Data Protection Impact Assessment (DPIA) Template

A DPIA is designed to describe your processing and to help manage any potential harm to individuals' in the use of their information. DPIAs are also important tools for demonstrating accountability, as they help you as a Controller to comply with the requirements of the Data Protection Legislation. Non-compliance with DPIA requirements can lead to fines imposed by the Information Commissioners Office (ICO); this includes not carrying out a DPIA at all, carrying out a DPIA in an incorrect way or failing to consult the ICO where required.

DPIA's are not new; the use of Privacy Impact Assessments has become common practice in the NHS and can provide evidence of compliance within the Data Security and Protection toolkit (DSPT); DPIAs build on that practice.

It is not always clear whether you should do a DPIA or not but there are a number of situations where a DPIA **should** be considered or where a DPIA is a **legal requirement**. If you can tick against the criteria below it is highly recommended that you undertake a DPIA and if you decide not to, ensure that you document the reasons for your decision.

You as Controller **MUST** carry out a DPIA where you plan to:	Tick or leave blank
Use **profiling or automated decision-making** to make significant decisions about people or their access to a service, opportunity or benefit;	☐
Process **special-category data or criminal-offence data on a large scale**;	✓
Monitor a publicly accessible place on a large scale;	☐
Use **innovative technology** in combination with any of the criteria in the European guidelines;	☐
Carry out **profiling** on a large scale;	☐
Process biometric or genetic data in combination with any of the criteria in the European guidelines;	☐
Combine, compare or match data from multiple sources;	☐
Process personal data **without providing a privacy notice** directly to the individual in combination with any of the criteria in the European guidelines;	☐
Process personal data in a way that involves **tracking** individuals' online or offline location or behaviour, in combination with any of the criteria in the European guidelines;	☐
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.	☐

You as Controller should **consider** carrying out a DPIA where you	Tick or leave blank
Plan any major project involving the use of personal data;	✓
Plan to do evaluation or scoring;	☐
Want to use systematic monitoring;	☐
Process sensitive data or data of a highly personal nature;	☐
Processing data on a large scale;	☐
Include data concerning vulnerable data subjects;	☐
Plan to use innovative technological or organisational solutions;	☐

A new DPIA should be carried out if you decide that there is a significant enough change to what you originally intended but it is good practice for DPIAs to be kept under review and revisited when necessary.

There is guidance to help you. Your Data Protection Officer (DPO) can be consulted before completing a DPIA in order to provide specialist advice and guidance or simply to talk things through with you.

Background Information	
Date of your DPIA :	24/07/2020
Title of the activity/processing:	CHC Review Project
Who is the person leading this work?	[redacted] (Commissioning & CIP Lead)
Who is the Lead Organisation?	BOB ICB
Who has prepared this DPIA?	[redacted] (Commissioning & CIP Lead)
Who is your Data Protection Officer (DPO)?	[redacted]
Describe what you are proposing to do: (Include as much background information as you can about why the new system/change in system/sharing of information/data processing is required).	BOB ICB is outsourcing Continuing Healthcare (CHC) clinical reviews of patients deemed eligible for CHC. The work has been outsourced to 2 Specialist Private healthcare companies that were successful after going through the formal tender. These 2 companies are CHS and UB Healthcare. **UB Healthcare (UBH) Experience & Expertise** UBH are experts in All Age Continuing Care (AACC), patient flow, and hospital discharge pathways and are committed to partnering with the NHS and adult social care services across England. Their team of professionals have a wealth of expertise and experience across the spectrum of health and social care management and delivery of the Continuing Healthcare Framework with unparalleled knowledge and understanding of the National Framework for NHS Continuing Healthcare and NHS-funded Nursing Care. They have undertaken several CHC review project with CCG's and ICB's successfully. **Care Home Selection Ltd (CHS) Experience & Expertise** CHS has provided operational services for many years, including the delivery of challenging projects managing thousands of retrospective applications for CHC funding. They met every deadline while achieving the highest levels of quality assurance. They have refined and tested every part of the workstream, ensuring the right skills are applied at the right part of each process. They are very good at process streamlining. They support ICBs to meet the Assurance Framework requirements: these measures form part of the Quality National Premium data sets required by NHS England. CHS also has extensive experience in the following specialisms and delivered successful project for several ICB's and CCG's: • The management and assessment of new applications for NHS Continuing Healthcare and Funded Nursing Care • Complex case management • Reviews of existing patients, all funder types (including section 117) • Retrospective reviews considering previously unassessed periods of care (PuPOC) and under New Periods (post April 1, 2013) • Appeals, disputes and complaints, including our work in stakeholder dispute resolution management

