

# WCC - Lite Privacy Impact Assessment (PIA)

When making changes to services or systems, you will need to consider how the changes impact the use of personal data. This is to help ensure that the Council complies with processing personal information legitimately and appropriately and with its obligations under the Data Protection Act (DPA), the Privacy and Electronic Communications Regulations (PECR) and other legal statutes.

The following questions are provided to assist you to consider and assess the initial impact on personal information when considering service/system changes. These points should be considered at the feasibility stage of projects. **The responses to the questions on the assessment will be reviewed by Information Management and any risks identified will be taken forward to be addressed separately or via the project risk register and process.** Further assessment may be required when looking at the legal basis for collection, access, sharing or the security of systems or services.

Once the assessment is completed, Information Management will review and may ask for further clarification, with risks and actions being identified. The assessment will require approval from WCC Information Management and the WCC Service Manager responsible.

If the scale, impact and risks are considered to be major, a full assessment report may be required and this will require sign-off by the Head of Service / Information Asset Owner (IAO), Senior Information Risk Owner (SIRO) and Caldicott Guardian (CG) as appropriate.

Further guidance to PIAs is available from the Information Commissioner's Office (ICO) at: [http://www.ico.org.uk/for\\_organisations/data\\_protection/topic\\_guides/privacy\\_impact\\_assessment](http://www.ico.org.uk/for_organisations/data_protection/topic_guides/privacy_impact_assessment)

*Information Management  
November 2016*



## WCC - PIA for central adoption agency system

Ref	Questions	Assessment responses
	PIA Ref Number	IMP16-20
<b>A</b>	<b>Basic Information</b>	<i>Completed by IM</i>
1	Information Asset Owner / Head of Service	Beate Wagner
2	Service Manager	Brenda Vincent
3	Contact name	Jane Tarver PM Rita Chohan Julie Newman - Coventry Legal Louise Hathaway - Adoptions Manager Jo Smith - ACE project
4	Contact telephone	x2445
5	Target date required for completion of PIA	31/01/2017
6	Target implementation date of project/change	31/01/2017
7	Information Asset Register Reference (if known)	<b>To be supplied</b>

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<p>8</p>	<p>Project/Change Outline - Brief description of what is being planned.</p> <p><i>Include links to relevant project documentation if available</i></p>	<p><b>This is an initial pilot/trial for 12 months and this PIA only covers the trial.</b></p> <p>Implementation of a web- based application (Coram-i) that will support the adoption service in managing data collection, uploading the spreadsheets the Adoption teams are currently using, matching adopters to children, especially in hard to match cases and in tracking cases to help the service ensure timeliness.</p> <p>Adoption agency will eventually be created owned by one of the partners: e.g. WCC, Coventry, Worcestershire, Solihull. Others interested.</p> <p>Ownership of adoption records will need to be resolved if the system becomes the master record - and not held locally by each organisation.</p> <p>Coram may become national. Only the agency can see child data, e.g. Warwickshire placing. Alerts sent out from system to other agencies.</p> <p>This will include information on adopters who enquire as well as approved. Also children who are 'twin tracked' as well as adoption decision. Twin tracked is when it is agreed that two types of a plan will be progressed for a child return home or permanency (this could be long term foster care or adoption depending on case)</p> <p>Trial system initially for WCC and ACE partner(s). Will include social worker names. Every child will be registered that may require adoption from case reviews decision. Adoption team will use spreadsheets to upload data. Hold status of adopters. Adopter's report uploaded, copy of what's on Mosaic.</p> <p>Child permanence report uploaded from Mosaic.</p> <p>Child data including mental /physical health will be held.</p>
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		<p>Adoption team will only access (from each agency).</p> <p>Adopters can view children and register an interest. Adopters only see profile and first name, not full data set.</p> <p>Aim is to speed up matching, especially hard to match. Easy to match will continue.</p>
9	<p>What are the privacy impacts of this proposal?</p> <p>Describe the new or change in the way the service is delivered, change of system, how will personal data be collected or treated differently to current usage? Is specific information being collected or accessed that hasn't previously or is the level of information about an individual increasing?</p>	<p>No extra customer data will be collected but will be held in a shared database with restricted views for adopters, but full shared access for agency staff.</p> <p>LA partner agencies will be adding new data.</p>
10	<p>Number of customers/stakeholders impacted</p>	<p>WCC Staff - initially 2. Jo Smith and Jo Davies. . Similar from each agency social workers only. As more records go on we may need to use social care workers or admin to support.</p> <p>Numbers will be higher as when figures taken adopters are going through the adoption process and children are placed but not yet had adoption orders</p> <p>ACE in total  New adopters approved - 167  LAC adopted - 164</p> <p>breakdown for adopters approved;  coventry - 53  solihull - 19  warwickshire - 45  worcestershire - 50</p> <p>breakdown for children adopted</p>

