

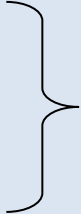
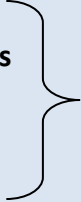
Data Protection Impact Assessment (DPIA)

Please complete all questions with as much detail as possible (liaising with partners/third parties) and then contact the IG Team prior to seeking approval.

Section 1: System/Project General Details

System/project/process (referred to thereafter as 'project') title:	Administration of GnRH analogues.	
Objective:	To commission the provision of administration of GnRH analogues (PSA monitoring and injections).	
Detail: Why is the new system/change in system required? Is there an approved business case?	Service specification required updating to reflect change in NICE guidance and to recognise the use of the eRS system for transfer of patients to and from secondary care.	
Stakeholders/Relationships /Partners: Please outline the nature of such relationships and the corresponding roles of other organisations.	GP practices - registered patients will received the service. Secondary care acute health provider (Northern Lincolnshire & Goole NHS Foundation Trust) will receive GP referrals and transfer stable patients back to primary care for monitoring. For patients who are housebound referrals can be made to Care Plus Group and Freshney Pelham Care Ltd	
Other related projects:	Click here to enter text.	
Project lead:	Title:	Service Lead
	Department:	Service Redesign and planning
Information Asset Owner: All information systems/assets must have an Information Asset Owner (IAO) . IAO's should normally be a Head of Department/Service.		NEL CCG do not process personal data. There is a named Information Asset Owner in each GP Practice for the information asset/system. The risk to the information asset/system is managed and accepted by each GP Practice. NLAG, Care Plus Group and Freshney Pelham Care Ltd will have an IAO appointed for this service.
Information Asset Administrator: Information systems/assets may have an Information Asset Administrator (IAA) who reports the IAO. IAA's are normally System Managers/Project Leads.		This will be identified at a GP Practice level and within NLAG, Care Plus Group and Freshney Pelham Care Ltd.

Section 2: Data Protection Impact Assessment Key Questions

	Question	Response
Data Items		
1.	<p>Will the project use identifiable or potentially identifiable data in any way? If answered 'No' then a DPIA is not normally suggested.</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, who will this data relate to:</p> <p><input checked="" type="checkbox"/> Patient <input checked="" type="checkbox"/> Staff <input type="checkbox"/> Other: Click here to enter text.</p>
2.	<p>Please state purpose for the processing of the data: For example, patient care, commissioning, research, audit, evaluation.</p>	<p>For patient care</p>
3.	<p>Please tick the data items that are held in the system</p> <p>Personal </p> <p>Special categories of personal data (sensitive data) </p>	<p><input checked="" type="checkbox"/> Name <input checked="" type="checkbox"/> Address <input checked="" type="checkbox"/> Post Code <input checked="" type="checkbox"/> Date of Birth <input checked="" type="checkbox"/> GP Practice <input checked="" type="checkbox"/> Date of Death <input checked="" type="checkbox"/> NHS Number <input checked="" type="checkbox"/> NI Number <input type="checkbox"/> Passport Number <input type="checkbox"/> Pseudonymised Data <input checked="" type="checkbox"/> Online Identifiers (e.g. IP Number, Mobile Device ID)</p> <p><input checked="" type="checkbox"/> Health Data <input type="checkbox"/> Trade Union membership <input type="checkbox"/> Political opinions <input checked="" type="checkbox"/> Religion <input checked="" type="checkbox"/> Racial or Ethnic Origin <input checked="" type="checkbox"/> Sex life and sexual orientation <input type="checkbox"/> Biometric Data <input type="checkbox"/> Genetic Data</p> <p><input type="checkbox"/> Other:</p>
4.	<p>What consultation/checks have been made regarding the adequacy, relevance and necessity for the processing of the data for this project?</p>	<p>The patient record is required so that all health care professionals know that the patient is receiving either PSA monitoring or a GnRH agonist. The use of the eRS system is a fail-safe mechanism to ensure the safe transfer between secondary and primary care.</p>
5.	<p>How will the data be kept up to date and checked for accuracy and completeness?</p>	<p>The patient record stored on the GP clinical system will be updated when the patient is seen.</p>

