1. Introduction

Queen Mary University of London (QMUL) is required by law to comply with the Data Protection Act 1998 (the Act). This Act came into force on 1st March 2000 and relates to the processing of personal information. QMUL needs to keep certain personal information about individuals such as employees, students, graduates and others, defined as Data Subjects in the Act, to fulfil its objectives and meet legal obligations. Such data must only be processed in accordance with this policy and with the terms of QMUL’s Registration with the Information Commissioner’s Office (ICO), which sets out the purposes for which QMUL holds and processes personal data.

2. Compliance

To comply with the law all data must be collected and used fairly, stored safely and not disclosed to any other person unlawfully. To do this, QMUL must abide by the eight Data Protection Principles set out in the Act. These state that personal data shall be:

1. processed fairly and lawfully and shall not be processed unless certain conditions are met;
2. obtained for specified and lawful purposes and not further processed in a manner incompatible with these purposes;
3. adequate, relevant and not excessive;
4. accurate and where necessary kept up to date;
5. kept for no longer than necessary;
6. processed in accordance with Data Subjects’ rights;
7. protected by appropriate technical and organisational security, and;
8. not transferred to a country or territory outside the European Economic Area, unless that territory ensures an adequate level of protection for the rights and freedoms of Data Subjects in relation to the processing of personal data.

This policy and its appendix shall guide all who process data in QMUL to ensure that these principles are followed and any breach, whether deliberate or through negligence, may lead to disciplinary action being taken.

3. Definitions

Processing is given a broad interpretation in the Act: it covers obtaining, holding, sorting, retrieving, disclosing, destroying of data etc. Every person who holds any personal data about another individual in some form or medium (hard-copy or electronic) from where it can be retrieved is ‘processing’ data.

Personal Data is defined in the Act as data that relate to a living individual who can be identified from those data; or from those data and other information which is in the possession of, or is likely to come into the possession of, the Data Controller; and includes any expression of opinion about the individual and any indications of the intentions of the Data Controller or any other person in respect of the individual.
Examples are name, address, date of birth, attendance details, comments on coursework, a photo.

**Sensitive Personal Data** is defined in the Act as personal data consisting of information as to:

- The racial or ethnic origin of the Data Subject
- His/her political opinions
- His/her religious beliefs or other beliefs of a similar nature
- Whether he/she is a member of a trade union
- His/her physical or mental health or condition
- His/her sexual life
- The commission or alleged commission by him/her of any offence
- Any proceedings for any offence committed or alleged to have been committed by him/her, the disposal of such proceedings or the sentence of any court in such proceedings.

Note 1: the definition of health is considered broadly under the Act; it is not defined exhaustively but includes preventative medicine, medical diagnosis, DNA sequences, medical research, provision of care and treatment and the management of healthcare services.

Note 2: personal demographic data are also considered to be sensitive (e.g. home address, salary, and bank financial details).

**Data Subject** is the living individual to whom the data relates. For example, for QMUL this would mean employees and students, among others.

**Data Controller** is the person or entity who (either alone or jointly or in common with other persons) determines the purposes for which and the manner in which any personal data are, or are to be, processed. QMUL, as a corporate body, is the Data Controller under the Act; so are its employees.

**Data Processor** is any person other than an employee of the Data Controller who processes data on behalf of the Data Controller. For example, this could be a supplier to which some service, such as a payroll, has been outsourced.

### 4. Rights to Access Information

The Act gives Data Subjects a right of access to personal data held about them by QMUL, and allows QMUL to charge a fee for such access.

All such Subject Access Requests must be made in writing and a record must be kept of any request for access to personal data. Access does not include the right to amend data, but the Data Subject has the right to request any errors or omissions identified are corrected.

All such requests must be responded to within the terms laid down by the Act, and must be notified to the Records & Information Compliance Manager as soon as they are received.

QMUL will ordinarily charge the prescribed maximum fee (currently £10) for Subject Access Requests and take steps to verify the identity of the applicant.
5. Responsibilities of the Data Controller and Data Processors

Compliance with this Policy is mandatory and disciplinary action may be taken against anyone who fails to do so. The accompanying Guidelines should also be followed.

