

# Data Management Policy

## Data Protection

The Student Advice Centre is committed to protecting the rights of individuals with respect to the processing of their personal data. The service complies with the Students' Union's Data Management Policy and procedures and is working to become General Data Protection Regulation (GDPR) compliant.

## Statement of policy

In order to operate efficiently, the Student Advice Centre has to collect and use information about people with whom it works. This personal information must be handled and dealt with properly, however it is collected, recorded and used, and whether it be on paper, electronic or any other records.

Under GDPR, we are only permitted to collect, store and use personal data that is necessary for us to provide our service. Student Advice Centre has a legitimate interest to collect personal data of service users to allow advisers to act on their cases and to plan the delivery of the service. Where necessary, consent will be obtained from students to use their personal data. Personal data is defined under GDPR as any identifiable data about the student.

Given the nature of the service, its aims and principles, we view the lawful and correct treatment of personal information as very important to successful service operation, and to maintaining confidence between the service and the people we work with.

The Student Advice Centre will review this policy annually to ensure ongoing compliance and best practice. Student Advice Centre is part of Sheffield Students' Union who have an organisational GDPR policy which the service will act in accordance with.

## Data Processing Notices

A clear notice informing clients about how their data is processed and stored by the Student Advice Centre is displayed in each office and in reception. Our data protection policy is also displayed on the Student Advice Centre website. A copy of this policy is available at reception and can be provided to any service user who wishes to read it.

## Data Storage

All client details will be stored on AdvicePro in accordance with the Student Advice Centre's **Case Recording Policy**. Advicepro is a secure, password protected web-based case management system which is GPDR compliant. (Appendix 1: current AdvicePro data security statement, Appendix 2: Advice Pro GDPR statement).

Paper files are stored in lockable filing cabinets. During the working day, case records will only be kept in staffed areas within the Student Advice Centre. Staff are responsible for ensuring that visitors or service users do not have sight of these.

Paper case records will normally only be taken outside the Student Advice Centre where it is necessary for a hearing or meeting about a client, or where an adviser needs to work from home. In these circumstances, the adviser is responsible for the safekeeping and return of the case records.

Outside working hours, case records will be kept in offices of filing cabinets within the Student Advice Centre, which will be kept locked when staff are not present.

The Student Advice Centre also stores limited personal information in its records of Conflict of Interest, Referrals and Students to be Aware of. These records are regularly updated to ensure that personal information is deleted once no longer needed.

### **Retention of Data**

All information relating to a client of the Student Advice Centre is stored confidentially until no longer required. Paper files and electronic records are retained for 6 years after a case is closed, then destroyed/deleted. AdvicePro automatically deletes records 6 years after cases are closed.

### **Statistical Recording & Social Policy**

We undertake statistical recording of users and cases for monitoring and service development purposes. This also enables us to identify trends, policy issues and to target information and publicity appropriately. Any statistical data that we share outside the Student Advice Centre is in aggregated form only, so that no individual case could be identified.

### **Auditing Case Files**

The Student Advice Centre is subject to regular audits for Advice Quality Standard (AQS) and Immigration Services Commission (OISC). Audits include access to client case records. Where an adviser opens a case covered by the Regulation of Immigration Advice in the Immigration & Asylum Act 1999, the adviser will seek consent of the client to the possible auditing of their case by OISC. The adviser will use the appropriate pro-forma to record whether consent is provided. If the OISC requires access to a case record in order to investigate a complaint, the client's consent will be sought before the case record is provided.

For all other cases, consent to auditing is assumed unless the client specifies that their consent is declined. The data handling notices displayed throughout the Student Advice Centre include information about this policy.

When undertaking audits, AQS & OISC employees fully comply with the Student Advice Centre's Data Management and Confidentiality policies.

### **Data Access Requests**

Any individual may ask for access to their records, ask for incorrect facts to be changed and to request that data held is erased.

If the case is open, the Student Advice Centre will normally require the request to be made in writing. If a case is closed, a written subject access request is always required. This must include sufficient information for the Student Advice Centre to identify the relevant case records and the requested information.

The law allows the Student Advice Centre to charge an appropriate subject access request fee (up to a maximum of £10.00) but this will be considered on a case by case basis.

Subject access requests must be processed within 40 days, and the Student Advice Centre will reply as promptly as possible in all cases.

## Closing and Archiving Cases

Each adviser is responsible for closing their cases in accordance with the Student Advice Centre's **Case Recording Policy**. Advicepro is set to automatically archive all clients whose cases have had no activity for 6 years. When archived, all identifying data is deleted. Non-identifying data is retained for monitoring/reporting purposes.

When closing a case on Advicepro, each adviser is responsible for ensuring that any additional papers that belong to that case are passed to Advice Support Assistants (ASA) for closing. Advisers should move papers from the filing cabinets to the 'files to go to history tray'. ASA will then mark the papers as closed, store them in the 'history' section of the filing cabinets for 12 months and then transfer the paperwork to the University managed archive for storage.