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		<p>coventry - 54  solihull - 12  warwickshire - 54  worcestershire - 44</p>
<b>B</b>	<b>INFORMATION COLLECTED</b>	<i>To be completed by WCC service contact</i>
B1	<p>What personal data is involved?  For health systems, is it patient identifiable data?</p> <p><i>See Notes below</i></p>	<ul style="list-style-type: none"> <li>● Name</li> <li>● Address and postcode</li> <li>● Telephone no.</li> <li>● DoB</li> <li>● Gender</li> <li>● Racial/Ethnic origin</li> <li>● Religious beliefs or other beliefs of a similar nature</li> <li>● Physical or mental health or condition</li> </ul> <p>Child-level and Adopter-level data in-line with existing collections within the council's adoption service.</p> <p>Prospective adopters held on spreadsheets, Children data held in Mosaic/ESCR.</p>
B2	<p>Describe the planned information flows, i.e. where does the information go - internally, externally and how.</p> <p><i>An information flow diagram would be useful if you have this.</i></p>	<p>Two sorts of information:  Child and Adopter.  Both are collected and verified by a Social Worker.</p> <p>When a child becomes known to the authority their data will be entered onto Mosaic (internal) and copied to the Coram application (external). Due to the small volume, all data will be manually entered, no automated data transfer during trial.</p> <p>When Adopters apply their data will be entered directly onto the application (external).</p> <p>Data for Adopters will be captured from the point of adoption enquiry.  Data for Children will be captured at the point of an early permanence meeting where adoption is agreed as a plan.</p>

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B3	Describe why you really need all the personal information you are planning to collect, or can you collect anonymised information instead.	<p>The Authority can decide whether to refer to the people by name or ID. If the ID is used the following could be removed from the application but would require to be stored elsewhere.</p> <ul style="list-style-type: none"> <li>• Name</li> <li>• Address</li> <li>• Telephone no.</li> </ul> <p>The impact of which would be to make the system less user friendly and require the use of 3 separate systems to fulfill the processes</p>
<b>C</b>	<b>FAIR PROCESSING</b>	<i>To be completed by WCC service contact</i>
C1	<p>Are you relying on individuals to provide consent for the processing of their information or is there a Legal Gateway?</p> <p>If consent how will that consent be obtained, recorded and kept up to date? What will happen if they withdraw consent?</p> <p>If Legal Gateway please detail what legislation/Act you're relying on</p>	<p>Legal Gateway for Children up for adoption.</p> <p>Adoption Agencies Reg's 1983 S14(3) Disclosure of Adoption Information (Post Commencement Adoptions) Regulations 2005</p> <p>Current consent for prospective Adopters.</p> <p>With General Data Protection Regulation, no real choice as they have to use local authority, so legal gateway in future under GDPR.</p>
C2	<p>Will the individuals whose information will be in the system be informed of the processing and disclosures that will take place? For example, are they aware of the collection and how their information will be used.</p> <p>Please provide a link to the service specific privacy notice</p>	<p>Currently, the adoption team verbally tell adopters of the process and tick a box off in the form when we get their verbal agreement. In future we will write to all adopters to advise of their details going on this matching tool.</p>
C3	If the service is being commissioned, who will be responsible for informing the individuals of change of provider and gaining consent	Hosted by lead authority, no real change during trial. Prospective and approved adopters to be advised of new process as above.

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C4	What provisions are in place for if a person objects to the new way of processing?	None, legal gateway, Adopters have no choice other than to withdraw interest.
<b>D</b>	<b>OWNERSHIP and LOCATION of DATA</b>	<i>To be completed by WCC service contact</i>
D1	Who will be responsible for the data stored. If external, provide the names of all sub-contractors (i.e. who may store/host the data on behalf of main partner/supplier )  <a href="#">ICO guidance</a> <a href="#">NHS guidance (IGA)</a>	WCC is the lead organisation <b>during trial</b> .  Coram-i are hosting as data processor - see below.
D2	Data Controller(s) <i>Determine if Joint or Common data controllers and rationale.</i>	DCs 'in common' for all agencies as a shared database.
D3	Data Processor(s) <i>If applicable</i>	Coram-i Corama Campus 41 Brunswick Square LONDON WC1N 1AZ  Amazon Web Services will be used to host the application and store the data. Hosted in Dublin.
D4	Format of data.  <i>Require a list of all types - delete those that do not apply or add new.</i>	<i>Delete those that <b>do not</b> apply</i>  Database
D5	Location of all data. <i>Is data being stored and accessed off-site from Council premises?</i>	<i>Delete those that <b>do not</b> apply</i> Both: WCC network for existing spreadsheets Supplier - cloud based - for new system