- Consent - In order to process data QMUL shall normally obtain consent from Data Subjects. In the case of sensitive personal data, express consent must be obtained.

- Data Security - All QMUL users of personal data must ensure that all such data they hold is kept securely, for example in a locked cabinet or password protected. They must ensure that it is not disclosed to any unauthorised third party in any form either accidentally or otherwise. Please see the Information Security Policy for further details and guidance.

- Third Parties - If QMUL enters into agreements with third parties which include the sharing of personal data it shall ensure that adequate protection is offered and will use the data in accordance with defined purposes, by instigating a written agreement to cover this.

6. Responsibilities of Data Subjects

All Data Subjects have an obligation to:

- Ensure that any information that they provide is accurate and up to date.
- Inform QMUL and/or their department of any changes to information which they have provided, e.g. changes of address.
- Inform QMUL of any known errors.

7. Retention of Data

Personal data must only be kept for the length of time necessary to perform the processing for which it was collected. This applies to both electronic and non-electronic personal data. QMUL will keep some forms of information for longer than others. Information shall be retained in accordance with QMUL’s Records Retention Policy and associated Records Retention Schedule.

8. Assessment Data

Students are entitled to information about their marks for all types of assessment, as well as decisions made on academic progress, award and classification. These are normally available as a matter of course but the College may withhold marks, transcripts and certificates or notification of decisions relating to academic progression or award where a student has tuition fee debts. However, access to this information is within the provisions of the Act and marks and other data will be released if a subject access request is made.

Note: examination scripts (answer books) are exempt from the right of access.

9. Related QMUL Policies

- Records Retention Policy
- Information Security Policy
- Policy on Access to Information by Staff and Students
- Research Ethics Policy
- IT PC Disposal Procedure
CCTV Policy

10. Staff Checklist for Processing Data

Anyone in QMUL processing personal data shall consider the following:

- Is this information really needed?
- Is the information ‘standard’ or ‘sensitive’?
- If it is sensitive, has the Data Subject’s express consent been obtained?
- Has the Data Subject been informed that this type of data will be processed and the purposes for this?
- Are you authorised to collect/store/process the data?
- If yes, have you checked with the Data Subject that the data is accurate?
- Will the data be securely held?
- If you do not have the Data Subject’s consent to process, are you satisfied that another condition allows processing of the data?
- How long does the data need to be kept and are there arrangements for its review/secure disposal?

11. Duties

As required by the Act, QMUL has notified the U.K. Information Commissioner that it processes personal data. The registration number of the Notification is Z5507327 and can be viewed by searching the register on the ICO website at: [http://www.ico.org.uk/esdwebpages/search](http://www.ico.org.uk/esdwebpages/search). The Data Protection Officer for QMUL is the Records & Information Compliance Manager. Guidelines are appended to this policy to advise staff on best practice procedures to follow. These guidelines may be subject to change or revision by the Data Protection Officer or a delegate.

Further information about this policy, Subject Access Requests, retention and disposal of data and/or any other data protection issues should be addressed to data-protection@qmul.ac.uk
Appendix – Guidelines

These Guidelines should be read in conjunction with QMUL’s Data Protection Policy. Examples are set out below to illustrate some of the scenarios staff in Queen Mary might experience and best practice to be adopted.

I. What are my responsibilities?

All staff will process personal data in one form or another and as such have a duty to ensure that this is done fairly, stored securely and disposed of when it is no longer required. As such, all staff should be aware of the eight Data Protection Principles and bear in mind the ‘Checklist for Processing Data’ detailed in the Policy. In particular, be aware of what constitutes sensitive personal data and the special circumstances under which it can be processed.

II. Dealing with Subject Access Requests

Anyone who wishes to make a Subject Access Request (SAR) should fill in an SAR Form available on the website, though it is not mandatory. Any SAR received within Queen Mary should be copied to the Records & Information Compliance Manager (contact details below) so it can be logged. If in doubt as to whether you have received an SAR or how to respond to it please contact him for assistance.

