

Privacy Impact Assessment (PIA)

Incorporating the Data Protection Impact Assessment (DPIA) under the General Data Protection Regulations (GDPR)

Name of initiative/project/system:

Provision of Kooth – an online counselling and emotional well-being support service for children and young people

25/05/2018

| | | |
|--|---|--|
| Approved – no actions required | <input type="checkbox"/> | Click here to enter a date. |
| Approved with action plan | <input type="checkbox"/> | Click here to enter a date. |
| Declined (give reason) | <input type="checkbox"/> | Click here to enter text. Click here to enter a date. |
| Incorporate data flows into data flow mapping or onto the ISG | <input type="checkbox"/> | Click here to enter a date. |
| Incorporate assets into the asset register or onto the ISG | <input type="checkbox"/> | Click here to enter a date. |
| Confirm staff handling subject access requests are aware of new or changed information asset | Yes <input type="checkbox"/> Not applicable <input type="checkbox"/> | Click here to enter a date. |
| Confirm Information Sharing arrangements documented: <ul style="list-style-type: none"> • within an IS Protocol¹, and • uploaded into the Information Sharing Gateway, or • planned within the PIA action plan | <input type="checkbox"/> | Click here to enter a date. |

¹ The IS Protocol specifies the detailed arrangements for the information sharing setting out the how, what, why, when and who to (recipients) – it would incorporate the specific security measures and any specific obligations on parties to the sharing

PRIVACY IMPACT ASSESSMENT PROFORMA

Organisations have to ensure that the third parties they both process and share personal confidential data with, will ensure the data is secure and confidential. To assess the implications of using personal data a risk assessment called a Privacy Impact Assessment (PIA) is required.

If you are doing any of the following:

- setting up a new process using personal confidential data (PCD)
- changing an existing process which changes the way personal confidential data is used
- procuring a new information system which holds personal confidential data

You need to complete a **Privacy Impact Assessment (PIA)**. A PIA is a proforma or risk assessment which asks questions about the process or new system based on data quality / data protection / information security and technology.

The PIA Process

- 1) Please complete each section (where applicable) as much as possible.
- 2) Once you submit the PIA for approval to/via your Information Governance Lead
 - a. The PIA proforma will be vetted and you may receive some comments / questions asking for further information. Please answer these promptly and resend the PIA again.
 - b. The PIA then goes for approval by the Information Governance Team.
- 3) Once approved, the process / system can start to be introduced or modification to an existing system / process can continue.

If PIA's are not completed, there may be data protection concerns that have not been identified which could result in breaching the Data Protection Act.

Your Information Governance Team can provide advice and guidance to help you with completing the PIA.

Section 1: Screening questions

Documenting here which of the screening questions are applicable to your initiative will help to draw out the particular privacy considerations that will help formulate your risk register later in the template

| | | Yes | No | Unsure | Comments <i>Document initial comments on the issue and the privacy impacts or clarification why it is not an issue</i> |
|----|--|-------------------------------------|-------------------------------------|--------------------------|---|
| a) | Is the information about individuals likely to raise privacy concerns or expectations e.g. health records, criminal records or other information people would consider particularly private? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Mental Health records |
| b) | Will the initiative involve the collection of new information about individuals? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Click here to enter text. |
| c) | Are you using information about individuals for a purpose it is not currently used for, or in a way it is not currently used? | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | [Click here to enter text.] |
| d) | Will the initiative require you to contact individuals in ways which they may find intrusive ¹ ? | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | [Click here to enter text.] |
| e) | Will the information about individuals be disclosed to organisations or people who have not previously had routine access to the information? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Only to the extent there are safeguarding concerns and/or the service user needs to be referred externally. |
| f) | Does the initiative involve you using new technology which might be perceived as being intrusive? e.g. biometrics or facial recognition | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | [Click here to enter text.] |
| g) | Will the initiative result in you making decisions or taking action against individuals in ways which can have a significant impact on them? | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Click here to enter text. |
| h) | Will the initiative compel individuals to provide information about themselves? | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | [Click here to enter text.] |

If you answered **YES** or **UNSURE** to any of the above you need to continue with the Privacy Impact Assessment. Giving false information to any of the above that subsequently results in a yes response that you knowingly entered as a **NO** may result in an investigation being warranted which may invoke disciplinary procedures.