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	Specify country data is held if offsite, e.g. England, Ireland, Germany, EEA, US, Worldwide	The current application is hosted in Ireland, exact location is not published due to security reasons.
<b>E</b>	<b>ACCESS TO DATA</b>	<i>To be completed by WCC service contact</i>
E1	What measures are being put in place to ensure data sets are only available to those with a legitimate need to access them and the data is held securely?e.g. Physical or system or role based access restrictions.	Unique user accounts Accounts restrict access to data that the user has permission to see or edit All passwords are encrypted and must be a minimum of 8 characters with 1 uppercase, 1 lowercase and 1 number.
E2	Will the data be shared outside of WCC staff by partners/suppliers and are sharing agreements in place or do they need to be developed?	Shared with other partner organisations (agencies) Limited data on child profile shared with prospective adopters
E3	Are audit trails planned to log who accesses the data?	Audit trails are in place for edit access
E4	How will personal data be supplied for subject access requests? Does the system/process have this built in?	As current procedure. Data on new system will be a copy for the trial.
E5	Describe how all staff are adequately training in data protection and confidentiality.	All WCC staff undergo Information Governance training. Checks required for Coram staff - security check will identify.
<b>F</b>	<b>ACCURACY, RETENTION AND DISPOSAL</b>	<i>To be completed by WCC service contact</i>
F1	Will the information be kept up to date and how will the personal data be checked for accuracy? This applies to electronic and paper formats.	The information will be kept upto date and updated when changes are notified by the Adopter or Social Worker
F2	Are measures in place to routinely remove redundant	At present there are no measures in place for removing redundant information. Archive can be removed from view.



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	<p>information and for it to be disposed of securely? This applies to electronic and paper formats.</p>	<p>Need inclusion in agreement to extract or dispose of after trial.</p>
F3	<p>Retention of data How long will data be kept for? <i>Link to retention schedule if known.</i></p>	<p>Adoption records need to be kept for 100 years, but it is uncertain if this tool falls under those regulations. If it doesn't then from a service point of view I think the data would need to be retained until a child (and relevant family) is 18, so that you could use it to keep track of children adopted. At the very least it will be three years, so that you can analyse performance with respect to the Adoption Scorecard.</p>
<b>G</b>	<b>COMMISSIONING</b>	<i>To be completed by WCC service contact</i>
G1	<p>If the data is being commissioned externally does the contract or agreement in place have clauses that relate to Information Governance, including information about Data Protection, Freedom of Information and Records Management?</p> <p><i>The contract should also include about what happens to the information once a contract comes to a close, i.e. transfer to new provider, transfer back to WCC.</i></p> <p>See <a href="#">commissioning/ decommissioning IM checklists</a></p>	<p>Data Processor agreement to be agreed by Legal.</p>
G2	<p>Is it clear who is responsible for responding to subject access requests. i.e. will it be WCC or the commissioned service provider?</p>	<p>Host agency as current arrangements</p>

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G3	Is there a process for when a customer asks for their personal data to be removed from the system?	<p>Prospective adopters consent in the trial - data cannot be deleted in the current system</p> <p>In future under GDPR this needs to be changed. Need to review, check GDPR and agree how long data can be kept if a public function.</p> <p>At the end of the trial need to agree what will be deleted or kept (if the system is discontinued all data to be extracted and deleted from the database.</p>
H	<b>DIRECT MARKETING</b>	<i>To be completed by WCC service contact</i>
H1	Does the system send messages by electronic means? <i>This includes both live and pre recorded telephone calls, fax, e mail, text messages or via social networking sites.</i>	No
H2	Will you be involved in direct marketing? <i>This may be classed as direct marketing and the PECR regulations would apply. Consent and opt-out is required. Seek advice.</i>	N/A

I	<b>RISKS</b>	<i>To be agreed by service contact and IM</i>
	List here risks identified. <i>Have the information risks been already assessed for the process/system or are they part of the project risk register?</i>	<ol style="list-style-type: none"> <li>1. No adoption data on WCC Information Asset Register</li> <li>2. Security of Coram-i and partitioning of data and access control</li> <li>3. Extraction and deletion of data after the trial.</li> <li>4. No facility to delete data if by consent for prospective adopters - this must be changed on Coram before full</li> </ol>

