

**Contract Variation Report**

Date of meeting	<i>January 2021</i>
By	<i>Jon Martin Digital Business Partner CDS</i>
Title	<i>Housing IT System Extension (OHMS)</i>
Project Sponsor	<i>Dave Briggs Head of Digital Operations</i>
Executive Director	<i>Jacqueline Harris-Baker</i>
Lead Member	<i>Cllr Young</i>
Key Decision	0621RFG The notice of the decision will specify that the decision may not be implemented until after 13.00 hours on the 6th working day following the day on which the decision was taken unless referred to the Scrutiny and Overview Committee.

**1. Recommendations**

**For Cabinet Member**

- 1.1 in accordance with Regulation 30 of the Council’s Contracts and Tenders Regulations, the Cabinet Member for Resources and Financial Governance in consultation with the Leader is recommended to approve the contract variation of the OHMS Housing Management IT System provided by Northgate Public Services Limited, to enable an extension of the contract for a term of one year (with a break after 6 months) until 31 March 2022 for a maximum additional cost of £129,153, resulting in an aggregate value of £755,988.

**2. Background & strategic context**

- 2.1 A new Housing Management IT system has been procured, with a target date to become operational by 31 July 2021 (although that timescale could take longer). In the meantime, the existing legacy system, OHMS from Northgate Public Services Limited, will continue to be required.
- 2.2 An extension to the term of the OHMS system support and maintenance agreement is required to ensure that the system is supported until the new system is fully implemented.
- 2.3 The existing contract will expire on 30 March 2021.

The recommendations within this report contribute to the 2018 – 2022 Corporate Plan Operating Model themes below:

- Good, decent homes affordable to all.
- Everyone feels safer in their street neighbourhood and home.
- People live long, healthy, happy and independent lives.
- A cleaner and more sustainable environment

- 2.4 Although the proposed extension is contrary to the requirements of the Public Contracts Regulations, which require a procurement to be undertaken, the risk of any challenge is considered to be low, as the extension is only required to allow the time for a smooth transition to the new ICT system which was procured following an open tender.

### 3. Financial implications

#### 4 SECTION 114

Details				External		Period of funding
				Capital	Revenue	
Cost of original contract					£626,835	
Cost of variation			To March 2022		£129,153	1/4/21 to 31/3/22
Aggregated value					£755,988	

The requirement is considered to meet the essential spend criteria and *has been approved by the Executive Director.*

*Jacqueline Harris-Baker on 12 January 2021*

- Following the Council issuing Local Government Act Section 114, under the following essential spend criteria: prevents the Council's financial situation from worsening because the expenditure will enable the Council to deliver the council's provision of statutory services at a minimum possible level.

*This is the current IT system in use by Housing to deliver statutory housing services, collect housing income until such time as the replacement system goes live. All of the data on the system is relating to housing activity for helping our residents to apply for housing assistance and waiting lists. Right to Buy applications, accessing ownership schemes, maintain tenancies, support for private tenants and landlords, help for homeowners including leaseholders, and our work to tackle homelessness and empty homes. We carry out day-to-day repairs and maintenance programmes. Improving our services. We also collect and recover income for the Council's housing stock, some private sector tenancies and for households in temporary & emergency accommodation.*

The Housing contract with Northgate commenced in 2015 for a term of 2 years from 1 April 2015 to 31 March 2017 and the original contract value was £194,000. An extension and variation for a term of 2 years was awarded at a value of £195,005 to an aggregate value of £389,005 (CCB1207/16-17). Both extensions have been implemented. A further one year extension to 2020 was awarded by CCB reference 1330/17-18 for a further value of £108,677.63.

A further extension of one year from 1 April 2020 to 31 March 2021 increased the contract value by a further £129,153 to a total contract value of £626,835. (CCB1567/20-21)

This proposed extension for the OHMS system will be for one year until 31 March 2022 for a sum of £129,153. The extension of the current contract will be funded from the existing revenue held within CDS and Place Departments This forms part of a central budget of £1m that is used to fund the on-going costs of a range of the council's systems.

### 4. Supporting information

Negotiations and options explored for pricing with Northgate PS were in the context of S114 in order to mitigate any additional costs. Northgate have offered a 12 month extension period with a break at 6 months (30/9/2021). If the Council has completed the implementation and does not require the extension beyond 6 months, only 6 months charges will be payable and we will avoid the annual indexation amount.

