PERFORMANCE & INFORMATION MANAGEMENT

Data Protection Impact Assessment

Suffolk Information Partnership Warm Handovers Referral Scheme

Asset owner: Kim Knights, Head of Business Management
Authorised by:
Reviewed by: Anna Stephenson, Data Protection Manager 21/09/18
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TABLE OF CONTENTS

1 Data protection impact assessment template

This template is used to record the data protection impact assessment (DPIA) process and aims to ensure a risk-based approach to data protection compliance through assessing the degree of risk that its data processing activities poses to individuals.

The DPIA must be undertaken at the beginning of the project, after the screening questions (see section (3) below) have identified the need for a DPIA. This template includes the guidance under ICO Code of Practice – Privacy Impact Assessments. The DPIA must be integrated into the project management's processes and reviewed during its development, implementation and as appropriate for any post implementation requirements. The DPIA will also be factored into any accompanying data sharing agreement(s) required for the purposes of the project.

If you would like advice on completing the DPIA, please contact the Data Protection Manager (Information.management@suffolk.gov.uk). Please note, an electronic copy of the completed DPIA must be sent for registration to the Data Protection Manager, Information Management at the above email address.

2 Overview

2.1 Background

a) The Suffolk Information Partnership (SIP) is a partnership of statutory, voluntary sector and independent sector organisations providing support and information to citizens in Suffolk. One of the partners within SIP is Suffolk County Council (SCC).
b) To support vulnerable citizens SIP has developed a secure online referral system, known as Warm Handovers. The system is hosted by SCC and enables professionals from partner organisations who are part of the Warm Handovers Referral Scheme (WHRS) (see list of organisations at Appendix 1), to identify other support their clients would benefit from which their organisation does not provide but which can be provided by an organisation within the WHRS.
c) The purpose of the WHRS is to ensure vulnerable individuals, or those individuals that the professional feels would not seek assistance from a WHRS organisation if signposted to them.

2.2 Scope

a) At present 20 organisations are part of the WHRS. The Scheme is open for other organisations to join, as long as they provide care, health and wellbeing services to individuals residing in Suffolk.

b) WHRS is designed to support only vulnerable and frail people who would not otherwise contact organisations for extra support themselves. The scope of WHRS will not extend beyond the remit of support for vulnerable and frail individuals living in Suffolk.

2.3 Document purpose

The purpose of this document is to assess the need for a DPIA for the SIP WHRS.

3. Screening

These screening questions are intended to help you decide whether a DPIA is necessary. Answering 'yes' to any questions means that a DPIA must be undertaken. The DPIA can be expanded upon as the project develops to ensure all privacy risks associated with the project are documented.

SCREENING QUESTION	Y/N	BRIEF DETAILS
1. Will the project involve the collection of new information about individuals?	**Y**	If a professional from the participating WHRS partner organisations advises a client that another organisation can provide support in relation to their circumstances the professional will, after discussing this with the individual, refer them to a WHRS partner who can provide advice and services such as fire prevention or debt management. The organisation making the referral will usually be collecting new information about the client for the purposes of providing a referral to a WHRS partner.
2. Will the project require individuals to provide information about themselves?	**Y**	See (1) above.
3. Will information about individuals be disclosed to organisations or people who have not previously had routine access to their information?	**Y**	See (1) above.

4. Are you using information about individuals for a purpose it is not currently used for, or in a way it is not currently used?	**Y**	The referring organisation in making a referral to a WHRS partner organisation will be using some of the information it has already collected (e.g. name and contact details) for the purposes of making a referral to another WHRS partner organisation. Please also see (1) above.
5. Does the project involve you using new technology which might be perceived as being privacy intrusive? For example, the use of biometrics or facial recognition.	**N**	
6. Will the project result in you making decisions or taking action against individuals in ways which can have a significant impact on them?	**N**	The scheme is not for crisis or safeguarding referrals, but for moderate support, such as giving advice or a service, e.g.improving heating, installing smoke alarms, dementia support. So a referral could lead to a significantly positive impact on the individual e.g. improving their wellbeing or making their home environment safer.
7. Is the information about individuals of a kind particularly likely to raise privacy concerns or expectations? For example, health records, or other information that people would consider to be particularly private.	**Y**	The information will be about an individual's care and support needs and will contain personal and special category data e.g. health information.
8. Will the project require you to contact individuals in ways which they may find intrusive? For example, professionals making referrals about individuals.	**Y**	The WHRS organisation receiving the referral will contact the individual to offer them support / services. There is an option on the referral form for the individual to say how they would like to be contacted, e.g. by phone, text, email

