



Privacy Impact Assessment (PIA) – Social Security Experience Panels

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Reviewed by:		Helen Findlay	February 2017
Authorised by:		Information Asset Owner (IAO)	February 2017

Status Control

Version	Date	Status	Prepared by	Reason for Amendment
0.1	Jan 2017	Draft	Susan Carsley	
0.2	Feb 2017	Draft	Susan Carsley	Incorporating comments from DPA team

1. Introduction

This paper outlines the rationale and methodology for the proposed collection of personal identifiable data for voluntary participants of the Scottish Social Security Experience Panels. The paper also explores the implications around confidentiality and what processes will be in place to ensure that this is protected as far as possible. The document will also report on and assess against any potential Privacy Impacts as a result of the implementation Scottish Social Security Experience Panels.

2. Document metadata

Name of Project

Social Security Experience Panels

Date of report

February 2017

Author of report

Communities Analysis Division and Social Security Directorate, Scottish Government

Information Asset Owner (IAO) of relevant business unit

David Signorini, Head of Communities Analysis, Communities Analysis Division, Scottish Government

Date for review of Privacy Impact Assessment (PIA)

February 2018

3. Description of the project

Project Background

The Scottish Government is committed to gathering views from people who currently receive benefits to help design the Scottish social security system. As part of this journey, the Scottish Government have consulted with people across Scotland on their views.

The Scottish Government are now building on this by asking current benefit recipients if they would like to take part in an Experience Panel. By joining an Experience Panel, the volunteers will have the opportunity to contribute their views on the future of social security in Scotland and help shape a Scottish social security system that puts people first and makes a lasting difference to the lives of people across the country.

The Experience Panels are being run by researchers at the Scottish Government. Those who volunteer to participate in the Experience Panels will be invited to take part in a range of activities that will provide an opportunity for them to tell us about their experiences and opinions, and to work with us to design important parts of the new system.

Panel Recruitment Methodology

There are two routes for recruitment of experience panels members:

1. Random Sample Design

The Social Security Experience Panels will include people who have recently received benefits from DWP that are to be devolved to the Scottish Government. Panel members will be selected at random from existing claimants. Random sampling will ensure that the research is inclusive by design.

The sampling strategy has been developed with the Office of the Chief Statistician and Performance and is being undertaken by the Research Sampling Team at DWP. DWP are the Data Controllers of the recent benefit recipient data and there is currently no legal basis for the Scottish Government to receive this data. Therefore, there is an agreement in place with DWP that they will draw the sample and their third party mailing supplier will mail out the invitations.

Around 20,000 recent benefit recipients will be contacted, asking them to take part in the Experience Panels. This assumes a 10% response rate to achieve the desired sample.

The sampling strategy developed with each of the following benefit spaces will need to be representative at a Scotland level, stratified into the following and representative for each benefit and strata:

- Disability and ill-health (Disability Living Allowance, Personal Independence Payment, Severe Disablement Allowance & Attendance Allowance).
- Universal Credit Flexibilities
- Industrial Injuries (IIB)
- Carers Allowance
- Maternity Grant
- Funeral Grant
- Winter Fuel and Cold Weather

The randomly sampled group of participants will be able to take part in representative, quantitative research. They will also be able to take part in qualitative research projects on more focused issues.

The sample is being drawn by DWP on Scottish Government's behalf and the mail out of these will be undertaken by DWP as they are the data custodians.

2. Open Recruitment

As well as recruitment via DWP, an open recruitment route has been planned to ensure that those who want to take part in the Experience Panels are able to.

Members recruited in this way will be invited to take part in qualitative research projects.

Publicising the Experience Panels Open Recruitment

An open invitation to join Experience Panels will be made in the press and on a dedicated webpage. Key organisations in Scotland will also be asked to publicise the panels. This is likely to be done on 27 February 2017. We will go ahead with this open recruitment regardless of when DWP agree to do the closed sample. This is also a decision which has been made in discussion with the Minister.