Queen Mary, as Data Controller, must respond to such a request, in full, within forty calendar days. There are certain requirements that must be satisfied by the Data Subject before the forty day period begins:

- the request must be in writing, preferably using the appropriate SAR form
- any fee must have been paid (not exceeding £10) †
- the person making the request must have properly identified him/herself (if the request is by email it needs to be from a Queen Mary address or other details verified)
- enough information must be provided to locate the data (i.e. the request must be sufficiently clear as to what is being sought: a Data Subject can’t simply say "give me everything you have on me" and expect a full response) *
- there must not have been repeated or similar requests from the Data Subject unreasonably close in time (if so, it may not be necessary to respond)
- there must not be a ‘disproportionate effort’ involved in responding to the request (although this is a difficult point to argue)

† this fee will be waived for basic requests from current students such as a minute from an examination board

* data which may be produced in the event of an SAR is usually to be found in what the Act defines as a ‘relevant filing system’. However, if the request contains a description of the data, the individual would have a right of access to unstructured data. For further details, please use the contact details below.

III. Processing data

When processing personal data it is important that this complies with the eight Data Protection Principles. For example, at the point of collection the form, web page or similar should state the purpose for collection and no data other than that required for that particular transaction should be collected. For help drafting such a fair processing/privacy notice please use the contact details below. It is good practice to
collect consent at this point and keep a record of the consent given as an audit trail. The fair processing notice to students, displayed on (re-)enrolment in MySIS, makes data sharing between departments possible. Also, appropriate security measures must be taken when storing, moving or transmitting data, such as encryption.

- What to do
At the point of collection the following information should be provided:
  - The identity of the Data Controller (usually QMUL)
  - The purpose(s) for which the data is being collected
  - The recipients to whom the data may be disclosed (or transferred)
  - Details of how to opt-out of any subsequent re-use

III (i) Storage and handling of data
Personal data should be marked with an appropriate classification as per SOP DG09 – Information Classification and stored and handled (and disposed of) as determined by these. Data is to be given appropriate levels of access control and security. This means that it should be safeguarded by means of lockable cabinets and password and/or encryption protection, depending on format. See SOP DG14 – Storage of Information and SOP DG15 – Handling of Information.

Handling and exchange of patient information must in addition comply with the Access to Health Records Act 1990 where only those with a professional or contractual duty of confidentiality are permitted access to patient information. Please also see the Records Management Procedures.

- What to do
Make sure you use passwords which are strong and hard to guess. Never share or write passwords down and keep a log of who has access to secure areas. Secure personal information physically by restricting access to only those who need it for the performance of their duties and lock cabinets, rooms and computers when the information is not in use.

III (ii) Sensitive data
Sensitive personal data should only be recorded when the Data Subject has given express consent. The only exceptions are when it is required in order to protect the vital interests of the individual or another person or in the administration of justice. See also the Advice and Counselling Service’s Confidentiality and Data Protection Policy.

- What to do
When recording data like absences, extenuating circumstances or disciplinary offences on a file, only brief notes should be made with little or no detail e.g. “absent due to ill health”.

IV. Examinations and assessment data
  - Exam scripts are exempt from the right of access in the Act
  - Examiners’ comments and marks are not exempt and access may be requested

- What to do
Markers could make their comments on a separate sheet (although it should be remembered that data must be presented in “an intelligible form” to a Data Subject making an SAR). It is acceptable to destroy the marking sheets/scripts once marks have been finalised at the examination board, if this is part of standard procedure. In
all cases markers should be aware that their comments may be read by the candidate, so offensive, subjective or opinionated statements must be avoided. Please see the current Assessment Guide for further details, available on the Policy Zone, and the ICO’s good practice note.