If the Council needs to take the full 12 month period a further 6 month charge will apply (with indexation applied) giving a total extension amount of £129,153.

The proposed extension is contrary to the requirements of Regulations 72.1(b) and 72.9 of the Public Contracts Regulations, which require a procurement procedure to be undertaken if a proposed variation does not fall within any of the criteria set out in this Regulation. A waiver against this requirement has been requested since the risk of any procurement challenge is

considered to be low, in light of the fact that the extension is only required to allow the time for a smooth transition to the new ICT system which was procured through an EU Restricted Tender procedure and has given suppliers the opportunity to tender for the new system. The implementation programme has been affected initially by the pandemic and more then by the S114 Notice which resulted in the loss of contractors working on the implementation. In house resources are continuing but the timescale to complete has stretched out as fewer resources are available and are in competition with other projects.

Strategic contract management is led by the CDS with oversight and guidance from the Commissioning and Procurement and the category manager. Account performance reviews continue to be held with the supplier. There are no concerns with the performance while the implementation continues and migration to the new system nears completion. There is a long term relationship with the supplier which will continue as the new system contract runs for up to 10 years.

## Risks

No.	Risk	Mitigation
1	Supplier looks to increase charges for extension.	Negotiation with Supplier to minimise impact is complete. Worst case was annual charge subject to indexation
2	There is a challenge from another supplier.	This is a short term measure to ensure sufficient time to complete the ongoing implementation.
3	The implementation to new system is not delivered in time.	Timescales have been affected by the pandemic and S114 – the extension is the mitigation
4	Lack of funding to progress activities needed to achieve key dates	Budget exists for the contract.

There are no direct Human Resources implications arising from this report for Council employees, as it involves the extension to an existing contract.

An Equalities Assessment has been performed for the project. The services will continue to support some of the most vulnerable residents in Croydon and as such will need to be assessed as fully meeting their needs in terms of customer care and quality of delivery. No discernible impacts identified as a result of this strategy - continuation of existing services.

No discernible impact identified as a result of this strategy - continuation of existing services.

The solution processes personal data and a DPIA already exists when the contract was previously extended. Council tenant data including families' carers and other personal data. Also, personal data of housing applicants, homeless families, tenants and leaseholders. Information relates directly to users of the service that have come into contact with housing i.e. name, address, D.O.B, ethnicity, vulnerabilities and disabilities. NI numbers, bank details, income, rent arrears, leasehold and debts and details of providers (lessors) of private rented accommodation to the council. **The DPIA will be updated.**

## 5. Conclusion and reasons for recommendations

### Options

The option of not renewing was considered however until the new system is operational the service require the 'old' system in order to continue to deliver Housing services.

### *Conclusion and Reasons for recommendation*

Software for the current solution was purchased with perpetual licences giving the Council ongoing rights to use the software. Support and maintenance is only available from Northgate PS. The extension is required to ensure there is sufficient time to finalise the implementation of the new system.

The supplier was satisfied with the negotiation outcome which yielded a 12 month extension with a 6 month break – if we are able end the contract by the 6 month break we will avoid the final 6 months charges for the 12 month extension and the application of indexation to the annual figure. Other options were not as advantageous to the Council, further shorter extension periods were not accepted by the supplier.

## 6. Outcome and approvals

CCB outcome	Date agreed	
	Executive Director Jacqueline Harris-Baker	12/01/21
<i>Insert outcome of CCB discussion</i>	Service Director <i>(to confirm Executive Director has approved)</i> Neil Williams	13/01/21
	Cabinet Member for Resources & Financial Governance	4/02/21
	Finance Felicia Wright	11/01/21
	Legal Sonia Likhari	19/01/21
	Lead Member <i>(for values over £500k, +25% contract value or +£1m)</i> Cllr Young	04/02/21
	CCB	CCB1653/20-21 (10/02/2021)

## 7. Comments of the Council Solicitor

There are no additional legal considerations directly arising from this report

Approved by Sonia Likhari on behalf of the Council Solicitor and Monitoring Officer

## 8. Chief Finance Officer comments on the financial implications

No additional comments

Approved by Felicia Wright 11/1/21 Chief Finance Officer

Appendices:

DPIA

## Data Protection Impact Assessment (DPIA)

<b>Project Name:</b>	Housing IT System Extension (OHMS)
<b>Project Manager or Sponsor (PM):</b>	Dave Briggs – Head of Digital Operations (Corporate Sponsor)
<b>Name of person completing the DPIA if different to (PM):</b>	Michael O’Sullivan BST - CDS
<b>Service Team and Department:</b>	Housing Assessment and Solutions / Croydon Digital Service
<b>Relevant Director and Executive Director:</b>	(1) Hazel Simmonds, Executive Director – Gateway Strategy and Engagement  (2) Shifa Mustafa, Executive Director – Place
<b>Information Management Champion(s) for service area:</b>	
<b>Date DPIA received by the IMT:</b>	
<b>Date approved by DPO:</b>	26 March 2020
<b>Date approved by IMT :</b>	

### 1 Project Scope

*You should describe here the nature, scope, context and purpose of the processed processing.*

*(Include the projects aims, potential impact, all individuals involved in the project and those that may be affected by it. The stakeholders should be as broad as possible so that the list can be edited down after consultation. You should summarise why you identified the need for a DPIA).*

A new Housing Management IT system is being procured, with a target date to become operational by 31 March 2021. In the meantime, the existing legacy system, OHMS from Northgate Public Services Limited, will continue to be required.

A variation to extend the term of the OHMS system support and maintenance agreement is required to ensure that the system is supported until the new system is procured and implemented.

## 2 Data Description

Answer the questions below so that there is a clear understanding about how the information will be used, who will use it etc. Remember that it's personal information (i.e. information about individuals) that you need to be concerned with. If you do not have answers to all the questions at this time, simply record what you do know.

<p>Whose information is being used?</p> <ul style="list-style-type: none"> <li>- Are there additional concerns that need to be considered due to individuals sensitive/ complex circumstances? i.e. vulnerable person</li> </ul>	<p>Council tenant data including families' carers and other personal data.</p> <p>Also, personal data of housing applicants, homeless families, tenants and leaseholders.</p> <p>Information relates directly to users of the service that have come into contact with housing i.e. name, address, D.O.B, ethnicity, vulnerabilities and disabilities. NI numbers, bank details, income, rent arrears, leasehold and debts etc.</p> <p>Details of providers (lessors) of private rented accommodation to the council.</p>
<p>What information is being used?</p> <ul style="list-style-type: none"> <li>- Consider the nature of this information E.g. Child's social care file</li> </ul>	<p>All of the data on the system is relating to housing activity for helping our residents to apply for housing assistance and waiting lists. Right to Buy applications, accessing ownership schemes, maintain tenancies, support for private tenants and landlords, help for homeowners including leaseholders, and our work to tackle homelessness and empty homes. We carry out day-to-day repairs and maintenance programmes. Improving our services. We also collect and recover income for the Council's housing stock, some private sector tenancies and for households in temporary &amp; emergency accommodation. Please see LBC Housing Privacy Notice below;-</p> <p><a href="https://www.croydon.gov.uk/democracy/data-protection-freedom-information/privacy-notices/housing-services-privacy-notice">https://www.croydon.gov.uk/democracy/data-protection-freedom-information/privacy-notices/housing-services-privacy-notice</a></p>
<p>Does it include special category or criminal offence data?</p>	<p>Yes, some of the data classified as special category will / can be / recorded within the system.</p>

	<p>Ethnic origin, religion, health, mappa (Multi Agency Public Protection Arrangements) cases, sexual orientation, disabilities and domestic abuse.</p> <p>For mappa and violent individuals only red flag indicators are use on OHMS, the detail for the case is held on CRM.</p>
<p>Can an individual be identified easily from the information?</p>	<p>Yes, the basic demographic relating to Housing will be visible in terms of a person/s name, address, and phone numbers, email addresses, date of birth, family members / housing/ homelessness application. Rent / leaseholders accounts</p>
<p>What is the potential impact on privacy of this information?</p> <ul style="list-style-type: none"> <li>- <i>What are the risks/ impact to an individual if this information was lost, stolen or manipulated?</i></li> <li>- <i>E.g. could it be sold?</i></li> </ul>	<p>There is a risk that information about an individual is shared with people who do not have a legitimate need to know / data breaches in terms of human error within the system / malicious breaches of staff accessing information is a possibility. This could lead to harm and distress to the individual.</p> <p>There is a risk of Reputational damage and possible enforcement action against partner agencies as well as loss of confidence and trust if data is lost or misused / shared. However, this is formed within the contracting arrangements with the supplier and any associated partner/s.</p> <p>However, corporate policies / guidance / GDPR roll out across the department inform staffing accessing the system and the consequences of misusing / sharing data where not permitted will be mitigated through staff accessing the system being trained in data protection and information management to ensure this does not happen. If a breach occurs, the breach policy is applied alongside data sharing agreements in place.</p>
<p>Will this change the manner in which we handle, use or protect this information? <i>E.g. should it be encrypted?</i></p>	<p>OHMS is currently being used. There is no change to the manner in which the data is handled.</p> <p>Housing will at all times minimise the risk that information is shared with the wrong people through the Corporate guidance and training / polices in place.</p>