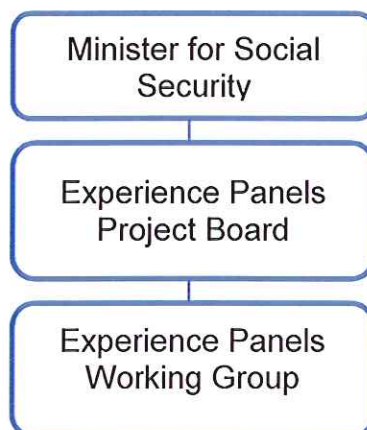
A communications strategy to launch and publicise the Experience Panels Open recruitment has been developed by social security communications colleagues. This will ensure that the Experience Panels are publicised widely, and offer recent benefits recipients the opportunity to get involved.

Relevant organisations will be sent information about the Experience Panels to advertise to those who may want to join.

Monitoring Panel Recruitment

The recruitment will be closely monitored. In particular, data will be analysed on the benefits that people are receiving to identify whether there are particular groups that are underrepresented. Communications activities will then be targeted to these underrepresented groups.

Experience Panels Governance



The Experience Panels fall under the portfolio of the Minister for Social Security.

The Experience Panels have a Project Board which has overall responsibility for the work. The Project Board consists of senior representatives (Social Security policy,

programme and analytical Deputy Directors). The Project Board will approximately 2-3 times per annum, in addition to electronic communication, and will take major decisions on the progress of the Panels. The Project Board will sign-off the research programme for the panels.

The programme of research for the Experience Panels will be designed collaboratively with the Experience Panels Working Group. The Working Group brings together colleagues from Social Security, Equality, Employability, Housing, and Health.

Where required, advice will be sought from external contacts. For example to inform methodologies for research with particular groups. For example, advice was sought from Inclusion Scotland, NHS Scotland and the Scottish Council on Deafness around the recruitment.

In line with the principles of co-design and co-production, the research programme will be informed by asking those on the panels what they think we should focus on. The first element of 'About You' research will gather information on this, and the findings of the consultation on social security will inform this research programme.

To be considered for inclusion in the Experience Panels research programme, a strong business case will be required. This will set out the requirement for the data, and demonstrate that evidence is not available from other sources. The bid process will ensure that using the panels is the best route to carrying out research.

Experience Panels Activities

The programme of research for the Experience Panels will be designed collaboratively with a Working Group that brings together colleagues from across social security policy and delivery.

The Experience Panels will involve a range of activities. This might include completing short surveys, or taking part in interviews and workshops. Activities can be carried out face-to-face, on the phone and online. The Working Group will agree on a programme of research for the Experience Panels.

Care will be taken to ensure that Experience Panel members are not overburdened by taking part. A strong business case will be required to undertake research with Experience Panel members. It will be made clear to panel members that they will not be expected to take part in all of the planned research activities, and there will be no obligation to take part. This will be made clear on the recruitment materials, as well as in any correspondence about taking part in specific research projects.

Personal data to be processed

A sample of all benefit recipients who live in Scotland and have received in the last 12 months, one of the benefits being devolved will be sent a letter inviting them to participate in the Experience Panels. Those who register as a Social Security Experience Panel member are asked to provide some information about themselves.

The following data items will be collected:

- Title
- First name
- Surname
- House/flat number
- Street
- Town/City
- Postcode
- Email address
- Mobile Number
- Home Number
- Details about benefits received

At a later date, participants will also provide data on;

- Views and opinions of the current and future social security systems

Data Collection

This information will be gathered from volunteers via a form sent to a FREEPOST address or online at www.gov.scot if preferred. A Freephone call-centre that can support people to register will also be available. Call centre operatives will collect volunteer information over the phone and input this into the online form.

Data Access

The Experience Panels are being run by researchers at the Scottish Government and as such they will have access to the personal information provided.

Names and job titles of those authorised to access the data;

Imelda Giarchi - Principle Research Officer, Social Security
Trish Brady-Campbell – Senior Research Officer, Social Security
Kayleigh Ellis - Operational Research Officer, Social Security
David Toner - Operational Research Officer, Social Security
Susan Carsley – Statistician, Social Security

Management of Data

Data will be managed by the Communities Analysis Division.

Storing Data

Data submitted electronically and scanned copies of hard copy submissions will be stored in a secure file on the datashare server (<\\S0429a\datashare>), access to this folder will be limited to the above. The hard copy submissions will be stored in a fire safe located in 1-F North, Victoria Quay.

