Report Title:	Award of contract for HR and payroll system
Contains Confidential or Exempt Information	Yes – Appendices A and B - Part II '**Not for publication by virtue of paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972**.'
Cabinet Member:	Cllr S Rayner, Cabinet Member for Business, Corporate & Resident Services, Culture & Heritage, Windsor and RBWM Armed Forces Champion
Meeting and Date:	Cabinet – 26 May 2022
Responsible Officer(s):	Adele Taylor, Strategic Director of Resources and Nikki Craig, Head of HR, Corporate Projects and IT
Wards affected:	None

REPORT SUMMARY

This report summarises the procurement and tendering outcome of the Council's HR and payroll system. This exercise was undertaken because the current contract is due to end in May 2023.

It recommends that a new contract is awarded to MHR International (MHR), whose bid has been considered as the most economically advantageous on the basis of the technical and financial evaluation undertaken. The new contract incorporates a specification that exceeds the current provision because a number of enhancements are now available that will support the Council's transformation agenda, as well as lead to improved employee engagement and more efficient data processing.

These proposals will support the Corporate Plan (2021-26) particularly in relation to 'make the most effective use of resources and delivering the best value for money' and 'promote health and wellbeing, and focus on reducing inequalities, across all areas'. This will be achieved by investing in information, digital and technological developments, which will enable employees to focus on service delivery, rather than less efficient business processes. Also better monitoring and awareness of the makeup of the Council's workforce, including protected characteristics, will support improvements in workforce development and retention. These proposals also support one of our Council values of 'invest in strong foundations'.

1. DETAILS OF RECOMMENDATION(S)

RECOMMENDATION: That Cabinet notes the report and:

i) **approves the award of the HR and payroll system contract to MHR on the basis of a 5 year contract, with the option to extend for a further 3 years in 1 year periods. The contract to commence in May 2023 and its value is detailed in Appendix A which is Part II by virtue of paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972.**

2. REASON(S) FOR RECOMMENDATION(S) AND OPTIONS CONSIDERED

Options

Table 1: Options arising from this report

Option	Comments
Award the new HR and payroll system contract to MHR International to commence in May 2023. **This is the recommended option**	The Council implements an appropriate HR and payroll system which would lead to improved engagement, transformed online employee data management and processes and a continued payroll provision.
Do not award the new HR and payroll system contract to commence in May 2023.	The Council will be in breach of the Public Procurement Regulations (PCR 2015) as the Council will be out of contract and will not benefit from the proposed enhancements and transformation.

2.1 The Human Resources customer base covers over 4,500 employees, of which around 600 are core RBWM staff, the rest are partner organisations, maintained schools and academies. In total, Human Resources manages 15 monthly payrolls paying on 2 different dates, broken down as:

- RBWM employees
- RBWM schools (35 schools)
- Employees recruited to support elections
- 12 academies/schools who each have their own payroll
- 1 partner organisation (Optalis)

2.2 RBWM is both the HR and payroll provider for 13 of these payrolls, providing HR, business partnering and payroll services. The remaining two customers have a payroll bureau service, with the provision of payroll services only. The number of system users does fluctuate depending on take up, so any system must be flexible enough to manage the increase or reduction.

2.3 The current HR and payroll system contract (with MHR International) was originally for five years and has since been subject to two waivers, the last waiver was granted in May 2018 and ends in May 2023 because it was felt that changing software supplier at that time would divert resources from improving and developing existing HR services. At the time of being granted, HR agreed that in line with Public Contract Regulations 2015 (PCR 2015) and in order for the Council to remain compliant, a procurement exercise would have to take place, as no further waivers could be approved. It is understood that there was a risk of challenge, if the Council chooses not to offer this opportunity to the market, and that there is no cogent or defensible reason for not doing so.

2.4 A contract notice for this procurement was placed in the Find a Tender Service (FTS) as well as on Contracts Finder on 9 February 2022. 11 suppliers (who indicated that they would be interested in participating in a tender during the market engagement exercise) were informed about the Contract Notice being

published, over 30 suppliers registered on the portal, two organisations (the incumbent being one of them) submitted their tender bids before the deadline. There were no late submissions.

2.5 The tender evaluation combined both a technical and financial evaluation in line with the published criteria and weightings (60% Technical Proposal / 40% Financial Proposal). There were a number of clarification questions asked of both bidders, relating to how they proposed to deliver the solution, how the contract would be managed, what software and hosting security measures they proposed to have in place and some clarifications around the commercial terms.

2.6 After combining both the technical and financial scores MHR has achieved the highest overall score and therefore it is recommended that the new contract is awarded to them. The overall scores table is included in Appendix B, which is commercially sensitive and therefore Part II by virtue of paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972.

Link to Transformation

2.7 The implementation of the new HR and payroll system will be used as an opportunity to re-engineer the way in which HR can transform the services it provides to both RBWM and its external customers.