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		<p>acceptance after the trial, otherwise breach on information rights.</p> <p>5. Fair processing/privacy notice required for prospective adopters re sharing.</p> <p>6. Adequate contractual agreement for accessing/controlling/sharing data between agencies and with data processor (Coram)</p>
	<p><b>Overall WCC information risk classification</b>  <i>See Notes and select one</i></p>	<p>WCC-Confidential / Official Sensitive</p> <p>High Risk but low volumes of children and adopters initially.</p>
<b>J</b>	<b>ACTIONS</b>	<i>To be agreed by service contact and IM</i>
	List planned actions to address risks identified above.	<ol style="list-style-type: none"> <li>1. Create an entry on the Information Asset Register within Children &amp; Families for the existing adoption data.<b>Children &amp; Families</b></li> <li>2. Solihull MBC assessing security of Coram-i. <b>Confirmed by Andy Shipway, IG Manager, Solihull MBC</b></li> <li>3. Determine how data is to be extracted after the trial. If only a copy and master records held by each agency, the database could be deleted, otherwise requires method of extraction and then deletion. <b>ACE project board</b></li> <li>4. Determine what privacy notice is to be supplied and agreed with partners. This must include how long data is to be kept as it cannot be deleted during the trial. <b>ACE project board</b></li> <li>5. Adequate legal contractual agreement with data processor (Coram) and deciding on data controller responsibilities for partnership working. <b>Legal Services</b></li> </ol>
	<b>Assessment Completed by:</b> <b>(name &amp; contact number)</b>	Jo Smith 01926 418673

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	<b>Assessment completion date</b>	31/01/2017
	<b>INFORMATION MANAGEMENT</b>	
	<b>Reviewed by - Name:</b> <b>Position:</b> <b>Date:</b>	Andrew Morrall, Corporate Information Manager 22/02/2017, amended 10/03/2017
	<b>Comments:</b>	<p>Project initially will be only Warwickshire CC data, then other partners will add. There are low volumes of children and adopters with limited personal data for children uploaded from each partner's system/database.</p> <p>The key risks are: checking the security of Coram as it is in development and working procedures which are still being developed.</p> <p>The PIA should be reviewed during the trial if aspects change and at the end if continuing.</p>

### APPROVALS REQUIRED

	<b>Name</b>	<b>Date approved</b>	<b>Comments</b>
Service Manager	Brenda Vincent	14/3/2017	
Caldicott Guardian	Marie Seaton	21/3/2017	Approved, with proviso that the PIA will be reviewed if there are any changes during the trial period and at the end if continuing.

# WCC - PIA for central adoption agency system

Please feed any comments for improvement or requests for guidance by email to the [Information Management](#) or tel: 01926 418663. Latest version and guidance can be found at: [www.warwickshire.gov.uk/imchange](http://www.warwickshire.gov.uk/imchange) .

## NOTES:

**Personal data** as described in the Data Protection Act

Information sufficient to identify a living individual by itself or in conjunction with other information held by the Council. Includes any expression of opinion about an individual and any indication of the intentions of the Council or any other person in respect of the individual.

Examples are:

- contact details,
- NI number,
- bank account details, credit card details.

Some may be high risk for the individual for example, access details for vulnerable people, protected whereabouts for people at risk.

## Sensitive personal data

Specific attributes defined in the Data Protection Act as sensitive data are:

- physical/mental health
- criminal proceedings
- ethnicity data
- sexual life
- trade union
- political opinions
- religious beliefs

**Personal Identifiable Data (PID)** as described in the NHS by HSCIC, is information (an identifier) about a person e.g. a patient, client, service user or staff, from which the individual could be singled out from others.

It may be a single or combination of two or more identifiers such as:

Name, Address, Postcode, Email address, Date of birth, Driving licence number (DoB and first part of surname), Other dates (e.g. death, diagnosis), NHS number, National Insurance number, Local identifier number (Social care, hospital, or GP practice number).

## WCC information risk classifications and WCC protective markings

- |                  |                         |
|------------------|-------------------------|
| ● No Risk        | Public/Internal         |
| ● Low Risk       | Internal                |
| ● High Risk      | Confidential            |
| ● Very High Risk | Confidential-Restricted |

See the "[WCC information risks and protective markings](#)" guide for further information and mapping to protective markings and impact levels.