IV (i) Automated decisions
If any form of assessment relies purely on automated means then a Data Subject has the right:
- to be informed of the logic behind the process
- to be able to request that decisions are not made solely through the automated process

IV (ii) Disclosure of results
- Telephone queries for exam results should not be answered unless there is a system of security questions/passwords to confirm the identity of the caller
- Publication of results on a notice board may be reasonably expected by students, but to protect identification numbers should be used rather than names
- Exam results may be withheld due to non-payment of fees where the debt relates to academic study

- What to do
If exams are not marked until fees are paid then there will be no data to access. However, this could be argued to be a form of student bias and even infringe human rights. Exam results should be provided if an SAR is submitted but re-enrolment or graduation could be prevented. Publishing examination results is a common and accepted practice. Nonetheless, if exam results or classifications are to be published publicly, such as at a degree ceremony, it is good practice to gain consent and offer an opt-out. See also the current Assessment Guide.

NB The timescale for responding to Subject Access Requests that relate to examination marks or results is extended from forty days to:
- five months from the time when the request is received and validated, or
- forty days from the announcement of the examination results, if earlier

IV (iii) Examination boards
- Minutes of examination boards may be subject to access if a candidate is referred to, whether by name or some other identifier

- What to do
Board secretaries should ensure that minutes are purely factual. If access is provided, any other individual’s details must be redacted unless they have given their consent to the disclosure.

V. Research

There are specific provisions in the Act for the use of personal data in research (Section 33). The College’s Research Ethics Policy should be studied and complied with and an application form should be completed by anyone undertaking research that will be supported by Queen Mary’s facilities – this includes sections on ‘Confidentiality, anonymity and data storage’ and ‘Consent’.

- Data used for one piece of research can be re-used in other research for a different purpose (see Research Ethics Policy guidelines on secondary use)
- Research data may be kept indefinitely (but not for use in new research)
• Research data is exempt from SAR rules (as long as living individuals are not identified and no substantial damage/distress is caused to any individual)

- What to do
Your research should fulfil all the following criteria:
• the information is to be used exclusively for research purposes (includes statistical or historical research purposes) and no other use, not even an incidental one
• the information is not to be used to support measures or decisions relating to any identifiable living individual (not just the Data Subject but anyone who may be affected by your research)
• the data must not be used in a way that will cause, or is likely to cause, substantial damage or distress to any Data Subject
• the results of your research, or any resulting statistics, must not be made available in a form that identifies the Data Subjects. For example, if a name of an individual is disguised you would not meet this criterion if you describe their circumstances (such as in a case study) in such detail it may be possible for someone to identify that individual.

Before using personal data in research, approval should be sought from the College's Research Ethics Committee as part of the application process. Where possible informed consent should be obtained from all participants and if this is not possible then data should have all personal identifiers removed. Researchers should adopt a system of anonymous coding (pseudonymisation) as the identity of Data Subjects must not be given away without consent. All data must be processed in accordance with the eight Data Protection Principles – there is no blanket exemption.

VI. References

• Internal references provided for the purposes of education, training or employment are exempt from SARs

- What to do
Concentrate comments in references on factual matters (e.g. dates of attendance, duties performed); any subjective observations or academic judgements must be based on fact.

• External references sent to Queen Mary may only be released if consent has been given by the referee or if it is reasonable in all the circumstances

- What to do
Requests for references could routinely include a note asking the referee to indicate (non-) willingness for its release on request or if there is no consent, the text could be redacted so as to remove anything that would reveal the identity of the referee – in reality impractical. For example, Admissions’ reference request form states, “Referees are asked to note that the applicant may seek disclosure of this reference under the provisions of the Data Protection Act”.

• References provided by Queen Mary are exempt from SARs made to it, but the Data Subject may see the reference if they make an SAR to the third party to whom the reference has been provided

In writing a reference the author should always indicate how long (s)he has known the individual and in what capacity. Again, comments must be factually accurate and honest and subjective personal opinions must be avoided. As a general rule, you are
advised not to include information in a reference that you would not wish the individual concerned to see. Spent disciplinary sanctions must not be referred to (usually six years after case closure). Personal references should be limited to a maximum of six years after the student leaves the institution. Nonetheless, students would not normally object to the confirmation of attendance, degree classifications etc. which come from prospective employers (NB this type of enquiry should be treated as an FOI request). References provided in a personal capacity by staff should state this clearly and not be provided on Queen Mary stationery. See also the ICO’s guidance.