Sign off if no requirement to continue with Privacy Impact Assessment:

Confirmation that the responses to a – h above is NO and therefore there is no requirement to continue with the Privacy Impact Assessment

Agreed by: [Click here to enter name of group or individual(s)]

¹ Intrusion can come in the form of collection of excessive personal information, disclosure of personal information without consent and misuse of such information. It can include the collection of information through surveillance or monitoring of how people act in public or private spaces and through the monitoring of communications whether by post, phone or online and extends to monitoring the records of senders and recipients as well as the content of messages.

Section 2: Basic Information

| | | | | | |
|---|---|-------------------------------------|---|----------|----------|
| PIA Completer Name(s) and connection to or responsibility for initiative: | Name | Role | Organisation/ dept. | Email | Tel. no |
| | REDACTED | Project Manager | Information Technology | REDACTED | REDACTED |
| | | | | | |
| Initiative/System/ Process name: | Kooth – an online counselling and emotional well-being support service for children and young people | | | | |
| Link to any wider initiative: (if applicable) | Enter links to any wider initiatives if applicable | | | | |
| Information Technology involvement | List any applicable electronic systems/software to this initiative (current and/or new): | | | | |
| | System name | Used by e.g. organisation and dept. | Parties/system supplier | | |
| | Kooth | Clinical Department | REDACTED | | |
| | | | | | |
| | | | | | |
| Confirmation of IT involvement IT lead(s)/support | | | | | |
| Name: | Organisation | Confirm involved Y/N | If No, seek input prior to submitting this PIA for approval | | |
| REDACTED | CTO, MindZone Group | Y | | | |
| REDACTED | CFO, MindZone Group | Y | | | |
| REDACTED | DO, MindZone Group | Y | | | |
| Date Initiative due to go live/ commenced: | 25/05/2018 | | | | |
| Which organisations are involved in this initiative? | XenZone Limited - Open Answers are a third party organisation that maintain and manage our servers on which data is stored | | | | |
| Confirm all relevant organisations have or are working towards cyber essentials ² | Organisation/Parties/ system supplier | | Cyber essentials Y/N/working towards/cyber compliance defined under terms of contract | | |
| | XenZone Limited | | Working Towards Cyber Essentials Compliance | | |
| | REDACTED | | Certified | | |
| | | | | | |
| Is this initiative in line with or achieving national or local guidance/ strategy or mandate? | Kooth is an online counselling and emotional well-being support service for children and young people available free at the point of use when commissioned in the area. The services comprises information and advice through peer-to-peer support, self-help resources, drop-in counselling sessions, message-based counselling and regular structured counselling | | | | |
| Date PIA commenced: | 25/05/2018 | | | | |

² [Cyber Essentials](#) is a government-backed cyber security certification scheme that sets out a good baseline of cyber security suitable for all organisations in all sectors. The scheme addresses five key controls that, when implemented correctly, can prevent around 80% of cyber attacks

