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Title	The Data Protection Impact Assessment for MOPACs Female Offender Diversion Pilot Evaluation
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Summary	This document details the lawful basis used to access and process data for the MOPAC evaluation of the Female Offender Diversion Programme, provides an understanding of responsibilities, risk and mitigation, lines of accountability; and aims to provide reassurance and transparency to members of staff; members of the public; and our elected officials.
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## Data Protection Impact Assessment: Female Offender Diversion Pilot Evaluation

September 2019

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## General

### Section 1 - Introduction

This Data Protection Impact Assessment (DPIA) outlines the process which will be conducted by the Mayor's Office for Policing And Crime (MOPAC) in-house research team, namely Evidence and Insight (E&I) unit, for the purpose of evaluating the Female Offender Diversion Pilot Service provided by Advance and the Metropolitan Police Service. This document details the lawful basis used to access and process data and conduct research; provides an understanding of responsibilities, risk and mitigation; lines of accountability; and aims to provide reassurance and transparency to members of staff; clients who access the support from Advance and the MPS.

In the backdrop to what is being proposed is the work of the National Police Chiefs Council's to develop guidelines on out of court disposals (OoCDs) intended to rationalize the current framework. The NPCC draft strategy proposes the sole use of 2 types of OoCDs, Community Resolutions and Conditional Cautions, instead of the seven that currently exist. Each disposal would have rehabilitative, reparative or punitive conditions attached to it.

In the Mayor's recent consultation on the Police and Crime Plan 2017 – 2021, the largest consultation of its type, a clear need was identified around building up the array of diversion options available to the police when dealing with adult female offenders. The following commitment was incorporated in the Police and Crime Plan to take steps to address this need:

*Wherever possible, we will seek to divert low-risk women from the formal criminal justice processes. We will achieve this by working with the MPS to design and pilot a police-led triage service that, where appropriate will divert these women into specialist support services.*

To support the development of a pilot to deliver against this commitment, MOPAC set up a multi-agency Task and Finish Group to develop the pilot. Over 17% of all the women arrested in England and Wales are arrested by the Metropolitan Police. While the harm caused in majority of these cases was low, the offenders involved were often some of the most vulnerable with many presenting with multiple and complex needs. Prosecuting these women does little to address the underlying drivers of their offending and will (in some cases) exacerbate their needs and greatly impacting upon the lives of their dependents.

The Metropolitan Police Service has limited number of formal diversion options available to officers, none of which involve a referral pathway specifically for female offenders as part of the case disposal. A problem-solving approach at the point of arrest would more effectively address the needs of these vulnerable offenders before they do lasting damage to themselves, their children, and their community.

This pilot will drive multi-agency working between the police, VCS service providers and other statutory partners as part of a wider programme of work to develop a whole system approach to identifying and addressing the needs of female offenders in London. Aligning and integrating with local public services will improve the outcomes for these women and reduce demand across the social care and criminal justice system.

This proposal will build on the momentum of a recent pilot for a female offender diversion scheme in the London borough of Lambeth which works with offenders pre-conviction along with the Female Offender Service which support offenders post-conviction. These services and the programme of work to develop mature commissioning/funding arrangements with other statutory and non-statutory partners are the pillars of the whole system approach to female offending which is being developed in London.

The proposed diversion scheme is seeking to develop and test a cost effective multi-tiered approach to adult diversion. The purpose of developing and testing a new diversion model is to understand whether London can replicate the outcomes that are being achieved elsewhere in the country.

This funding will increase the size of the pilot area in order to obtain a sufficient number of referrals to measure impact and to realise economies of scale in order to sustain the service after this funding has ended.

This proposal has the potential to be transformative outside of whole system approach to female offending as it promotes a wider shift towards prevention and diversion as set out in London's new Police and Crime Plan. Developing these new working relationships and agreeing common objectives across statutory and non-statutory partners will help realise wider public sector reform opportunities.

This will test a large-scale adult diversion model for London. This pilot will integrate a holistic package of support with an out of court disposal, to improve outcomes for the offender and offer officers and the CPS a robust alternative pathway to prosecution through the courts.

The expected benefits of this pilot include:

- Improve referral pathways for vulnerable women;
- Enhance the police's problem-solving capabilities; and
- Develop existing partnership arrangements in delivering a whole system approach to female offending in London.

The outcomes include:

- Reduce the volume of women who enter the criminal justice system;
- Reduce the number of women who are sentenced to short-term prison sentences;
- Improve the life chances (health and wellbeing) of the women who enter the diversion scheme and their children; and
- Reduce demand across the social care and criminal justice systems.

MOPAC intends to work collaboratively with Advance and the MPS to deliver a research project that explores the impact that the Diversion Pilot service provides.

Services provided by Advance and the MPS will cover some of the following areas: The MPS will refer suitable women onto the scheme at point of contact. The target cohort is adult women who have committed a non-domestic flagged offence which is suitable for an out of court disposal in the pilot area. The pilot areas are 4 London boroughs Camden and Islington and Lambeth and Southwark. The north BCUs will roll out in October 2019 and the south BCUs will roll out in early 2020.

The target cohort will all receive either a community resolution (CR) or conditional caution (CC). A rehabilitative condition attached to all CRs or CCs for this cohort would be the engagement with services provided by a local women's centre. The referral to the women's centre is made by the police officer, in consultation with DIP, L&D practitioners, and CPS as appropriate, as part of the out of court disposal. 'Engagement' for the purposes of this pilot would be objectively defined as attendance at two appointments at a local women's centre. Offenders referred as part of a conditional caution will have their levels of engagement feedback to the officer who made the referral within one month of the disposal to decide if any further action is required.

After a referral has been made Advance will then provide Key workers to support the women with tasks such as completing forms, shopping, attending meetings with them and general advocacy; specialist support services will be provided by third parties contracted by Advance such as housing support, employment and financial management support, mental health and confidence support, parenting skills and relationship management advice. The most suitable method of evaluating the impact of these services to support female offenders is via a process, performance and impact evaluation.

The Female Offender Diversion Pilot Evaluation will focus on three distinct areas for analysis, these are:

- 1) Process Evaluation – consisting of interviews with stakeholders and practitioner surveys or focus groups, offender satisfaction surveys and interviews and potentially ethnography with service providers too.
- 2) Performance Framework – this will be created using input, output and outcome data such as offender data, criminal career information, risk and need data, intervention data and case tracking information and arrest and charge data
- 3) Impact evaluation – consisting of analysis of reoffending data

The ability to successfully meet the aims of this project will depend on data quality and quantity in addition to available resource. This will be reviewed throughout the life of the research.

The performance review and framework aims to examine key metrics identified that are important for measuring inputs, outputs and outcomes. These indicators of success will be monitored throughout the life of the project and regular review meetings will be held to discuss implementation and performance. The impact evaluation aims to examine if the Female Offender Diversion Pilot has delivered its desired outcomes and how it has affected those who are involved. In order to robustly evaluate impact and work out which key aspects or ‘ingredients’ of the service provided by the Female Offender Diversion Pilot have an effect, E&I aim to identify a counterfactual or control group (i.e. a matched group who do not receive the Female Offender Diversion Pilot Support) against which to compare the outcomes and experiences of those who do receive the services. Robust matching at the cohort or individual level is planned to ensure the validity of the counterfactual being used.