	Question	Response
Data processing		
6.	<p>Will a third party be processing data on the CCG or one of its contractors?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>If no, please go to the Confidentiality section. GP Practices are Data Controllers for this purpose.</p>
7.	<p>Is the third party contract/supplier of the project registered with the Information Commissioner?</p> <p>This was required until 25 May 2018.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Organisation: Data Protection Registration Number:</p>
8.	<p>Has the third party supplier completed and published a satisfactory Data Security and Protection Toolkit submission?</p> <p>Please note that the Data Security and Protection Toolkit replaced the IG Toolkit from 1 April 2018.</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>If yes, please give organisation code and percentage score: Click here to enter text.</p> <p><i>IG Toolkit Score:</i></p> <p><input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory <input type="checkbox"/> Satisfactory with Improvement Plan</p> <p>If satisfactory with an improvement plan, please request a copy of the plan and enclose it with this assessment. Click here to enter text.</p>
9.	<p>Does the third party/supplier contract(s) include all the necessary Information Governance clauses regarding Data Protection and Freedom of Information?</p> <p>See Contract and Commissioning Information Governance Assurance checklist.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Is the contract based on or utilise the NHS standard contract?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
10.	<p>Will other third parties (not already identified) have access to the data?</p> <p>Include any external organisations.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If so, for what purpose? For patient care</p> <p>Please list organisations and by what means of transfer:</p>
Confidentiality		
11.	<p>Please outline how individuals will be informed and kept informed about how their data will be processed.</p> <p>A copy of the privacy notice and/or leaflets must be provided.</p>	<p>NELCCG publish the Privacy Notice on their website - http://www.northeastlincolnshireccg.nhs.uk/how-we-use-your-information/fair-processing-notice/. NLAG and Practices also publish privacy notices on their individual websites Individuals will be directed to the privacy notices.</p>

	Question	Response
12.	<p>Does the project involve the collection of data that may be unclear or intrusive?</p> <p>Are all data items clearly defined? Is the data collected limited to a specific set of predefined categories?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>If yes, please explain: Click here to enter text.</p>
13.	<p>Are you relying on individuals (patients/staff) to explicit consent to the processing of personal identifiable or sensitive data?</p> <p>Please provide copies of any consent documentation that will be used, including patient information leaflets</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No (Go to next question)</p> <p>How will consent be obtained and by whom? Usual GP practice procedures for obtaining consent will be used and recorded in the medical record.</p> <p>Will the consent cover all proposed processing and sharing/disclosures? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If no, please detail: Click here to enter text.</p>
14.	<p>If explicit consent is not being sought, what legal basis enables this data processing?</p> <p>For more information about conditions for processing, please see the ICO's GDPR website.</p>	<p>Personal data (identifiers and potentially identifiable data):</p> <p><input type="checkbox"/> Relating to a contract: Click here to enter text. <input type="checkbox"/> Legal obligation: Click here to enter text. <input type="checkbox"/> Vital interests: Click here to enter text. <input type="checkbox"/> Public task: Click here to enter text. <input type="checkbox"/> Other: Click here to enter text.</p> <p>Special categories of personal data (sensitive data), <i>if applicable</i>:</p> <p><input type="checkbox"/> Medical related: Click here to enter text. <input type="checkbox"/> Public Health: Click here to enter text. <input type="checkbox"/> Employment related: Click here to enter text. <input type="checkbox"/> Vital interests: Click here to enter text. <input type="checkbox"/> Already public: Click here to enter text. <input type="checkbox"/> Legal claim related: Click here to enter text. <input type="checkbox"/> Substantial public interest: Click here to enter text. <input type="checkbox"/> Other: Click here to enter text.</p>
15.	<p>Will identifiable data only be handled within the patients' direct care team (in accordance with the Common Law Duty of Confidentiality)?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If no, please detail: Click here to enter text.</p>
16.	<p>How will consent, non-consent, objections or opt-outs be recorded and respected?</p>	<p>On the GP clinical system.</p>

	Question	Response
17.	<p>What arrangements are in place to process Subject Access Requests?</p> <p>What would happen if such a request were made?</p>	GP Practices and NLAG will have a Subject Access Request policy in place.
18.	<p>Will the processing of data be automated?</p> <p>Will the proposed processing of data involved automated means of processing to determine an outcome for the individual?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p><input type="checkbox"/> Not applicable</p> <p>If yes, please outline what arrangements are available to enable the individual access and to extract data (in a standard file format). Please also detail any profiling that may take place as part through automated processing: Click here to enter text.</p>
19.	<p>What process is in place for rectifying/blocking data?</p> <p>What would happen if such a request were made?</p>	NLAG and all GP Practices will have processes in place to allow the exercise of patients' rights in accordance with legislation.
Engagement		
20.	<p>Has stakeholder engagement taken place?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, how have any issues identified by stakeholders been considered? No data protection issues identified If no, please outline any plans in the near future to seek stakeholder feedback: Click here to enter text.</p>
Data Sharing		