	<p>There will be appropriate technical measures in place to ensure that only appropriate officers have access to information they need (and not unnecessary information).</p> <p>LBC have a contractual agreement with their contractors ensuring that data is treated as their own. Data is shared via the system which is encrypted.</p> <p>Secure data can also be exchanged through secure FTP and Egress.</p>
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### 3 Consultation process

Consider how to consult with relevant stakeholders.

When did you consult individuals?	<p>Consultation with internal stakeholders during the commissioning of the systems has been followed by the Procurement Systems Team.</p> <p>Due process has been followed for sign off: by:</p> <ul style="list-style-type: none"> <li>• Directors</li> <li>• ICT Systems Procurement Programme Board</li> <li>• Performance management</li> <li>• Finance Manager, Resources</li> <li>• Business Systems</li> <li>• Information Management</li> <li>• Croydon Digital Service</li> <li>• Legal</li> <li>• HR</li> <li>• Contracts and Commissioning Board</li> <li>• Commissioning &amp; Procurement</li> <li>• Appropriate Lead Members</li> </ul> <p>Any changes in processing in the future will be assessed and consideration will be given under GDPR to notify any data subjects where it is deemed necessary to do so.</p>
How did you consult individuals?	As Above
If not explain why it is not appropriate.	N/A
Who else within the organisation have you consulted with?	IT colleagues have been involved in commissioning to ensure service proposals

	meet GDPR requirements and to identify any risks, including updates to TAG (now known as TDA Technical Design Authority)
Do you need to speak with your processor to assist?	No
Do you plan to consult information security experts or any other experts?	No – There are no changes to the system. This is an extension for the support of the current system.

#### 4 Assessment of necessity and proportionality of data usage

What is your lawful basis for processing?	<ul style="list-style-type: none"> <li>• Compliance with our legal obligations</li> <li>• Tasks carried out in the public interest or in the exercise of official authority</li> <li>• Contract for the supply of services</li> <li>• Consent</li> </ul> <p>See Croydon Housing Privacy Notice in place.</p>
Is consent being relied upon to share the information? Has explicit consent been obtained? Are data subjects able to opt out from giving consent?	<p>The data being processed and is processed in accordance with the Council's Statutory powers in respect of Housing. See Croydon Privacy Notice. <a href="https://www.croydon.gov.uk/democracy/data-protection-freedom-information/privacy-notices/housing-services-privacy-notice">https://www.croydon.gov.uk/democracy/data-protection-freedom-information/privacy-notices/housing-services-privacy-notice</a></p> <p>In addition, housing services require consent during sign-up for how client information is used.</p> <p>Consent can be withdrawn for non-mandatory services.</p>
Does the processing actually achieve your purpose?	Yes
How will the information be collected? Verbally, application forms, internet, interview, 3 <sup>rd</sup> party, anonymous)	<p>Information is already stored on OHMS (housing management system) and is being used.</p> <p>This is a live database being continuously updated by users.</p> <p>Information is collected via application forms for housing, homelessness and interviews. Through communication with tenants, carers, relatives etc. Information can be provided anonymously if required.</p> <p>Calls to contact centres are recorded for training and</p>

