



## Saffron Support Ltd

Business and Technology Centre, Chroma House, Shire Hill, Saffron Walden, Essex, CB11 3AQ



## Review Sheet

Last Reviewed  
10 May '19Last Amended  
10 May '19Next Planned Review in 12 months, or  
sooner as required.

Business impact



Changes are important, but urgent implementation is not required, incorporate into your existing workflow.

Reason for this review

Scheduled review

Were changes made?

Yes

Summary:

Policy reviewed. This Privacy Impact Assessment policy will enable organisations to determine when they need to conduct Privacy Impact Assessments. The form included in the policy should be used as a template for each Privacy Impact Assessment.

Relevant legislation:

General Data Protection Regulation 2016  
Data Protection Act 2018

Underpinning knowledge - What have we used to ensure that the policy is current:

Author: GDPR, (2018), *GDPR Final Text - Articles 35 and 36, Recitals 74-77, 84, 89-92, 94 and 95*. [Online] Available from: <http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32016R0679&from=EN> [Accessed: 5/10/2019 12:00:00 AM]  
Author: ICO, made available by UK Government, (2018), *Guide to the General Data Protection Regulation*. [Online] Available from: <https://www.gov.uk/government/publications/guide-to-the-general-data-protection-regulation> [Accessed: 5/10/2019 12:00:00 AM]  
Author: ICO, (2018), *ICO Privacy notice*. [Online] Available from: <https://ico.org.uk/global/privacy-notice/> [Accessed: 5/10/2019 12:00:00 AM]

Suggested action:

Ensure the policy is discussed in planned supervision sessions with relevant staff  
Ensure relevant staff are aware of the content of the whole policy  
Encourage sharing the policy through the use of the QCS App



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## 1. Purpose

- 1.1** To provide a template privacy impact assessment (PIA) to be used by Saffron Support Ltd on an ongoing basis, as necessary. This policy also explains when a PIA should be conducted.
- 1.2** Saffron Support Ltd will ensure that the Data Protection Officer will determine when a PIA is required and will complete the PIA, with input, as necessary, from colleagues and teams.
- 1.3** To support Saffron Support Ltd in meeting the following Key Lines of Enquiry:

### Key Question

### Key Line of Enquiry (KLOE)

WELL-LED

W2: Does the governance framework ensure that responsibilities are clear and that quality performance, risks and regulatory requirements are understood and managed?

- 1.4** To meet the legal requirements of the regulated activities that Saffron Support Ltd is registered to provide:

General Data Protection Regulation 2016  
Data Protection Act 2018



## 2. Scope

- 2.1** The following roles may be affected by this policy:  
All staff
- 2.2** The following Service Users may be affected by this policy:  
Service Users
- 2.3** The following stakeholders may be affected by this policy:  
Family  
Advocates  
Representatives  
Commissioners  
External health professionals  
Local Authority  
NHS



## 3. Objectives

- 3.1** Saffron Support Ltd considers the potential data protection and GDPR implications of any new processes or systems it introduces, or of any changes that impact on its processing of personal data.
- 3.2** By reviewing and utilising the form set out in this policy, Saffron Support Ltd will be able to provide evidence of the decisions it has taken and changes it has made that may impact on the processing it carries out.

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**4. Policy**

**4.1** Saffron Support Ltd understands that a PIA will enable it to identify and minimise the risks of any project it wishes to carry out.

**4.2** Saffron Support Ltd understands that PIAs must be conducted for specified types of processing (listed in the Procedure section below) as well as for processing that may result in a high risk for affected individuals.

**4.3** Saffron Support Ltd understands that a PIA should:

Describe the nature, scope, context and purposes of the processing

Assess whether the processing is necessary and proportionate and in compliance with GDPR

Identify and assess risks to affected Data Subjects

Identify the measures it will take to mitigate those risks

**4.4** Saffron Support Ltd understands that if a PIA identifies that processing may be high risk and it is unable to take steps to mitigate those risks, it should notify the ICO and seek advice from the ICO as to whether it should carry out the processing.