	• Procurement and brokerage of care • Direct support for people with Personal Health Budgets **Project Context** The reasons why 2 companies were successful is due to the fact that we need CHC reviews backlogs to be completed in Buckinghamshire and Oxford CHC Service. CHS will undertake the review project in Buckinghamshire and UB Healthcare will clear reviews backlog in Oxford. This review project requires the 2 providers to undertake clinical reviews of patients deemed eligible for CHC. To complete this project, the Providers will need to be issued a caseload of the cases due for review. This caseload will be a list of patients coded using their unique CHC Data base ID. This caseload will be shared with the Provider using secure NHS email accounts to them on secure laptops issued by the ICB. Once the data is received, nominated individuals in each team will then have restricted access to the CHC database to access other relevant information to plan, book and undertake the clinical reviews. Once the reviews are completed the clinical reports are emailed back to the ICB for ratification through secure nhs.net accounts. The reviews will be uploaded onto the CHC database by the ICB CHC Administrators. On completion of project, all information shared, ICB laptop and the restricted access to CHC data base for the nominated individual will be terminated.
Are there multiple organisations involved? (If yes – you can use this space to name them, and who their key contact for this work is)**.**	No
Can you think of any other Key Stakeholders that should be consulted or involved in this DPIA? (If so then include the details here).	No
Detail anything similar that has been undertaken before?	The CCG prior to becoming an ICB did commission CHC review projects in both Buckinghamshire and Oxfordshire CHC Services. The reviews were undertaken by external providers working to the ICB brief as is in this project. These projects were undertaken between 3 to 5 years ago.

1. Categories, Legal Basis, Responsibility, Processing, Confidentiality, Purpose, Collection and Use

1.1.

What data/information will be used? Tick all that apply.	Tick or leave blank	**Complete**
Personal Data	✓	1.2
Special Categories of Personal Data	✓	1.2 AND 1.3
Personal Confidential Data	✓	1.2 AND 1.3 AND 1.6
Sensitive Data (usually criminal or law enforcement data)	☐	1.2 but speak to your IG advisor first
Pseudonymised Data	☐	1.2 and consider at what point the data is to be pseudonymised
Anonymised Data	☐	Consider at what point the data is to be anonymised

Commercially Confidential Information	☐	Consider if a DPIA is appropriate
Other	☐	Consider if a DPIA is appropriate

1.2.

Processing has to be lawful so identify which of the following you believe justifies what you are proposing to do and include an explanation as to why in the relevant box. You must select at least one from a – f.

Article 6 (1) of the GDPR includes the following:

a) THE DATA SUBJECT HAS GIVEN CONSENT — Tick or leave blank: ☐

Why are you relying on consent from the data subject?

It is mandatory to seek consent prior to undertaking the CHC assessments. All those eligible would have given consent for ICB to share information on the need to know basis to complete assessment and future reviews in line with the CHC National Framework

What is the process for obtaining and recording consent from the Data Subject? (How, where, when, by whom).

There is a standard national CHC consent form that will be completed at each review to ensure consent is current and valid

Describe how your consent form is compliant with the Data Protection requirements? (There is a checklist that can be used to assess this).

