

STUART BATHURST CATHOLIC HIGH SCHOOL



Data Protection Impact Assessment (PIMS)

Data Protection Impact Assessment (People Information and Management Systems (PIMS))

Stuart Bathurst Catholic High School accesses PIMS (MidlandHR) which sits on a private network. As such Stuart Bathurst Catholic High School must consider the privacy implications of such a system. The Data Protection Impact Assessment is a systematic process for identifying and addressing privacy issues and considers the future consequences for privacy of a current or proposed action. Stuart Bathurst Catholic High School recognises that PIMS (MidlandHR) sits on a private network has a number of implications. Stuart Bathurst Catholic High School recognises the need to have a good overview of its data information flow. The Data Protection Impact Assessment looks at the wider context of privacy taking into account Data Protection Law and the Human Rights Act. It considers the need for PIMS (MidlandHR) and the impact it may have on individual privacy.

The school needs to know where the data is stored, how it can be transferred and what access possibilities the school has to its data. The location of the private network is important to determine applicable law. The school will need to satisfy its responsibilities in determining whether the security measures the private network provider has taken are sufficient, and that the rights of the data subject under the UK GDPR is satisfied by the school. Stuart Bathurst Catholic High School aims to undertake this Data Protection Impact Assessment on an annual basis.

What is the aim of the project?

To help deliver a cost-effective solution to meet the needs of the business. PIMS has two interfaces: (1) MyHR – which provides access via a dedicated login for all employees to a personal dashboard interface; (2) PIMS – which provides access to managers via a dedicated login for managers to manage their employees. It also assists with the management of payroll, pensions and other back end issues. PIMS will improve accessibility and ensure information security when working within the school and remotely.

Stuart Bathurst Catholic High School will undertake the following processes:

- Collecting personal data
- Recording and organizing personal data
- Structuring and storing personal data
- Copying personal data
- Retrieving personal data
- Deleting personal data

By opting for PIMS the school aims to achieve the following:

- Scalability
- Reliability
- Resilience
- Delivery at a potentially lower cost by reducing inefficiencies
- Reduce HR administration by devolving responsibilities through self service
- Improve data accuracy by making employees responsible for their information
- Supports mobile access to data securely
- Update of documents in real time
- Good working practice, i.e. secure access to sensitive files

Information relating to workforce related issues is visible via the MyHR dashboard for personnel, and PIMS dashboard for managers. The former has the functionality to capture personal details, manage absence, pay and benefits, employment, career and development. The latter has the functionality to approval of holidays, contract changes, sickness notes, etc. These files can then be accessed from any location via a web browser using SSL encryption.

PIMS sits on the Dudley MBC network (private intranet).

MidlandHR cannot do anything with the school's data unless they have been specifically instructed by the school. The schools Privacy Notice will be updated especially with reference to the storing of payroll, pensions and personnel data in PIMS.

How will you collect, use, store and delete data?

The information collected by the school is retained on PIMS and in paper-based files. The information is retained according to the school's Data Retention Policy. PIMS has an inbuilt data retention module which, on behalf of schools, will delete workforce records once retention for leavers exceeds + 6 years. This meets the requirements of data minimization. However, some of the information relating to leavers is retained for pension purposes.

What is the source of the data?

Information held on PIMS is obtained from identity documents such as an employee's drivers licence, passports and proof of address documents (*these are flagged on PIMS*), forms completed at the start of employment, correspondence, interviews, meetings, qualifications and assessments (*these are flagged on PIMS*). In some Stuart Bathurst Catholic High School personal data may be obtained from third parties, such as references from former employers, information from background check providers (*these are flagged on PIMS*), information from credit reference agencies and information from criminal record checks permitted by law. The aforementioned documents are not uploaded into PIMS but may be included in the school's workforce files which are held, securely with limited access, as a hard copy.

Will you be sharing data with anyone?

Stuart Bathurst Catholic High School routinely shares workforce information internally with people responsible for HR and recruitment (including payroll), senior staff, with the Local Authority, and the Department for Education.