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**5. Procedure**

**5.1** Saffron Support Ltd will implement a process for deciding whether a PIA is necessary and, if so, the steps that it will take to conduct the PIA. Saffron Support Ltd will use the form attached to this policy when conducting a PIA.

**5.2** Saffron Support Ltd will provide training to its employees about when a PIA is necessary and how to conduct a PIA.

**5.3** Saffron Support Ltd will conduct PIAs in the following scenarios:

Where Saffron Support Ltd intends to use systematic and extensive profiling or automated decision-making to make significant decisions about Data Subjects

Where personal data relating to children will be processed for profiling or automated decision making, for marketing to offer online services directly to the children

Where Saffron Support Ltd will process special categories of data or criminal offence data on a large scale

Where Saffron Support Ltd intends to monitor a publicly accessible place on a large scale

Where new technologies are introduced by Saffron Support Ltd that may impact on its processing activities

Where Saffron Support Ltd intends to process biometric or genetic data

Where Saffron Support Ltd intends to combine, compare or match personal data from multiple sources

Where Saffron Support Ltd processes personal data without providing a privacy policy directly to the affected Data Subject

Where the processing will involve tracking individuals' behaviour (whether online or offline)

Where the processing could result in physical harm if there is a breach of security

**5.4** Saffron Support Ltd will consider carrying out PIAs in the following circumstances, as well as in any other circumstances which Saffron Support Ltd considers to be potentially high risk:

Where Saffron Support Ltd processes special categories of data or personal data of a highly personal nature

Where Saffron Support Ltd conducts large-scale processing; and

Where the processing concerns vulnerable Data Subjects

Saffron Support Ltd acknowledges that because of the types of services it provides, it may need to conduct PIAs on a regular basis to ensure that Data Subjects, including Service Users, are protected.

**5.5** Saffron Support Ltd will also conduct a PIA if the nature or purpose of the processing it carries out changes.

**5.6** Saffron Support Ltd will document the steps taken as part of the PIA and the outcomes in line with the form attached to this policy.

**5.7** Saffron Support Ltd will take any steps it identifies as being necessary to mitigate risks associated with the processing and will document the steps taken and the outcome of those steps.



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## 6. Definitions

### 6.1 Data Subject

The individual about whom Saffron Support Ltd has collected personal data

### 6.2 Data Protection Act 2018

The Data Protection Act 2018 is a United Kingdom Act of Parliament that updates data protection laws in the UK. It sits alongside the General Data Protection Regulation and implements the EU's Law Enforcement Directive

### 6.3 GDPR

**General Data Protection Regulation (GDPR)** (EU) 2016/679 is a regulation in EU law on data protection and privacy for all individuals within the European Union. It became enforceable on 25 May 2018

### 6.4 ICO

The Information Commissioner's Office

### 6.5 Personal Data

Any information about a living person including but not limited to names, email addresses, postal addresses, job roles, photographs, CCTV and special categories of data

### 6.6 PIA

A Privacy Impact Assessment, also known as a Data Protection Impact Assessment

### 6.7 Process or Processing

Doing anything with personal data, including but not limited to collecting, storing, holding, using, amending or transferring it. You do not need to be doing anything actively with the personal data – at the point you collect it, you are processing it

### 6.8 Special Categories of Data

Has an equivalent meaning to “Sensitive Personal Data” under the Data Protection Act 2018. Special categories of data include but are not limited to medical and health records (including information collected as a result of providing health care services) and information about a person's religious beliefs, ethnic origin and race, sexual orientation and political views



## Key Facts - Professionals

Professionals providing this service should be aware of the following:

All staff should be made aware of how GDPR impacts on their role and ensure that they know who at Saffron Support Ltd has overall responsibility for data protection