2.8 The current system provision was reviewed and enhancements included in order to support the Council's transformation agenda, and the new HR and payroll system specification was developed to incorporate all of the existing modules, as well as the following new modules:

Table 2: New system requirements

New requirements	Reason for new requirement
Cloud based solution	The move to a Cloud based solution is in line with RBWM's IT strategy of Cloud First. The new system will also be hosted by the provider which will better optimise system security, flexibility, and mobility due to being cloud based (benefits include deploying and updating software, storage space, quality control, disaster recovery, loss prevention, automatic software updates and accessibility of data). Currently the system is hosted on internal servers and has experienced issues regarding stability and access on occasions. Moving to a Cloud based solution, hosted by MHR, will significantly reduce these instances of instability and access.
Document management module	Introduction of integrated storage and management of employee correspondence. Records will be filed within the system and made available to managers and employees, where appropriate, leading to the improved management of critical HR documentation, enhanced workflows and more timely processing.
Onboarding module	This is an area that has been highlighted by the organisation as a critical area for improvement.

	Including a module that will allow the immediate transition from applicant to employee will ensure that a new employee is ready to start smoothly on their first day. This reduces administration and improves the immediate experience and impression of the organisation for new starters. Mandatory training and induction activities can be completed before employees start, critical background information about the Council and their Directorate will be provided, essential data and equipment will be distributed on the first day of employment and workflows will ensure that all teams who need critical information about a new starter will be informed automatically. The new starter will be informed of where they are supposed to be, with whom and what they need to do, leading to a more positive onboarding experience. This module will allow the organisation to communicate and build a relationship with a new applicant before their start date and beyond, which strongly links to the Councils agreed values and behaviours.
Chatbot functionality	Frequently asked questions and responses to HR and payroll queries will made available to all employees via a chat function, providing instant answers, which will reduce the need for emails and calls about basic enquiries or information and free up time to deal with more complex queries.
Interactive payslips	This functionality will allow an employee to drill down into every aspect of their payslip, to further understand the detail behind the item. This will enable employees to self serve when they have queries about their pay or salary deductions, and free up specialist resource to respond to more complex queries.
Managers' dashboards	A range of information and data will be made available to managers about their team, in areas such as people management (headcount, fte etc.), absence and performance management. This data is real time and interactive and will allow managers to drill down into the detail, where appropriate, to enable them to make decisions about their teams based on the most up to date information.
Employee relations case management	A module dedicated to the management of a range of cases including disciplinary, grievance and absence will lead to better storage of data, improved timescales, reporting. Access to this information will allow for more proactive analysis of trends and areas requiring further investigation. Longer term, this module is being developed to expand beyond employee relations case management into a more generic HR case management solution. This will enable

	HR queries and customer interaction to be recorded and monitored in order to influence continuous improvement of the service.
Survey builder	Inbuilt survey and data capture functionality will allow HR to develop its own forms, that when completed by a manager will automatically populate the system.

2.9 Some of the existing system modules, already in place, will be enhanced and further developed so that they are modernised and performing in the most efficient way. These include:

Table 3: Existing system enhancements

Current module	Reason for enhancement
Redevelopment and modernisation of the core system	A complete review of the current system build and set up will take place to ensure that functionality, processes and workflows are updated and modernised and better reflect the Council's direction of travel, transform the way the HR works, reduce the levels of manual processing and improved payroll calculation management.
Recruitment and applicant tracking	The recruitment module will be integrated with external platforms including LinkedIn and Indeed, to allow for increased coverage of all active Council vacancies. Application forms will be tailored specifically for internal applicants to ensure only relevant information is included. There will be a seamless link to the onboarding module.
Online leave and absence management	Annual leave and other leave will be requested, approved and managed via employee self service and People Manager, and managers will have an individual and team view of their staff absence, attendance and trends.
Mobile device functionality	Improved accessibility for mobile devices. Employees will also be able to make time and expense claims, request annual leave and book training courses, which can be authorised by their manager.
Diversity information, including pronouns	Employees will be able to review and update their own diversity information via self service, including adding their pronouns should they choose to. Improved reporting and better management of diversity data will be made available.
Training course booking and authorisation	Booking of corporate training events will be requested and authorised via self service and People Manager. The module will link to iHasco for the recording of eLearning activities.
Employee development	Both internal and external training courses attended could be recorded against an individual's record, including renewal and refresher dates. The management of programmes such as apprenticeships and graduate schemes will be made available.
Performance management	Objective setting and reviews, 1-2-1's, recording of check in meetings and end of year Connect Conclusion

	appraisals will all be managed via the system, eliminating the need for forms and paperwork.
Health and Safety	Health and safety incident tracking, recording and reporting will be developed.
Interfaces	The ability to interface with other systems using API functionality will be available for potential new interfaces.