It is the national CHC consent form designed by NHS England to be implemented across all CHC services in England.

b) IT IS NECESSARY FOR THE PERFORMANCE OF A CONTRACT TO WHICH THE DATA SUBJECT IS PARTY — Tick or leave blank: ☐

(The contract needs to be between the Controller and the individual and not concern data being processed due to someone else having a contract with the Controller. Processing can happen before the contract is entered into e.g. processing a pre-health assessment for a private or cosmetic procedure that is a paid for service with the delivery of that care done under contract between the Patient and the Practitioner).

What contract is being referred to?

c) IT IS NECESSARY UNDER A LEGAL OBLIGATION TO WHICH THE CONTROLLER IS SUBJECT — Tick or leave blank: ☐

(A legal obligation mandates processing of data as a task in itself where there are likely to be legal measures available if not adhered to e.g. an Employer has a legal obligation to disclose salary information to HMRC).

Identify the legislation or legal obligation you believe requires you to undertake this processing.

Click here to enter text.

d) IT IS NECESSARY TO PROTECT THE VITAL INTERESTS OF THE DATA SUBJECT OR ANOTHER NATURAL PERSON — Tick or leave blank: ☐

(This will apply only when you need to process data to protect someone's life. It must be necessary and does not only relate to the individual whose data is being processed. It can also apply to protect another person's life. Emergency Care is likely to fall into this category but planned care would not. You may need to process a Parent's data to protect the life of a child. The individual concerned is unlikely to be able to provide consent physically or legally; if you are able to gain consent then this legal basis will not apply).

How will you protect the vital interests of the data subject or another natural person by undertaking this activity?

Click here to enter text.

e) IT IS NECESSARY FOR THE PERFORMANCE OF A TASK CARRIED OUT IN THE PUBLIC INTEREST OR UNDER OFFICIAL AUTHORITY VESTED IN THE CONTROLLER — Tick or leave blank: ✓

(This is different to 6 c). If you are processing data using this basis for its lawfulness then you should be able to identify a specific task, function or power that is set out in law. The processing must be necessary, if not then this basis does not apply).	
What statutory power or duty does the Controller derive their official authority from? Click here to enter text.	
f) IT IS NECESSARY FOR THE LEGITIMATE INTERESTS OF THE CONTROLLER OR THIRD PARTY (Public authorities can only rely on legitimate interests if they are processing for a legitimate reason other than performing their tasks as a public authority. See the guidance for more information about the legitimate interest test).	**Tick or leave blank** ☐
What are the legitimate interests you have? Click here to enter text.	

Article 9 (2) conditions are as follows:	
a) THE DATA SUBJECT HAS GIVEN EXPLICIT CONSENT (Requirements for consent are the same as those detailed above in section 1.2, a))	**Tick or leave blank** ☐
b) FOR THE PURPOSES OF EMPLOYMENT, SOCIAL SECURITY OR SOCIAL PROTECTION (Schedule 1, part 1 of the Data Protection Act 2018 gives more detail on when this can apply to processing and further guidance is available).	**Tick or leave blank** ☐
c) IT IS NECESSARY TO PROTECT THE VITAL INTERESTS OF THE DATA SUBJECT OR ANOTHER NATURAL PERSON WHERE THEY ARE PHYSICALLY OR LEGALLY INCAPABLE OF GIVING CONSENT (Requirements for this are the same as those detailed above in section 1.2, d))	**Tick or leave blank** ☐
d) It is necessary for the operations of a not-for-profit organisation such as political, philosophical, trade union and religious body in relation to its members	*NA*
e) The data has been made public by the data subject	*NA*
f) For legal claims or courts operating in their judicial category	*NA*
g) SUBSTANTIAL PUBLIC INTEREST (Schedule 1, part 2 of the Data Protection Act 2018 gives more detail on when this can apply to processing and further guidance is available).	**Tick or leave blank** ☐
h) 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 ON THE BASIS OF UNION OR MEMBER STATE LAW OR PURSUANT TO CONTRACT WITH A HEALTH PROFESSIONAL AND SUBJECT TO CONDITIONS AND SAFEGUARDS (Schedule 1, part 1 of the Data Protection Act 2018 gives more detail on when this can apply to processing and further guidance is available).	**Tick or leave blank** ✓
i) 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, ON THE BASIS OF UNION OR MEMBER STATE LAW WHICH PROVIDES FOR SUITABLE AND SPECIFIC MEASURES TO SAFEGUARD THE RIGHTS AND FREEDOMS OF THE DATA SUBJECT, IN PARTICULAR PROFESSIONAL SECRECY (Schedule 1, part 1 of the Data Protection Act 2018 gives more detail on when this can apply to processing and further guidance is available).	**Tick or leave blank** ☐
j) PROCESSING IS NECESSARY FOR ARCHIVING PURPOSES IN THE PUBLIC INTEREST, SCIENTIFIC OR HISTORICAL RESEARCH PURPOSES OR STATISTICAL PURPOSES IN ACCORDANCE WITH ARTICLE	**Tick or leave blank**