Paper files will be confidentially destroyed 6 years after the date of closure. ASA maintain a record on p/drive of closed cases with history, archive and disposal date.

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## Appendix 1



### Data Security

AdvicePro is a centralised, secure web-based application.

Application security and audit control is initially enforced by authenticating the user to the system and by continually controlling access to authorised functions and windows throughout the user session. As a minimum, user authentication consists of a unique username and password with password characters obfuscated on the screen during entry and the information transferred to the application via an SSL connection – i.e. it's encrypted.

Agencies can specify a password expiry policy to enforce password changes on a regular schedule. Additional database security provides an extra layer of protection for data accessed through the application and provides security for data accessed through other tools or techniques. These include measures to prevent attempts at penetration via SQL injection attacks and cross-site scripting attacks. The system is penetration tested both on infrastructure and application areas to the CREST standard.

Encrypted communication (i.e. https, 2048 bit RSA key) is used at all times between the production hosted application and a user's web browser with access only via a secure, password-controlled logon. No data is ever held locally. Therefore, there is no need to replicate, copy or transfer files between PCs. In the event of PC theft, no client information will ever be resident on the local hard drive. This provides an optimal solution for secure home, office and outreach working without the security risks of replicating, copying or transporting files.

Delivering AdvicePro as a fully-managed, secure, web application ensures system availability, scalability and its use over existing IT infrastructures as it is usable both onsite and offsite by any existing PC with an internet connection and compliant web browser. These currently include Internet Explorer 8+, Microsoft Edge, Google Chrome, Firefox 3+, Opera and Safari.

The application is hosted remotely at a secure data centre within the UK. This enables us to provide automatic nightly backups (see schedule below) which are stored securely offsite together with physical building and network infrastructure compliant with Information Security Code of Practice ISO27001.

Our service level agreement with our network hosting partner provides for 99.9% contracted availability during core business hours. To date, we have never had any data loss.

AdvicePro is supported and maintained by Advanced Case Management Solutions Ltd. The company is registered with the Information Commissioner's Office as a "data processor" and complies with its statutory obligations under the provisions of the Data Protection Act 1998.

### **Back-up and Restore Schedule**

All servers are backed up daily with backups held both onsite and offsite. Onsite the main daily backup occurs at 11pm which is in addition to the 7 restore points which are created during the day.

The offsite backup occurs once the onsite backup is completed and this is transferred electronically via dedicated connection. This backup occurs daily and will include 2 of the 7 restore points created during the day.

Daily backups are monitored by ACMS monitoring server, with failures escalated to engineers the next day for fault identification and restoration of normal service. Backups are encrypted and transferred to a secondary secure location within the UK and stored in BitLocker encrypted drives.

### **Automatic Failover and Redundancy**

In event of a catastrophic failure/event at the primary data centre, the AdvicePro system has full redundancy which would automatically switch to the secondary data centre in a different geographic location within the United Kingdom.

### **Data Centre Security**

The physical building and network infrastructure hosting AdvicePro comprises a modern data centre equipped with:

- Dual Independent 11kV Transformers
- Multi-Zone Novec1230 Fire Suppression
- Paralleled Chloride UPS
- Tilt and Pan Constant Record CCTV
- Dual Battery Strings
- Proximity Card Access Control
- Dual redundant Generators
- 24 hour manned guarding

- 200kWatts load Balanced AC DFU's
- Diverse Telecommunications Access
- N+1 Fresh Air AHU's
- Clean Room Architecture
- Multi-Zone VESDa fire monitoring
- Multi-Zone Leak Detection

## Appendix 2

### AdvicePro's Commitment to the General Data Protection Regulation (GDPR)

The new EU General Data Protection Regulation (GDPR) comes into force on May 25th 2018 and will affect every organisation which holds or processes personal data. It will introduce new responsibilities, more stringent enforcement and increased penalties than the current Data Protection Act which it will supersede.

All of our staff and those of our hosting provider are familiar with GDPR and their personal responsibilities.

Our staff are trained on Data Protection issues on commencement of employment and this is updated as and when regulations change or are updated.

All data is held within the UK on servers based in Dundee and Aberdeen.

All storage is secure and our hosting provider has GDPR procedures in place.

We have a notification process in place for any breach.

AdvicePro provides appropriate tools to allow all customers to properly enact the right to erasure process.

AdvicePro provides functionality to allow the details of a client to be extracted in a machine readable format (XML).

ACM Solutions, who develop, manage and provide the helpdesk services for AdvicePro expect to have completed ISO27001 certification before GDPR comes into force. Our hosting partners are already ISO27001 certified.

Attached - Advice Pro GDPR Factsheet