Section 3: Data Items

| What data items are being processed e.g. for collection, storage, use and deletion: If there is a chart or diagram to explain please attach as an appendix | | | |
|--|--|---|--|
| Data Item | Description | Specific data item(s) | Justification Reason that the data items(s) are needed – this must stand up to scrutiny for Caldicott justification |
| Personal details | Information that identifies the individual and their personal characteristics | Check all that apply: <input checked="" type="checkbox"/> Forename(s) <input checked="" type="checkbox"/> Surname <input checked="" type="checkbox"/> Address <input checked="" type="checkbox"/> Postcode <input checked="" type="checkbox"/> Date of Birth <input checked="" type="checkbox"/> Age <input checked="" type="checkbox"/> Gender <input checked="" type="checkbox"/> Physical description <input checked="" type="checkbox"/> Home Telephone Number <input checked="" type="checkbox"/> Mobile Telephone Number <input checked="" type="checkbox"/> Other Contact Number <input checked="" type="checkbox"/> Email address <input checked="" type="checkbox"/> GP Name and Address <input checked="" type="checkbox"/> Legal Representative Name (Next of Kin) <input checked="" type="checkbox"/> NHS Number <input type="checkbox"/> National Insurance Number <input type="checkbox"/> Photographs/Pictures of persons <input checked="" type="checkbox"/> Other – if this is ticked please list 'Other' personal data items that may be processed are covered below: | As a standard, we do not collect any Personal Identifiable Information. Information collected at registration is limited to: Area where the YP lives Gender Ethnicity Year & Month of Birth User Name In the event of a Safeguarding concern, or where a service user needs to be referred externally, PII as listed in this section may be collected in order to provide those external parties with relevant information about the service user. |
| Physical or mental health or condition | Information relating to the individuals physical or mental health or condition. NB. For mental health this would include the mental health status i.e. whether detained or voluntary under the Mental Health Act. | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable List any data items below or attach as an appendix: Summary notes Risks Pathways Questionnaires Journals Goals Active/Archived Presenting Issues Serious incidents | Details of a service user's Mental Health are stored in a service user's case notes. They are not standardly identifiable to a particular individual. This detail only becomes identifiable to an individual in the event of a Safeguarding concern or where a service user needs to be referred externally. |
| Sexual identity and life | Information relating to the individuals sexual life | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable List any data items below or attach as an appendix: Any information relating to this is documented in the person's case notes, if they are offer counselling | Such details may be disclosed by a service user as part of therapeutic interaction with our counsellors. However, this is not standardly identifiable to a particular individual. This detail only becomes identifiable to an individual in the event of a Safeguarding concern or where a service user needs to be referred externally. |

What data items are being processed e.g. for collection, storage, use and deletion:

If there is a chart or diagram to explain please attach as an appendix

| Data Item | Description | Specific data item(s) | Justification Reason that the data items(s) are needed – this must stand up to scrutiny for Caldicott justification |
|---|---|--|---|
| Family lifestyle and social circumstances | Information relating to the family of the individual and the individuals lifestyle and social circumstances | <input checked="" type="checkbox"/> Marital/partnership status <input checked="" type="checkbox"/> Carers/relatives <input checked="" type="checkbox"/> Children/dependents <input checked="" type="checkbox"/> Social status e.g. housing <input type="checkbox"/> Not applicable <input type="checkbox"/> Other - please specify below: Any information relating to this is documented in the person's case notes, if they are offer counselling | Such details may be disclosed by a service user as part of therapeutic interaction with our counsellors. However, this is not standardly identifiable to a particular individual. This detail only becomes identifiable to an individual in the event of a Safeguarding concern or where a service user needs to be referred externally. |
| Offences including alleged offences | Information relating to any offences committed or alleged to have been committed by the individual | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable List any data items below or attach as an appendix: Click here to enter text. | Such details may be disclosed by a service user as part of therapeutic interaction with our counsellors. However, this is not standardly identifiable to a particular individual. This detail only becomes identifiable to an individual in the event of a Safeguarding concern or where a service user needs to be referred externally. |
| Criminal proceedings, outcomes and sentences | Information relating to criminal proceedings outcomes and sentences regarding the individual | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable List any data items below or attach as an appendix: Any information relating to this is documented in the person's case notes, if they are offer counselling | Such details may be disclosed by a service user as part of therapeutic interaction with our counsellors. However, this is not standardly identifiable to a particular individual. This detail only becomes identifiable to an individual in the event of a Safeguarding concern or where a service user needs to be referred externally. |
| Education and training details | Information which relates to the education and any professional training of the individual | <input checked="" type="checkbox"/> Education/training <input checked="" type="checkbox"/> Qualifications <input checked="" type="checkbox"/> Professional training <input type="checkbox"/> Not applicable <input type="checkbox"/> Other - please specify below: Any information relating to this is documented in the person's case notes, if they are offer counselling | Such details may be disclosed by a service user as part of therapeutic interaction with our counsellors. However, this is not standardly identifiable to a particular individual. This detail only becomes identifiable to an |