89(1) BASED ON UNION OR MEMBER STATE LAW WHICH SHALL BE PROPORTIONATE TO THE AIM PURSUED, RESPECT THE ESSENCE OF THE RIGHT TO DATA PROTECTION AND PROVIDE FOR SUITABLE AND SPECIFIC MEASURES TO SAFEGUARD THE FUNDAMENTAL RIGHTS AND THE INTERESTS OF THE DATA SUBJECT. (Schedule 1, part 1 of the Data Protection Act 2018 gives more detail on when this can apply to processing and further guidance is available).	☐

1.3.

If using special categories of personal data, a condition for processing under Article 9 of the GDPR must be satisfied in addition to a condition under Article 6. You must select at least 1 from a) to c) or g) to i). NOTE: d), e) and f) are not applicable

1.4.

Confirm who the Controller and Processor is/are. Confirm if the Controller/s are solely or jointly responsible for any data processed?

(Identify any other parties who will be included in the agreements and who will have involvement/share responsibility for the data/information involved in this project/activity. Use this space to detail this but you may need to ask your DPO to assist you. Copy and paste the last empty row in the table to add organisations where required (the text has been left unlocked for this purpose on that row only).

Name of Organisation	Role
BOB ICB	Sole Controller
UB Healthcare	Processor
Care Home Selection Ltd (CHS)	Processor
Click here to enter text.	Choose an item.
Click here to enter text.	Choose an item.
Click here to enter text.	Choose an item.
Click here to enter text.	Choose an item.

1.5.

Describe exactly what is being processed, why you want to process it and who will do any of the processing?

The Provider will need to review and update the last completed CHC clinical assessment to determine if any changes have occurred that will affect the individual eligibility for CHC or need to adjust the care package in place. To complete this project, the Providers will need to be issued a caseload of the cases due for review. This caseload will be a list of patients coded using their unique CHC Data base ID. This caseload will be shared with the Provider using secure NHS email accounts to them on secure laptops issued by the ICB. Once the data is received, nominated individuals in each team will then have restricted access to the CHC database to access other relevant information to plan, book and undertake the clinical reviews. Once the reviews are completed the clinical reports are emailed back to the ICB for ratification through secure nhs.net accounts. The reviews will be uploaded onto the CHC database by the ICB CHC Administrators. On completion of project, all information shared, ICB laptop and the restricted access to CHC data base for the nominated individual will be terminated.

1.6.

Tick here if you owe a duty of confidentiality to any information. ✓

If so, specify what types of information. (e.g. clinical records, occupational health details, payroll information)

Clinical assessments and clinical records

1.7.

How are you satisfying the common law duty of confidentiality?

