

Data Protection Impact Assessment

DPIA Name: **Procurement of a Construction and Housing Framework (YORbuild3)**

Ref No:

Stage 1: Data Protection Impact Assessment screening questions for proposed changes. Please read the DPIA guidance document before completing this form

	Screening questions	Yes	No
1	Will the project involve the processing of information about individuals? Please note this does include pseudonymised data*	<input checked="" type="checkbox"/>	<input type="checkbox"/>
2	Will information about individuals be disclosed or shared with organisations or people who have not previously had routine access to the information?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
3	Are you using information about individuals for a purpose it is not currently used for, or in a way it is not currently used?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
4	Does the project involve you using new technology which might be perceived as being privacy intrusive? For example, the use of biometrics or facial recognition.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
5	Does any phase of the project utilise automated decision making based on the information provided or shared	<input type="checkbox"/>	<input checked="" type="checkbox"/>
6	Will the project require you to contact individuals in ways which they may find intrusive? Such as marketing*	<input type="checkbox"/>	<input checked="" type="checkbox"/>

If the answer is “yes” to any of the questions above then a DPIA must be carried out.

Please ensure that this has been to the following :

Information Management & Governance, Subject matter experts including Business Partners, ICT, CYBER.

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Stage 2: Data Protection Impact Assessment

Version control

Version	Status	Revision Date	Summary of Changes	Author	IG Adviser
0.1	First Draft	08/06/21	First Draft	Rachael Grimes	
0.2	Second Draft	11/06/21	Second Draft	Rachael Grimes	Galina Smithson
0.3	Final Version	23/06/21	Final Draft	Rachael Grimes	

DPIA Approved by Information Asset Owner	Name: Kieron Dennett	Date: 23/06/21
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Section A: New/Change of System/Project General Details

Name: (of the project or change to be delivered)	Procurement of a Construction and Housing Framework (YORbuild3)
Background and Objectives: (why is the new system or change required?)	The procurement of a replacement construction and housing framework for YORbuild2 which operates in the Yorkshire and Humber region for public sector organisations.
Information flow diagram* (please see examples in guidance) see section on data mapping	Contractors submit their tender submissions which include information such as personnel name, company address, telephone number and email address. As part of their tender response they may also include abbreviated CVs, but these will not contain personal information such as their date of birth and home address.

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State who is the Data Controller* see glossary	Leeds City Council
Benefits: (explain what the project aims to achieve, what benefits to the organisation, to individuals and to other parties)	<p>YORbuild helps local authorities, other public bodies and third sector organisations procure construction projects efficiently and collaboratively. It's available to organisations across the Yorkshire & Humber region and the Sheffield Local Education Partnership area for projects of any value and in Lincolnshire for projects over £4m only, with procurement following a fully compliant process via the Find a Tender service. For projects over £4m it is also available to educational establishments in northeast England and areas of Nottinghamshire, Derbyshire.</p> <p>YORbuild2 has been used for over 820 projects with a value of over £1.5bn since it commenced in February 2016 and YORbuild3 will continue to build on this success.</p> <p>The Contract Procedure Rules state that the YORhub suite of framework agreements should be used whenever a procurement contains, or is likely to contain, a construction, civil engineering or professional services component.</p>
Consultation: (If required detail here any consultation undertaken with the public, partners, internal or external stakeholders)	Consultation has already taken place with the framework agreement users across the region which has resulted in a number of proposed changes including the use of the NEC4 as the preferred contract (but retaining other options such as JCT) and appointing 12 organisations to each lot to overcome the issue of not having sufficient tender lists.
Implementation date: for example the timescales required for completion, implementation date	The current YORbuild2 framework expires on 09/02/22.
Relationships or Partnerships: (Such as with NHS, or private organisation, stakeholders, please also if possible state whether they are designated as data controllers or data processors)	<p>Internal stakeholders</p> <ul style="list-style-type: none"> - Director of City Development - YORhub Framework Manager - Yorkshire and Humber member authorities - Executive Member (Cllr Lewis) - Elected Members - Housing Leeds and Asset Management staff - Procurement and Commercial Services