This document outlines the activity conducted by MOPAC for the Female Offender Diversion Pilot Evaluation. It will identify where personal and/or special category data is being used and describe the arrangements for how data will be used.

This project required a DPIA because it involves the processing of Personally Identifiable Information (PII), as mandated by MOPAC’s policy. In addition to PII, MOPAC E&I will also be processing Special Category Data:

- race
- ethnic origin
- age
- health (including mental health)
- relationship status
- religion

Special category data is personal data which the GDPR says is more sensitive, and so needs more protection. In order to lawfully process special category data, you must identify both a lawful basis under Article 6 and a separate condition for processing special category data under Article 9. These are outlined in this DPIA (see Legal section) and describe which data is gathered under which basis.

MOPAC E&I will also be processing criminal offence data, in its official oversight capacity (see Legal section). Criminal offence data includes data about criminal allegations, proceedings or convictions that would have been sensitive personal data under the 1998 Act. To process PII about criminal convictions or offences, you must have both a lawful basis under Article 6 and either legal authority or official authority for the processing under Article 10. These are outlined in this DPIA (see Legal section).

This 'evaluation DPIA' is intended as a 'live' document which will be updated regularly.

## Section 2 - Data Processing

### 2.1 The nature of processing

This section documents how data will be collected and processed for the purposes of the Female Offender Diversion Pilot Evaluation. Personally identifiable information (PII), Special category data and criminal offence data collection and analysis will only be that which is necessary to meet the requirements set out in this agreement. PII will only be processed for the purposes for which it was obtained and for other purposes which are not incompatible - such as (and only where justified) research and analytics. Wherever possible data minimisation principles will be applied at the earliest opportunity. Whilst this DPIA concludes a significant amount of sensitive data will be used, safeguards are in place to ensure compliance with Data Protection principles and the risk assessment outlines details associated with the project and the proposed mitigation. The lawful basis for obtaining and sharing data is outlined in Section 4.

In the main, data is classified as OFFICIAL SENSITIVE under the Government Security Classification (GSC). Data is personally identifiable (e.g. information relating to a living identified or identifiable individual, including name, address, dob, id number, location data, online identifier or one or more factors specific to someone's physical, physiological, genetic, economic, cultural or social identity) and in many circumstances is special category (e.g. data relating to racial, ethnic origin, political opinions, religious or philosophical beliefs, trade union membership, genetics, biometrics, health, sex life / orientation, criminal convictions and offences) making it open to additional security measures or appropriate safeguards (see below for more details). Criminal offence data will be processed – this data includes information about criminal allegations, proceedings or convictions that would have been sensitive personal data under the 1998 Act.

#### 2.1.1 – Data Source & Collection

This project has four main sources for E&I data:

1. The National Probation Service (NPS)
2. The Community Rehabilitation Company (CRC)
3. Advance Minerva
4. Metropolitan Police Service (MPS)

This research evaluation combines data recorded by staff employed by either the MOPAC (E&I Analysts) or the NPS, CRC, Advance Minerva or the MPS. Data is PII and will include, but not be limited to; criminal history and offending data, offender demographic data, health/mental health, religion, disability and dependent information.

Criminal justice data will be required for the evaluation. The majority of this data will be obtained from the NPS and CRC, utilising the relationship of 'data processor for the purpose of the evaluation' between MOPAC and these organisations to obtain a relevant sample (a new GDPR compliant ISA is being written to support data sharing). MOPAC will also make use of MPS systems and will draw arrest and charge data from CRIS via a named secondees only. To do this MOPAC will utilize the 'controller to controller for the purpose of the evaluation' relationship between MOPAC and the MPS. To conduct this research evaluation and gain access to the criminal justice data, from the NPS, CRC and MPS, MOPAC relies upon its lawful basis of public task, under its core oversight function stipulated in the Police Reform and Social Responsibility Act 2011. The PII will be drawn by a named secondees from E&I directly from the MPS Crime Recording Investigation System (CRIS), the data will be anonymised and then saved into a designated space on the aware system for analysis. At no point will PII data leave the aware system. The data from the NPS or CRC will be drawn by their staff and provided to MOPAC via secure transfer.

The named E&I staff member who is on secondment to the MPS for the purposes of data extraction from aware will follow standard practice and access MPS data directly via the MPS information technology terminals (FOUNDATION). Staff are therefore held to account via the same policies and procedures as the MPS when accessing and processing data via the FOUNDATION architecture. This also includes, but not limited to, Management of Police Information (MOPI) and Computer Misuse Act. E&I staff are trained on each system and act as 'readers' or 'reviewers' – they will not be permitted to make changes to the information inputted by the authors (the MPS). Where errors are identified staff will follow the procedures set out in section 4. CRC and NPS staff will be held to account for the data handling and information management policies outlined in the ISA and within their own GDPR policies.

Across the course of the evaluation bespoke information will be gathered through primary data collection techniques (such as surveys, interviews and focus groups), by E&I and Advance Minerva staff. Where possible, data will be anonymised and therefore not PII.

Access to personally identifiable information (PII) will be restricted, even within E&I on a need to know basis (see Data Storage & Transfer).

#### *2.1.2 – Use of data*

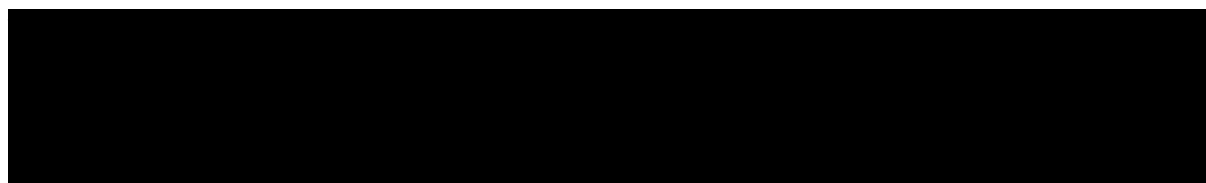
As highlighted in the 'Introduction', data is required for potentially three stages of an evaluation - the performance framework; process evaluation and impact evaluation. This will enable stakeholders to monitor the programme's progress and/or impact effectively. This involves examining an individual's progress with Advance or any possible breaches of cautions; reviewing what needs clients present with; and what services or interventions they receive and for how long. This analysis will help to explore the impact the service has on offending behaviour and wellbeing.

Information used by MOPAC will be reported at the aggregate, not an individual level and not used in a way whereby an individual can be identified by any means (e.g. reporting on data with small base sizes). This includes location and mapping data; survey or interview answers observation data and crime data; and staff information (e.g. HR records). Reporting may take the form, but not be limited to: internal written documents or briefings; data visualisation packs or dashboards; info-graphics; journal articles or published documents; and may include case studies or quotes from research participants.

