NHS
Gloucestershire
Clinical Commissioning Group

Data Protection Impact Assessment (DPIA)

Project title	Fit For the Future Programme – Engagement & Consultation phase
DPIA Reference no. (from IG Lead)	DPIA079
DPIA prepared by (project lead)	Mark Woodward - Project Manager – Fit For the Future

- **Summarise the project or change, including the benefits**

The Fit For the Future (FFtf) Programme sits as part of our One Gloucestershire ICS strategy. This sets out our ambitions to deliver a step change for health and social care in Gloucestershire. Our Vision is to:

- Place a far greater emphasis on personal responsibility, prevention and self-care, supported by additional investment in helping people to help themselves
- Place a greater emphasis on joined up community based care and support, provided in patients' own homes and in the right number of community centres, supported by specialist staff and teams when needed
- Continue to bring together specialist services and resources in to 'Centres of Excellence', where possible reducing the reliance on inpatient care (and consequently the need for bed based services) across our system by repurposing the facilities we have in order to use them more efficiently and effectively in future
- Develop new roles and ways of working across our system to make best use of the workforce we have, and bring new people and skills into our delivery system to deliver patient care
  Have a continued focus on ensuring Parity of Esteem for Mental health

The programme has recently completed a 'Solutions Appraisal' process and has a shortlist of solutions that it wishes to progress through an iterative Pre Consultation Business Case (PCBC) process. The PCBC will be presented to the ICS and partner organisations (v1), the Clinical Senate (v2), NHSE/I (v3) and then HOSC (v4). Should the PCBC be approved then it is anticipated that a solution(s) will be subject to a public consultation in 2020.

This DPIA covers the Solutions Appraisal phase of the programme and the period up until the end of any consultation process.

- **Describe the data, data flows, and retention period.**
  If this is a trial or pilot project, include the criteria, process and data that will be used for evaluating its outcome

The FFtF Programme is currently focusing on a PCBC and then a consultation process so there should be no change to any patient pathways and patient data flows during the current phase of the programme.

A separate DPIA will be completed post consultation to consider impacts on data processing at this time.

At no time will any patient identifiable data be held by the programme.

The data that will be held by the programme is as follows –

Project Management

- TOR's for working groups and Programme Governance groups

- Agenda's for meetings
- Action notes from meetings
- Minutes from meetings
- Risk and issues log for the programme
- Project plans
- Highlight reports

Programme Governance

- PCBC and appendices
- Integrated Impact Assessment (IIA)
- Travel Impact Assessment (TIA)
- Date Protection Impact Assessment (DPIA)

Consultation documentation

- Consultation documentation e.g. – leaflets
- Consultation online / paper based surveys
- Staff consultation
- Public consultation
- Citizens Jury documentation
- Letters
- Emails

Data Flows –

- Project Management

Project management documentation will be issued by the FFtF programme office by way of email from NHS email accounts or from the generic Fit For the Future email account. All email accounts are controlled by user name and password protection. The recipients will predominantly have NHS email accounts.

The Project Management documentation will contain project team members names and job titles and be stored on the CCG's network and the FFtF Programme SharePoint site. The SharePoint site is subject to an additional DPIA which has been signed off by the Gloucestershire CCG's Director of Transformation & Service Redesign.

The CCG's network access is controlled through Line Managers authorising access to certain areas of the network based on employees needs to access the folders.

The above data will be stored on the CCG's network and the SharePoint site for the lifetime of the programme and any challenge period. The data will then be archived in line with the CCG's data retention policy.

- Programme Governance

The PCBC document and appendices will not contain any patient or staff member identifiable information other than the authors. Summary data will be included as well as anonymised quotes from stakeholders.

The PCBC will have an Integrated Impact Assessment (IIA), which is being created by Mid & South Essex University Hospitals Group. Various non patient identifiable data sets have been sent via NHS email to Mid & South Essex University Hospitals Group who will in turn create an assessment. The aim of the reports is to understand the current services and assess the consequences of any change whilst maximising the positive impacts and minimising negative impacts of the proposed change. The majority of the information provided is considered as 'in the public domain'. The IIA will be appended to the PCBC.

The PCBC will also contain a number of Travel Impact Assessments (TIA) as appendices which are being created by the Commissioning Support Unit (CSU) using non patient identifiable data sets. The data has been sent to the CSU using the NHS email system. When completed the impact assessments will be stored on the CCG network and form part of the PCBC.

The draft and final versions of the PCBC will be stored on the CCG's network and the ultimately the SharePoint Site. The document will be shared to the Programme team and stakeholders using NHS mail.

The PCBC and appendices will be stored on the CCG's network and the SharePoint site for the lifetime of the programme and any challenge period. The data will then be archived in line with the CCG's data retention policy.

- Consultation Documentation

An online questionnaire has been used as part of the Solutions appraisal process to allow invited attendees to answer a set of questions in advance of the event. Respondents could provide a name and attendee role if they wished to do so when completing the survey. This data is held in the third party Smart Survey system. Smart Survey ~~are~~is based in Tewkesbury, Gloucestershire and all data is stored on servers which are located in the UK. The physical location of the servers is something that formed part of the procurement evaluation criteria.

A hyperlink to the survey was emailed to attendees from the Fit For the Future email account using the bcc option.

When the questionnaire was completed summary reports were generated from the system and used to analyse feedback. The summary reports are stored on the CCG network.