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	External stakeholders - Construction contractors - Media / Local Press	
Project Manager:	Name:	Rachael Grimes
	Job Title:	Procurement Category Manager
	Service:	Procurement and Commercial Services
	Telephone:	0113 37 85883
	Email:	Rachael.grimes@leeds.gov.uk
Information Asset Owner(s) All information assets must have an information asset owner (IAO). IAO are usually Heads of Service or Chief Officers.	Name:	Kieron Dennett
	Job Title:	Head of Procurement and Commercial Services
	Service:	Procurement and Commercial Services
	Telephone:	0113 37 85930
	Email:	Kieron.dennett@leeds.gov.uk
System Administrator (if applicable)	Name:	
	Job Title:	
	Service:	
	Telephone:	
	Email:	

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Section B: Data Protection Impact Assessment

Please complete all questions as fully as possible.

	Question	Response	Guidance document
Processing			
1	Please state the purpose for the processing of the data or information: (for example, service provision, research, audit, employee administration)	Data will be processed for the purpose of contacting the contractors and managing the framework, should they be successful in being appointed.	
2	Please tick the data items and information that will be processed	<input checked="" type="checkbox"/> Name <input checked="" type="checkbox"/> Address/Postcode <input type="checkbox"/> Date of birth <input checked="" type="checkbox"/> Telephone no/email <input type="checkbox"/> Next of Kin <input type="checkbox"/> National Insurance Number <input type="checkbox"/> NHS Number <input type="checkbox"/> Gender <input type="checkbox"/> GP / Consultant <input type="checkbox"/> Pseudonymised	
2b	Special categories and Criminal data	<input type="checkbox"/> Sexual Orientation <input type="checkbox"/> Political opinions/trade union membership <input type="checkbox"/> Religion <input type="checkbox"/> Physical health <input type="checkbox"/> Mental health <input type="checkbox"/> Medical history <input type="checkbox"/> Ethnic Origin <input type="checkbox"/> Sexual life <input type="checkbox"/> Criminal convictions	
2c	Other (please specify)		
3a	What is the legal basis you are relying on for the processing of the data/information.	Public task: the processing is necessary for you to perform a task in the public interest or for your official functions, and the task or function has a clear basis in law. This means	Please see guidance section on processing for all of question 3

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		any powers the local authority has under other legislation e.g. Children Act 1989, Housing Act 2004, Care Act 2014.	
3b	If you are relying only on consent, did you consider any other legal basis?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
3c	If using consent, how will that consent be obtained and recorded and withdrawn if requested? (please state)		
4	Will personal data items be collected which have not been collected before?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
5	The data of approximately how many individuals will be affected?	<input type="checkbox"/> 1-10 <input checked="" type="checkbox"/> 10-100 <input type="checkbox"/> 100-1000 <input type="checkbox"/> 1000-10,000 <input type="checkbox"/> 10,000+	
6	How is the personal data obtained?	<input type="checkbox"/> From Client/Service User <input type="checkbox"/> From partner agencies <input checked="" type="checkbox"/> From 3 rd Party/ Another Individuals <input type="checkbox"/> For employment purposes <input type="checkbox"/> Internal services <input type="checkbox"/> Other	
7	Have the individuals been informed of this processing?	<input checked="" type="checkbox"/> Yes (explicit) <input type="checkbox"/> Yes (implicit i.e. through Privacy notice, website, leaflet etc) <input type="checkbox"/> No	If no please record as a risk in section C
8	Does the information involve new linkage / matching of personal data with data in other collections, or is there significant changes in data linkages / matching?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	If yes please record as a risk in section C
9	Does this project involve utilising data for the purposes of automated decision making/profiling?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	(please see guidance section on processing)

