

# Hambleton & Richmondshire Pupil Referral Service



THE SUNBECK  
CENTRE

## Sunbeck PRS Information Security Policy

### Named personnel with designated responsibility for this policy:

Academic Year	Designated Senior Person	Nominated MC Member (if applicable)	Chair of Management Committee
2023/2024	S. Drwiega	N/A	Tom Kelly

### Policy Review Dates:

Review Date	Changes Made	By Whom	Date Shared With Staff
December 2023		S. Drwiega	Jan 2024

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## Introduction and Scope

The Information Security policy outlines The Hambleton & Richmondshire PRS' (Sunbeck Centre's) organisational security processes and standards. The policy is based on the sixth principle of the UK GDPR which states organisations must protect personal data against unauthorised loss by implementing appropriate technical and organisational measures.

To ensure we meet our legal obligations, personal data should be protected by the security model known as the 'CIA' triad. These are three key elements of information security:

- **Confidentiality** – only authorised people should have access to information.
- **Integrity** – information should be accurate and trustworthy.
- **Availability** – authorised people should have access to the information and systems they need to carry out their job.

This policy and its appendices apply to our entire workforce. This includes employees, governors or trustees, contractors, agents and representatives, volunteers and temporary staff working for, or on behalf of, the school. Individuals who are found to knowingly or recklessly infringe this policy may face disciplinary action.

The Information Security policy applies to all personal data, regardless of whether it is in paper or electronic format. It should be read alongside the other policies within our information governance policy framework, including data protection, records management, and acceptable use of systems.

## Access Control

We will maintain control over access to the personal data that we process. These controls will differ depending on the format of the data and the status of the individual accessing the data. We will maintain an audit log detailing which individuals have access to which systems (both electronic and manual). This log will be maintained by The Head Teacher.

### Manual Filing Systems

Access to manual filing systems (i.e. non-electronic systems) will be controlled by a key management system. All files that contain personal data will be locked away in lockable storage units, such as a filing cabinet or a document safe, when not in use. Keys to storage units will be stored securely. The Head Teacher will be responsible for giving individuals access to the safe place. Access will only be given to individuals who require it to carry out legitimate business functions.

### Electronic Systems

Access to electronic systems will be controlled through a system of user authentication. Individuals will be given access to electronic filing systems if required to carry out legitimate functions. A two-tier authentication system will be implemented across all electronic systems. The two tiers will be username and unique password.

Individuals will be required to regularly change their password and usernames will be suspended either when an individual is on long-term absence or when an individual leaves our employment.

Individuals should ensure they use different passwords for different systems to ensure if one system is compromised, that does not lead to other systems being accessed.

### **Software and Systems Audit Logs**

We will ensure that all major software and systems have inbuilt audit logs, wherever possible, so that we can ensure it can monitor what users have accessed and what changes may have been made. Although this is not a preventative measure it does ensure that the integrity of the data can be assured and also deters individuals from accessing records without authorisation.

### **Data Shielding**

We do not allow our workforce to access the personal data of family members or close friends. Users should declare upon employment whether they are aware of any family members or friends who are registered with us.

We will then keep paper files in a separate location (with access restricted to minimal employees) and where possible any electronic files will be locked down so that the declaring user cannot access that data.

Users who knowingly do not declare family and friends registered with us may face disciplinary proceedings and may be charged with an offence under Section 170 of the Data Protection Act 2018 (unauthorised access to information).

### **External Access**

On occasions we will need to allow individuals who are not part of our workforce to have access to systems. This could be, for example, for audit purposes, to fulfil an inspection, when agency staff have been brought in, or because of a partnership arrangement with another educational establishment. The Head Teacher, or if unavailable, the Deputy Head, is required to authorise all instances of third parties having access to systems.

We will maintain an access log, detailing who has been given access to what systems and who authorised the access.

### **Physical Security**

We will maintain high standards of physical security to prevent unauthorised access to personal data. We will maintain the following controls:

#### **Clear Desk Policy**

Individuals will not leave personal data on desks, or any other working areas, unattended and will use the lockable storage units provided to secure personal data when not in use.

#### **Alarm System**

We will maintain a security alarm system in our premises so that, when the premises are not occupied, an adequate level of security is still in operation.

## **Building Access**

External doors to the premises will be locked when the premises are not occupied. Only authorised individuals will be key holders for the building premises. The Head Teacher will be responsible for authorising key distribution and will maintain a log of key holders.

## **Internal Access**

Internal areas that are off limits to pupils and parents will be kept locked and only accessed through use of keys or electronic fobs. Keys will be kept in a secure location.

## **Visitor Control**

Visitors will be required to sign in and state their name, organisation, car registration (if applicable) and nature of business. Visitors will be escorted throughout the school and will not be allowed to access restricted areas without appropriate supervision.

## **Secure Disposal**

We will ensure that all personal data is securely disposed of in line with our Records Management Policy and retention schedule. Hard copy information will be securely destroyed by shredder or a confidential waste provider. Electronically held information will be deleted according to the retention schedule. Manual review and deletion will take place at least annually.

Redundant computer equipment will be disposed of in accordance with the Waste Electrical and Electronic Equipment (WEEE) Regulations and through secure and auditable means.

## **Environmental Security**

As well as maintaining high standards of physical security to protect against unauthorised access to personal data, we must also protect data against environmental and natural hazards such as power loss, fire, and floods.