Qualitative gains

2.10 It is important to note that the new contract is different to the current contract as it includes additional enhancements, identified in points 2.8 and 2.9 above. This will improve accuracy, reporting, analytics, compliance and allow both managers and employees to spend less time on administrative processes in order to focus on key activities, such as transforming service delivery.

2.11 The timetable provides time for the contract to commence in May 2023. As it is proposed that the incumbent supplier be awarded the contract, this period will allow sufficient time for the implementation of current modules to be carried out, with additional modules being implemented by March 2024. Phase 1 being the implementation of the updated payroll system by May 2023 and Phase 2 being the implementation of the remaining modules by March 2024.

Robotic Process Automation (RPA)

2.12 Through conversations with the Head of Transformation, the new HR and payroll system could be an ideal candidate for future collaboration with RPA, once the current RPA pilot has concluded. The objective of RPA is to streamline and automate tasks considered repetitive and purely operational. It mimics what an individual would do, performing tasks via configured software or another technological aspect, such as one or more bots. Therefore for HR and payroll in the future this could include the investigation of possible ways to build, deploy, and manage software robots that emulate the actions of the staff within the HR and payroll teams, as well as their interaction with other Council digital systems and software. This includes investigating processes, completing minimum keystrokes, navigating systems, identifying and extracting data and performing a range of defined actions faster and more consistently.

3. KEY IMPLICATIONS

3.1

Table 4: Key Implications

Outcome	Unmet	Met	Exceeded	Significantly Exceeded	Date of delivery
New HR and payroll contract awarded	Contract not awarded	May 2023	N/A	N/A	May 2023

4. FINANCIAL DETAILS / VALUE FOR MONEY

4.1 The capital costs for the implementation of this project are detailed in Appendix A, these consist of implementation/project and staff costs and will be funded by the transformation programme in 2022/23. In terms of affordability and value for money, there is no requirement for revenue growth as the new annual contract

costs are similar to existing annual contract costs, in addition there will be a small saving to be made from the ending of the contract of an existing system, that will no longer be required - see Appendix A.

4.2 The financial impact of the report's recommendations is commercially sensitive and is therefore included in Appendix A, which is Part II by virtue of paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972.

5. LEGAL IMPLICATIONS

5.1 The Council has the power to take the action proposed, pursuant to Section 111 of the Local Government Act 1972 which provides powers for a local authority to do anything which is calculated to facilitate, or is conducive or incidental to, the discharge of any of their functions. The action proposed is also taken in accordance with Part 8A – Contract and Tendering Procedure Rules - of the Constitution.

5.2 The tender has been conducted in line with Public Contract Regulations 2015, therefore ensuring that the awarded contract and the Council is PCR compliant.

5.3 Procurement and Legal have been involved in this process and their advice has been followed. Both Procurement and Legal colleagues have contributed to the procurement process and can confirm that advice has been provided to ensure that this exercise is fully compliant.

6. RISK MANAGEMENT

6.1 **Table 5: Impact of risk and mitigation**

Risk	Level of uncontrolled risk	Controls	Level of controlled risk
New solution does not provide anticipated benefits	MEDIUM	A detailed requirements document produced and part of the tender process	LOW
Insufficient people resources available to implement new system	MEDIUM	Staffing levels are reviewed and costed as part of the implementation	LOW

7. POTENTIAL IMPACTS

7.1 Equalities. An Equality Impact Assessment is included as Appendix C, with the main point being:

- Regarding employees accessing the system – there are currently no known employees with disabilities within the current workforce or customer base who have issues accessing their own personal data or using the system to process their own information.

The Council aims to move towards being a more inclusive workforce and enabling people with learning and physical disabilities to have fulfilling employment. To mitigate this, should a future applicant or employee experience difficulties in accessing the system, then colleagues in HR will review their individual needs and provide them with specific support, so that they can access and review the same data as all other colleagues.

7.2 Data Protection/GDPR - Due to the levels of personal data being managed on the HR and payroll system, a DPIA was produced at the start of the tender process and has been updated following the outcome of the tender. The details are contained in Appendix D.

7.3 Climate change/sustainability - Improved automation will lead to a reduction of paperwork and introduction of efficient processes, limiting the need for paper and postage. Improved processes will transform the experience for applicants, new employees, current staff and external customers. Using RPA software will further improve and automate processes.

7.4 Other potential impacts – There will be an impact on all staff members and customers once the new system is implemented as they will need to be trained to use the new functionality. Project team members will be in place to support and train employees, especially through the transformation and improved ways of working. The new system will link or interface to other corporate systems such as Agresso, Active Directory and iHasco.

8. CONSULTATION

8.1 A number of system users, both managers and employees have been consulted on their requirements for a new HR and payroll system to ensure that it reflects the future transformational needs of the Council.

8.2 The benefits of the new system was discussed with Equality and Diversity Network and ways in which the functionality would support their goals agreed.