Consent - Implied

If you have selected an option which asks for further information please enter it here

Click here to enter text.

1.8.

Are you applying any anonymisation/pseudonymisation technique or encryption to any of the data to preserve the confidentiality of any information?

No

If you are then describe what you are doing.

If you don't know then please find this information out as there are potential privacy implications with the processing.

1.9.

Tick here if you are intending to use any information for a purpose that isn't considered as direct patient care. ☐

If so describe that purpose.

Click here to enter text.

1.10.

Approximately how many people will be the subject of the processing?

100 plus

1.11.

How are you collecting the data? (e.g. verbal, electronic, paper (if you need to add more selections then copy the last 'choose an item' and paste, the text has been left unlocked for you to do this.)

By e-mail

Face to face - in person

Choose an item.

Choose an item.

If you have selected 'other method not listed' describe what that method is.

Click here to enter text.

1.12.

How will you edit the data?

The data in the record does not need editing. The provider will only be updating clinical assessments.

1.13.

How will you quality check the data?

Through formal contract reporting and contract management meeting

1.14.

Review your business continuity or contingency plans to include this activity. Have you identified any risks?

No

If yes include in the risk section of this template.

1.15.

What training is planned to support this activity?

No training required as standardise national CHC process to be followed. Only project mobilisation meeting to be done to align project delivery with local processes.

2. Linkage, Data flows, Sharing and Data Opt Out, Sharing Agreements, Reports, NHS Digital

2.1.

Are you proposing to combine any data sets?
No

If yes then provide the details here.
Click here to enter text.

2.2.
What are the Data Flows? (Detail and/or attach a diagram if you have one).

The caseload of cases to be reviewed will be shared with Providers using secure nhs.net email accounts allocated to them by the ICB and they will also use secure laptops. The provider will also have designated personnel who will be granted view access to CHC data base to view key information such as last review and domcare or nursing home provider details to plan and book assessments. Once assessments completed, they will be forwarded back to ICB via secure nhs.net email accounts and ICB will do the quality assurance before the ICB Admin uploads the documents onto the CHC database. Once project complete all caseload information shared and ICB laptops will be returned and the restricted access to the CHC database will be ended. Whilst working on the project the data will be stored on the ICB secure laptops. All laptops will be password protected to keep the data secure.

2.3.
What data/information are you planning to share?

A list of cases due for review with a unique data base number as unique case identifier and the last CHC assessment/review documents which need to be updated will be accessed on CHC data base through designated Provider Admin who will be granted restricted access to the relevant information necessary to plan, book and complete the reviews due.

2.4.
Is any of the data subject to the National Data Opt Out?

No - it is not subject to the national data opt out

If your organisation has to apply it describe the agreed approach to this
Click here to enter text.

If another organisation has applied it add their details and identify what data it has been applied to
Click here to enter text.

If you do not know if it applies to any of the data involved then you need to speak to your Data Protection Officer to ensure this is assessed.

2.5.
Who are you planning to share the data/information with?

UB Healthcare and CHS Healthcare (providers delivering the review project)

2.6.
Why is this data/information being shared?

It is essential to have this information to determine who needs to be reviewed and using the last completed assessment as baseline of needs at last review compared to determine if patient remains eligible for NHS funding or require care package adjustment

2.7.

How will you share it? (Consider and detail all means of sharing)

Data will flow from ICB to the 2 providers from a secure nhs.net email account to another nhs.net email account. The caseload of cases to be reviewed will be shared with Providers using secure nhs.net email accounts to secure laptops issued by ICB. The provider will also have designated personnel who will be granted view access to the ICB's CHC database to view key information such as last review and domcare or nursing home provider details to plan and book reviews. Once reviews completed, the review will be forwarded back to ICB via secure nhs.net email accounts and ICB will do the quality assurance before the ICB Admin uploads the documents onto the CHC database to the patient file. Whilst the Provider is working on the project the data will be stored on the ICB secure laptops. All laptops will be password protected to keep the data secure.