VII. HR records

   VII (i) Disciplinary procedures
   • The outcome of grievances is only disclosable to the person who is the subject of the process, not to any other parties

- What to do
If there is a disciplinary process against an employee, then only that employee has a right to know the details of that process. For example if an accusation is made by a student or member of staff against another member of staff, expectations should be managed from the start. The accuser does not have a right to be kept informed or to know the outcome of the process. Only tell them that the procedure has been completed when it has, but not how.

   VII (ii) Sick notes
   • Sick notes contain sensitive personal data and should only be seen by those who need to know

- What to do
Sick notes should not have to be seen by line managers unless explicit consent has been given by the employee.

VIII. Images

   • Photos/video taken for official use are covered by the Act and people in them should be advised why they are being taken
   • Photos/video showing a crowd scene (e.g. in a public place) would not be considered to be personal data because the purpose of capturing the individuals is not to identify them
   • Photos of staff on the intranet need no consent but consent is required if the site is an Internet one

- What to do
Consent should be sought wherever possible, especially of individual shots because they can be readily identified. Where this is not practical for each individual, for example at an event or at a degree ceremony, Data Subjects should be made aware so that it is within their expectations: a statement should appear on tickets/programmes and/or a notice be displayed explaining that photographs/video are being taken and the purpose to which these may be put. All photographers should be clearly identified, e.g. with a visible badge. If taking photographs of children consent must be obtained from a parent or guardian.

If a student or member of staff objects to having a photograph published, on a departmental website for instance, then it must be removed. Prior consent should be sought wherever possible.
The Creative Services Team can provide a photo release form which Data Subjects should sign if their photo will be used in a College publication.

In addition, individuals whose image has been recorded by CCTV have a right of access to a copy of those images by making a subject access request. This is covered by Queen Mary’s CCTV Policy.

IX. Direct marketing

- Data Subjects have the right to ask organisations to stop, or not to start, direct marketing aimed at them

- What to do
It is accepted that, for example, alumni might reasonably expect the College to send a variety of mailings to them. However, alumni (or anyone else receiving direct marketing material) should be advised of their rights and given the opportunity to opt out in every communication.

X. Third parties/countries and outside agencies

The Act makes it clear that it is a serious offence to disclose any personal data to a non-authorised person, including orally. It can usually only be released with the Data Subject’s consent, unless one of the exemptions is met or a court order issued.

- When dealing with a third party acting as a Data Processor

- What to do
Parties such as BUPT may process data which has been passed to it by Queen Mary. It is important to ensure that a written agreement is in place covering the services the third party is to provide and that it includes specific provisions covering its responsibilities for the personal data passed on to them (e.g. an obligation to assist the College in responding to an SAR) and references the Act. Ideally the third party should provide an indemnity covering any penalties the College might suffer as a result of their use of the data. The burden is on the College to ensure that Data Processors do not breach the Act. Other data processors of the College might be Barts Health NHS Trust or the Universities Superannuation Scheme. Note that there exists a Student Personal Information Sharing Agreement between Queen Mary and the Students’ Union.

- When personal data may be transferred outside the EEA, going against the eighth principle

- What to do
Personal data may be passed to partnering organisations in countries outside the EEA, such as BUPT, which do not have the same levels of protection for personal data as long as certain safeguards are in place (though there are some exemptions). In this case the other party may become a data processor. The Data Subject must be informed prior to any transfer. Details of these safeguards and of standard contractual clauses which may be employed are available from the Records & Information Compliance Manager. See also section XI. below.

- Individual enquiries e.g. from friends or relatives in person, by telephone, email etc. need to be handled with care
- What to do

The correct procedure is to pass any message on to the Data Subject (if over 18) and leave it up to them to contact the caller. Even if the message is from an apparently anxious parent, there is no requirement to reveal details or even confirm the Data Subject exists! If an enquirer telephones (or emails from a non-College account) and claims to be the Data Subject, to provide some measure of authentication, offer to call back. Otherwise there needs to be some system of security questions/passwords to confirm the identity of the caller. Note that a sponsor does not have any automatic right to a student’s marks or progression details without the consent of the student.