8.3 A market engagement exercise was completed in autumn 2020, prior to the full tender process taking place.

9. TIMETABLE FOR IMPLEMENTATION

9.1 Implementation date if not called in is immediately. The full implementation stages are set out in Table 6:

Table 6: Implementation timetable

Date	Details
26/05/22	Cabinet decision to award contract
31/05/22 – 08/06/22	Council Call in period
09/06/22 – 20/06/22	Standstill Period
21/06/22	Contract award
June/July 22	Recruitment of project delivery team
03/08/22 - 01/05/23	Implementation Phase 1 – Payroll modules
02/05/23 – 31/03/24	Implementation Phase 2 – All other modules

10. APPENDICES

10.1 This report is supported by 4 appendices:

- Appendix A – Financial impact - Not for publication by virtue of paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972– costing information (commercially sensitive)
- Appendix B – Financial, Technical and overall scores - Not for publication by virtue of paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972 (commercially sensitive)
- Appendix C - Equality Impact Assessment (EIA)
- Appendix D – Data Protection Impact Assessment (DPIA)

11. BACKGROUND DOCUMENTS

11.1 This report is supported by no background documents

12. CONSULTATION

Name of consultee	Post held	Date sent	Date returned
Mandatory:	*Statutory Officers (or deputies)*		
Adele Taylor	Executive Director of Resources/S151 Officer	22/04/22	25/04/22
Emma Duncan	Deputy Director of Law and Strategy / Monitoring Officer	22/04/22	
Deputies:			
Andrew Vallance	Head of Finance (Deputy S151 Officer)	22/04/22	26/04/22
Elaine Browne	Head of Law (Deputy Monitoring Officer)	22/04/22	26/04/22
Karen Shepherd	Head of Governance (Deputy Monitoring Officer)	22/04/22	25/04/22
Mandatory:	*Procurement Manager (or deputy) - if report requests approval to award, vary or extend a contract*		
Lyn Hitchinson	Procurement Manager	22/04/22	25/04/22
Other consultees:			
Directors (where relevant)			
Duncan Sharkey	Chief Executive	22/04/22	27/04/22
Andrew Durrant	Executive Director of Place	22/04/22	
Kevin McDaniel	Executive Director of Children's Services	22/04/22	26/04/22
Hilary Hall	Executive Director of Adults, Health and Housing	22/04/22	24/04/22
Heads of Service (where relevant)			

Nikki Craig	Head of HR, Corporate Projects and IT	21/04/22	25/04/22
Dan Brookman	Head of Transformation	22/04/22	26/04/22
External (where relevant)			
N/A			

Confirmation relevant Cabinet Member(s) consulted	Cabinet Member for Business, Corporate & Resident Services, Culture & Heritage, Windsor and RBWM Armed Forces Champion	Yes

REPORT HISTORY

Decision type:	Urgency item?	To follow item?
Key decision First entered into Cabinet Forward Plan: May 2021	No	No

Report Author: Vanessa Faulkner, Service Lead – HR People Services. 01628685622

ROYAL BOROUGH OF WINDSOR AND MAIDENHEAD

EQUALITY IMPACT ASSESSMENT

EqIA: Procurement and implementation of HR and payroll system

Stage 1: Screening (Mandatory)

1.1 What is the overall aim of your proposed strategy/policy/project etc and what are its key objectives?
The project refers to the procurement and implementation of a new HR and payroll system as the contract for the existing contract ceases on 23 May 2023. The objectives are to undertake a competitive tender process in order to procure a suitable HR and payroll system for RBWM, customers and partner organisations.

1.2 What evidence is available to suggest that your proposal could have an impact on people (including staff and customers) with protected characteristics? Consider each of the protected characteristics in turn and identify whether your proposal is Relevant or Not Relevant to that characteristic. If Relevant, please assess the level of impact as either High / Medium / Low and whether the impact is Positive (i.e. contributes to promoting equality or improving relations within an equality group) or Negative (i.e. could disadvantage them). Please document your evidence for each assessment you make, including a justification of why you may have identified the proposal as "Not Relevant".

The HR and payroll system may have a negative impact on those with disabilities around access, however from the demographic detail of our current employees and customer base, this is not currently an issue.

Protected characteristics	Relevance	Level	Positive/negative	Evidence
Age	No			This characteristic is impacted in the implementation of the HR and payroll system.
Disability	Yes	Low		Regarding employees accessing the system – there are no known employees with disabilities within the current workforce or customer base who will have any issues accessing their own personal data or using the system to process their own information. The Council aims to move towards being a more inclusive workforce and enabling people with learning and physical disabilities to have fulfilling employment. To mitigate this, should a future applicant or employee experience difficulties in accessing the system, then colleagues in HR will review their individual needs and provide them with specific support, so that they can access and review the same data as all other colleagues.
Gender re-assignment	No			This characteristic is impacted in the implementation of the HR and payroll system.
Marriage/civil partnership	No			This characteristic is impacted in the implementation of the HR and payroll system.
Pregnancy and maternity	No			This characteristic is impacted in the implementation of the HR and payroll system.
Race	No			This characteristic is impacted in the implementation of the HR and payroll system.
Religion and belief	No			This characteristic is impacted in the implementation of the HR and payroll system.
Sex	No			This characteristic is impacted in the implementation of the HR and payroll system.