What types of processing identified as likely high risk are involved?

'Special category' data from the school is transferred securely (within Dudley MBC's ICT network). Storage of personal and 'special category' data in PIMS.

What is the nature of the data?

Workforce data relates to personal information (such as name, address and contact details, including e-mail address and telephone number). Details of criminal records. It will also include details of qualifications, skills, experience and employment history (*including start and end dates with previous employers and with the school*). It may also include employee or teacher number, bank details, national insurance number, marital status, next of kin, dependents and emergency contacts. Special categories of data (such as gender, age, ethnic group).

Contract information (*such as start dates, terms and conditions of employment, hours worked, post, roles and salary information, pensions, nationality and entitlement to work in the UK*). Along with salary information any additional payments, i.e. TLR, is included. PIMS also capture information on work shift patterns.

Work absence information including details of periods of leave taken by the employee, including holiday, sickness absence, family leave, maternity leave, and sabbaticals, and the reasons for the leave.

Information about medical or health conditions, including whether or not the employee has a disability, details of trade union membership and equal opportunities monitoring information.

Special Category data?

Some of the personal data collected falls under the UK GDPR special category data. This includes race; ethnic origin; religion; sexual orientation, trade union membership, and health.

How much data is collected and used and how often?

Personal data is collected for all of the school's workforce. Additionally, personal data is also held respecting the school's workforce, Board of Governors, Volunteers, and Contractors.

How long will you keep the data for?

Workforce data will be kept in line with the school's data retention policy as follows (termination of employment + 6 years). However, some of the information relating to leavers is retained for pension purposes.

Scope of data obtained?

Data will relate to staff at Stuart Bathurst Catholic High School

What is the nature of your relationship with the individuals?

Stuart Bathurst Catholic High School collects and processes personal data relating to its employees when entering into an employment contract and to meet its obligations under an employee's employment contract. Stuart Bathurst Catholic High School needs to process personal data to administer payroll, benefits, local authority pensions scheme, teachers' pension scheme, and tax and national insurance entitlements.

Through the Privacy Notice (Workforce) and (Governors and Volunteers) Stuart Bathurst Catholic High School is committed to being transparent about how it collects and uses data and to meeting its data protection obligation.

How much control will they have?

Access to the personal files will be controlled by username and password. MidlandHR is hosting the data and has the ability to access data on instruction of Stuart Bathurst Catholic High School who is the data controller for the provision of supporting the service as stated in MidlandHR Terms and Conditions. New inductees are given a unique log in to set up their own MyHR account. This is then assigned to the reporting manager (PIMS). A new inductee has sight of the MyHR Privacy Notice and this has to be accepted before the new employee can proceed to create their own individual account.

The school will be able to upload personal data from its PC for the data to be stored in PIMS via a secure private network.

Do they include children or other vulnerable groups?

No

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

PIMS sits on the Dudley MBC network (private intranet). Access is via SSL encryption.

Stuart Bathurst Catholic High School recognises that moving to a cloud-based solution raises a number of UK General Data Protection Regulations issues as follows:

ISSUE: The cloud-based solution will be storing personal data including sensitive information

RISK: There is a risk of uncontrolled distribution of information to third parties.

MITIGATING ACTION: Data and functionality access is assigned according to user definable security profiles. Once the user has successfully logged on with their password authenticated, they will be granted access according to the security profile in which they reside. Access to data may be controlled at functional, screen, and field level. Access to list content can be restricted with access defined as, fully editable, read-only, non-visible. When accessing support channels, user accounts are created on MHR's Service cloud portal

ISSUE: Transfer of data between the school and the cloud

RISK: Risk of compromise and unlawful access when personal data is transferred. **MITIGATING ACTION:** The use of Secure File Transfer Protocol (SFTP) to enable the secure transfer of files. iTrent

database encryption at rest. TLS, secure transfer of e-mail between the customers e-mail server and MidlandHR e-mail server. Encryption at rest

ISSUE: Understanding the cloud-based solution chosen where data processing/storage premises are shared?