4. Identify the need for a DPIA

The WHRS helps to reduce people falling into crisis, and delays their entry into statutory health and care services by providing them with support from a range of agencies within the Scheme. Approximately 80 to 100 referrals are made per month and the Scheme has been operational since 2013. The requirements of the General Data Protection Regulation (GDPR) and Data Protection Act 2018 (DPA) have meant that a DPIA must be undertaken to assess the impact of the WHRS's information sharing arrangements on individuals and a review of the existing information sharing agreement to ensure its compliance with the law.

The WHRS process provides a secure way of transferring an individual's information from one organisation to another. The process benefits the individuals being referred because contact with another WHRS organisation is facilitated by the referring organisation which means that the individual's information is transferred quickly and securely to the organisation to which the individual is being referred. The Scheme saves

vulnerable and frail individuals from having to make direct contact with new organisations, where they may be wrongly signposted and not put in touch with the correct department/service to which they are being referred.

5. Describe the information flows

a) The individual's information is collected by the professional meeting with the person.
b) The professional making the referral accesses an electronic link on their internal system to the referral form, completes the form and submits it. The professional making the referral can request a copy of the form.
c) The referral data is held on gBiz (Microsoft Dynamics, from December 2018) (hosted by SCC) and an email is sent with the referral information to the relevant WHRS organisation(s) selected by the professional and to the professional themselves. See link to Online Referral Form Process diagram http://www.gliffy.com/publish/2747964/.
d) The email will be encrypted using Office 365 Message Encryption or Transport Layer Security (TLS).
e) Once the recipient organisation opens the referral it will contact the individual within five working days and store the information on its client case management system.

Current procedure for all WHRS organisations using the referral form:

a) If a referring organisation feels it is necessary it may make initial contact with another WHRS organisation by telephone. The telephone contact is then followed up by the submission of an online referral (see above).
b) The online referral form platform will send secure emails containing the referral content to a designated email address at each WHRS organisation. This address list is reviewed and updated annually.
c) The designated mailboxes in each organisation are monitored on a daily basis during each organisation's working hours. The person responsible for monitoring their organisation's mailbox will forward the email contents to the appropriate member of staff or department within their organisation for further action.
d) If an organisation wishes to acknowledge the receipt of a referral from another WHRS organisation they can do this by quoting the Reference Number of the referral. No personal data is included in the acknowledgement. and they are only sent in exceptional circumstances, e.g. if a phone call from the referrer precedes the referral and they wish to be sent a receipt.
e) The staff member who has been passed the referral email will contact the customer within five working days to acknowledge that they have received their details, confirm that they would like support, and briefly explain what action(s) they will be taking. The individual is provided with a timeframe as to when the action(s) will be implemented and, if appropriate, reasons as to why the timeframe may be subject to variation (e.g. long waiting list, staff leave).
f) If the customer has heard nothing from the organisation they have been referred to, they are advised to contact the person they have been dealing with at the referring organisation. It is the responsibility of each organisation to monitor 'failed' referrals and follow them up.

g) If the referral is felt to be inappropriate by the receiving organisation they will contact the referring organisation within five working days to discuss it and agree next steps in contacting the individual to advise them of the outcome.
h) All SIP organisations participating in the WHRS must provide evidence of their organisation's compliance with data protection law (see Appendix 1 for a list of participating organisations as at 01/10/2018.
i) The WHRS facilitator will maintain and share guidance notes on the process and instructions on using the encryption service with all WHRS organisations and support them when necessary. New organisations will be given the link to the online referral form only when they have evidenced their compliance with data protection law and signed the Information Sharing Agreement.

6. Consultation requirements

In May 2011 the SIP Working Group held a workshop with wider representation from member organisations to discuss risks and concerns and draft a minimum data set and protocols for referring clients to partner organisations. These were drafted into an Information Sharing and Warm Handovers Data Exchange Agreement that was presented to the Suffolk Information Partnership Board and approved and signed by individual partners in October 2011. Guidance and procedures were then produced to support staff in making and receiving referrals (see Appendix 2).