Sexual orientation	No			This characteristic is impacted in the implementation of the HR and payroll system.

Outcome, action and public reporting

Screening Assessment Outcome	Yes / No / Not at this stage	Further Action Required / Action to be taken	Responsible Officer and / or Lead Strategic Group	Timescale for Resolution of negative impact / Delivery of positive impact
Was a significant level of negative impact identified?	No			
Does the strategy, policy, plan etc require amendment to have a positive impact?	No			

If you answered **yes** to either / both of the questions above a Full Assessment is advisable and so please proceed to Stage 2. If you answered "No" or "Not at this Stage" to either / both of the questions above please consider any next steps that may be taken (e.g. monitor future impacts as part of implementation, re-screen the project at its next delivery milestone etc).

Stage 2: Full assessment

2.1: Scope and define

2.1.1   Who are the main beneficiaries of the proposed strategy / policy / plan / project / service / procedure? List the groups who the work is targeting/aimed at.

2.1.2   Who has been involved in the creation of the proposed strategy / policy / plan / project / service / procedure? *List those groups who the work is targeting/aimed at.*

2.2: Information gathering/evidence

2.2.1 What secondary data have you used in this assessment? *Common sources of secondary data include: censuses, organisational records.*

2.2.2 What primary data have you used to inform this assessment? *Common sources of primary data include: consultation through interviews, focus groups, questionnaires.*

Eliminate discrimination, harassment, victimisation

Protected Characteristic	Advancing the Equality Duty: Does the proposal advance the Equality Duty Statement in relation to the protected characteristic (Yes/No)	If yes, to what level? (High / Medium / Low)	Negative impact: Does the proposal disadvantage them (Yes / No)	If yes, to what level? (High / Medium / Low)	Please provide explanatory detail relating to your assessment and outline any key actions to (a) advance the Equality Duty and (b) reduce negative impact on each protected characteristic.
Age					
Disability					
Gender reassignment					
Marriage and civil partnership					
Pregnancy and maternity					

Protected Characteristic					
Race					
Religion and belief					
Sex					
Sexual orientation					

Advance equality of opportunity

Protected Characteristic	Advancing the Equality Duty: Does the proposal advance the Equality Duty Statement in relation to the protected characteristic (Yes/No)	If yes, to what level? (High / Medium / Low)	Negative impact: Does the proposal disadvantage them (Yes / No)	If yes, to what level? (High / Medium / Low)	Please provide explanatory detail relating to your assessment and outline any key actions to (a) advance the Equality Duty and (b) reduce negative impact on each protected characteristic.
Age					
Disability					
Gender reassignment					
Marriage and civil partnership					
Pregnancy and maternity					

Race				
Religion and belief				
Sex				
Sexual orientation				

Foster good relations

Protected Characteristic	Advancing the Equality Duty: Does the proposal advance the Equality Duty Statement in relation to the protected characteristic (Yes/No)	If yes, to what level? (High / Medium / Low)	Negative Impact: Does the proposal disadvantage them (Yes / No)	If yes, to what level? (High / Medium / Low)	Please provide explanatory detail relating to your assessment and outline any key actions to (a) advance the Equality Duty and (b) reduce negative impact on each protected characteristic.
Age					
Disability					
Gender reassignment					
Marriage and civil partnership					
Pregnancy and maternity					
Race					
Religion and belief					

Sex					
Sexual orientation					

2.4   Has your delivery plan been updated to incorporate the activities identified in this assessment to mitigate any identified negative impacts? If so please summarise any updates.
These could be service, equality, project, or other delivery plans. If you did not have sufficient data to complete a thorough impact assessment, then an action should be incorporated to collect this information in the future.

Appendix D – Data Protection Impact Assessment (DPIA)

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Royal Borough
of Windsor &
Maidenhead

Royal Borough of Windsor & Maidenhead
Data Protection Impact Assessment
HR and Payroll Solution Project

Vanessa Faulkner
Human Resources
9 December 2021

Contents

1. Introduction and guidance

A Data Protection Impact Assessment (DPIA) is a process to help identify and minimise the data protection risks of a project or new purpose for processing personal data.

A properly conducted DPIA will identify privacy issues and protections from the outset negating the requirement to retrofit systems at further expense and protect against a breach of the Data Protection Act 2018 resulting in reputational damage and fines of up to £17,000,000.