What data items are being processed e.g. for collection, storage, use and deletion:

If there is a chart or diagram to explain please attach as an appendix

| Data Item | Description | Specific data item(s) | Justification Reason that the data items(s) are needed – this must stand up to scrutiny for Caldicott justification |
|---|---|--|---|
| | | | individual in the event of a Safeguarding concern or where a service user needs to be referred externally. |
| Employment details | Employment and career history | <input checked="" type="checkbox"/> Employment status <input type="checkbox"/> Career details <input type="checkbox"/> Not applicable <input type="checkbox"/> Other - please specify below: Any information relating to this is documented in the person's case notes, if they are offer counselling | Such details may be disclosed by a service user as part of therapeutic interaction with our counsellors. However, this is not standardly identifiable to a particular individual. This detail only becomes identifiable to an individual in the event of a Safeguarding concern or where a service user needs to be referred externally. |
| Financial details | Information relating to the financial affairs of the individual | <input checked="" type="checkbox"/> Income <input checked="" type="checkbox"/> Salary <input type="checkbox"/> Benefits <input type="checkbox"/> Not applicable <input type="checkbox"/> Other – please specify below: Any information relating to this is documented in the person's case notes, if they are offer counselling | Such details may be disclosed by a service user as part of therapeutic interaction with our counsellors. However, this is not standardly identifiable to a particular individual. This detail only becomes identifiable to an individual in the event of a Safeguarding concern or where a service user needs to be referred externally. |
| Religious or other beliefs of a similar nature | Information relating to the individuals religion or other beliefs | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable List any data items below or attach as an appendix: Any information relating to this is documented in the person's case notes, if they are offer counselling | Such details may be disclosed by a service user as part of therapeutic interaction with our counsellors. However, this is not standardly identifiable to a particular individual. This detail only becomes identifiable to an individual in the event of a Safeguarding concern or where a service user needs to be referred externally. |
| Trade union membership | Information relating to the individuals membership of a trade union | <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not applicable List any data items below or attach as an appendix: | [Click here to enter text.] |

What data items are being processed e.g. for collection, storage, use and deletion:



If there is a chart or diagram to explain please attach as an appendix

| Data Item | Description | Specific data item(s) | Justification Reason that the data items(s) are needed – this must stand up to scrutiny for Caldicott justification |
|------------------|--------------------|------------------------------|---|
| | | [Click here to enter text.] | |

You must confirm that the data items you have ticked above are relevant and necessary to your project and there is a justified reason for it –if they are not you must amend the above selections to remove those items not relevant/necessary

Confirm

3a. Legal basis and powers for processing the data/information Specify the legal basis and powers that enables the information to be processed between the parties. (See Annexe C for further information). This is to ensure compliance with 'lawful' processing as in DPA principle 1. (See Annexe B for listing of the DPA principles.)