	<p>monitoring purposes. These are held in line with LBC corporate retention policy.</p> <p>The named liaison officer from the council is Michael O’Sullivan as Business Systems Team Manager, Housing and Gateway/CDS.</p>
<p>Is there another way to achieve the same outcome?</p>	<p>No</p>
<p>How will the information be used? <i>e.g. to write a report</i></p>	<p>To undertake all works connected with Housing. The information will be used to assess/ support/ provide statutory services/ intervention and prevention to prevent homelessness. Processing waiting list applications for housing and housing allocations. Managing tenancies and rent accounts. Process Right to Buy applications. Managing Leasehold service charge accounts. Carry out repairs to housing’s properties. The information is also used for reporting and letters.</p>
<p>Do the individuals know and understand how their information will be used? If there are changes to their information does the privacy notice need to be amended?</p>	<p>Yes, through various application forms and robust conversations with individuals who access services within the department at the first point of access and through day to day contact with staffing across Housing.</p> <p>Housing’s privacy notice also mentions how their information can be used.</p> <p>Consent to share information is discussed and works alongside the other elements outlined above in this document.</p>
<p>How will it be stored, kept up to date and disposed of when no longer required? <i>e.g. stored in locked cabinet/securely shredded</i></p>	<p>Information is already stored on OHMS (housing management system) and is being used daily.</p> <p>All information and data will be electronic.</p> <p>OHMS sits in a secure environment in the London City Data Centre. Therefore secured within the LBCBAU network infrastructure and can only be access with a LBC laptop.</p> <p>All equipment holding data is securely disposed of at the end of its life.</p>

	<p>The disposal of data will be managed in line with the statutory retention across Housing by the Business Systems Team (BST/CDS).</p> <p>Retention schedules are in place for Housing and Asset Management as per the requirements of the Council.</p>
<p>How will you ensure data quality and data minimisation?</p>	<p>BST Housing and Gateway (CDS), leads and monitor data quality alongside Heads of Services and Housing Operation Managers. It is also the responsibility of the HOS / Operation Managers and all staffing collating and inputting data to be clear that data is an asset and that it is qualitative / accurate and timely.</p>
<p>Who will have access to the information within LBC?</p> <ul style="list-style-type: none"> <li>- <i>Include approximate number of users</i></li> </ul>	<p>This system will be used by Housing and Asset Management Staff where 540 individuals have access to the system</p> <p>It will also be accessed by other partners including contractors, council tax teams, housing benefit teams, ASB caseworkers, Choice based lettings and the Regeneration team.</p> <p>Some non-housing teams in the council may need to have access as part of joint working. Access to the system will go through for request and authorisation to the BST. Full details of the reason for access will be mandatory and information will be kept and reviewed by the BST.</p>
<p>Are there new or significant changes to the way we manage, use, handle or collect this information?</p> <ul style="list-style-type: none"> <li>- <i>Include any identified concerns for the individuals, would these changes heighten risks involved</i></li> </ul>	<p>No new or significant changes.</p>
<p>Will individuals within an existing database be subject to new or changed handling?</p> <ul style="list-style-type: none"> <li>- <i>If yes amendments need to be made to the privacy notice and these individuals need to be informed.</i></li> </ul>	<p>No</p>
<p>What are the internal arrangements for processing this information? <i>e.g. number of staff who will have access</i></p>	<p>There are currently 540 users of the existing case management.</p>

	The BST will be responsible for processing this information
How will the information be updated? <i>e.g. monthly check</i>	Data and information will be kept up to date on a daily basis throughout the work force as part of their day to day responsibilities to ensure accurate record keeping. System is a live data base and is constantly being updated.
Does the project involve the exchange of information outside of the UK and are there set standards for how the information will be treated? How will you safeguard international transfers?	No exchange of information outside of the UK will be taking place.
How will you prevent function creep?	Corporate Data protection procedures are provided to all new users of the system and relevant policies.

## 5 Assessment of the risks to the rights and freedoms of data subjects

*You must describe the source of risk and the nature of potential impact upon individuals and identify any additional measures to mitigate those risks.*

### 5a Security

Who will be responsible for the control for this information?	The BST on behalf of Housing in alignment with Corporate Croydon Digital Services (CDS) / Managers and all users of the system.
How will the access to this information be controlled?	Request Forms completed for Users that require access to the system by their line managers.  BST/CDS review these and configure access as appropriate based on permission structure  Regular audits carried out by BST/CDS to ensure usage is relevant and up to date and to ensure any issues are reported and followed up.
Is the data correctly managed to reduce the risk of collateral intrusion to the data subject?	Yes - BST/CDS will control permissions through relevant roles and profiles for access to the system. Monthly audit will inform accounts to be closed / use of the

	system etc. / built in auditing function/reporting within the system will be fully utilised.
Are there adequate provisions in place to protect the information? If so what are they? <i>e.g. Process, security</i>	System security measures including LBC network password controlled access, OHMS password controlled access, permission rights; access control list i.e. levels of access, draft data sharing agreement, auditing functionality to check individual record access.