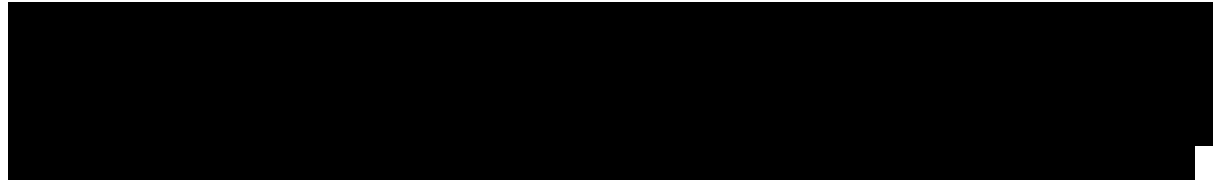
#### *2.1.3 Data Storage & Transfer*

The majority of the Female Offender Diversion Pilot project will be recorded by Advance Minerva or the MPS and processed and stored on the FOUNDATION environment. Staff with access to the data will have been vetted to the relevant levels required by their employer. MOPAC E&I and MPS staff are security cleared to at least Counter Terrorist (CTC) level. MOPAC are responsible for maintaining records of security clearances and renewals for their own staff. If access to data is no longer required by an employee, then MPS and/or MOPAC will withdraw that access.

For data primarily extracted from the MPS System (e.g. arrest and charge data) and for data gathered for the project (e.g. interview transcripts etc), information will all be stored electronically on the MPS FOUNDATION architecture. The location of PII will be (e.g. the file path) will be recorded on the MOPAC organisational asset register.







Usually MPS data stored in FOUNDATION will be retained in the original system used by the authors of the data (MPS). There are occasions where this is not the case (E.g. storing CRIS or PNC output in an EXCEL format so crime analysis can occur). In these circumstances a secondee from MOPAC to the MPS will download all data required from the MPS systems and anonymise it prior to data being stored in the MOPAC area of aware for analysis. MOPAC E&I will store data in their own area of FOUNDATION Shared Drive and apply the retention policies set out in this document (see Data Retention section). Access to E&I's FOUNDATION folders are limited to named E&I staff and PII will be further restricted, even within E&I, on a need to know basis. This is achieved by limiting folder access and applying passwords to spread sheets. It has been confirmed that access to the information can be audited.

When online surveys are used to collect data from stakeholders and staff members, an online portal will be used to create the survey and record the responses. The online portal is run by a company contracted by MOPAC/MPS called Opinion Research Services (ORS). They have their own specific documentation for which the storage of these responses must adhere (Contract Ref: GLA 81140 MOPAC Research Services). Where possible survey information will be non-PII, but permission will still be sought to participate (see Legal section).

If any other external companies are used as a processor during the evaluation (e.g. to conduct client interviews), this element of the research will require additional bespoke ISA/DPIA's to outline the agreed processes by which a company must adhere and this DPIA will be updated accordingly.

Where papers are used, MOPAC employs a clear desk policy. Anything of an OFFICIAL marking will be stored in a locked container within a secure premise with a managed access control. Access to information will be limited to those with a genuine "need-to-know". When the documents are not being used they will be locked away.

There should be no need to back up electronically held information via disc, hard drive, or any mobile device, but if this is deemed necessary then the appropriate level of encryption and or password requirements must be in place. This should be followed by the media used being stored in a physical location that has a level of security appropriate to the level the information held is graded to. The relevant security standards set out by the GSC for transmitting, storing and disposing information must be adhered to at all times. Likewise if information is to be stored on removable media, these will be encrypted to government standards and passwords will be in place. Only an encrypted MPS approved Datashare USB must be used (available on PSOP), as CDs are no longer acceptable.

For focus groups and/or interviews non-PII of stakeholders/staff is sometimes stored for a short time as voice recordings on Dictaphones. This information is removed from the mobile device onto the MPS FOUNDATION system at the earliest opportunity.

There should be no need to physically exchange information under this agreement. However, should the need arise, exchange will take place by a trusted person in a closed container or package. Subsequent movement within MOPAC must be treated with the same degree of security. Information is not moved by post or courier.

Speech will be guarded and conversations will be kept short, when sharing information via telephone and the use of fax will be avoided for transferring protectively marked information as it is not secure.

#### *2.1.4 Data Retention and Disposal*

All parties carrying out the functions set out in this agreement must adhere to their organisation's record management policies and procedures specifically in relation to retention and destruction of data. Such policies and procedures must be GDPR compliant. E&I will dispose of all material related to this evaluation in accordance with the records management policy.

MOPAC have documented their retention criteria in MOPAC'S Information Governance Policy, where public consultation research falls under a retention period of 8 years. For E&I data the general rule is 'all files containing MPS, PII or sensitive data will be depersonalised as soon as possible'. Where there are exceptions (for example in some instances data may be required for historic or longitudinal research purposes), these will be detailed at that time in the DPIA; only the minimum amount of data is retained; and its whereabouts will be recorded on the organisation asset register. If data can be made non-PII it will be done as soon as possible. For the Female Offender Diversion Pilot Evaluation some PII from the MPS CRIS system will need to be kept for the course of the project so that matching with the NPS and CRC can occur towards the end of the project. If the deletion of personal data is for some reason not possible, it will be placed beyond use with limited access.

Whilst the MPS reviews it's ISA documentation with MOPAC, MOPAC will ensure that a new system of data access and analysis is in operation. Only certain MOPAC E&I team members will have access to MPS systems on specified days to undertake data downloads. All data will be anonymised at the earliest opportunity and analysis will be undertaken by MOPAC E&I members thereafter. This process will be reviewed regularly and this DPIA will be updated to reflect new processes when necessary.

Hard copies of information will be destroyed when it is no longer of relevance under the agreement. Papers will be disposed of through an OFFICIAL SENSITIVE waste system - either via the confidential waste disposal system, or via a cross-shredder; and where possible on MPS premises. Electronic information will be securely erased or overwritten using an approved software utility to a standard applicable to the protective marking.

#### *2.1.5 Correcting Erroneous Data*

If during an individual reviewing their own data under the 'rights to access', or in the course of E&I staff processing data it is found something is incorrect, MOPAC will contact the data authors (the MPS, CRC or NPS or female offender service providers) to rectify information.

All analysis and reports will be quality assured and E&I have strict quality control processes in place to ensure that any mistakes are picked up early.

When MOPAC are acting as a data controller of MPS data for the purpose of the evaluation (TBC), this will involve contacting the MPS as authors (via the Information Assurance Unit). The owning organisation may not be able to change the information unless it is found to be an input error. Any dispute regarding the accuracy of the data or continued refute to the validity of information will be noted.

All staff have a duty of confidentiality and a personal responsibility to safeguard any information with which they are entrusted. This includes ensuring that they comply with the legal and regulatory requirements and standards, for example the encryption of personal data on removable media.