RISK: The potential of information leakage.

MITIGATING ACTION: MidlandHR provides an SFTP service for transferring of data between customers and MidlandHR. Data on the SFTP server is encrypted at rest and in transit. TLS for e-mail encryption is available as an additional service. Alternatively, MidlandHR offer a secure mail service whereby users when required login to the secure mail service portal to access e-mails

ISSUE: Disaster recovery

RISK: UK GDPR non-compliance

MITIGATING ACTION: MidlandHR have in place a Business Continuity Plan designed to ensure that MidlandHR continues all functions in the event of a disaster. This plan is reviewed twice yearly and is dynamically updated as the organisation changes. MidlandHR has been certified to ISO27001 since 2005 and are currently following the ISO22301 guidelines to ensure MHR maintain a structured approach to the business

ISSUE: System back up

RISK: UK GDPR non-compliance

MITIGATING ACTION: Full database backups are performed daily. All data backups shall remain within the United Kingdom used for hosting. Escrow data backup undertaken

ISSUE: Cloud solution and the geographical location of where the data is stored

RISK: Within the EU, the physical location of the cloud is a decisive factor to determine which privacy rules apply. However, in other areas other regulations may apply which may not be Data Protection Law compliant

MITIGATING ACTION: The servers hosting PIMS are located within the UK

ISSUE: Cloud Service Provider and privacy commitments respecting personal data, i.e. the rights of data subjects

RISK: UK GDPR non-compliance

MITIGATING ACTION: PIMS has the functionality to provide rights of individuals management of information access where the data subject has restricted disclosure or withdrawn consent. Additionally, MidlandHR has a two-factor authentication process which limits access to the Back Office of PIMS via registered IP addresses. Access to iTrent is controlled via user name and password authentication

ISSUE: Implementing data retention effectively in the cloud

RISK: UK GDPR non-compliance

MITIGATING ACTION: The system has data retention functionality. Authorised users can apply data retention schedules to individuals or groups of individuals and this retention period can be applied to leavers and also applicants. The system comes with a minimum retention period set (leaver date + 6 years) however authorised users can override the stated period with their own retention periods in line with their data retention policy, allowing for overrides when there is a justified reason for keeping the data longer for the school; i.e. some of the information relating to leavers is retained for pension purposes

ISSUE: Responding to a data breach

RISK: UK GDPR non-compliance

MITIGATING ACTION: Users of PIMS can report incidents via the Customer Portal 24/7, or via telephone 9am - 5pm UK time (Monday to Friday excluding bank holidays). Through a dedicated support line, customers are able to contact the service desk whereupon each call is given a unique reference number. The call is assigned to the appropriate member of the support team and tracked at all times by the service desk

ISSUE: Subject Access Requests

RISK: The school must be able to retrieve the data in a structured format to provide the information to the data subject

MITIGATING ACTION: PIMS has the functionality to handle and respond to Subject Access Requests. PIMS has a core form for data access requests that allows the user to elect the employee and the type of data. A data access report will present all data in relation to the individual

ISSUE: Data Ownership

RISK: UK GDPR non-compliance

MITIGATING ACTION: The school remains the data controller. iTrent is the data processor and Stuart Bathurst Catholic High School and MidlandHR is the data processor. Please see Terms and Conditions

ISSUE: Post Brexit

RISK: UK GDPR non-compliance

MITIGATING ACTION: The solution is currently hosted in the UK

ISSUE: Cloud Architecture

RISK: The school needs to familiarise itself with the underlying technologies the cloud provider uses and the implications these technologies have on security safeguards and protection of the personal data stored in the cloud.