	Question	Response
21.	<p>Does the project involve any new data sharing between stakeholder organisations?</p> <p>Is this use or disclosure of data in scope for the national data opt- out to be applied?</p> <p><i>(contact your IG lead if you need more information about this)</i></p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>If yes, please describe: Click here to enter text. Please provide a high level data flow diagram showing how identifiable information would flow.</p> <p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>Patients should be made aware that they can opt-out of their data being used for research and planning. This opt-out should then be recorded in the patient record in the clinical system, so that the opt-out can be applied.</p>
Data Linkage		
22.	<p>Does the project involve linkage of personal data with data in other collections, or significant change in data linkages?</p> <p>The degree of concern is higher where data is transferred out of its original context (e.g. the sharing and merging of datasets can allow for a collection of a much wider set of information than needed and identifiers might be collected/linked which prevents personal data being kept anonymously)</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>If yes, please provide a data flow diagram showing how identifiable information would flow and ensure this is added to the CCG Information Asset and Data Flow Register (see Information Assets and Data Flows section).</p>
Information Security		
23.	<p>Who will have access to the data within the project?</p> <p>Please refer to roles/job titles/organisations.</p>	<p>GPs, Advanced Nurse Practitioners, Practice Nurses, Health Care Assistants, Administrative staff in GP Practices. Northern Lincolnshire & Goole NHS Foundation Trust.</p>
24.	<p>Is there a useable audit trail in place for the project?</p> <p>For example, to identify who has accessed a record?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><input type="checkbox"/> Not applicable</p> <p>If yes, please outline the audit plan: Audit of access is stored on GP clinical systems.</p>

	Question	Response
25.	<p>Where will the data be kept/stored/accessed?</p> <p>Where applicable, please refer to data flow diagram.</p>	On GP clinical information system and external servers.
26.	<p>Please indicate all methods in which data will be transferred</p>	<input type="checkbox"/> Fax <input type="checkbox"/> Email (Unsecure/Personal) <input checked="" type="checkbox"/> Email (Secure/nhs.net) <input type="checkbox"/> Internet (unsecure – e.g. http) <input type="checkbox"/> Telephone <input type="checkbox"/> Internet (secure – e.g. https) <input type="checkbox"/> By hand <input type="checkbox"/> Courier <input type="checkbox"/> Post – track/traceable <input type="checkbox"/> Post – normal <input checked="" type="checkbox"/> Software <input type="checkbox"/> Mobile app <input type="checkbox"/> Other: Click here to enter text.
27.	<p>Does the project involve privacy enhancing technologies?</p> <p><i>New forms of encryption, two factor authentication and/or pseudonymisation.</i></p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <p>If yes, please give details: Click here to enter text.</p>
28.	<p>Is there a documented System Level Security Policy (SLSP) or process for this project?</p> <p>A SLSP is required for new systems – this is likely to need to be completed by the supplier.</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <p>If yes, please provide a copy.</p>
Privacy and Electronic Communications Regulations		
29.	<p>Will the project involve the sending of unsolicited marketing messages electronically such as telephone, fax, email and text?</p> <p>Please note that seeking to influence an individual is considered to be marketing.</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <p>If yes, what communications will be sent? Click here to enter text.</p> <p>Will consent be sought prior to this? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If no, please explain why consent is not being sought first: Click here to enter text.</p>
Records Management		
30.	<p>What are the specific retention periods for this data?</p> <p>Please refer to the Records Management Code of Practice for Health and Social Care 2016 and list the retention period for identifiable project datasets.</p>	As per the retention periods for health and non-health records as set out in the Records Management Code of Practice for Health and Social Care 2016. The retention schedule is in line with the Records Management Code of Practice for Health and Social Care 2016.

	Question	Response
31.	Will the data be securely destroyed when it is no longer required?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If no, please detail: Click here to enter text.
Information Assets and Data Flows		
32.	Has an Information Asset Owner been identified and does the Information Asset and Data Flow Register require updating? Please see the Information Asset Register and Data Flow Mapping Form .	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If yes, include the completed Information Asset Register New Entry Form. Not applicable to NEL CCG Does this project constitute a change to existing Information Asset(s) or is this a new Information Asset? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If yes, include the completed Information Asset Register and Data Flow Mapping Form for risk review.
Business Continuity		
33.	Have the business continuity requirements been considered?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Business Continuity is not applicable Please explain and either reference how such plans link with the organisational plan or why there are no business continuity considerations that are applicable for this project: Each organisation/practice has its own business continuity and incident management process. This is part of the Standard NHS contract.
Open Data		
34.	Will identifiable/potentially identifiable from the project be released as Open Data (placed in to the public domain)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If yes, please describe: Click here to enter text.
Data Processing Outside of the UK and European Union (EU)		
35.	Will any personal and/or sensitive data be transferred to a country outside the UK?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If yes, which data and to which country? Click here to enter text.