7. Identify the privacy risks and privacy solutions

PRIVACY ISSUE(S)	**RISK(S) TO INDIVIDUALS**	**COMPLIANCE AND ASSOCIATED ORGANISATIONAL RISK(S)**	**PRIVACY SOLUTION(S)**	**OUTCOME** IS THE RISK ELIMINATED, REDUCED OR ACCEPTED?	**EVALUATION** IS THE FINAL IMPACT ON INDIVIDUALS AFTER IMPLEMENTING EACH SOLUTION A JUSTIFIED, COMPLIANT AND PROPORTIONATE RESPONSE TO THE AIMS OF THE PROJECT?
1. Inaccurate information about individuals is recorded and sent by the referring organisation to other WHRS organisations.	Individuals may have their data shared with an organisation who provides inappropriate support.	Non-compliance with data protection law and potential sanctions and monetary penalties from the ICO. Loss of organisational reputation and	Professional to thoroughly check with individuals that their information is correct before making referrals.	Reduced	Yes

		public confidence in an organisation's ability to comply with data protection law.			
2. Information is not transferred or held securely by referring or recipient organisations.	Individuals' information is intercepted by third parties who may misuse the data causing harm to the data subjects.	Non-compliance with data protection law and potential sanctions and monetary penalties from the ICO. Loss of organisational reputation and public confidence in an organisation's ability to comply with data protection law.	All SIP partners are required to evidence their compliance with data protection law prior to signing the Information Sharing Agreement. Each partner has a security incident (data breach) management process in place to respond to incidents.	Reduced	Yes
3. Information is sent to the wrong person when the referrer manually types in their work email address to receive a copy	Individuals' information is intercepted by third parties who may misuse the data causing harm to the data subjects.	Non-compliance with data protection law and potential sanctions and monetary penalties from the ICO. Loss of organisational reputation and public confidence in an organisation's ability to comply with data protection law.	Staff training and awareness of the importance of correctly typing in referrer's own email address. All SIP partners are required to evidence their compliance with data protection law prior to signing the Information Sharing Agreement.	Reduced	Yes

			Each partner has a security incident (data breach) management process in place to respond to incidents.		
4. Email encryption fails on emails sent from SCC's gBiz / Microsoft Dynamics system	Personal information is not protected and could be intercepted by third parties	Non-compliance with data protection law and potential sanctions and monetary penalties from the ICO. Loss of organisational reputation and public confidence in an organisation's ability to comply with data protection law.	If OME fails to apply the email will fail to send and the sender will be notified. With TLS, SCC acknowledges that there is a minute Corporate risk that an email to an nhs.net address will not be encrypted. The WHRS only has two partners with an nhs.net address so the risk is extremely small when weighed against the need for message delivery	Reduced and accepted by SCC	Yes
5. Inappropriate referrals are made	Individuals' information is inappropriately disclosed to third parties	Non-compliance with data protection law and potential sanctions and monetary penalties from the ICO. Loss of organisational reputation and public confidence in	Staff training and awareness of services provided by WHRS partners.	Reduced	Yes

		an organisation's ability to comply with data protection law.			

8. Sign off and confirm the privacy solutions outcomes (typed entries are acceptable provided they are sent to Information Management via the signatory's personal SCC email address).

[The asset owner must sign off the DPIA and is responsible for overseeing the implementation of the approved solutions]

Name Kim Knights

Job title Head of Business Management

Service Adult and Community Services

9. Integrate the DPIA outcomes back into the project plan

See Appendix 3 for WHRS Standard Operating Procedures

CONTACT POINT FOR FUTURE PRIVACY CONCERNS
Asset owner Name: Kim Knights Service: Adult and Community Services Email: kim.knights@suffolk.gov.uk
Data Protection Manager Performance & Information Management Email: Information.management@suffolk.gov.uk