It is planned that a similar questionnaire will be used during the Consultation phase of the programme and a similar process will be followed.

During the Consultation process stakeholders will be encouraged to provide feedback through the following methods* –

Roadshows
Online survey
Feedback forms
Ad hoc emails
Ad hoc letters

A range of non-identifiable demographic data will be collected throughout the consultation process via the online and paper based surveys which will be distributed as part of the consultation leaflet. The surveys can be completed by any stakeholder online or posted back to the CCG by Freepost. When collated the paper survey data will be input into the smart survey software and then

shredded.

In January 2020 a Citizens Jury took place and it is planned that another Citizens Jury will be held in the Summer of 2020. The Citizens Jury process is operated by a Company Called Citizens Juries CIC who administered the event. This resulted in the CCG not holding any attendee identifiable data.

All emails relating to Consultation process will be administered through the Engagement Teams generic email account. Access to this account is through Line Manager authorisation and user name and password protection.

Should a letter be received then this is scanned and the hard copy shredded. The letter is then held on the Patient Engagement team 'M' drive together with any response. The letter is stored in accordance with the team's retention schedule.

* It should be noted that in March 2020 when the DPIA is being drafted that the Fit For the Future Consultation plan has not been finalised and the activities above are based around a 'typical' Consultation process.

- **What is the lawful basis for processing the personal data under GDPR/DPA 2018?** (refer to IG Lead or NHS Digital guidance, particularly sections 5 and 6)

For processing Personal Data:
GDPR 6(1)(e) – the processing is necessary for the performance of a task carried out in the exercise of official authority vested in the controller by the NHS Act 2006.

For processing Special Category Data (e.g. health):
No special categories of personal data will be processed.

- **Relevant stakeholders who have been consulted about data protection and privacy risks** (name, role)

Ellen Rule – Director of Transformation
Tony Ware – Information Governance Manager
Micky Griffith - Fit For the Future Programme Director
Becky Parish – Associate Director Engagement and Experience
Caroline Smith – Senior Manager Engagement & Inclusion
Anthony Dallimore – Associate Director Communications

- **Describe any data protection and privacy risks identified**

  - Risk 1 – Unauthorised access to lists of individuals names and job titles and email addresses contained on ToR's, action log, minutes etc.
  - Risk 2 – Unauthorised access to surveys completed through the Smart Survey system via hacking the site or accessing the summary reports generated by the system.
  - Risk 3 - Unauthorised access to 'hard copy' surveys completed.
  - Risk 4 – That paper copy completed surveys or hand delivered letters are delivered to the wrong CCG department.

- **Describe the risk management measures agreed** (what, why, who, when)**, including how they will be implemented**

  - Risk 1 – Access to the network will only be available to those with a CCG user account with approved access by a line manager to the Fit For the Future filing structure and Fit For the Future email account which both have user name and password protection in place.
  - Risk 2 – Access to the Smart Survey system will be limited to the Engagement Team this will be controlled through user name and password protected accounts.
  - Risk 3 – Hard copy surveys will be stored by members of the CCG's Engagement &

Experience team and only made available to Programme Team members on request with a business need for the hard copy forms. • Risk 4 – Ensure that a procedure is agreed with those responsible at the CCG for post opening and distribution.
• **Approved and signed off by the GCCG IG Lead** (Tony Ware)
T Ware. 10/3/20
• **Approved and signed off by the relevant Director (name, signature, role, date)**
• **Does this DPIA need to be reviewed? If yes, when?**
At the end of the fit For the Future Consultation Process.

The DPIA Process

DPIAs ensure that data protection and privacy are built into projects and new ways of working from the start. The CCG requires all projects to follow the DPIA process as outlined below.

Note that if the DPIA is for a trial or pilot project, the DPIA must cover the evaluation of the outcome at the end of trial/pilot. The evaluation criteria, process and data that will be used for the evaluation must be described in the DPIA and approved before the project starts. This will avoid delays with the evaluation.

The CCG's IG lead, Tony Ware, will provide advice about when a DPIA is required and how to complete it.

Step	Action	Comment
1	Project Lead checks whether a DPIA is required by completing the DPIA screening form in Verto. If the screening points to a DPIA being required, go to step 2.	If the project is not using Verto, obtain the screening form from the IG Lead. If DPIA is not required, send the screening form to the IG Lead – no further actions.
2	Project lead starts the DPIA.	DPIA template is available in Verto or from the IG Lead. The DPIA reference number will be assigned by the IG Lead.
3	Project lead consults with the IG Lead and all the relevant stakeholders, including the Caldicott Guardian and SIRO if needed.	A stakeholder is anyone who can affect or be affected by the process being proposed. E.g. if data will pass through the DSCRO, the DSCRO Lead is a stakeholder.
4	Project Lead completes the DPIA and circulates it to stakeholders for review.	
5	When all stakeholders agree that the DPIA is correct, the Project Lead sends it to the IG Lead for approval.	The Project Lead must ensure that all stakeholders, including the IG Lead, agree with the content of the DPIA before the Director is asked for approval.

Step	Action	Comment
6	If approved, Project Lead asks the relevant CCG Director to approve the DPIA. Project Lead sends the signed copy to the IG Lead for filing.	
7	Project Lead adds any risks identified in the DPIA to the project risk log.	
8	IG Lead adds it to the DPIA register and circulates it to the IG Working Group.	