Section 3: Data Protection Impact Assessment Information Governance Review

Information Governance Review (for completion by IG)			Response (for completion by project lead)		
Issue	Potential Risk	Recommendation	Agreed Action	Completion (Date and Initials)	
1	Information Asset Administrator not named for each GP Practice	Lack of named individual risks unauthorised access to patient data and lack of audit trail	Confirmation sought of named Information Asset Owner for each GP Practice while avoiding the necessity of 26 individual DPIAs being completed.	Statement agreed that 'there is a named Information Asset Owner in each GP Practice for the information asset/system. The risk to the information asset/system is managed and accepted by each GP Practice.'	Completed 16.12.19
2	The latest DPIA template has not been completed and therefore the National Data Opt Out question has not been addressed.	National Data Opt Out question in section 21 not addressed. Risk of using patient data against patient wishes.	Complete the latest DPIA template and address National Data Opt Out question.	Data transferred to the latest DPIA template and statement added to question 23: 'Patients should be made aware that they can opt-out of their data being used for research and planning. This opt-out should then be recorded in the patient record in the clinical system, so that the opt-out can be applied.'	Completed 16.12.19
3	Why there are no business continuity considerations that are applicable for this project question in section 33 has not been addressed.	Service not able to continue due to lack of continuity planning.	Complete the business continuity section addressing the question stated.	Each organisation/practice has its own business continuity and incident management process. This is part of the Standard NHS contract.	Completed 17.12.19
4	Third Party contract/supplier is registered with the Information Commissioner. However, no name or registration number given.	Name of third party and registration number needed to check registration with Information Commissioners Office.	Give name and registration number of third party.	Organisation: All GP practices in North East Lincolnshire are registered with the ICO. Northern Lincolnshire & Goole NHS Foundation Trust Data Protection Registration Number Z6405159. Care Plus Group (North East Lincolnshire) Limited have completed a DSPT and are registered with the ICO; Z3629778. Freshney Green Care Limited have completed a DSPT and are comprised of the following GP Practices that are registered with the ICO: Field House Medical	Completed 17.12.19

				Group; Z6986290, Woodford Medical Practice; Z5259419, Littlefield; Z492086X	
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For completion by IG:

	Residual Risk	Main Risk Sources	Main Threats	Main Potential Impacts	Main Controls Reducing the Severity and Likelihood	Severity	Likelihood
1	Power Failure	Servers and Telephone systems connected to National Grid.	Extreme weather and inadequate maintenance.	Loss of access	Business Continuity Plans in place	minor	unlikely
2	Accidental Inappropriate Disclosure of Information	Email, Telephone system, face to face and mail.	Inaccurate use of email, identity checks, and mail.	Harm to patient privacy	Adequate training and policies in place	minor	rare
3	Unauthorised Access by Staff or Contractors	Staff and Contractors.	Inadequate contractual clauses in place.	Harm to patient privacy	Adequate contracts clauses in place	minor	rare
4	Misuse of system resources	Staff and Contractors.	Staff inappropriate access to patient data.	Harm to patient privacy	Adequate auditing and tracking in place	minor	possible
5	Human Error / Inadequate Training	Staff and Contractors.	Staff misuse of patient data.	Harm to patient privacy	Regular training and policies in place	minor	possible
6	Inadequate Auditing and Tracking	Staff and Contractors.	Staff failure to adhere to current records management procedure.	Loss of data. Harm to patient privacy	Adherence to Records Management Policy	minor	rare

IG review completed by: eMBED Information Governance Specialist **Review date:** 13.12.19
Date complete and risk assessed: 19.12.19 **Consultation with ICO required?** No

Section 4: Review and Approval

Assessment completed by

Title:	Senior Information Governance Specialist
Date:	19.12.19

Data Protection Officer Approval

Name:	Paul Ellis
Title:	Data Protection Officer
DPO advice: DPO should advise on compliance, risks identified and whether processing can proceed. If accepting any residual high risk, consult the ICO before going ahead	The processing of personal and special category personal data is for the purposes of direct care and with the informed consent of the data subject. For this service NEL CCG do not hold or process any personal or special category personal data. Risks fall with GP Practices who will all have established procedures in place for the lawful, fair and transparent processing of personal data, and are registered with the ICO and are required to complete the DS&P toolkit.
Approved	<input checked="" type="checkbox"/>
Date:	19/02/2020

The DPO should also review ongoing compliance with DPIA

SIRO/Caldicott Guardian Approval

Name:	Jan Haxby
Title:	SIRO
DPO advice accepted or overruled: If overruled, you must explain your reasons	DPO advice accepted
Approved:	<input checked="" type="checkbox"/>
Date:	28.02.2020

This DPIA will be kept under review by:	Project Lead
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