

Proposal for Data Audit

Background

????? School, as a data controller, has a number of legal responsibilities under the Data Protection Act 1998 (DPA 98).

Failure to comply with these responsibilities can result in a number of penalties being imposed by the Information Commissioners Office including a fine up to a maximum of £500,000.

Objective of Data Audit

The objective of a data audit will be to provide reasonable assurance to the head teacher and school governors based on the information provided during the audit that the school is complying with its responsibilities set out in the DPA 98.

Proposal

????? School have asked Telford & Wrekin Information Governance Team (T&W IGT) to conduct a data audit for their school. Therefore this document sets out the proposal:

- Scope of the audit to be undertaken
- Method of undertaking the data audit including expectations of the school and T&W IGT
- Duration and deadlines in relation to the audit
- Charge to be made by T&W IGT

Scope

The review undertaken by T&W IGT will cover the following areas based on the 8 legislative principles of DPA 98:

Personal data is processed fairly and lawfully – includes:

- Notification to ICO
- Fair collection notices when collecting data
- Proposed use of CCTV

Personal data is processed for a specified purpose - includes

- Data sharing
- Use of data

Personal data should be adequate, relevant and not excessive – includes:

- Records management
- Collection methods

Personal data is accurate and up to date – includes:

- Records management (areas not covered above)
- Processes in place to ensure accuracy

Personal data not kept longer than necessary – includes:

- Retention schedules
- Disposal solutions

Personal data shall be collected in accordance with data subject rights – includes:

- Arrangements for handling information requests under DPA 98 and Freedom of Information Act (FOIA) 2000
- Policies in place for DPA 98 and FOIA 2000

Appropriate technical/organisational measures in place to protect personal information – includes:

- IT controls in place
- Policies and procedures
- Physical security and access controls

Personal data shall not be transferred outside of EEA – includes:

- Review of data transfers

Method & Expectations

T&W IGT will identify the schools responsibilities under DPA 1998 and devise a self assessment document based on these responsibilities.

T&W IGT will supply School with the self assessment document which the school will be required to complete within an agreed deadline. The use of a self assessment document is intended to reduce the duration of the audit, promote ownership of the information and processes and prompt discussion and understanding within the school in relation to their data and information obligations.

T&W IGT will then:

- Review the completed self assessment
- Clarify any information included and seek information that appears to be missing
- Undertake spot checks on a selection of responses based on risk to verify answers given
- Report on areas of concern that answers provided have highlighted
- Make recommendations to the school which they will need to agree/respond to and outline target dates for completion. The recommendations will include reference to good practice materials and guidance that the school could use to improve areas of identified weakness
- T&W IGT will follow up the schools progress in respect to the implementation of the agreed recommendations detailed above after 3 – 6 months¹ of the report being agreed with the school to confirm progress and improvement

Duration and Deadlines

¹ Timescale to be agreed with the school but no more than 6 months

It is proposed that School would receive the self assessment checklist on xx/xx/xxxx.

T&W IGT would expect to receive a completed self assessment by close xx/xx/xxxx

Clarification would take place during the following two weeks xx/xx/xxxx to xx/xx/xxxx

T&W IGT would then undertake spot checks of responses w/c xx/xx/xxxx

T&W IGT would then produce a draft report and proposed recommendations to be received by School xx/xx/xxxx

A meeting to discuss the draft report and School's responses will take place during w/c xx/xx with a view to finalising the report before the Easter holidays

A follow up will be undertaken to check the progress of recommendation implementation at a mutually agreed time during XXXX – XXXX 2014.

Charges

The proposed charges are set out below (based on hourly rate of £42):

Production of a school specific self assessment – x hours @ £42

Clarification of responses, review of assessment and spot check of responses – up to x hours @ £42

Report production and internal quality review – up to x hours @ £42

Follow up assessment – x hour @ £42

Total proposed maximum charge = £xxx (subject to actual time taken which will be provided)