#### *2.1.6 Data Sharing*

It is understood that MPS information obtained for policing purposes, will not be used in any manner contradictory with those purposes. As a Data Controller for the purpose of the evaluation, the MOPAC policy is to not share PII derived from MPS sources with other agencies, providers or third parties. Anonymised and aggregate data in the form of performance information or reports can be shared. If

there is a requirement to share MPS sourced PII, this process will need to be captured in bespoke ISA/DPIAs. MOPAC will ensure they adhere to the MPS policy and create a record of the personal information disclosed on CRIMINT PLUS by the project lead or an MPS employee, detailing the name of the partner organisation; the nature of the data and the project and the lawful reason for sharing. This will need to occur at the time the information is supplied (or as soon as possible thereafter). Any decision not to share certain information should similarly be recorded along with the reasons for the decision.

When MOPAC uses MPS information in conjunction with data from other sources, there is also an overarching understanding that PII will not be shared back with the MPS. If it is felt there is an acute need to share MOPAC E&I held data with the MPS to make policing decisions, agreement will be sought at that time from the lead provider.

Likewise, if PII is obtained from other sources (such as the CRC or the NPS), MOPAC E&I are not at liberty to share this information with any other parties, unless they have explicit consent from the data owners. As MOPAC E&I are acting as data controllers for the purpose of the evaluation for other organisations data, these points will be covered further in the bespoke ISA/DPIA for that specific data sharing.

## 2.2 The scope of processing

The data E&I utilise, including that from Advance Minerva and MPS systems, generates legitimate concerns about data privacy and the management of personal information, especially considering the sensitive nature of the information recorded and potential vulnerabilities of the clients. MOPAC and E&I will ensure procedures outlined in the ISA, DPIA and bespoke project DPIAs will be followed to reduce the risk to the public, the MPS and MOPAC.

### 2.2.1 What types of data & the geographical area?

The PII E&I will use as part of the Female Offender Diversion Pilot Evaluation will in the main relate to women offenders who have been referred to the Advance Minerva services, and those working in organisations associated with the delivery of the service. Data may also include limited details of family members.

This will test a large-scale adult diversion model for London. This pilot will integrate a holistic package of support with an out of court disposal, to improve outcomes for the offender and offer officers and the CPS a robust alternative pathway to prosecution through the courts. The target cohort is adult women who have committed a non-domestic flagged offence which is suitable for an out of court disposal in the 4 pilot areas.

PII may also relate to the offence and offender/suspect. The source of this will primarily be the CRC or NPS or CRIS.

Finally, data will also be collected from staff and stakeholders who have had, or are currently involved in the Female Offender Diversion Pilot implementation and/or delivery; and those who may be referring clients to Advance or WIP. These are likely to include, although not limited to, commissioners, lead provider, Service Provider staff members and probation officers.

### 2.2.2 Does this include special category and/or criminal offence data?

This project involves the processing of PII, in particular women offenders. In addition to PII MOPAC E&I will also be processing special category data, potentially:

- race
- ethnic origin
- age

- health (including mental health)
- relationship status
- religion

Special category data is personal data which the GDPR says is more sensitive, and so needs more protection. In order to lawfully process special category data, you must identify both a lawful basis under Article 6 and a separate condition for processing special category data under Article 9. These are outlined in this DPIA (see Legal section).

MOPAC E&I will also be processing criminal offence data, in its official oversight capacity (see Legal section). Criminal offence data includes data about criminal allegations, proceedings or convictions that would have been sensitive personal data under the 1998 Act. To process PII about criminal convictions or offences, you must have both a lawful basis under Article 6 and either legal authority or official authority for the processing under Article 10. These are outlined in this DPIA (see Legal section). The arrest and charge data obtained from CRIS will be analysed to understand the reoffending patterns pre, during and post contact with the service. There will also be analysis of the offender (e.g. criminal careers analysis) which will involve NPS and CRC sharing female offender data for women who have and have not received the service in order to identify the impact of the service on female offending in London.

### *2.2.3 Volume of those Affected (How much & how often)*

It is estimated that there approximately 1175 women will be referred to the service from Advance Minerva over two years. Of these women MOPAC would like to see at least 70% engaged with the service.

Cases in scope for analysis will be provided to E&I every quarter for analysis and performance monitoring.

The number of cases used for analysis will be matched to CRIS and data extracted will provide analysis of charge and arrest data pre, during and post engagement with the service. E&I will also conduct full reoffending analysis if possible when the sample size is appropriate, most likely after 18 months post launch.

It is expected that any qualitative analysis such as interviews with clients, staff, or stakeholders will be with less than 50 people. All offenders will be given the option to complete the satisfaction survey and Justice Star at entry and exit from the service. Interviews or feedback from clients will only occur a couple of times – the most appropriate time is still to be decided with the partners and likewise interviews with stakeholders will occur during the course of the program to capture changing views about the service.

## **2.3 The Context of Processing**

access to NPS and CRC data falls under the role as a 'data-processor for the purpose of the evaluation'. Access to MPS data falls under 'controller to controller for the purpose of the evaluation' relationship, whilst access to Advance and WIP data falls under joint-data controller for the purpose of the evaluation relationship. Risk and mitigation for each part of the evaluation has and will continue to be assessed and recorded in the relevant DPIAs, but MOPAC will follow overarching principles to inform individuals of their data rights to ensure all work is compliant with the GDPR.

### *2.3.1 Relationship with Subjects and Transparency*

Every effort will be made to be as transparent as possible. MOPAC publicises its privacy notice and how it uses data on the public website<sup>1</sup>. This will be updated to include how MOPAC uses information from third parties, including the CRC and NPS. MOPAC mainly, and where appropriate, relies on its lawful basis of public task, as it has a clear mandate in law, and has been advised to use in this way by the ICO.

For other potential PII processed as part of the Female Offender Diversion Pilot Evaluation (such as via interviews or focus groups), permission will also be sought – although most of primary collected data will be non PII in nature.

For the PII sourced from MPS data MOPAC will access this under their lawful basis of public task, where “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” (see Legal Section). MOPAC will be conducting its research on the basis that it aligns with the original purposes for which it was collected, or a purpose that is not incompatible with that aim.

### *2.3.2 How much control will the data subjects have?*

This will differ depending on the nature of the data and the method of collection. For the service users, and staff/stakeholders engaging in the primary collection of data for the evaluation, they will have the most control it is possible to assign to them. They have the right to opt in to the research and following this the right to opt out at any time, all the time their data is stored in a PII format and therefore possible to identify them for deletion.

For the offenders/suspects, they can submit Subject Access Requests via the authors of the data (e.g. the MPS, NPS, CRC and Advance Minerva), to view the data held on them. Individuals have the right to request certain aspects of data held on them, by making a Subject Access Request (SAR). It is recognised that any of the organisations involved with the Female Offender Service may receive a request for information made under the Act that relates to the operation of this agreement. Where applicable, they will observe the Code of Practice made under S.45 of the Freedom of Information Act 2000. This Code of Practice contains provisions relating to consultation with others who are likely to be affected by the disclosure (or non-disclosure) of the information requested. The Code also relates to the process by which one authority may also transfer all or part of a request to another authority if it relates to information they do not hold, (see Subject Access Requests).