| | | | | | | |
|--|--|--|--|---|--|---|
| <p>Processing – document the processing taking place i.e. the initial collection of personal data and any flows/access</p> <p>Example:  GP - ED Data flows.docx</p> <p>Nb. Your IG Lead will assist with section 3a</p> | <p>Fair processing Data Protection Act 1998 – principle 1 Specify how you will meet the 'fair' processing requirements See Annexe B for further information</p> | <p>Legal powers/vires Data Protection Act 1998 – principle 1 What are the organisations legal powers to process the information</p> <p> COEIS_Process-for-deciding-the-legal-basis</p> | <p>Common Law duty of confidentiality Data Protection Act 1998 – principle 1</p> <p><i>NB. Consent can be implied for the purposes of direct care. Where the whole/entire patient record is being shared explicit consent should be sought as per BMA and National Data Guardian guidance (sec 1.32).</i></p> <p><i>The definition of direct care is³: A clinical, social or public health activity concerned with the prevention, investigation and treatment of illness and the alleviation of suffering of individuals. It includes:-</i></p> <ul style="list-style-type: none"> • supporting individuals' ability to function and improve their participation in life and society • the assurance of safe and high quality care and treatment through local audit, • the management of untoward or adverse incidents • person satisfaction including measurement of outcomes <p><i>undertaken by one or more registered and regulated health or social care professionals and their team with whom the individual has a legitimate relationship for their care</i></p> | <p>Human Rights Act 1998 - Article 8 - See <i>Human Rights: Human Lives Equality and Human Rights Commission - A Guide to the Human Rights Act for Public Authorities and Appendix c.</i></p> <p>http://www.equalityhumanrights.com/publication/human-rights-human-lives-guide-human-rights-act-public-authorities</p> <p>Is there any interference with Human Rights Article 8? If yes, document why it is necessary and proportionate to do so:</p> | <p>Specify the Schedule 2 condition(s) that will be met</p> | <p>If the data is 'sensitive' specify the Schedule 3 condition(s) that will be met</p> |
| <p>Nb. You are only required to meet one condition for the processing but more than one condition may be applicable for different sectors of the public e.g. with and without capacity</p> <p><u>Include GDPR condition to ensure future proofing of PIA from May 2018</u></p> | | | | | | |
| | | <p>Health and social care</p> <p>The NHS Act 2006 <input type="checkbox"/></p> <p>The Health and Social Care Act 2012 <input type="checkbox"/></p> <p>Health and Social Care</p> | <p>Implied consent for purposes of direct care</p> <p>Public interest or safeguard individual or others</p> <p>Consent</p> | <p><input type="checkbox"/> Yes</p> <p><input checked="" type="checkbox"/> No</p> <p><input type="checkbox"/> Don't know – seek advice from peers or check national guidance</p> | <p>Consent</p> <p>Contract entered into by the individual</p> <p>Vital interests of the individual</p> | <p>Choose an item.</p> <p>Choose an item.</p> <p>Choose an item.</p> <p>GDPR</p> |

³ Information: To share or not to share? The Information Governance Review (Glossary) March 2013 – page 128

| | | | | | | |
|--|--|---|--|--|--|--|
| | | <p>(Safety and Quality) Act 2015 (England) <input checked="" type="checkbox"/></p> <p>Expressed Obligation</p> <p><u>Local authority</u></p> <p>The Care Act 2014 <input type="checkbox"/></p> <p>Implied Powers</p> <p><u>Other public sector</u> [Click here to enter text.]</p> <p><u>Private and 3rd sector</u> (see pdf above)</p> <p><u>Other</u> Implied Powers</p> | | <p>If yes, document why it is necessary and proportionate to do so:</p> <p>[Click here to enter text.]</p> | <p><u>GDPR</u></p> <p>Consent</p> <p>Choose an item.</p> | <p>Explicit consent</p> <p>Choose an item.</p> <p>Choose an item.</p> |
| | | <p><u>Health and social care</u></p> <p>The NHS Act 2006 <input checked="" type="checkbox"/></p> <p>The Health and Social Care Act 2012 <input checked="" type="checkbox"/></p> <p>Health and Social Care (Safety and Quality) Act 2015 (England) <input type="checkbox"/></p> <p>Expressed powers</p> <p><u>Local authority</u></p> <p>The Care Act 2014 <input type="checkbox"/></p> | | <p><input type="checkbox"/> Yes</p> <p><input checked="" type="checkbox"/> No</p> <p><input type="checkbox"/> Don't know – seek advice from peers or check national guidance</p> <p>If yes, document why it is necessary and proportionate to do so:</p> <p>Click here to enter text.</p> | <p><u>GDPR</u></p> <p>Consent</p> <p>Choose an item.</p> <p>Choose an item.</p> | <p><u>GDPR</u></p> <p>Explicit consent</p> <p>Choose an item.</p> <p>Choose an item.</p> |