A fire safe will also be located in the Social Security Call Centre, if for any reason hard copies of either personal data or call back data must be noted down in hard copy, these will be stored in the fire safe.

Retention and Destruction of Data

The data will be retained for no longer than is required to meet the purpose(s) for which it was originally obtained. This is likely to be for five years, however this will be reviewed on a regular basis.

The data will be deleted/destroyed securely once it is no longer required. Further guidance is contained in the Scottish Government's policies on the [secure erasure and disposal of computer media](#) and the [destruction of classified material](#).

Loss of Scottish Government data

Loss or theft of any Scottish Government information must be reported to the Office of Protective Security (OPS) as soon as possible. The OPS will take details of the incident, and notify the Police and obtain a crime reference number if appropriate.

The [Information Asset Owner](#) will also be informed of the incident and any developments.

Legal basis

The legal basis includes consent. Experience Panel volunteers will be asked to tick a consent statement indicating whether they are willing for their name, address, contact details and relevant survey question answers to be passed on to the Scottish Government for the purpose of follow-up research (see Annex A). Therefore, Data Protection Act (DPA) 1998 Schedule 2 (1) condition and Schedule 3(9) applies for processing the personal data.

Before participating in individual research projects participants will also be asked to read and sign a further consent form.

4. Stakeholder analysis and consultation

4.1 Groups/organisations involved in project:

List all the groups involved in the project, and state their interest.

- Scottish Government: Social Researchers, Statisticians, Economists, Communications

Roles:

1. Design of letter to be sent to potential volunteers
2. Sample design
3. Design and preparation of publicity materials
4. Collation & management of personal data of volunteers
5. Organisation of experience panels

6. Analysis of output from experience panels
7. Answering any queries regarding experience panels

- Department of Work and Pensions: Research Sampling Team (RST), Central Analysis Division

Roles:

1. Draw sample of recipients which letters sent out to

- Scottish Government: Social Security Call Centre

Roles:

1. Answering any queries regarding experience panels
2. Collecting contact details/personal information of volunteers who call in

5. Questions to identify privacy issues

Will the initiative involve multiple organisations, whether they are public service partners, voluntary sector organisations or private sector companies?

Yes, Department of Work and Pensions and Scottish Government. All the organisations involved have procedures for handling sensitive personal data.

Will it be possible to identify an individual?

Yes, personal data will be collected for the purposes of contacting the volunteers. There are strict procedures in place for sharing, storage and accessing (sensitive) personal data (see section 3). Access to any personal data is on a strict need-to-know basis.

In any outputs, individuals will be anonymised; no comments or quotes will be attributed to individuals, instead they will be referred to via generic descriptions. All outputs will have a strong quality assurance process built in. Reports will be checked by colleagues at the draft and final stages to ensure that no individuals could be identified.

Will there be new or additional information technologies that have substantial potential for privacy intrusion?

No.

What type of unique identifiers will be used in the project?

The following personal data will be collected:

- Title
- First name
- Surname
- House/flat number
- Street

- Town/City
- Postcode
- Email address
- Mobile Number
- Home Number

The personal data collected will solely be used to identify which volunteers are best suited to attend which experience panel and to contact them in order to invite them to attend said experience panel.

Will there be new or significant changes to the handling of types of personal data that may be of particular concern to individuals? This could include information about racial and ethnic origin, political opinions, health, sexual life, offences and court proceedings, finances and information that could enable identity theft.

No. All data will be collected on a voluntary basis, information about benefits volunteers currently receive will be collected.

Will the personal details about each individual in an existing database be subject to new or changed handling?

Current benefit recipients whose data is currently held by DWP, will voluntarily send personal information to the Scottish Government.

Will there be new or significant changes to the handling of personal data about a large number of individuals?

No.

Will the project involve the linkage of personal data with data in other collections, or any significant change to existing data links or holdings?

No.

Will there be changes to data quality assurance or processes and standards that may be unclear or unsatisfactory?

No.

Will there be new or changed data security access or disclosure arrangements that may be unclear or extensive?

Scottish Government data security procedures will be followed for the data held by the Scottish Government.

Will there be new or changed data retention arrangements that may be unclear or extensive?

No.

Will there be changes to the medium of disclosure for publicly available information in such a way that the data becomes more readily accessible than before?