## 5b Sharing

Who is the information shared with, why are we sharing the information with this organisation?	Please see LBC Housing Privacy Notice below on who we share information with and why;- <a href="https://www.croydon.gov.uk/democracy/data-protection-freedom-information/privacy-notices/housing-services-privacy-notice">https://www.croydon.gov.uk/democracy/data-protection-freedom-information/privacy-notices/housing-services-privacy-notice</a>
What purpose does the information we are sharing have to the third party?  - <i>Ensure that we only share relevant information and not excessively</i>	Please see LBC Housing Privacy Notice below:-  <a href="https://www.croydon.gov.uk/democracy/data-protection-freedom-information/privacy-notices/housing-services-privacy-notice">https://www.croydon.gov.uk/democracy/data-protection-freedom-information/privacy-notices/housing-services-privacy-notice</a>
Who will have access to the information, externally?  - <i>Include approximate number of users</i> - <i>Describe any sharing arrangements and what the level of access is. It may help to produce a diagram to show the data flows.</i>	Axis - Repairs contractor, Repairs calls are handle by Axia contact centre – Data sharing agreement in contract. Mobysoft – Rent sense - Predictive analytic of rent arrears. Data sharing agreement exists. Home Connections – tenants and waiting lists applicants’ portal for bidding for properties. Data sharing agreement exists. Housing Associations – LBC nominations for housing. Hub solutions – Caseworks – Corporate ASB system. Data sharing agreement exists.  Police, Social Workers.
How will it be transmitted to third parties and when? How often?	Secure Portals or egress secure emails.  Information could be shared on a daily, weekly, monthly or annual basis dependent on Service area and on a need to know basis.
Is there a data sharing agreement in	Yes

place?	
At what stage will the information be transferred?	As above

## 5c Identified Risks and assessment:

*You should take into account the sensitivity of the information and potential harm that inappropriate disclosure or use of the information could cause to any individuals concerned. You should also consider the reputational loss to the Council and the potential for financial penalties being imposed by the ICO.*

To assess the level of risk you must consider both the **likelihood** and the **severity** of any impact on individuals. A high risk could result from either a high probability of some harm or a lower possibility of serious harm.

The severity impact level and likelihood should be scored on a scale of 1 to 10 with 1 being low severity and 10 high. The two scores should be **added** together. The RAG status is derived from the following scale:

Score:

- 15 to 20 = Red (High)
- 8 to 14 = Amber (Medium)
- Below 8 = Green (Low)

### To be completed by Project Sponsor

Risk Identified	Severity of Impact	Likelihood of harm	Overall RAG rating
Provider is unable to meet our contractual requirements in relation to collection and processing of personal information. (Mitigation – contract will not be agreed and therefore no personal information transferred)	8	3	11 (Medium)
Information breach by Provider	10	3	13 (Medium)
Information breach by LA	10	5	15 (HIGH)
Information breach by External User	10	5	15 (HIGH)

## 6 Identify measures put in place to reduce risk.

*You must now identify additional measures you could take to reduce or eliminate any risk identified as medium or high risk in step 5.*