| | | | | | | |
|--|--|---|--|--|--|--|
| | | Expressed powers | | | | |
| | | <u>Other public sector</u> Implied Powers | | | | |
| | | <u>Private and 3rd sector</u> (see pdf above) | | | | |
| | | <u>Other</u> Implied Powers | | | | |

Section 4 – Questions and further actions needed – to be documented later in PIA risk register

| | Question | Response | If response is incomplete, or privacy issues are raised, what do you need to do next, by when and who will do it? <i>E.g. contact Information Governance</i> |
|------------------------------|--|---|---|
| Purpose of processing | <p>1. Description, purpose of and reason for the initiative: <i>Specify how many individuals will be affected or state the detail in relation to the demographic e.g. all adults over the age of 65 in the [area/borough(s) of ...].</i></p> | <p>Description, purpose and benefits: 360 hours of Online Counselling Services</p> <p>Demographic/cohort: All Young People between the age of 10 - 18</p> <p>How many records are being processed i.e. Transferred or accessed (approx.): 5001 - 10,000</p> <p>Enter further detail if needed.... [Click here to enter text.]</p> <p>Borough(s) or GM wide: Central, North and South CCG of Manchester</p> <p>What is the frequency of the transfer/access? Monthly</p> | <p>If there is a safeguarding issue raised, the service user's counsellor will contact the specific individual and explain their concerns and the reason they feel they need some on the ground help. At this point the counsellor requests additional details that are personally identifiable information, and not standardly collected from our users. The counsellor may alternatively check information previously held on the service user to confirm its completeness/accuracy.</p> <p>If privacy issues are raised we would automatically implement data protection procedures,</p> <ol style="list-style-type: none"> 1) Inform DPO 2) Investigate Issue 3) Contact affected individual (s) (as appropriate) 4) Inform ICO (as appropriate) <p>If a service issue requests to see their data, we have GDPR-compliant procedures in place to deal with such requests.</p> |
| | <p>4. Is the initiative delivering direct care? <i>The definition of direct care is⁴: A clinical, social or public health activity concerned with the prevention, investigation and treatment of illness and the alleviation of suffering of individuals. It includes:-</i></p> <ul style="list-style-type: none"> • supporting individuals' ability to function and improve their participation in life and society • the assurance of safe and high quality care and treatment through local audit, • the management of untoward or adverse incidents • person satisfaction including measurement of outcomes <p><i>undertaken by one or more registered and regulated health or social care professionals and their team with whom the individual has a legitimate relationship for their care</i></p> <p>Yes <input checked="" type="checkbox"/> Go to Q.5</p> <p>No <input type="checkbox"/> Go to Q.4a</p> | | |
| | <p>4a. If not Direct care, what is it delivering and how is the consent being obtained</p> | <p>Indirect care:</p> <ul style="list-style-type: none"> • Commissioning <input type="checkbox"/> • Monitoring Health and social care <input type="checkbox"/> • Public health <input type="checkbox"/> • Research <input type="checkbox"/> • Other <input type="checkbox"/> specify | |