### *2.3.3 Would they expect you to use their data in this way? How are you ensuring the unexpected doesn't happen for the subject? How are you ensuring transparency?*

MOPAC E&I process offender and suspect information via our official capacity under public task (see Legal section). Offenders and suspects can access details as to how their information is used via the Metropolitan Police Service's website<sup>2</sup> and also via the MOPAC website. MOPAC have recently updated our privacy notice to include information for offenders and the wider public about how MOPAC conducts research using different types of data including offender data. Taking part in the qualitative interviews and client surveys will be via consent therefore ensuring complete transparency (see below for specific details). Likewise staff and professionals will be given a full explanation when collecting data via interviews, focus groups, surveys etc.

### *2.3.4 Do the data subjects include children or other vulnerable groups?*

<sup>1</sup> <https://www.london.gov.uk/about-us/governance-and-spending/privacy-policies/mopac-privacy-notice>

<sup>2</sup> <https://www.met.police.uk/rqo/request/>

Those involved in the study will be female offenders over the age of 18. This group of women may have identified vulnerabilities such as safeguarding or have dependents in care or living with them that are under the age of 18. All service providers have their own DPIA and policy documents outlining standard operating procedures and other supporting documentation such as the Care Act 2014, the Care and Support Statutory Guidance, Pan London Policy and procedure documents. (see the MOPAC Grant Agreement).

*2.3.5 Are there prior concerns over this type of processing or known security flaws?*

MOPAC E&I process PII, special category and criminal offence data as part of their everyday role. Any breaches of data protection or policy follow the breach procedure and are logged internally for future learning (see breach appendix). In the 4 years E&I has been operating, in its current form, there have been no notifiable data breaches required to be reported to the Information Commissioners Office (ICO).

*2.3.6 Is it novel in any way?*

The Female Offender Service Whole Systems Approach is not new to the UK and last year MOPAC evaluated the pilot approach in London. The Diversion Pilot is the first type of project where the MPS and partners are being asked to divert suitable women from the CJS and therefore, in this sense, the project is novel. However, there are no new or novel techniques being employed for the evaluation.

*2.3.7 What is the current state of technology on this area?*

The service providers; Advance Minerva and the MPS are using their own in house technology to track cases and monitor client progress. E&I are using standard technology such as excel and SPSS for data storage and analysis, which has been used by the team over the last 5 years, since its inception. Any novel use of technology will incur additional risk as it brings with it unique circumstances regarding the access; storage; sharing; and retention of data – especially at the end of the programme.

*2.3.8 Are there any current issues of public concern that you should factor in?*

We recognise that GDPR is new and still evolving and none of this has been tested in law, although is at the forefront of current public debate. We will continue to use the DPIA as a living document to identify and minimise risk.

*2.3.9 Are there any approved codes of conduct or certification schemes that you can sign up to? (once approved)*

MOPAC E&I will undertake the following actions to ensure they are conducting rigorous and ethical research, this includes, but is not limited to: presenting research plans to the programme board; ensuring the lead providers are sighted on plans; and completing a peer review of published written reports.

## 2.4 The Purpose of Processing

MOPAC's E&I unit uses a vast amount of PII and other data as part of exercising statutory and other duties in relation to the Police Reform and Social Responsibility Act 2011 and the Mayor's vision of a 'Safer City for all Londoners', as per the Police & Crime Plan 2017- 2021<sup>3</sup>. Whenever a project or specific programme of work is being undertaken, MOPAC and associated partners produce a specific DPIA outlining risk and impact for those specific circumstances. This evaluation DPIA for the Female Offenders Service outlines the specific purpose for processing PII. PII collected and analysed will be only that which is necessary to meet the requirements set out in this document. Data will only be processed for the purposes for which it was obtained and for other purposes which are not

<sup>3</sup> [https://www.london.gov.uk/sites/default/files/mopac\\_police\\_and\\_crime\\_plan\\_2017-2021.pdf](https://www.london.gov.uk/sites/default/files/mopac_police_and_crime_plan_2017-2021.pdf)



incompatible, such as (and only where justified) research and analytics or the prevention or detection of crime.

#### 2.4.1 *What do you want to achieve?*

- To assess if the programme has met its aims and therefore been a ‘success’ several aims have been devised. The Female Offender Diversion Pilot aims to:
  - Reduced reoffending;
  - Reduced volumes of women who enter the criminal justice system;
  - Reduced numbers of women who are sentenced to short-term prison sentences;
  - Increased volume of OOD;
  - Improved life chances (health and wellbeing) of the women who enter the diversion scheme and their children;
  - Reduce demand across the social care and criminal justice systems;
  - Increase in health and wellbeing of female offenders, as reported by women;
  - Increase in women feeling safer from domestic violence and abuse;
  - Women feel supported to make alternative life choices and contribute positively to their communities at exit from scheme;
  - Women report reduced likelihood of reoffending due to support received.

MOPAC will be processing this data in their official authority connected section 143 of the Anti-Social Behavior, Crime and Policing Act 2014 because MOPAC may provide or arrange for the provision of (a) services that in their opinion will secure, or contribute to securing, crime and disorder reduction in the body’s area, and/or (b) services that are intended by MOPAC to help victims or witnesses of, or other persons affected by, offences or Anti-Social Behavior (ASB).

#### 2.4.2 *The intended effect on the individual*

Feeding PII into the evidence base will ultimately have substantial benefits for communities; individuals and bespoke groups. However, risks to individuals must be considered and controlled for. As a significant amount of personal and sensitive data will be analysed and used for research purposes by E&I, there is a substantial potential risk to individuals. Risks are documented, and where possible mitigated, in this document and the overarching programme DPIA (see Risk Document in Appendix).

Information used by MOPAC will be depersonalised at the earliest opportunity and reported at the aggregate, not an individual level and not used in a way whereby an individual can be identified by any means (e.g. reporting on data with small base sizes). This includes (where relevant) survey or interview answers; crime and victim data; and staff information. Reporting may take the form, but not be limited to: internal written documents or briefings; data visualisation packs or dashboards; infographics; journal articles or published documents; and may include case studies or quotes from research participants. MPS data will not leave the MPS system.

#### 2.4.3 *Broader benefits of processing data*

This document deals with the need to process PII within the Female Offender Diversion Pilot evaluation, enabling MOPAC to:

- ensure the Service Providers are efficient, effective and conducting duties in line with equality and diversity principles by driving evidence-based improvement in service provision and working conditions; managing risk and complaints; and providing a sound evidence base for resource; budget and cost-saving decisions. E&I's research into the criminal justice aspects will directly assess service providers' practices.
- ensure the MPS and MOPAC are open and accountable, including assisting with evidence based decision making by external scrutiny by bodies such as the London Assembly's Police and Crime Committee.