Tick if you are planning to use Microsoft Teams or another similar online networking/meeting solution that may have the facility to store or record conversations or related data as part of the sharing arrangements ☐

Provide details of how you have considered any privacy risks of using one of these solutions
Click here to enter text.

2.8.
What data sharing agreements are or will be in place?

The standard NHS Contract will be used, which contains IG clauses. Separate data sharing agreement is not required.

2.9.
What reports will be generated from this data/information?

Activity reports to reflect progress on review completed, no personal data.

2.10.
Are you proposing to use Data that may have come from NHS Digital (e.g. SUS data, HES data etc.)?
No

If yes, are all the right agreements in place?
Choose an item.

Give details of the agreement that you believe covers the use of the NHSD data
Click here to enter text.

If no or don't know then you need to speak to your Data Protection Officer to ensure they are put in place if needed.

3. Data Processor, IG Assurances, Storage, Access, Cloud, Security, Non-UK processing, DPA

3.1
Are you proposing to use a third party, a data processor or a commercial system supplier?
Yes

If yes use these spaces to add their details including their official name and address. If there is more than one then include all organisations. If you don't know then stop and try and find this information before proceeding.
UB Healthcare – Data processor
Care Home Selection Ltd – Data Processor
Click here to enter text.
Click here to enter text.
Click here to enter text.

Click here to enter text.

3.2

Is each organisation involved registered with the Information Commissioner? Copy and paste the last empty row in the table to add organisations where required (the text has been left unlocked for this purpose on that row only)

Name of organisation	Registered	Registration details or comments if not registered
UB Healthcare The Moseley Exchange 149-153 Alcester Road Moseley Birmingham B13 8JP	Yes	Registration Number - ZB309747 Registration Certificate - ZB30974
Care Home Selection Ltd (CHS) Connaught House 850 The Crescent Colchester Business Park Colchester Essex CO4 9QB	Yes	ZA060874 Registration Certificate CHS - ZA0
Click here to enter text.	Choose an item.	Click here to enter text.
Click here to enter text.	Choose an item.	Click here to enter text.
Click here to enter text.	Choose an item.	Click here to enter text.
Click here to enter text.	Choose an item.	Click here to enter text.

3.3

What IG assurances have been provided to you and does any contract contain IG clauses that protect you as the Controller? (e.g. in terms and conditions, their contract, their tender submission). Copy and paste the last empty row in the table to add organisations where required (the text has been left unlocked for this purpose on that row only)

Name of organisation	Brief description of assurances obtained
UB Healthcare	Compliance with the NHS Standard Contract **SCHEDULE 6 – CONTRACT MANAGEMENT, REPORTING AND INFORMATION REQUIREMENTS**
Care Home Selection Ltd (CHS)	Compliance with the NHS Standard Contract **SCHEDULE 6 – CONTRACT MANAGEMENT, REPORTING AND INFORMATION REQUIREMENTS**
Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.

3.4

What is the status of each organisation's Data Security Protection Toolkit?

DSP Toolkit

Copy and paste the last empty row in the table to add organisations where required (the text has been left unlocked for this purpose on that row only)

Name of organisation	ODS Code	Status	Published date
UB Healthcare Ltd	M6H4Y	Standards Met	26/06/2023
Care Home Selection Ltd (CHS)	8HN55	Standard Exceeded	27/06/2023

Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.

3.5

How and where will the data/information be stored? (Consider your answer to 2.7 and the potential storage of data in any online meeting or networking solution).

Secure ICB laptops will be issued to Provider designated personnel working on the project. Once data forwarded to the Providers using the secure nhs.net accounts, they will then store the data securely on and access it from their secure laptops. The providers also have a range of security systems that they will utilise such as Bit locker Full system drive encryption, each user is required to have a unique complex password & 2FA to be switched on. Whilst working on the project the data will be stored on the ICB secure laptops. All laptops will be password protected to keep the data secure.

