

# Data Protection Impact Assessment

## Project Details

<b>Name of Project</b>
Household Support Fund
<b>Brief Summary of Project</b>
Distribution of approx. £2m government funds, as per Government Guidelines, to support those families and individuals most in need at a time of rising costs
<b>Estimated Completion Date</b>
31 <sup>st</sup> March 2023
<b>Name of Project Lead</b>
Sara Crawford and Bryn Roberts

## Details of Person Conducting DPIA

<b>Name</b>
Mary D'Arcy
<b>Position</b>
ED
<b>Contact Email Address</b>
Mary.D'Arcy@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 scale<sup>1</sup>
- 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 data<sup>2</sup> 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

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<sup>1</sup> "Large scale" can mean the number of individuals involved, the volume of data, the variety of data, the duration of processing, or geographical area.

<sup>2</sup> 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](mailto:dataprotection@southampton.gov.uk)

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

## Step 2: Describe the processing

## 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)

Name  
Address  
No of people in household  
Employment status

### 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

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**Does the project involve the use of social care data?**

Yes

X No

**Does the project utilise existing and established IT systems, or require the use / procurement of a new system?**

X 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.

**Online self referral including address, details of employment and whether in receipt of benefits, no of people in their family**

**Checks on referral that applicant is a Southampton Resident**

**Professional referral as above, submitted by a professional working with the family/individual**

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

Form

**How will the data be used?**

To check that the individual is a Southampton resident and meets the requirements of the Household Support

**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?

Customer or Professional referral

**Will you be sharing data with anyone?**

**INFO:** If yes, please provide details

Only is agreed by the individual

**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**

Yes

### Describe the scope of the processing

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

When a referral is made

**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](mailto:records.management@southampton.gov.uk)

**How many individuals are affected?**

As many as apply for the fund

**What geographical area does it cover?**

Southampton post codes

### Describe the context of the processing

**What is the nature of your relationship with the individuals?**

**INFO:** Detail who the data subjects will be (e.g. residents, carers, pupils, staff, professionals)

Residents



**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

Yes – there is a privacy notice on the form and unless residents provide this detail, we will be unable to provide the assistance that they require.

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

**INFO:** If yes, please provide details

Yes, it could include adults with mental health needs or other disabilities, we will not be collecting data about children

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

**INFO:** If yes, please provide details

NO

**Is the processing novel in any way?** E.g. do other local authorities have a similar process in place?

**INFO:** If yes, please provide details

NO

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

**INFO:** If yes, please provide details

NO – the converse, the public are keen to access this source of funding

## **Describe the purposes of the processing**

**What do you want to achieve?**

Ensure that the funds are allocated to Southampton residents according to the requirements as stipulated in Government Guidance

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

To support them at a time of rising costs to meet food and other day to day to day costs

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

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

**Outcome:**

- Southampton has strong and sustainable economic growth
- Children and young people get a good start in life
- People in Southampton live safe, healthy, independent lives
- Southampton is an attractive modern city, where people are proud to live and work

**Please explain how the outcome is met**

Vulnerable people and families in need are supported at a time of rising prices to access financial support.

## 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

NO

**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

## 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.

The subject's details are provided by the subject in order for the subject to be able to access this fund

**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?

The subject's details are provided by the subject in order for the subject to be able to access this fund

The Council is required to administer this fund in accordance with government requirements and to be able to provide high level data to government to confirm that these requirements have been met

Not providing this service would fail to meet Council objectives to support those most in need

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

**INFO:** Please provide details to support your answer

Yes – without the fund cannot be allocated

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

**INFO:** Please details to support your answer

NO

**How will you prevent function creep?**

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

Ensure only data required is asked for

**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.

Regular reviews by the HSF project team

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

Privacy notice at the point of application

**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

n/a

**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?

n/a

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

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

Ensure data is only transferred with the permission of the applicant

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

After completing this part of the form, please send the document to the Information Lawyer (Data Protection Officer) at [dataprotection@southampton.gov.uk](mailto:dataprotection@southampton.gov.uk)  
The DPO will review the information provided, and identify and assess the privacy risks.

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

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**

<b>Risk</b>	<b>Options to reduce or eliminate risk</b>	<b>Effect on risk</b>	<b>Residual risk</b>
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:		