Appendices

Appendix 1 List of participating organisations as at 01/10/2018

Legal name of parties to the WHRS	Short name of party	Head office address	ICO Reg No	DP policy received (available on request)
Suffolk County Council (Adult and Community Services and Fire and Public Safety Directorates)	SCC	Endeavour House, 8 Russell Road, Ipswich IP1 2BX	Z5113825	https://www.suffolk.gov.uk/about/privacy-and-data-protection/
Access Community Trust	ACT	113 – 114 High St, Lowestoft NR32 1HN	Z6762303	Yes
Age UK Suffolk	Age UKS	14 Hillview Business Park, Old Ipswich Road, Claydon, Ipswich IP6 OAJ	Z6602800	Yes
Citizens Advice North East Suffolk	CANES	St Margaret's House, Gordon Road, Lowestoft NR32 1JQ	Z9418753	Yes.
Disability Advice Service, East Suffolk	DAS, East Suffolk	14 The Square, Martlesham Heath, Ipswich IP5 3SL	Z628085X	Yes
East Suffolk and North Essex NHS Foundation Trust (Ipswich Hospital and Colchester Hospital, Suffolk Community Services)	ESNEFT	Trust Offices, Colchester Hospital, Turner Road, Colchester, Essex, CO4 5JL	Colchester Hospital Z6601302 Ipswich Hospital Z7404762	Yes
Ipswich Citizens Advice		19 Tower Street, Ipswich IP1 3BE	Z8593557	Yes

Lofty Heights		Brightspace, 160 Hadleigh Road, Ipswich IP2 0HH	Exempt, due to not for profit status	Yes
Orbit		Garden Court, Harry Weston Road, Binley Business Park, Coventry CV3 2SU	Z6128096	Yes
Papworth Trust		Bernard Sunley Centre, Papworth Everard, Cambridge CB23 3RG	Z7258164	Yes
Sue Ryder		1st Floor, Kings House, King Street, Sudbury CO10 2ED	Z7276320	Yes
Suffolk Coastal District Council (Warm Homes Healthy People)	SCDC	East Suffolk House, Station Road, Melton, Woodbridge IP12 1RT	Z566068X	http://www.eastsuffolk.gov.uk/assets/Your-Council/Access-to-Information/Privacy-Notices/00-East-Suffolk-Privacy-Notice.pdf
Suffolk Family Carers	SFC	Unit 8, Hill View Business Park, Claydon IP6 0AJ	Z5759480	Yes
Suffolk GP Federation (Suffolk Community Services)	Suffolk GP Fed	Riverside Clinic, 2 Landseer Road, Ipswich IP3 0AZ	Z1409359	Yes
Suffolk Libraries		Ipswich County Library, Northgate Street, Ipswich IP1 3DE	Z3287196	Yes
Suffolk Mind		Quay Place, Key Street, Ipswich IP4 1BZ	Z3318788	Yes

Survivors in Transition		84 Fore Street, Ipswich, Suffolk IP4 1LB	Exempt, due to not for profit status	Yes
Voiceability		The Old Granary, Westwick, Oakington, Cambridge CB24 3AR	Z8607224	Yes
West Suffolk NHS Foundation Trust (Suffolk Community Services)	WSH	Hardwick Lane, Bury St Edmunds IP33 2QZ	Z6847094	Yes

Appendix 2 Guidance and Procedures

Guidance Notes
Hints and Tips

See http://suffolkinformationpartnership.onesuffolk.net/warm-handover/help-for-staff/ under Useful documents

Appendix 3 WHRS Standard Operating Procedures

Best practice guide	**Date for completion of actions**
1. Professional to thoroughly check with individuals that their information is correct before making referrals.	Part of staff training; ongoing review
2. All SIP partners are required to evidence their compliance with data protection law prior to signing the Information Sharing Agreement.	October 2018 for existing partners, then ongoing for new partners.
3. Professional to thoroughly check that they have entered their correct work email address on the referral form to receive a copy of the referral for their client records.	Part of staff training; ongoing review
4. Each partner has a security incident (data breach) management process in place to	October 2018 for existing partners, then

respond to incidents.	ongoing for new partners.
5. If OME encryption fails to apply the email will fail to send and the sender will be notified. With TLS, SCC acknowledges that there is a minute Corporate risk that an email to an nhs.net address will not be encrypted.	Completed
6. Staff training and awareness of services provided by WRFS partners.	Ongoing

Document Control

Changes History

VERSION	DATE	AMENDED BY	CHANGE
0.1 Draft	08/05/2018	N/A	N/A
1	05/10/2018	Anna Stephenson and Kate Turner	Reviewed and updated
1.1	17/01/2019	Anna Stephenson and Kate Turner	Reviewed and updated
1.2	06/02/2019	Anna Stephenson and Kate Turner	Reviewed and updated