3.6

How is the data/information accessed and how will this be controlled?

Saved on secure ICB laptops and any information exchange will be via nhs.net secure accounts and password protected files and folder.

3.7

Is there any use of Cloud technology?

No

If yes add the details here.

Click here to enter text.

3.8

What security measures will be in place to protect the data/information?

Use of ICB laptops, use of secure nhs.net accounts, provider personnel IG training, Providers registered with Information Commissioner. Providers have an Information Security team responsible for managing cyber security risks and potential threats, responding to cyber security related incidents, ensuring that staff are adequately trained and educated on staying safe within the cyber environment and ensure compliance with information security standards and certifications (ISO 27001 certified).

Is a specific System Level Security Policy needed?

No

If yes or don't know then you need to speak to your Data Protection Officer to ensure one is put in place if needed.

3.9

Is any data transferring outside of the UK? (you must determine this so only select don't know if you have further investigations to make but the DPIA will not be approved without this information)

No

If yes describe where and what additional measures are or will be in place to protect the data.

Click here to enter text.

3.10

What Data Processing Agreement is already in place or if none, what agreement will be in place with the organisation and who will be responsible for managing it?

NHS Standard Contract with DPA schedule.

4. Privacy Notice, Individual Rights, Records Management, Direct Marketing

4.1

Describe any changes you plan or need to make to your Privacy Notice and your proposed completion date? (There is a checklist that can be used to assess the potential changes required or if you wish for it to be reviewed then add the link below).

None

4.2

How will this activity impact on individual rights under the GDPR? (Consider the right of access, erasure, portability, restriction, profiling, automated decision making).

No impact. Individual Rights requests will be managed in line with BOB ICB Individual Rights Policy.

4.3

How long is the data/information to be retained?

ICB will retain reviews within the patient record for period stipulated under NHS guidance and ICB records management policy under NHS guidance and ICB records management policy.
Providers to destroy reviews on termination of the contract.

4.4

How will the data/information be archived?

ICB manages its information in line with NHS guidance and ICB records management policy. Providers will not be archiving records.

4.5

What is the process for the destruction of records?

Records will be destroyed in line with the secure destruction of records process in BOB ICB Records Management Policy. Providers will not store any patient identifiable information.

4.6

What will happen to the data/information if any part of your activity ends?

Records will be destroyed in line with the secure destruction of records process in BOB ICB Records Management Policy. Information will not be retained by the Provider beyond end of contract in accordance with instructions from the ICB.

4.7

Will you use any data for direct marketing purposes? (you must determine this so only select don't know if you have further investigations to make but the DPIA will not be approved without this information)

No

If yes please detail.

Click here to enter text.

5. Risks and Issues

5.1

What risks and issues have you identified? The DPO can provide advice to help complete this section and consider any measures to mitigate potential risks.

Describe the source of risk and nature of potential impact on individuals. (Include associated compliance and corporate risks as necessary and copy and paste the complete bottom row to add more risks (the text has been left unlocked in both tables to enable you to do this)).	Likelihood of harm	Severity of harm	Overall risk
Risk of ICB sending email to wrong email address	Remote	Significant	Medium
Risk of ICB Admin sending review outcome letter to wrong email address	Remote	Significant	Medium
Risk of PCD being seen on laptop screen at Provider	Remote	Minimal	Low
Click here to enter text.	Choose an item.	Choose an item.	Choose an item.

Risk of data breach mitigated through IG staff training, using secure ICB laptops and using nhe.net emails for project and information flow communication.