A PIA is essentially a risk assessment of proposed processing of personal data. If Saffron Support Ltd is processing personal data that is likely to result in a high risk to the Data Subject's rights, a PIA must be carried out prior to commencing that processing

A six-step process maps the lifecycle of the personal data in order to establish: the provenance of the data, the manner of the processing involved, the location of the processing, the relevant stakeholders and the deletion/anonymisation process



## Key Facts - People affected by the service

People affected by this service should be aware of the following:

PIAs will be conducted by Saffron Support Ltd to ensure that if its processing of personal data changes, any associated risks will be understood and acted upon



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## Further Reading

There is no further reading for this policy, but we recommend the 'underpinning knowledge' section of the review sheet to increase your knowledge and understanding.



## Outstanding Practice

To be 'outstanding' in this policy area you could provide evidence that:

The wide understanding of the policy is enabled by proactive use of the QCS App

Saffron Support Ltd has implemented a PIA policy and all staff are aware of the potential need to conduct a PIA

Saffron Support Ltd is seen as an expert in GDPR, supporting other organisations and individuals in their understanding

Data Subjects express high levels of satisfaction with how Saffron Support Ltd processes their personal information



## Forms

The following forms are included as part of this policy:

Title of form	When would the form be used?	Created by
Privacy Impact Assessment - GDPR07	This form should be used each time an organisation determines that it is necessary to conduct a PIA in line with the guidelines set out in this policy and procedure	QCS



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## Annex One: Privacy Impact Assessment Screening Questions

These questions are intended to help you decide whether a PIA is necessary. Answering 'yes' to any of these questions is an indication that a PIA would be a useful exercise. You can expand on your answers as the project develops if you need to.

You can adapt these questions to develop a screening method that fits more closely with the types of project you are likely to assess.

Will the project involve the collection of new information about individuals?	Y/N
Will the project compel individuals to provide information about themselves?	Y/N
Will information about individuals be disclosed to organisations or people who have not previously had routine access to the information?	Y/N
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/N
Does the project involve you using new technology that might be perceived as being privacy intrusive? For example, the use of biometrics or facial recognition.	Y/N
Will the project result in you making decisions or taking action against individuals in ways that can have a significant impact on them?	Y/N
Is the information about individuals of a kind particularly likely to raise privacy concerns or expectations? For example, health records, criminal records or other information that people would consider to be private.	Y/N
Will the project require you to contact individuals in ways that they may find intrusive?	Y/N

## Annex Two: Privacy Impact Assessment Template

This template is an example of how you can record the PIA process and results. You can start to fill in details from the beginning of the project, after the screening questions have identified the need for a PIA. The template follows the process that is used in this code of practice. You can adapt the process and this template to produce something that allows your organisation to conduct effective PIAs integrated with your project management processes.

### Step one: Identify the need for a PIA

- Explain what the project aims to achieve, what the benefits will be to the Organisation, to individuals and to other parties
- You may find it helpful to link to other relevant documents related to the project, for example, a project proposal
- Also summarise why the need for a PIA was identified (this can draw on your answers to the screening questions)

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**Step two: Describe the information flows**

- You should describe the collection, use and deletion of personal data here and it may also be useful to refer to a flow diagram or another way of explaining data flows. You should also say how many individuals are likely to be affected by the project

**Consultation requirements**

- Explain what practical steps you will take to ensure that you identify and address privacy risks. Who should be consulted internally and externally? How will you carry out the consultation? You should link this to the relevant stages of your project management process. You can use consultation at any stage of the PIA process

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**Step three: Identify the privacy and related risks**

- Identify the key privacy risks and the associated compliance and corporate risks. Larger-scale PIAs might record this information on a more formal risk register. Annex three can be used to help you identify the DPA related compliance risks

Privacy Issue	Risk to Individuals	Compliance Risk	Associated Organisation/Corporate Risk

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**Step four: Identify privacy solutions**

- Describe the actions you could take to reduce the risks, and any future steps which would be necessary (eg the production of new guidance or future security testing for systems)

Risk	Solution	Result: 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?