### Section 3. The Consultation & Stakeholder Engagement Process

3.1 Describe when & how you will seek views, or justify why it's not appropriate to do so. For the evaluation, as a rule the engagement of relevant partners will be encouraged, to assess views; the extent of risk; and find appropriate mitigation. All relevant organisations involved in the delivery of the service will regularly be updated with research plans – this includes at multiple internal meetings such as programme board and the delivery team meeting.

Consultation regarding research plans will take place at the MOPAC Evaluation Advisory Group (previously discussed in section 2.3.9) and other externally organised meetings, such as one set up by the service providers. The written interpretation of results will be subjected to peer review.

MOPAC will continue to engage with the Information Commissioner's Office to ensure projects are compliant with current data protection acts and all risks are documented.

#### 3.1 – Who else do you need to involve in your organisation?

A number of MOPAC employees require input into this document:

- DPO: James Bottomly
- SIRO: Paul Wiley
- Director of Insight and Strategic Partnerships: [REDACTED]
- Female Offender Service Programme lead: [REDACTED]
- Criminal Justice programme Lead: Tom Burnham
- GDPR Project Manager: [REDACTED]
- MOPAC Chief Executive Officer: Rebecca Lawrence

#### 3.2 – Do you need processors to assist?

It is not envisaged that any processors will be required to conduct any research or analysis on behalf of MOPAC. However, the already contracted ORS will be used as a processor to obtain online survey responses (see contract Ref: SS31380).

#### 3.4 – Do you plan to consult information security experts or any other experts?

This document will be discussed with each stakeholder and their Information Governance (IG) Lead to seek their views. E&I are in close discussions with MOPAC's IG/GDPR consultant for advice on meeting the relevant data protection requirements. Where appropriate E&I will engage with the MPS to ensure internal security specifications are followed. The overarching DPIA will detail processors for the programme.



## Legal

### Section 4: Necessity and proportionality

This section of the DPIA explores the legality of the sharing activity and how the agreement will comply with the relevant legal and official authorities. This includes when processing PII; special category data; and criminal offence data and will state the compliance with Article 6 (and Articles 9 and 10 where required) of the GDPR and the Data Protection Act 2018.

#### 4.1 What is your lawful basis for processing?

The lawful bases for processing data are: consent, contract, legal obligations, vital interests, public task and legitimate interests. Data for the evaluation will be processed under the following criteria – Article 6 – Public Task, Article 9 – J, Article 10 – Official authority connected to the Act for public task in Article 6. This applies to all organisations – NPS, CRC, Advance Minerva, WIP and the MPS.

*The above organisations will supply different types of data to MOPAC.*

*NPS and CRC will supply offender criminal history data for the females on the scheme and a control group. Advance Minerva will supply case tracking information about the females on the scheme, which will include some information about the sentence outcome and the crime they committed to obtain the referral to advance. The MPS will supply MOPAC with arrest and charge information about both the control cohort and the females enrolled on the scheme and some PII data such as demographic information.*

*In addition to the above MOPAC will be collecting primary data in the form of surveys, interviews and focus groups. In this case MOPAC will seek consent prior to any participants taking part and will inform participants of their rights to withdraw at any time and also to request access to data held about them.*

*Further detail is provided below about the nature of the relationship with the MPS.*

#### 4.1.2 Metropolitan Police Data

Primarily to conduct research, analysis and evaluation when using MPS data, MOPAC relies on its statutory responsibility and core oversight function stipulated in the Police Reform and Social Responsibility Act 2011.

*Section (6) of the 2011 Act states The Mayor's Office for Policing and Crime must –*

- (a) secure the maintenance of the metropolitan police force, and*
- (b) secure that the metropolitan police force is efficient and effective.*

*Section (7) states The Mayor's Office for Policing and Crime must hold the Commissioner of Police of the Metropolis to account for the exercise of –*

- (a) the functions of the Commissioner, and*
- (b) the functions of persons under the direction and control of the Commissioner.*

*Section (8) states The Mayor's Office for Policing and Crime must, in particular, hold the Commissioner to account for –*

- (a) the exercise of the duty imposed by section 8(4) (duty to have regard to police and crime plan);*
- (b) the exercise of the duty under section 37A(2) of the Police Act 1996 (duty to have regard to strategic policing requirement);*

- (c) the exercise of the duty imposed by section 39A(7) of the Police Act 1996 (duty to have regard to codes of practice issued by Secretary of State);*
- (d) the effectiveness and efficiency of the Commissioner's arrangements for co-operating with other persons in the exercise of the Commissioner's functions (whether under section 22A of the Police Act 1996 or otherwise);*
- (e) the effectiveness and efficiency of the Commissioner's arrangements under section 34 (engagement with local people);*
- (f) the extent to which the Commissioner has complied with section 35 (value for money);*
- (g) the exercise of duties relating to equality and diversity imposed on the Commissioner by any enactment;*
- (h) the exercise of duties in relation to the safeguarding of children and the promotion of child welfare that are imposed on the Commissioner by sections 10 and 11 of the Children Act 2004.*

Therefore, in order to fulfil the oversight functions set out in law and hold the MPS to account, MOPAC are the 'Data Controller for the purpose of evaluation' of MPS organisational data and will retain a level of processing independence. MOPAC conduct their own data mining/extraction and analysis of MPS data systems for specific tasks.

#### 4.2 – Does the processing actually achieve your purpose?

Yes – the processing will enable oversight of the programme and provide the best possible chance of demonstrating a measurable impact.

#### 4.3 – Is there any other way to achieve the same outcome?

Using non-PII would affect the ability to demonstrate any potential impact on reoffending of the female offender service, which is a key outcome for the project. It is also the best possible chance of demonstrating 'success'. This is because other measures will potentially not be sensitive enough to register an impact over the course of the pilot (e.g. health and wellbeing outcomes), or are more subjective in their nature and therefore less robust (e.g. personal satisfaction with the service or indicative opinions).

#### 4.4 – How will you prevent function creep?

The evaluation plans are documented and have been reviewed. The 'gold standard', or best possible evaluation has been described and therefore outlines all the processing deemed necessary to conduct robust research. The likelihood is, that due to data quantity/quality, less processing will occur than originally described.

The evaluation will produce products at key milestones which will be reviewed internally and by partners. This will ensure plans are on track and there is no deviation from what has been outlined in this document.

#### 4.5 – How will you ensure data quality and data minimisation?

Access to the all data is restricted for different roles/organisations and ISAs are in place to ensure that data is handled appropriately. A pre-determined data extract will be provided from Advance and WIP the CRC and NPS and this has been limited to adhere to data minimisation.

#### 4.6 – What information will you provide to individuals and will you ensure they understand it?

Any direct contact with service users for the evaluation will adhere to the principles set out in this document and also ethical standards of research. Contact with stakeholders/professionals includes information at the first point of contact, outlining the research aims and their rights.

#### 4.7 – How will you support their rights?

Research participants are informed of their rights to provide consent; withdraw their consent; and access data held upon them (see 5.3 Subject Access Requests). MOPAC E&I will ensure the right for individuals to not be identified personally (or through any means where this is possible e.g. small base sizes) in any publications/written documents and will adhere to all other parts of the GDPR relating to data processing; storage; retention and deletion set out in this document.