No.

Will the data processing be exempt in any way from the Data Protection Act or other legislative privacy protections?

Yes, the Data Protection Act Section 33 exemption applies.

The data is being collected and processed for research purposes only.

Part IV, Section 33 (Exemptions) of the Data Protection Act covers statistics and research. Where the processing of personal data (including sensitive personal data) is carried out for research or statistical purposes, section 33 makes special provision relaxing, or exempting, certain DPA requirements, provided the following conditions are met:

(a) "that the data are not processed to support measures or decisions with respect to particular individuals, and

(b) that the data are not processed in such a way that substantial damage or substantial distress is, or is likely to be, caused to any data subject".

Both of these conditions will be met.

Does the project involve systematic disclosure of personal data to, or access by, third parties that are not subject to comparable privacy regulation?

No.

Does the project's justification include significant contributions to public security measures?

No.

Is there to be public consultation?

There will not be a public consultation of this project.

The project itself is in fact part of the public consultation to help design the new Scottish social security system.

Is the justification for the new data handling unclear or unpublished?

No.

6. The Data Protection Act Principles

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.*

The purpose of the project

The purpose of the project is clearly described in the documentation that the selected sample will receive inviting them to participate in the Experience Panels (see Annex A).

Telling individuals about the use of their personal data

Individuals have volunteered their personal data for the purposes of being contacted to participate in experience panels and have therefore given consent for their data to be processed in this way.

As standard, all research that involves Experience Panel members will be fed back to participants. This will be done primarily using newsletters (e.g. [Fife People Panel newsletter](#)) sent to participants via a dedicated mailing list function and through the secure web platform which we will purchase to undertake online research with panel members.

As panel members will have complex needs with regards to access, care will be taken to ensure that materials developed to give members feedback are as accessible as possible. We will collect information from panel members on the registration form about preferred contact methods and additional support needs. This will help to ensure that the format of outputs and feedback can be tailored to best meet the needs of participants.

Participants signing up for the Experience Panels via the Call Centre may have their call recorded for training purposes. A message explaining this will be played before the recording takes place.

Conditions for which processing apply

The individual whom the personal data is about has consented to the processing & The individual whom the sensitive personal data is about has given explicit consent to the processing.

Informed consent for the panels will be obtained via an invitation and registration form, which will be completed by participants and returned online or by post. A Freephone number has also been set up to collect the registration information of those who are unable to complete the form out online or in writing.

The Experience Panels invitation clearly states that 'taking part is completely voluntary and you can leave at any time'. Furthermore, the invitation sets out that individuals are not obliged to take part in any future panel research by registering to take part in the panels. The invitation states, 'you do not have to take part in everything. It will be entirely up to you how much time you want to spend'.

Processes will also be put in place for each individual Experience Panels project to ensure that participants are informed about the project, the purpose, the client, topics and assuring them that their participation is voluntary.

Human Rights Act

As participation in the Social Security Experience Panels is voluntary, with the option to opt out at any point, this does not interfere with the right to privacy under Article 8 of the Human Rights Act.

Principle 2

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.

Data will only be used for the purpose of contacting volunteers to participate in experience panels. The data shall not be used for any other purpose.

Principle 3

Personal data shall be adequate, relevant and not excessive in relation to the purpose or purposes for which they are processed.

All data requested is required for the purpose of the project.

Three fields;

- Email address
- Mobile Number
- Home Number

Are not compulsory, however may be required depending how the respondent wants to be contacted.

Principle 4

Personal data shall be accurate and, where necessary, kept up to date.

Each time an experience panel member is asked to participate in a specific research project they will also be given the opportunity to opt out of the Experience Panels, or update their details.

A clear procedure will be in place for Panel members to remove themselves from the panel. This will include via the phone, via the post or via the panels email address. An online form will be provided for this which can also be downloaded etc.

Principle 5

Personal data processed for any purpose or purposes shall not be kept for longer than necessary for that purpose or those purposes.

The data collected shall be kept until the completion of the Experience Panels, it is envisaged that they will run for 4 years.

Data no longer needed for the purpose of the project will be securely deleted.

Principle 6

Personal data shall be processed in accordance with the rights of data subjects under this Act.