A DPIA should be carried out whenever there is a change that is likely to involve a new use or significant change in the way that personal data is handled, for example a redesign of an existing process or service or a new process or information asset being introduced, which is "likely to result in a high risk" to the data subject. The purpose of this assessment is to identify the risks that may arise through the project and propose methods to mitigate against the risks.

The GDPR states that a DPIA must be carried out in the following instances:

- Where it is proposed to use systematic and extensive profiling with significant effects.
- Where it is proposed to process special category or criminal offence data on a large scale; or
- Where it is proposed to systematically monitor publicly accessible places on a large scale.

The Information Commissioner's Office requires a DPIA to be carried out in following the additional, circumstances:

- Using innovative technology
- Processing personal data in a new way that is not already depicted in a privacy notice.
- Using profiling or special category data to decide on access to services
- Using profiling of individuals on a large scale
- Processing biometric and genetic data
- Matching or combining data sets from different data sources
- Collecting personal data from a source other than the individual without providing them with a privacy notice.
- Tracking individuals' location or behaviour
- Profiling children or target marketing or online services at them

- Processing data that might endanger an individual's physical health or safety in the event of a security breach.

Where a DPIA is carried out, it should address the following:

- A description of the proposed processing and the purposes –what personal data will be collected; who will have access; how it will be stored; who it will be disclosed to
- An assessment of the necessity and proportionality of the processing
- An assessment of the risks to the rights of the individuals affected
- The measures envisaged to address the risks and demonstrate compliance with the GDPR.

The Council's Data Protection Officer (DPO) must be consulted at the design phase of any new system or process that includes processing of personal data. dpo@rbwm.gov.uk
The DPO will record all completed DPIAs in the Record of Processing Activity register. (RoPA)

2.   Stages of a Data Protection Impact Assessment

Stage 1: The initial screening questions (Appendix A)

This section is to be completed by the service manager or project lead responsible for delivering the proposed new system or change of purpose for the personal data processing.

The purpose of the screening questions is to ascertain if a DPIA is required.

Stage 2: Data Protection Impact Assessment (Appendix B)

To be completed by the Project Manager or Project Lead responsible for delivering the new system/proposed change. The completed form will be assessed by the Data Protection Officer who will advise on the next stage. There are four possible outcomes:

1. The DPIA is incomplete and will have to be repeated or further information obtained.

2. The DPIA has highlighted low value risks and includes appropriate actions considered through the project to mitigate these risks.

3. The DPIA has identified medium to high value risks which require an action plan to be put in place to resolve. Consideration of Caldicott Guardian and SIRO involvement required.

4. The DPIA has identified no risks, and no further information needs to be obtained.

Stage 3: Identified risks, proposed mitigations, and action plan (Appendix C)

Where the initial DPIA identifies further information governance issues, an action plan should be developed on how the risks will be mitigated. This will include:

- identified risks
- proposed solutions
- action assigned
- timescale for resolution

The Council's Data Protection Officer and SIRO should be included at an early stage where high risks to the rights and freedom to data subjects have been identified.

Stage 4: Sign-Off (Appendix D)
The sign off form must be completed by Heads of Service and returned to RBWM's DPO. DPO@rbwm.gov.uk

3. Screening Questions (Appendix A)

These questions are intended to help decide whether a DPIA is necessary. Answering 'Yes' to the screening questions below represents a potential information governance risk that will have to be further analysed to ensure those risks are identified, assessed and fully mitigated.

Q	Category	Screening question	
1.1	Identity	Will the project involve the collection of new information about individuals?	☒ Yes ☐ No
1.2	Identity	Does the project/process include the processing of "Special categories of personal data"?	☒ Yes ☐ No
1.3	Identity	Will the project compel individuals to provide information about themselves?	☒ Yes ☐ No
1.4	Multiple Organisations	Will information about individuals be disclosed to organisations or people who have not previously had routine access to the information?	☐ Yes ☒ No
1.5	Data	Are you using information about individuals for a purpose it is not currently used for, or in a way it is not currently used?	☐ Yes ☒ No

1.6	Data	Have you introduced new ways of processing/using personal data, even where your reasons for processing the data have not changed?	☒ Yes ☐ No
1.7	Data	Does the project involve you using new technology which might be perceived as being privacy intrusive? For example, the use of biometrics or facial recognition.	☒ Yes ☐ No
1.8	Data	Will the project result in you making decisions or taking action against individuals in ways which can have a significant impact on them?	☒ Yes ☐ No
1.9	Data	Is the information about individuals of a kind particularly likely to raise privacy concerns or expectations? For example, health records, criminal records or other information that people would consider to be particularly private.	☒ Yes ☐ No
1.10	Data	Will the project require you to contact individuals in ways which they may find intrusive?	☐ Yes ☒ No
1.11	Approval	Has this project/process already been started as a pilot without a screening or DPIA being undertaken?	☐ Yes ☒ No

If you have answered 'Yes' to any of the questions above, please proceed with the DPIA. (Appendix B)

If you have answered 'NO' to all the questions above a DPIA is not required.