⁴ Information: To share or not to share? The Information Governance Review (Glossary) March 2013 – page 128

| | Question | Response | If response is incomplete, or privacy issues are raised, what do you need to do next, by when and who will do it? <i>E.g. contact Information Governance</i> |
|--|--|---|--|
| | 4b. What is the legal basis that permits you to carry this out for indirect care? | Legal basis: <ul style="list-style-type: none"> • Explicit consent <input type="checkbox"/> • Section 251 <input type="checkbox"/> • Other legal gateway (please state) <input type="checkbox"/> Click here to enter text. | |
| Legal Compliance – is it fair and lawful? | 5. What are the arrangements for individual's to either <u>object</u> to their information being shared for <u>direct care</u> or to <u>opt-out</u> of the initiative for <u>indirect care</u> once they have been provided with appropriate communication about it? | Our DPO Judy Happe can be contact at the following email address DPO@mindzonegroup.com to either object to their information being shared, or to opt-out of the initiative . The Kooth website also provides information links to our Privacy and safety policy and FAQ | |
| Purpose | 6. Will the information you are collecting in your initiative be used for other purposes in the future e.g. research or another purpose? | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Don't know [specify if yes and refer back to Q. 4a] Aggregated and anonymised data may be used for research and to ensure we are providing appropriate level of services to the young people | |
| Adequacy | 7. Are there data quality checks to ensure the data is of good enough quality? | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Don't know If no, or don't know what are you doing about it? As we would generally start our services with anonymised data provided by the service users the clinician and counsellor who might them need to take personal data due to a safeguarding issue ensure that the quality of the information is good enough for referral to an external organisation | Personal Identifiable Information is only collected when there are safeguarding issues. Prior to this point all personal data is completely anonymous. |
| Accurate and up to date | 8. Confirm that appropriate checks in place to keep data up to date where necessary? | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No State reason if no ... | |
| | 9. How are you ensuring that personal data obtained from individuals or other organisations is accurate? | Manual data checks in place <input checked="" type="checkbox"/> Integration engine checks <input type="checkbox"/> Other please state..... | Counsellor or clinicians ensure manually that referral data is accurate |
| Retention | 10. Confirm that the retention periods are in line with national guidance for public bodies | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> State reason if no - | Retention periods are in line with the NICE mental health guidelines of 20 years and also the statutory regulations regarding children who are "looked after" which is up to their 75th Birthday |

| | Question | Response | If response is incomplete, or privacy issues are raised, what do you need to do next, by when and who will do it? <i>E.g. contact Information Governance</i> |
|--------------------------|--|--|---|
| | 11. Confirm that national guidance will be followed to securely destroy the data once it is no longer required | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> state reason if no - | Xenzone confirms that the organisation will follow the national guidance to securely destroy data once it is no longer required. |
| Rights of the individual | 12. Confirm appropriate subject access handling procedures in place? | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> state reason if no - | We have included as part of our privacy policy the right of the users to request, update, delete data |

13a. Data flow – It is essential that each flow of data is identified, documented and specifies the schedule 2 and 3 conditions for processing. Processing is defined in the Data Protection act 1998 as “.... obtaining, recording or holding the information or data or carrying out any operation or set of operations on the information or data, including –

- (a) organisation, adaptation or alteration of the information or data,
- (b) retrieval, consultation or use of the information or data,
- (c) disclosure of the information or data by transmission, dissemination **or otherwise making available**, or
- (d) alignment, combination, blocking, erasure or destruction of the information or data.”

In addition, the basis for processing that information identified before it is shared is beneficial

| Processing or flow name | Processed by or going from | Processed by or going to | Method of transfer and control | Specify the security control(s) in place for the transfer | Where will the data be stored after transfer? |
|---------------------------------|----------------------------|--|--------------------------------|---|---|
| Monthly and Quarterly reporting | XenZone | Commissioners | Email | Data aggregated and / or anonymised | Off-site server - UK based |
| Safeguarding and Referral | XenZone | Agencies referred to within integrated partnership | Email | Secure email including NHS.net email account | Off-site server - UK based |
| Research | XenZone | Dependent on who research is contracted with. Could be internal or external partner. | Manually by staff | Data aggregated and / or anonymised | Off-site server - UK based |
| | | | Choose an item. | | Choose an item. |