Marketing

Data will be used for the purpose of this project only and will not be used for marketing purposes.

Principle 7

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.

All staff with access to personal data will undertake and complete the mandatory Data Protection eLearning package every year. Key members of the Social Security analysis team will also complete the MRC Research Data and Confidentiality e-learning course <http://byglearning.co.uk/mrcrsc-lms/course/category.php?id=1>.

Call centre operatives and researchers will also be asked to sign a confidentiality undertaking form.

Online data collection

Questback is the survey tool being used to collect data online. Permissions have been set so that only one Social Security Social Researcher can access and download the survey data. Data will be downloaded from the website and stored in a secure folder with restricted access (see Data Storage section).

Once the online data collection is complete, the survey and all data collected will be deleted from the website.

Principle 8

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.

The project will not require data to be sent outside of the EEA.

7. Risks identified and appropriate solutions or mitigation actions proposed

Is the risk eliminated, reduced or accepted?

Risk	Ref	Solution or mitigation	Result
Physical security of new data, in particular against fire, flood, power, temperature fluctuation risks, theft, unauthorised access and accidental or deliberate damage/disclosure	SSEP01	<p>The database of experience panel member details will be managed by analysts in the Social Security team. The database will be stored in a password protected file in a restricted folder, accessible only to named members (section (?) of the Social Security Analysis Team.</p> <p>All team members with access to personal data will complete the MRC Research Data and Confidentiality e-learning course http://byglearning.co.uk/mrcrsc-lms/course/category.php?id=1</p> <p>Call centre operatives will be asked to sign a confidentiality protocol</p>	Reduce
Participants are not fully aware of how their data will be used.	SSEP02	<p>A Privacy Policy is included in the information pack provided to all invited participants, it is also part of the online survey form.</p> <p>As far as possible all participants will be made aware of this.</p>	Reduce
Data processing not compliant with the DPA	SSEP03	The registration form includes a tick box consent (see Annex A)	Eliminate

		Signed consent to participate in further individual research projects will also be collected.	
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8. Incorporating Privacy Risks into planning

Explain how the risks and solutions or mitigation actions will be incorporated into the project/business plan, and how they will be monitored. There must be a named official responsible for addressing and monitoring each risk.

Risk	Ref	How risk will be incorporated into planning	Owner
Social Security Research team do not store and handle personal data correctly	SSEP01	All Social Security Research team members with access to personal data will complete the MRC Research Data and confidentiality e-learning course http://byglearning.co.uk/mrcrsc-ims/course/category.php?id=1 As well as having completed the compulsory Scottish Government Data Protection Act e-learning modules.	Susan Carsley
Call Centre Staff do not handle personal data correctly	SSEP01	As part of their training, the sensitivities of collecting personal data will be highlighted and all call centre operatives will be asked to sign a confidentiality declaration (see Annex B) Data handling procedures will be monitored for the duration of the operation of the call centre.	James Simpson

9. Authorisation and publication

The PIA report should be signed by your Information Asset Owner (IAO). The IAO will be the Deputy Director or Head of Division.


Before signing the PIA report, an IAO should ensure that she/he is satisfied that the impact assessment is robust, has addressed all the relevant issues and that appropriate actions have been taken.

By signing the PIA report, the IAO is confirming that the impact of applying the policy has been sufficiently assessed against the individuals' right to privacy.

The results of the impact assessment must be published in the eRDM with the phrase "Privacy Impact Assessment (PIA) report" and the name of the project or initiative in the title.

Details of any relevant information asset must be added to the Information Asset Register, with a note that a PIA has been conducted.

I confirm that the impact of undertaking the project has been sufficiently assessed against the needs of the privacy duty:

Name and job title of a Deputy Director or equivalent	Date each version authorised
DAVID SIGNORINI HEAD OF COMMUNITIES ANALYSIS 	1 MARCH 2017.

10. Further information

Further information about the project is available from the following website www.gov.scot/socialsecurity or by emailing socialsecurityexperience@gov.scot

Recruitment materials

'Have Your Say' Invitation and Information pack



Experience Panels
information leaflet - F

Experience Panels registration (including consent) form



Experience Panels
registration form - FII

Social Security Experience Panel – Confidentiality Declaration



Social Security
Experience Panel - Co