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**Step five: Sign off and record the PIA outcomes**

- Who has approved the privacy risks involved in the project? What solutions need to be implemented?

<b>Risk</b>	<b>Approved Solution</b>	<b>Approved By</b>

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<b>Step six: Integrate the PIA outcomes back into the project plan</b> <ul style="list-style-type: none"> <li>Who is responsible for integrating the PIA outcomes back into the project plan and updating any project management paperwork? Who is responsible for implementing the solutions that have been approved? Who is the contact for any privacy concerns that may arise in the future?</li> </ul>				
<b>Action to be Taken</b>	<b>Date for Completion of Actions</b>	<b>Responsibility for Action</b>		
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%; padding: 5px;"><b>Contact point for future privacy concerns</b></td> <td style="padding: 5px;"></td> </tr> </table>			<b>Contact point for future privacy concerns</b>	
<b>Contact point for future privacy concerns</b>				

### Annex Three: Linking the PIA to the Data Protection Principles

Answering these questions during the PIA process will help you to identify where there is a risk that the project will fail to comply with the DPA or other relevant legislation, for example the Human Rights Act

#### Principle 1

Personal data shall be processed fairly and lawfully and, in particular, shall not be processed unless:

- a) at least one of the conditions in Schedule 2 is met, and
- b) in the case of sensitive personal data, at least one of the conditions in Schedule 3 is also met

Have you identified the purpose of the project?	Y/N
How will you tell individuals about the use of their personal data?	
Do you need to amend your privacy notices?	Y/N
Have you established which conditions for processing apply?	Y/N
If you are relying on consent to process personal data, how will this be collected and what will you do if it is withheld or withdrawn?	
If your organisation is subject to the Human Rights Act, you also need to consider: <ul style="list-style-type: none"> <li>• Will your actions interfere with the right to privacy under Article 8?</li> <li>• Have you identified the social need and aims of the project?</li> <li>• Are your actions a proportionate response to the social need?</li> </ul>	Y/N
<b>Principle 2</b>	
Personal data shall be obtained only for one or more specified and lawful purposes, and shall not be further processed in any manner incompatible with that purpose or those purposes.	
Does your project plan cover all of the purposes for processing personal data?	Y/N
Have you identified potential new purposes as the scope of the project expands?	Y/N



<b>Principle 3</b>	
Personal data shall be adequate, relevant and not excessive in relation to the purpose or purposes for which they are processed.	
Is the quality of the information good enough for the purposes it is used?	Y/N
Which personal data could you not use, without compromising the needs of the project?	
<b>Principle 5</b>	
Personal data processed for any purpose or purposes shall not be kept for longer than necessary for that purpose or those purposes.	
What retention periods are suitable for the personal data you will be processing?	
Are you procuring software that will allow you to delete information in line with your retention periods?	Y/N
<b>Principle 6</b>	
Personal data shall be processed in accordance with the rights of data subjects under this Act.	
Will the systems you are putting in place allow you to respond to subject access requests more easily?	Y/N
If the project involves marketing, have you got a procedure for individuals to opt out of their information being used for that purpose?	Y/N
<b>Principle 7</b>	
Appropriate technical and organisational measures shall be taken against unauthorised or unlawful processing of personal data and against accidental loss or destruction of, or damage to, personal data	
Do any new systems provide protection against the security risks you have identified?	Y/N
What training and instructions are necessary to ensure that staff know how to operate a new system securely?	
<b>Principle 8</b>	
Personal data shall not be transferred to a country or territory outside the European Economic Area unless that country or territory ensures an adequate level of protection for the rights and freedoms of data subjects in relation to the processing of personal data.	
Will the project require you to transfer data outside of the EEA?	Y/N
If you will be making transfers, how will you ensure that the data is adequately protected?	

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