4. Data Protection Impact Assessment Inception. (Appendix B)

DPIA Reference Number: DPIA_091221
Project Title: Human Resource Solution Project
Project Purpose: This project is to procure and implement a Human Resource Management Solution. The existing application has been in use by the authority for 16 years and is now subject to a re-procurement process through open tender.
Implementing Organisation: The Royal Borough of Windsor and Maidenhead
Head of Service/Nominated Officer Name: Nikki Craig. Head of HR, Corporate Projects and IT Contact: nikki.craig@rbwm.gov.uk Completed by Vanessa Faulkner, Service Lead – HR People Services
Implementation Date: May 2022 – March 2024

5. Data Protection Impact Assessment Template

5.1	Is this a new or changed use of personal information that is already collected?

		☐ New ☒ Changed
		Purpose of the processing: *Describe (in as much detail) why this personal information is being collected/used? If the information being used is for a different purpose than it was originally collected for, please describe the reasons for the change. If you are processing the same data you have previously used but are using different methods of processing, please explain:* The information is being collected for the performance of an employment contract between RBWM and members of staff. The information is required to maintain employee data and administer the payroll system. There is a legal obligation for us to collect and retain this information for employment purposes.

5.2	**What personal data will be collected?** ☒ Forename ☒ Surname ☒ DOB ☒ Sex ☒ Email ☒ Address ☒ Postcode ☒ Age ☒ Gender ☒ Telephone ☒ Other unique identifier (please specify): Employee number and National Insurance number ☐ Other administrative data (please specify): Next of kin/emergency contact, marital status. **Special categories of personal data:** ☒ Racial or ethnic origin ☒ Religious or philosophical beliefs ☐ Political opinions ☒ Trade union membership ☐ Health or sex life ☒ Sexual orientation ☐ Genetic data ☐ Biometric data ☐ Financial ☐ Commission or alleged commission of an offence ☐ NHS Number ☒ Proceedings for any offence committed or alleged [DBS Checks] ☐ Description of other sensitive data collected: Employees can self-declare for council monitoring statistics however this is not mandatory disclosure.	
5.3	**Does the information involve processing children's data?**	☐ Yes ☒ No
	Does the information involve processing adults' data?	☒ Yes ☐ No

5.4	**What is the lawful basis that the personal information is collected and/or shared?** ☒ Consent of individual ☒ Legislative/Statutory requirement ☒ In the performance of a contract The data collected is required in the performance of an employment contract between RBWM and the individual staff member. Some of the information will also need to be collected for statutory reasons such as reporting to HMRC, DWP and HM Courts and Tribunal Service. Non-mandatory disclosures are based on consent.	
5.5	**How will individuals be informed about the proposed uses of their personal data?** *(e.g. Privacy notices (consider if they need updating)) Enforcement notices.* There is a privacy notice on the RBWM website which is updated annually. Once the procurement has been finalised it will be updated with the new details. Privacy notice : Human Resources	Royal Borough of Windsor and Maidenhead (rbwm.gov.uk)	
5.6	**How will you manage service user complaints?** Established grievance and other processes already in use within the organisation.	
5.7	**Are other organisations involved in processing the personal data?**	☒ Yes ☐ No

	If yes, please list below		
	Occupational Health	DBS	
	BACS	IHasco	
	HMRC	Berkshire Pension Fund	
	Childcare vouchers Sodexco	iTrent	
	Giveall2charity		
5.8	**Does the proposal include employing external individuals?** **If yes, have they signed a 3rd party disclosure agreement?** Template agreements are available from the DPO dpa@rbwm.gov.uk		☐ Yes ☒ No ☐ Yes ☐ No N/A

5.9	**Has a data flow mapping exercise been undertaken?**	☐ Yes ☒ No
5.10	**How will the personal data be collected?** Data will be transferred from existing software into new software via data loads. Staff and applicants will input new data into the system at the start of employment. Updates will also be updated by staff and administrators.	
5.11	**Where will the information be stored?** Data will be stored in the new HRIS software. The data will be hosted by the supplier on the cloud (UK based)	
5.12	**Appropriate access controls** Does the system involve accessing personal data held in other systems or locations? Individual staff members can log in to access and update their records. Their access will be password protected and may have other levels of protection depending on the supplier. HR administrators will have varying levels of security depending on their job role, so staff only have access to the information that they need. They will have their own password protected access and once they have left the organisation, access is stopped. Managers can only have access to necessary records for their own staff.	☒ Yes ☐ No

5.13	**Retention/disposal schedules** Has an appropriate retention period been identified and applied to the information? *If no, please get advice from the DPO.* *Documents are kept for 7 years and are deleted automatically once the retention period has expired. This is in line with statutory guidance.*	☒ Yes ☐ No
5.14	**Data quality** How will the information be kept up to date and accurate? Employees will have access to their own data via self-service for updates if necessary. HR administrators will update the system when advised by staff or managers	