- Enquiries from the police or other crime prevention or law enforcement organisations (or revenue-collecting authority)

- What to do

These requests most commonly come from the police but may also come from an investigation in to tax/benefit fraud or immigration e.g. from local government or the Home Office/Border Agency. The agency must complete a Section 29 form (available on request) to apply for access specifying the purposes for which it is required. The data must be necessary, not just helpful to these purposes. Even then Queen Mary is not compelled to release the data without the Data Subject’s consent: there is a need to ensure proportionality, so rights and interests should be balanced in coming to a decision. It’s important to verify the identity of anyone making such requests and ensure the request is counter-signed by an authorised individual. This should be someone who is senior in rank/position to the requester.

- Protecting the vital interests of the Data Subject or preventing serious harm to a third party

- What to do

The consent of the Data Subject is not required if a failure to release data would result in her or a third party’s harm or if required to perform a regulatory function, such as securing health and safety at work. See also the Missing Students Policy.

XI. Which countries outside the European Economic Area have adequate protection for personal data?

The European Commission has recognised the following territories as having adequate data protection:

- Andorra, Argentina, Australia, Canada, Faroe Islands, Guernsey, Isle of Man, Israel, Jersey, New Zealand, Switzerland, Uruguay
- United States (under safe harbor rules only)

XII. What other exemptions are there to the release of information?

- Data protection legislation does not cover the deceased
- Data may be released to the police or other law enforcement organisation in pursuit of an active investigation (see X. above)
- Disclosure of data may be necessary in the case of a medical emergency
- The College is legally obliged to pass certain data to certain third parties such as HESA, HEFCE etc.

XIII. What other relevant guidelines are there in the College?

There are other College policies and procedures which are applicable to data protection, for example the Information Security Policy provides guidance on storage,
access, safeguards, removal etc. and the Records Retention Schedule details how long data should be kept. The Records Retention Policy lays out staff responsibilities. In addition, the Guidelines on the right to privacy and the monitoring of data give information on the rights of employees and the right of the College to monitor employees' activities. Students should refer to the Fair Processing Notice that they view on (re-)enrolment too.

XIV. What are the penalties for Data Controllers if they breach the law?

- Section 60(2) of the Act states that fines may be imposed on Data Controllers in breach of the law
- Criminal prosecutions may be brought against not just the directors or trustees of an organisation but also other officers (i.e. employees) who are responsible for a breach. This personal liability is important to note
- A Data Subject can bring a claim for compensation for a breach which resulted in their suffering damage or distress
- A Data Subject can also apply to the courts for an order which: requires the Data Controller to comply with an SAR; requires it to stop processing their data where it is being used for direct marketing or is likely to cause damage or distress; or, requires erasure/rectification of data where it is inaccurate
- The Information Commissioner may serve an enforcement notice on a Data Controller if an investigation results in a finding that one of the eight principles has been breached. The ICO sets out the remedial steps which need to be taken by the Data Controller in question and failure to comply with these instructions would also be a serious offence under the Act
- Under ss.55A and 55B of the Act the ICO can issue monetary penalties of up to £500,000 for data breaches

XV. Who has the authority to report any breaches?

Any (suspected) breaches should be notified to the ICO. Although there is no legal obligation on Data Controllers to report breaches of security which result in loss, release or corruption of personal data, the ICO believes serious breaches should be brought to its attention.

XV. What if I want to process data for a purpose not covered by the College's notification to the ICO?

Any new purposes must be added to the College’s Registration with the ICO before the processing of data begins. Therefore, you must inform the Records & Information Compliance Manager to notify the ICO to make the amendment. Note that the Students' Union has its own separate notification (reg. no. Z520302X).

XVII. Who in Queen Mary can I contact for more advice?

The Records & Information Compliance Manager can be contacted on ext. (13) 7596 or by emailing data-protection@qmul.ac.uk