| | | |
|--|---|--|
| <p>13b. Specify any actions needed to secure the data if appropriate controls not in place within the risk assessment:</p> <p>[Click here to enter text.]</p> | | <p>Action(s) needed Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> |
| <p>14. What safeguards will be in place to control and monitor access to data?</p> | <p>Safeguards are already in place controlling and monitoring access to data.</p> | <p>Documented on Data protection policy</p> |
| <p>15. How will access levels be decided?</p> | <p>Decided on need to know basis and organisational roles and responsibilities.</p> | <p>Documented on Data protection policy</p> |
| <p>16. Each party to confirm that information governance training is in place and all staff with access to personal data have had up to date training</p> | <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Don't know</p> | <p>Documented on Data protection policy</p> |
| <p>17. The initiative must be in line with all partner organisation(s) information security policies and procedures - confirm</p> | <p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> state reason if no -</p> | <p>Documented on Data protection policy</p> |
| <p>18. Have you outlined the security measures that will be used to transfer or access the identifiable information in your data flow (see section 13a)?</p> | <p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> state reason if no -</p> | <p>Documented on Data protection policy</p> |
| <p>19. Confirm all parties have appropriate measures in place to report incidents and share learning?</p> | <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> | <p>Documented on Data protection policy and Breach Policy</p> |
| <p>20. Who is/are the Data Controller(s)?</p> | <p>Manchester CCG</p> | |
| <p>21. Is each party involved in the processing of personal identifiable data a 'trusted' organisation e.g. completed a satisfactory Information Governance Toolkit Assessment or other recognised standard?</p> | <p><input checked="" type="checkbox"/> Yes (go to Q 23) <input type="checkbox"/> No – go to Q22 <input type="checkbox"/> Not applicable for some parties – give detail below [Click here to enter text.]</p> | |
| <p>21a. Is each party involved in the processing registered with the ICO which covers the planned processing of the data?</p> | <p><input type="checkbox"/> Yes <input type="checkbox"/> No Include registration numbers/renewal date and confirmation that registration covers planned processing for each party</p> | |

| | | | |
|---|--|--|--|
| | 22. Is there an Information Sharing agreement between the relevant parties that covers the processing arrangements? | <input type="checkbox"/> Yes – specify below <input type="checkbox"/> No (Click here to enter text.) | |
| | 23. Are there any data processors involved? | <input checked="" type="checkbox"/> Yes – provide details of agreement below including name and contact details if not already documented elsewhere <input type="checkbox"/> No <input type="checkbox"/> Not applicable XenZone Limited | |
| | 24. Where applicable, do the third party/supplier contracts contain all the necessary Information Governance clauses (refer back to IT involvement section 2 here and Q24) | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable | |
| Transfers –including internal and outside the EEA | 25. Have you recorded the security arrangements post transfer in the data flow (see section 13a)? | Yes <input checked="" type="checkbox"/> embed system relevant assurance docs No <input type="checkbox"/> state reason if no - | Procedure documented in XenZone Data Management Policy |
| | 26. Will individuals personal information be disclosed outside of the parties to this initiative in identifiable form and if so to who, how and why? | <input type="checkbox"/> Yes – provide details below Specify country if outside the UK and arrangements <input checked="" type="checkbox"/> No | |

Section 5 – Privacy issues identified and risk analysis

The risks should be reviewed and incorporated into a risk register. The following document has been created in excel to enable you to analyse the risks in terms of impact and likelihood and document any required action(s).



PIA template - risk register - excel.xlsx

Section 6 – Conclusion

All privacy risks have been identified and actions completed to mitigate, accept or remove the risks – as specified in the document at Section 5.

Section 7: Approval and Sign off

Approved by:

| Organisation | Name | Date |
|---------------------------|---------------------------|-----------------------------|
| XenZone | Judy Happe | 25/05/2018 |
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