MITIGATING ACTION: Information is hosted on MidlandHR's data centres, provided as a dedicated application server from a dedicated database. The hosted service is not multi tenanted as either

Application or Database tiers. This ensures that all customers are segregated to high standards and the service remains at optimum level

At both sites (primary and back up) there is restricted physical access, ID/Swipe cards for staff and CCTV. Both sites have visitor access control procedures and are manned 24/07/365. The firewall at the MidlandHR data centre has specific access controls for each customer

ISSUE: UK GDPR Training

RISK: UK GDPR non-compliance

MITIGATING ACTION: Appropriate training is undertaken by personnel that have access to PIMS

ISSUE: Security of Privacy

RISK: UK GDPR non-compliance

MITIGATING ACTION: Infrastructure within MidlandHR's datacentres are regularly scanned using QualysGuard. Authenticated scans are performed to identify vulnerabilities. This data is supplemented by threat intelligence from NCSC, CERT and security industry bodies to feed vulnerability/patch management processes. The infrastructure is patched as required. Systems are regularly scanned by our Qualys suite to ensure all devices are at the required patch levels MHR perform an annual CREST penetration test of the software, hosted service and corporate network

Conforms to a recognised standard, for example, CSA CCM v3.0 or ISO/IEC 27035:2011 or SSAE-16 / ISAE 3402. It has Cyber Essentials as a security governance standard. MidlandHR is ISO 27001 and ISO 9001 certified. MidlandHR is registered with the ICO and Lloyds Register LRQA

The school moving to PIMS will realise the following benefits:

Scalability

Reliability

Resilience

Delivery at a potentially lower cost

Supports mobile access to data securely

Update of documents in real time

Good working practice, i.e. secure access to sensitive files

The views of senior leadership team and the Board of Governors will be obtained. Once reviewed the views of stakeholders will be taken into account

The view of YourIG has also been engaged to ensure Data Protection Law compliance

The lawful basis for processing personal data is contained in the school's Privacy Notice (Workforce). The lawful basis includes the following:

6.1(b) Processing is necessary for a contract you have with the individual, or because they have asked you to take specific steps before entering into a contract.

6.1(c) Processing is necessary for compliance with a legal obligation to which the controller is subject

For example: The Health and Safety at Work Act, Equality Act 2010, The Disability Discrimination Act.

6.1 (e) Processing is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller

9.2 (b) Processing is necessary for the purposes of carrying out the obligations and exercising specific rights of the controller or the data subject in the field of employment and social security and social protection law in so far as it is authorised by Union or Member State law or a collective agreement pursuant to Member State law providing for appropriate safeguards for the fundamental rights and the interests of the data subject.

The school has a Subject Access Request procedure in place to ensure compliance with Data Protection Law

The cloud-based solution will enable the school to uphold the rights of the data subject? The right to be informed; the right of access; the right of rectification; the right to erasure; the right to restrict processing; the right to data portability; the right to object; and the right not to be subject to automated decision-making?

The school will continue to be compliant with its Data Protection Policy

Describe source of risk and nature of potential impact on individuals. Include associated compliance and corporate risks as necessary.	Likelihood of harm	Severity of harm	Overall risk
	Remote, possible or probable	Minimal, significant or severe	Low, medium or high
Data transfer; data could be compromised	Possible	Severe	Medium
Asset protection and resilience	Possible	Significant	Medium
Data Breaches	Possible	Significant	Medium
Subject Access Request	Probable	Significant	Medium
Data Retention	Probable	Significant	Medium

Item	Name/date	Notes
Measures approved by:	Richard May	Integrate actions back into project plan, with date and responsibility for completion
Residual risks approved by:	Richard May	If accepting any residual high risk, consult the ICO before going ahead
DPO advice provided:	No	DPO should advise on compliance, step 6 measures and whether processing can proceed
Summary of DPO advice:		
DPO advice accepted or overruled by: If overruled, you must explain your reasons		
Comments:		
Consultation responses reviewed by: If your decision departs from individuals' views, you must explain your reasons		
Comments:		
This DPIA will kept under review by:	Alicia Mortimer	The DPO should also review ongoing compliance with DPIA