5.2

Identify additional measures you could take to reduce or eliminate risks identified as medium or high risk in 5.1				
Risk	**Options to reduce or eliminate risk**	**Effect on risk**	**Residual risk**	**Measure approved (SIRO)**
Risk of ICB sending email with data to wrong email	All key emails with reviews schedules data to be checked by CHC Admin and supervisor to make sure correct address. In event of email sent to wrong nhs.net account, the recall function can be utilised. Attached data schedule will be password protected and password will only be shared following acknowledgement of receipt of the information by correct recipient.	Reduced	Low	Choose an item.
Risk of Provider sending review outcome letter to wrong person	All letters to be double checked by 2 Admins before being sent and have to be signed by Manager who will also check the details. This 2 stage checking and validation will minimise this risk	Reduced	Low	Choose an item.
Risk of PCD being seen on laptop screen	All staff involved in project completed IG training and are aware of the need to ensure no one can see the computer screen who is not working on the project or if opening personal confidential data. All	Reduced	Low	Choose an item.

	computers have login and password and all staff know need to lock screen at all times if not using computer or walking away from their desk even is it is just momentarily.			
Click here to enter text.	Click here to enter text.	Choose an item.	Choose an item.	Choose an item.

5.3
What if anything would affect this piece of work?
Click here to enter text.

5.4
Please include any additional comments that do not fit elsewhere in the DPIA?
Click here to enter text.

6. Consultation

6.1
Have you consulted with any external organisation about this DPIA?
No

If yes, who and what was the outcome? If no, detail why consultation was not felt necessary.
Click here to enter text.

6.2
Will you need to discuss the DPIA or the processing with the Information Commissioners Office? (You may need the help of your DPO with this)
No

If yes, explain why you have come to this conclusion.
Click here to enter text.

7. Data Protection Officer Comments and Observations

7.1 **Comments/observations/specific issues**	Click here to enter text.

8. Review and Outcome

Based on the information contained in this DPIA along with any supporting documents, you have determined that the outcome is as follows:
A) There are no further actions needed and we can proceed

If you have selected item B), C) or D) then please add comments as to why you made that selection
Click here to enter text.

We believe there are
Choose an item.

If you have selected item B) or C) then list these in the amber boxes below and then consider additional measures you could take and include these in the green boxes below

Residual risks and nature of potential impact on individuals. (Include associated compliance and corporate risks as necessary and copy and paste the complete bottom row to add more risks (the text has been left unlocked in both tables to enable you to do this)).	**Likelihood of harm**	**Severity of harm**	**Overall risk**

Click here to enter text.	Choose an item.	Choose an item.	Choose an item.
Click here to enter text.	Choose an item.	Choose an item.	Choose an item.
Click here to enter text.	Choose an item.	Choose an item.	Choose an item.
Click here to enter text.	Choose an item.	Choose an item.	Choose an item.

Additional measures you could take to reduce or eliminate residual risks identified as medium or high risk above (B and C)

Risk	Options to reduce or eliminate risk	Effect on risk	Residual risk	Measure approved (SIRO)
Click here to enter text.	Click here to enter text.	Choose an item.	Choose an item.	Choose an item.
Click here to enter text.	Click here to enter text.	Choose an item.	Choose an item.	Choose an item.
Click here to enter text.	Click here to enter text.	Choose an item.	Choose an item.	Choose an item.
Click here to enter text.	Click here to enter text.	Choose an item.	Choose an item.	Choose an item.

Signed and approved on behalf of Buckinghamshire Oxfordshire & Berkshire West Integrated Care Board

Name: [redacted]

Job Title: Data Protection Officer

Signature: [redacted] Date: 04/08/2023

Signed and approved on behalf of Click here to enter text.

Name: Click here to enter text.

Job Title: Click here to enter text.

Signature: Click here to enter text. Date: Click here to enter a date.

Please note:

You should ensure that your Information Asset Register and Data Flow Mapping Schedules are updated where this is relevant as a result of this project.

This DPIA can be disclosed if requested under the Freedom of Information Act (2000). If there are any exemptions that should be considered to prevent disclosure detail them here:
Click here to enter text.