### To be completed by the Project Sponsor

Risk Identified	Options to reduce or eliminate risk	Effect on Risk	Residual Risk	Measure Approved
		Eliminated / reduced / accepted	Low / medium / high	Yes / No
Information breach by Provider	<p>Robust procurement process conducted with appropriate due diligence checks completed via Systems Procurement Team.</p> <ul style="list-style-type: none"> <li>Requirements and KPIs in contract</li> <li>Contract monitoring</li> <li>Staff training</li> <li>Secure technology, processes and protocols</li> <li>Immediate alert to LA of any breach</li> </ul>	<p>Reduced</p> <p>Reduced</p> <p>Reduced</p> <p>Reduced</p>	<p>Low</p> <p>Low</p> <p>Low</p> <p>Low</p>	<p>Yes</p> <p>Yes</p> <p>Yes</p> <p>Yes</p>
Information breach by LA	<ul style="list-style-type: none"> <li>Secure technology, processes and protocols in place corporately.</li> <li>Restricted access to information, with regular review of permissions.</li> <li>Staff training on system and GDPR requirements.</li> <li>Accurate and current data recording ensuring all contact information is current.</li> <li>Regular monitoring and checks on process compliance.</li> </ul>	<p>Reduced</p> <p>Reduced</p> <p>Reduced</p> <p>Reduced</p> <p>Reduced</p>	<p>Low</p> <p>Low</p> <p>Low</p> <p>Low</p> <p>Low</p>	<p>Yes</p> <p>Yes</p> <p>Yes</p> <p>Yes</p> <p>Yes</p>

Information breach by External User	<ul style="list-style-type: none"> <li>Secure technology, processes and protocols.</li> </ul>	Reduced	Low	Yes
	<ul style="list-style-type: none"> <li>Data Sharing Agreement with all External Parties.</li> </ul>	Reduced	Low	Yes
	<ul style="list-style-type: none"> <li>Communication package describing process and use of data.</li> </ul>	Reduced	Low	Yes
	<ul style="list-style-type: none"> <li>Restricted access to information, with regular review of permissions.</li> </ul>	Reduced	Low	Yes
	<ul style="list-style-type: none"> <li>Staff training on system and GDPR requirements.</li> </ul>	Reduced	Low	Yes
	<ul style="list-style-type: none"> <li>Regular monitoring and checks on process compliance.</li> </ul>	Reduced	Low	Yes



		<p>will be mitigated through various safeguards as shown in the DPIA form, by limiting access to data, secure systems, training, and a data processing agreement. The service provider must also have relevant data protection policies and processes.</p> <p>Please note:</p> <ul style="list-style-type: none"><li>(i) there must be a service agreement between the Council and the service provider on the Council's standard terms and conditions (I understand this is currently in place).</li><li>(ii) whenever a data controller (in this case the Council) uses a data processor (in this case Northgate), there must be a data processing agreement in place. There should therefore be a data processing agreement between the Council and Northgate on the Council's current terms, which is approved by Legal. Legal should therefore review the service agreement, existing data processing agreement, and any other agreements between the Council and Northgate containing provisions covering data protection compliance, to ensure that these contain the Council's current terms. The data processing agreement must require the service provider to have data processing agreements with relevant third party sub-processors.</li><li>(iii) consent will be one of the legal bases for the processing of the service users' personal data. The consent form/s provided to service users should be approved by Legal, if these have not previously been reviewed for GDPR compliance, or if the scope of the processing has changed since that</li></ul>
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		<p>review was conducted.</p> <p>(iv) your department and ICT should review and consider the service provider's current security and technology policies, and reputation, and be satisfied the provider is able to deliver a secure and compliant system and service.</p> <p>(v) the DPIA form states personal data will not be processed outside the UK. If there are proposals to share or otherwise process any of the service users' data outside the UK, advice should be obtained from Legal to ensure this processing complies with applicable data protection legislation.</p> <p>I consider these safeguards adequate to protect data subjects from risks of personal data breach. I am therefore happy for the processing to proceed.</p> <p>In view of the severity of the impact of the risks, I will advise that the items mentioned in this advice are implemented within two months of the date of this DPIA. If the service changes for example, if the service is provided with a wider scope, a further DPIA should be undertaken in light of the change of circumstances (or this DPIA should be reviewed and further DPO comments provided). The DPIA and data processing agreement, and any other agreements containing data protection provisions, should then be reviewed annually during the tenure of the service agreement, and if any changes are required please consult with the Information Management Team regarding updating the DPIA.</p> <p><i>(DPO should advise on compliance, measures to mitigate risk and whether processing should proceed)</i></p>
Consultation responses		If your decision departs from individuals views

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reviewed by:		you must explain your reasons.
DPIA to be kept under review by:		

**If you require further guidance to complete this DPIA please contact:**

**Information Management Team (IMT)**

Ext: 47777

Email: [information.management@croydon.gov.uk](mailto:information.management@croydon.gov.uk)

**Data Protection Officer**

Email: [DPO@croydon.gov.uk](mailto:DPO@croydon.gov.uk)