5.15	**Right to rectification/deletion** If you are procuring new software, does it allow you to amend/delete personal data when necessary?	☒ Yes ☐ No
5.16	**Please state by which method the information will be transferred?** ☐ Email ☐ GCSx Email ☐ Courier (Internal) ☐ Post (External) ☐ Post ☐ By Hand ☐ Telephone ☐ Fax ☐ CD/DVD ☐ USB ☐ Portable HDD ☐ Web access storage ☐ Wireless Network ☒ Cloud TBC once procurement process is finalised. **The information will be transferred as:** ☒ Person-identifiable ☐ Pseudonymised ☐ Anonymised	
5.17	**Who will have access to the personal information?** The HR implementation team, within security limits. Individuals will have access to their own information, within security limits. **What security and audit measures have been, or will be, implemented to secure access to and limit use of personal identifiable information?**	

	Full system security will be implemented at the time of the system build and development. The system is fully auditable by the system administration team and with the ability to monitor staff members activity on the system.
5.18	**What staff training will be provided?** Training take place on the different parts of the system, which will reflect individuals' roles. All staff complete GDPR training on an annual basis and are aware of security breach procedures.
5.19	**What disaster recovery and business contingency plans are in place?** A disaster recovery and business contingency plan will be developed as part of the implementation

5.20	**Subject Access Requests** Are arrangements in place for recognising and responding to requests from individuals for a copy of the personal data processed?	☒ Yes ☐ No
5.21	**Are there any new or additional reporting requirements for this project?** ☐ Yes ☒ No Who will be responsible for running the reports? The HR systems team. Managers are able to run basic reports for their staff only Who will receive the report or where will it be published? This will depend on the report Which format will the reports be in? ☒ Person-identifiable ☐ Pseudonymised ☒ Anonymised	☐ Yes ☐ No
5.22	**Additional comments and notes:**	
5.24	At this stage of the project, we are still writing the specification and requirements. Once the provider has been selected, we will work with them to develop and implement all DPIA requirements.	

Identified risks, proposed mitigations, and action plan (Appendix C)

A 'privacy risk' is the risk that a proposal will fail to meet individual's reasonable expectations of privacy. Calculating risk is not simply about assessing whether the project will be legally compliant. It's possible to comply with the law and for the behaviour still to affect whether our residents reasonable privacy expectations are met. Risks to an individual will often directly equate to risks to the Council. Consider not only the direct risks from the proposal, but also any knock on effects. A DPIA doesn't set out to identify and eliminate every possible risk to an individual from using their personal information or otherwise impacting on their privacy.

Identified risks

Risk Ref	Issue	Who is the risk to?	Proposed Solution
5.25	Incorrect transfer to the new system causing a loss of data	Data subjects	Support from IT department and the supplier, staff training and any testing is completed. New system will meet minimum requirements set out in the tender which will include a plan to transfer data
5.26	Staff do not have adequate training and cannot use the new system	Data subjects	Staff training and manager training will be completed before the launch of the system and will be ongoing. Information about the new system in the borough bulletin and messages to CLT
5.27	Access rights not updated accurately	Data subjects	System is adequately tested and spot checks on information access will be performed. Staff aware of what information they should be able see and to highlight any issues.
5.28	Tender not completed in time	Data subjects	The current supplier would be contacted for an extension. An action plan for timely implementation with any new supplier

			created. Procurement project manager will have a target date for delivery
5.29	System doesn't work as expected	Data subjects	Tender has specific performance criteria and should be adequately tested. Contract clauses will be included for poor performance.

Solutions to be implemented

Risk Ref	Approved Solution	Result[1]	Approved by
5.30	Adequate staff and manager training	Reduced risk	
	Tender process identifies system requirements, and any successful supplier will be required to meet those minimum standards The system will also be tested	Reduced risk	
5.31	Spot checks on information access	Reduced risk	
5.32	Information about the new system advertised in Borough Bulletin	Reduced risk	

Agreed actions

Action to be taken	Completion Date	Responsible for action
As detailed above		

Other identified risks

Other risks which have been identified which do not relate to Privacy but need to be escalated, e.g. Business Continuity, Health & Safety.

Risk	Escalated to	Date
N/A		

*Is the risk reduced, eliminated or accepted?

6.   Sign off Form (Appendix D)

Signatories required once the DPIA has been completed.

Head of Service	
Name:	Nikki Craig
	N Craig
Date:	21/04/22

Data Protection Officer	
Name:	Emma Young
Signature:	E Young
Date:	12/01/22

Senior Information Risk Owner	
Name:	
Signature:	
Date:	

Email completed DPIA to the DPO DPO@rbwm.gov.uk