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	If so add details		
Records Management			
10	Does this project create a new Information Asset?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
10a	How will the information be kept up to date and checked for accuracy and completeness?	Any data collected and processed from the appointed contractor will be kept up-to-date in line with contractual agreements.	If there are no documented procedures to evidence this answer, please record as a risk in section c
10b	What processes are in place for data quality checking?	Data quality checking will be conducted by the appointed contractor, in line with contractual requirements.	
11	If this project involves a new system, does it have the ability to quarantine information/restrict processing?	N/A	Please see guidance
11a	Does the system have the ability to amend or add notes to data/information at a single data field level?	N/A	Please see guidance
12	What checks have been made regarding the adequacy, relevance and necessity for the collection of data?	No collection of new personal data is envisaged for this project however, this document will remain live and be adjusted should project change be authorised	If no checks have been made please record this as a risk in section C
13	Where will the information be stored / accessed?	<input checked="" type="checkbox"/> LCC System/ Application <input type="checkbox"/> Sharepoint <input checked="" type="checkbox"/> LCC email system <input type="checkbox"/> Paper filing system <input checked="" type="checkbox"/> LCC File-Shares (e.g Network Drives) <input type="checkbox"/> Removable media <input checked="" type="checkbox"/> External to LCC (cloud, web hosted) <input type="checkbox"/> other	(Please see guidance section on Record Management for further information about cloud storage YORtender U drive
14	What are the retention periods?	To be agreed during the framework procurement – check with records managers.	If there are no documented retention periods please record as a risk in section C
15	How will the information be destroyed when it is no longer required?	In line with LCC's retention internal policies and procedures.	Desturction schedule

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15a	If held electronically, can the destruction be certified?	Electronic certification of data destruction will be obtained as agreed with contractors in line with contractual terms.	
15b	Can the information be deleted at a singular data field level?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Please see guidance
Security			
16	Who will access the information? (i.e. Services, roles, organisations)	All approved internal staff with access permission whose organisations are YORhub members.	
17	Is there an Access Control Policy in place?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Please see guidance section on Security for further information
18	Is there an ability to audit access to the information?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	If no please record as a risk in section C . Please see guidance section on Security for further information
19	Detail what security measures have been implemented to secure access and limit the use of personal information?	For use as in contractual obligations.	
20	Does this project involve privacy invasive technologies?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If yes please detail	Please see the guidance
21	Is there a business continuity and a disaster recovery plan in place?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	If no please record as a risk in section C YORtender and council drives have disaster recovery plans in place.
22	Where external parties are accessing LCC information has it been identified that they require IG training?	<input type="checkbox"/> Yes <input type="checkbox"/> No Not applicable	
Sharing			
23	Will any of the information be shared with other organisations or LCC services?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	If yes please record as a risk in section C

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23a	Please list all organisations/LCC services involved with sharing	All YORhub member organisations in the Yorkshire and Humber region and internal LCC services such as Construction and Housing evaluation team panel.	
23b	What is the legal basis for sharing?	Article 6 (1b), the basis for sharing is necessary for reasons of substantial public interest, Schedule 1 part 2.	Please note that your legal basis for processing may be different from your legal basis for Sharing. Please refer to guidance
24	Will there be signed information sharing agreements in place	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Not applicable as per 23.	If no please record as a risk in section C
25	Which method will be used to transport information if it is going off site?	<input checked="" type="checkbox"/> Standard email <input type="checkbox"/> Website <input type="checkbox"/> Via courier <input type="checkbox"/> By hand <input type="checkbox"/> Via external post <input type="checkbox"/> Via telephone <input type="checkbox"/> Removable Media <input type="checkbox"/> Secure file transfer protocol (eg. mail express) <input type="checkbox"/> Other file transferring applications (dropbox) <input type="checkbox"/> Social Media <input type="checkbox"/> Providing access via LCC systems <input type="checkbox"/> Other (please give details)	If no please record as a risk in section C
26	Are you transferring any personal identifiable data or information to a country outside the United Kingdom?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	If yes please record as a risk in section C

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Section C: Identify the Information, Privacy and related risks

Identify the key risks. All risks identified from the questionnaire in section B should be included, plus any others of relevance. Describe the actions you could take to reduce the risks and any future steps which would be necessary (e.g. the production of new procedures or future security elements for systems).

Please note if your project has a large number of risks there is an alternative spreadsheet you can use, (please ask your IG officer) or simply continue onto a separate sheet.

Risk	Solution	Result: is the risk eliminated, reduced, or accepted?	Evaluation: is the final impact on individuals after implementing each solution justified, compliant and proportionate response to the aims of the project?
General ICT cyber security risks – hacking of potential business sensitive information	ICT security defences	Accepted	
Access to information to YORtender by unauthorised means	ICT security defences, Information Governance training and declaration forms	Accepted	