#### 4.8 – What measures do you take to ensure processors comply?

Compliance for contracted processors (e.g. currently ORS) are stipulated in the relevant contracts (Ref: GLA 81140 MOPAC Research Services; Form 1049) and any further contracts will be updated within this document too.

#### 4.9 – How do you safeguard any international transfers?

MOPAC confirm the information for the Female Offender Diversion Pilot evaluation will remain within the EEA. If a need ever becomes apparent to share PII outside the EEA, MOPAC will liaise with all partners and update this DPIA.

### **SECTION 5: Roles and responsibilities**

#### 5.1 – Who are data controllers and who are processors for the project? Do all parties share this understanding and is this confirmed in writing and defined in the contract?

(Please draw out the relationships for the project)

- MOPAC is controller of Female Offender data for the purpose of the evaluation only.
- Opinion Research Services (ORS) is MOPAC's contracted processor for online surveys.
- The Metropolitan Police Service (MPS) is a controller of MPS data
- Advance Minerva is a service provider and data controller for data they collect from clients
- Housing for Women is a subcontractor providing services to clients referred from Advance. They are a data processor.
- Hibiscus is a subcontractor providing services to clients referred from Advance. They are a data processor.
- Working chance is a subcontractor providing services to clients referred from Advance. They are a data processor.
- Young mums support network is a subcontractor providing services to clients referred from Advance. They are a data processor.
- Heart and mind is a subcontractor providing services to clients referred from Advance. They are a data processor.
- Saferground is a subcontractor providing services to clients referred from Advance. They are a data processor.
- Air network is a subcontractor providing services to clients referred from Advance. They are a data processor.
- Inspirit is a subcontractor providing services to clients referred from Advance. They are a data processor.
- Clean break is a subcontractor providing services to clients referred from Advance. They are a data processor.
- Turning point is a subcontractor providing services to clients referred from Advance. They are a data processor.
- CRC is a data controller for the offender data which they retain
- NPS is the data controller for the offender data which they retain

#### 5.2 – Do all parties understand their role and responsibilities as a controller or processor?

Roles have been discussed at length and there has been agreement across organisations as to how to proceed.

### 5.3 – How will Subject Access Requests be handled?

Individuals have the right to request certain aspects of data held on them, by making a Subject Access Request (SAR). It is recognised that any of the organisations involved with the Female Offender Service may receive a request for information made under the Act that relates to the operation of this agreement. Where applicable, they will observe the Code of Practice made under S.45 of the Freedom of Information Act 2000. This Code of Practice contains provisions relating to consultation with others who are likely to be affected by the disclosure (or non-disclosure) of the information requested. The Code also relates to the process by which one authority may also transfer all or part of a request to another authority if it relates to information they do not hold.

For any requests made to MOPAC the below processes will be employed as soon as possible on receipt in order to comply with the statutory time limit:

- When MPS data is used by MOPAC under the label of ‘controller’ any rights to request access such as: Freedom of Information Requests; the right to delete etc will follow MPS processes and be passed back to the MPS as authors of the data.
- When bespoke project data is used by MOPAC under the label of ‘controller for the purpose of the evaluation’, with any stakeholder (e.g. the CRC or NPS or Advance), any requests will be passed back to the ‘Controller’.
- When bespoke project data is used by MOPAC under the label of ‘processor for the purpose of the evaluation’, with any stakeholder (e.g. CRC or NPS), any requests will be passed back to the ‘Controller’.
- When bespoke project data is used by MOPAC under the label of ‘Controller’ (e.g. staff interviews or data collected by E&I) any requests will be passed to the MOPAC Private Office for response

### 5.4 – How will data breaches be minimised and dealt with if one occurs?

MOPAC has a data breach procedure (See GDPR section of SharePoint), which stipulates that any ICO defined notifiable data breach will be reported to the ICO within 72 hours of the breach occurring or being detected. For MPS data, MOPAC will also report ICO defined notifiable breaches to the MPS representative (the Information Assurance Unit) within 24 hours by emailing the ‘IAU Mailbox - Security Incidents’. For Female Offender data MOPAC will also report ICO defined notifiable breaches to the lead provider representative within 24 hours.

On being notified of a possible incident, the stakeholder organisation must establish how significant it is. Some of the factors to consider include:

- the nature of the information (is it personal information or sensitive corporate information?)
- the number of individual records involved (if personal information)
- the possible impact of the incident, including the apparent risk to the individuals, their families, staff, members of the public and MOPAC’s operations or reputation;
- the necessary actions to be taken to mitigate the risk, both immediately and for the future.

If the incident is considered serious or impacting, the lead manager must immediately inform the appropriate Senior Official through the management line. An investigation should take place into the circumstances of the loss to ensure that lessons are learned and shared where necessary.

MOPAC will utilize the ‘controller to controller for the purpose of the evaluation’ relationship between MOPAC and the MPS. MOPAC will ensure E&I staff follow the data storage principles set out in this agreement, to safeguard the security of electronic data. All MOPAC staff using FOUNDATION are expected to follow the MPS Information Code of Conduct.

In the event of misuse of data being identified, line managers will liaise with the MPS/CRC or NPS and/or the Female Offender Service lead provider. Any unauthorised release of information or breach of conditions contained within this agreement will be dealt with through the internal discipline procedures of MOPAC. If misuse is found there should be a mechanism to facilitate an investigation into initiating criminal proceedings where that is considered appropriate and necessary.

Formal termination procedures must be implemented to help protect organisations from potential lawsuits, property theft and destruction, unauthorised access or workplace violence. MOPAC has procedures for various scenarios including resignations, terminations, layoffs, accident or death, immediate departures versus prior notification and hostile situations. All parties to this agreement will ensure their Exit Strategy includes appropriate consideration of the following

- Surrendering keys, security badges and parking permits
- Conducting an exit interview (or 'exit form' for employees)
- Security escort to collect one's personal belongings and/or to leave the premises
- Returning company materials (notebook computers, mobile phones, PDAs etc) Customised arrangements may need to be made for staff who usually work from home or who are temps, contractors or consultants
- Changing door locks and system passwords
- Formal turnover of duties and responsibilities
- Removing network and system access and disabling user accounts
- Policies regarding retention of e-mail, personal files and employment records
- Notification of customers, partners, vendors and contractors, as appropriate.

All partners are responsible for ensuring the security controls are implemented and staff are aware of their responsibilities under the Data Protection Act 2018. All partners to this agreement will provide a list of contacts to deal with queries and requests for information under this agreement. The organisations will also nominate persons to act as the secondary contact to ensure continuity in the absence of the original points of contact.

## SECTION 6: Identifying and assessing risks

The below risks are detailed in relation to the evaluation of the Female Offender Diversion Pilot in relation to the evaluation.

