact individuals in ways which they may find intrusive.

The project involves making changes to the way personal information is obtained, recorded, transmitted, deleted, or held.

If any of these statements apply to your project, it is an indication that a DPIA would be a useful exercise, and you should complete the rest of the assessment, including the Data Protection Impact Assessment Statement in **Section 5**.

If none of these statements apply, it is not necessary to carry out a DPIA for your project, but you will still need to complete the Data Protection Impact Assessment Statement in **Section 5**.

Section 2 - Identifying the Need for a DPIA

Briefly explain what the project aims to achieve, what the benefits will be to the Council, to individuals, and to other parties.

Section 3 - Describe the Information Flows

The collection, use, sharing, and deletion of personal data should be described here.

Section 4 - Identifying the Privacy Risks

Answering the questions below will help identify the key privacy risks, and the associated compliance and corporate risks.

The questions cover the key data protection principles, and whilst all may not be relevant to your project, they may prompt you to consider areas of risk which aren't initially apparent.

Principle 1

Personal data shall be processed lawfully, fairly and in a transparent manner in relation to the data subject.

What personal data will be collected and/or shared?

With whom will the personal data be shared?

How will individuals be told about the use of their personal data?

Conditions for processing

For all data (tick all that apply):

The data subject has given consent to the processing.

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.

Does your project involves the processing of the following?

Tick all that apply:

data revealing racial or ethnic origin

political opinions

religious or philosophical beliefs

trade-union membership

genetic data or biometric data for the purpose of uniquely identifying a natural person

data concerning health

data concerning a natural person's sex life or sexual orientation

If so, which of the following apply?

The data subject has given explicit consent to the processing.

The processing is necessary for the purposes of carrying out the obligations and exercising specific rights of the Council or of the data subject in the field of employment and social security and social protection law.

The processing is necessary for the establishment, exercise, or defence of legal claims, or whenever courts are acting in their judicial capacity.

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 and services.

The processing is necessary for reasons of public interest in the area of public health, such as protecting against serious cross-border threats to health or ensuring high standards of quality and safety of health care and of medicinal products or medical devices.

The processing is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes.

If you are relying on consent to process personal data, how will this be collected and recorded?

What will you do if consent is withheld or withdrawn? How will this be recorded?

Can an alternative condition for processing (see page 7) be used instead of consent? If yes, please provide details. See conditions on page 6 for options.

How will individuals be informed at the point of collection about how their personal data will be used?

Will any personal data be published on the Internet or in other media? If yes, please provide details.

Will a third party contractor be processing the personal data on our behalf, or involved at any stage in the data processing process?

Principle 2

Personal data shall be collected for specified, explicit, and legitimate purposes, and not further processed in a manner that is incompatible with those purposes.

Do you envisage using the personal data for any other purpose in the future? If so, please provide details.

Principle 3

Personal data shall be adequate, relevant, and limited to what is necessary in relation to the purposes for which they are processed.

Are you satisfied that the personal data processed is of good enough quality for the purposes proposed? If not, why not?

Is there any personal data that you could not use, without compromising the needs of the project? If yes, please provide details.

How will you ensure that only personal data that is adequate, relevant, and not excessive in relation to the purpose for which it is processed?

Principle 4

Personal data shall be accurate and, where necessary, kept up to date.

Are you able to update and amend personal data when necessary, after it has been collected and recorded? Please provide details.

How will you ensure that personal data obtained from individuals or other organisations is accurate?

Principle 5

Personal data shall be kept in a form which permits identification of data subjects for no longer than is necessary for the purposes for which the personal data are processed.

What retention periods are suitable for the personal data you will be processing?

How will you ensure the personal data is deleted in line with your retention periods?

What processes will be put in place for the destruction of the personal data?

Principle 6

Personal data shall be processed in accordance with the rights of data subjects under this Act.

If an individual requested a copy of the personal data held about them, detail how this would be provided to them.

If the project involves marketing, have you got a procedure for individuals to opt out of their personal data being used for that purpose?

Principle 7

Personal data shall be processed in a manner that ensures appropriate security of the personal data, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organisational measures.

Where, and in what format, will the personal data be kept?

Will an IT system or application be used to process the personal data? Please provide details.

How will this system provide protection against security risks to the personal data?

What training and instructions are necessary to ensure that staff know how to operate the system securely?

Will staff ever process the personal data away from the office (e.g. via paper files, on laptops, tablets, or smart phones)? If so, please provide details.

How will access to the personal data be controlled?

Principle 8

Personal data shall not be transferred to a country or territory outside the European Economic Area (EEA) unless that country or territory ensures and adequate level of protection for the rights and freedoms of data subjects in relation to the processing of personal data.

Will the project require you to transfer personal data outside of the EEA? If yes, please provide details.

If you will be making transfers, how will you ensure that the personal data is adequately protected?

If a contractor is being used to process the personal data, where are they (and their data stores) based?

Section 5 - Data Protection Impact Assessment Statement

This statement must be completed for all projects, regardless of whether a DPIA was deemed to be necessary on completion of the screening questions in Section 1.

Name:

Position:

Project Summary:

Estimated date of project completion:

Please choose one of the following options:

None of the screening statements in Section 1 of this document apply to the above project, and I have determined that it is not necessary to conduct a Data Protection Impact Assessment.

Some of the screening statements in Section 1 of this document apply to the above project, and a need to carry out a Data Protection Impact Assessment was identified. The assessment has been carried out, and the outcomes will be integrated into the project plan to be developed and implemented.

Date:

Once completed, please send a copy of this document to Corporate Legal.

Email: information@southampton.gov.uk

Internal post: Corporate Legal, Civic Centre, Municipal, Ground Floor West

Document Information

Title: Data Protection Impact Assessment

Author: Chris Thornton, Senior Legal Assistant (Information)

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Agreed by: Information Governance Board on behalf of the Council's Management Team

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