Principles	Identified Risk	Level of Risk	Mitigation
Data minimisation	MOPAC collects a greater level of detail than that which is strictly necessary	Low	<ul style="list-style-type: none"> <li>- All processing is specific and tailored to the aims and objectives of the project.</li> <li>- The performance frameworks and data required for the evaluation has been devised in consultation with providers and professionals.</li> <li>- The majority of data fields that will be used in the evaluation are tick boxes rather than free text responses to minimise the level of data captured.</li> <li>- <i>The MPS Systems</i></li> <li>- The MPS data will only be accessed for the purposes of identifying the variables outlined by seconded personnel. It is highly unlikely any other MPS system will be used.</li> <li>- For this project MOPAC E&amp;I will be providing any information to service providers in the form of reports, presentations and via regular meetings covering implementation. Data will only be presented at aggregate level and on a need to know basis.</li> </ul> <p><i>Bespoke Data</i></p> <ul style="list-style-type: none"> <li>• Semi-structured interview schedules will be project specific, e.g. focussing specifically on implementation and delivery.</li> <li>• For interview/surveys/focus groups the subject will be notified on induction of the use of all</li> </ul>

			whereabouts data and permission to take part will be sought.
Storage limitation	Partner agencies do not follow MOPAC data retention policies and do not delete data at the end of the project	Low	<p>There are multiple parties involved in data sharing with MOPAC. All parties carrying out the functions set out in this DPIA must adhere to their organisation's record management policies and procedures specifically in relation to retention and destruction of data. Such policies and procedures must be DPA compliant.</p> <p>Once the evaluation process has concluded MOPAC will review the need of retention of data for historical research purposes.</p> <p>MOPAC E&amp;I will follow the retention policies set out in the relevant MPS documents and ISAs with Advance, and CRC and the NPS.</p>
Purpose limitation	Use of data for the evaluation is unlawful	Low	MOPAC's Evidence and Insight Team have been commissioned to undertake the evaluation. All Evidence and Insight employees are Counter Terrorism Clearance security checked. MOPAC's Evidence and Insight Team will abide by MOPAC's Information Governance Policy.
Purpose limitation	Function Creep	low	MOPAC Evidence and Insight team will attend regular program boards and ensure that there is no duplication of research.
Storage Limitation	Loss or compromise of data	Medium	<p>All stakeholders must follow their local policies on reporting a compromise or loss of data (see section 5.4).</p> <p>All contracted providers should report the incident through the contractual line (designated contract manager). An investigation should take place into the circumstances of the loss to ensure that lessons are learned and shared where necessary.</p>


Lawfulness, fairness and transparency	Clients have a lack of understanding around the use of data	Medium	All clients referred to the female offender diversion pilot will receive a Fair Processing Notice, which will explain how the data will be used. This will specifically note that data will be used for research and evaluation and give the opportunity to provide explicit informed consent.
Accuracy	Inaccurate data recording	Medium	Advance and WIP are the authors of all data inputted key workers and therefore responsible for the accuracy of the Female Offender data entered by their staff. Previously, during the pilot, E&I advised Advance about improvements in data recording and data management systems. For data obtained by MOPAC E&I (i.e. survey responses and interview transcripts), a QC-ing process will take place to ensure the accuracy of the records.
Integrity and confidentiality	Multiple stakeholders having access to data	Low	<p>Data will only be shared when necessary, justified and proportionate to do so. Stakeholders will only routinely have access to the information they collect.</p> <p>All stakeholders must hold the data securely in accordance with relevant policies or detailed technical specifications within relevant contracts, which must align to GDPR. All stakeholders must ensure the integrity and confidentiality of the information they hold. All staff that have access to the information must be suitably trained and security cleared. Stakeholders must make themselves aware of, and adhere to, their organisation's information security policies and procedures in regard to handling data in a manner appropriate for the assigned Government Protective Marking, which will usually be Official or Official Sensitive.</p>
Integrity and confidentiality	Withdrawal of consent from clients	Medium	To honour withdrawal of consent, MOPAC E&I will keep data in a PII format for the duration of the pilot. However, it will not be possible to remove cases where the data has already been analysed and reported in an aggregate format



			(e.g. a written report). These cases will only be removed from subsequent analysis and reports.
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**SECTION 7: Sign off and Review****Review schedule**

This document has been and will be reviewed at the following stages in the project:

Review date	Reviewed by	Next review date
Prior to the commencement 'evaluation go live' date (September 2019)		September 2020
6 months post 'evaluation go live' date (March 2020)		March 2021
At the end of first year of evaluation (September 2020)		September 2021
At the 18 month point of evaluation (March 2021)		March 2022
At the end of the research (September 2022)		September 2022

The program will finish in September 2022, the evaluation will conclude in late 2023 due to the requirement of a time lag for cases to progress through the criminal justice service, although this is subject to change as the programme develops. Six monthly reviews of the DPIA will continue between the official end of the program and the conclusion of the evaluation. This is a dynamic risk assessment and if anything changes the DPIA will be updated and amended as necessary.

**this appended evaluation specific DPIA, the lead provider will assume responsibility for sign off on their behalf.**

For and on behalf of MOPAC

Signed:



Position: Data Protection Officer

Date: 11/12/19

## Appendices

### **Appendix 1: Thematic types of data for collection during the evaluation.**

Data required for the evaluation of the Female Offending Diversion Pilot Service will be collected from numerous sources. General thematic data areas, for the types of data collected are provided in Table 1. It is the aspiration that similar data will be collected from the counterfactual for comparison, but this will be detailed further in the bespoke ISA.

Table 1: Thematic Data Examples

#### ***Advance Minerva data fields:***

#### **Referrals In**

Referral ID

Client ID

Delius Number

Forename

Surname

Date referral received

Service Start Date

Service End Date

Service end type

Referral Source Type Text

Referral By Agency

Referral by contact

Agency referred to

Area

New or Repeat

Contact

Contact date

time between referral and  
contact dates

Engagement

Engagement date

No Engagement Reason

Date of Birth

Age

Gender

Ethnicity

Religion

Has Physical Disability

Has Mental Health Disability

Has Children

Marital Status

### **Referral Support (Out)**

Referral ID

Client ID

Forename

Surname

Date Referred to other agency

Referral Source Type Text

Referral By Agency

Agency referred to

### **Intervention Information**

Client ID

Type Of Contact

Case note Date

Agency Text

**Criminal Background**

Client ID

Client Name

Court

Date Recorded

Date Of Offence

Conviction Date

Case Notes

Agency

***CRC data fields:***

Client ID

Delius Number

Innovation or Non-innovation

First Name

Surname

Date of birth

Ethnicity

Borough

PNCID

Date of latest OASys assessment

Accommodation Y/N

ETE Y/N

Finance Y/N

Relationships Y/N

Lifestyle Y/N

Drugs Y/N

Alcohol Y/N

Emotional Y/N

Thinking Y/N

Attitudes Y/N

OGRS1 score

OGRS2 score

Order type

Main offence description

Offence Date

Order length

Sentence date

Sentence type

Disposal date

Disposal Type

Expected term date

Multiple requirement? If yes, requirement types