It is accepted that these hazards may be beyond our control, but we will implement the following mitigating controls:

### **Back Ups**

The School will back up their electronic data and systems every 24 hours. These backups will be kept off site by an external provider. This arrangement will be governed by a data processing agreement. Should the School's electronic systems be compromised by an environmental or natural hazard then the School will be able to reinstate the data from the backup with minimal destruction.

### **Fire Doors**

Areas of the premises which contain paper records or core electronic equipment such as server boxes, will be fitted with fire doors so that data contained within those areas will be protected, for a period of time, against any fires that break out on the premises. Fire doors must not be propped open unless automatic door releases are installed.

### **Fire Alarm System**

We will maintain a fire alarm system at our premises to alert individuals of potential fires and so the necessary fire protocols can be followed.

## **Systems and Cyber Security**

We will protect against hazards to our IT network and electronic systems. It is recognised that the loss of, or damage to, IT systems could affect our ability to operate and could potentially endanger the safety of our pupils and workforce.

We will implement the following security controls in order to mitigate risks to electronic systems:

### **Software Download Restrictions**

Users must request authorisation from the Head Teacher before downloading software onto our IT systems. Our IT Technician will vet software to confirm its security certificate and ensure the software is not malicious. Our IT Technician will retain a list of trusted software so that this can be downloaded on to individual desktops without disruption.

### **Firewalls and Anti-Virus Software**

We will ensure that the firewalls and anti-virus software is installed on electronic devices and routers. We will update the firewalls and anti-virus software when updates are made available and when advised to do so by our IT Technician. We will review our firewalls and anti-virus software on an annual basis and decide if they are still fit for purpose. We will ensure that updates and patches are applied when they are available to ensure any security weaknesses are addressed as soon as they are known.

### **Shared Drives**

We maintain a shared drive on our servers. Whilst users are encouraged not to store personal data on the shared drive it is recognised that on occasion there will be a genuine business requirement to do so.

The shared drive will have restricted areas that only authorised users can access. The Head Teacher will be responsible for designating shared drive access rights to users. Information held within the shared drives will still be subject to our retention schedule.

### **Phishing Emails**

In order to avoid our computer systems from being compromised through phishing emails, users are encouraged not to click on links that have been sent to them in emails when the source of that email is unverified. Employees will also take care when clicking on links from trusted sources in case those email accounts have been compromised. Users will check with our IT Technician if they are unsure about the validity of an email and must immediately inform our IT Technician if they have clicked on a suspicious link. We will ensure staff have received adequate training to be able to recognise such emails.

## Communications Security

The transmission of personal data is a key business need and, when operated securely is a benefit to us and pupils alike. However, data transmission is extremely susceptible to unauthorised and/or malicious loss or corruption. We have implemented the following transmission security controls to mitigate these risks:

### **Sending personal data by post**

When sending personal data, excluding special category data, by post, we will use Royal Mail's standard postal service. Individuals will double check addresses before sending and will ensure that the sending envelope does not contain any data which is not intended for the data subject.

### **Sending special category data by post**

When sending special category data by post we will use Royal Mail's 1<sup>st</sup> Class Recorded postal service. Individuals will double check addresses before sending and will ensure that the sending envelope does not contain any data which is not intended for the data subject. If the envelope contains information that is thought to be particularly sensitive, individuals are advised to have the envelope double checked by a colleague.

### **Sending personal data by email**

We will only send personal data and special category data by email if using a secure email transmission portal, such as Egress.

Individuals will always double check the recipient's email address to ensure that the email is being sent to the intended individual(s). Use of autocomplete should be strongly discouraged.

When sending emails to a large number of recipients, such as a mail shot, or when it would not be appropriate for recipients to know each other's email addresses then we will utilise the Blind Copy (BCC) function.

### **Exceptional Circumstances**

In exceptional circumstances we may wish to hand deliver, or use a direct courier, to ensure safe transmission of personal data. This could be because the personal data is so sensitive that the usual transmission methods would not be considered secure, or because the volume of the data that needs to be transmitted is too big for usual transmission methods.

## Data Breaches

Article 33 of the UK GDPR requires data controllers to report breaches of personal data to the Information Commissioner's Officer; and sometimes the affected data subject(s), within 72 hours of discovery if the incident is likely to result in a risk to the rights and freedoms of the data subject(s).

All actual and suspected breaches of security or confidentiality are to be reported in accordance with the Data Breach Procedure set out in Appendix One of this document.

## **Business Continuity**

We will ensure that we have a business continuity plan in place to ensure we can continue normal business in the event of a security incident. We will ensure that a process is documented for what to do, who to call and what the priorities are in the event of a disaster.

We obtain appropriate insurances, namely the RPA scheme, which includes cyber security cover, to ensure we can cover the costs of a serious cyber event.



## **Appendix One – Data Breach Procedure**

### **Introduction**

To enable us to report serious incidents to the ICO within 72 hours it is vital that we have a robust system in place to manage, contain, and report such incidents.

This procedure has been written to govern our management of data breaches.

### **Roles and Responsibilities**

Single Point of Contact (SPOC) – Careers & Guidance Manager/Senior Administrator

Senior Information Risk Owner (SIRO) – Head Teacher

Information Asset Owner (IAO) – as detailed in the Information Asset Register.

Data Protection Officer (DPO) – Veritau.

### **Immediate Actions (within 24 hours)**

If any member of the workforce is made aware of an actual data breach, or an information security event (a 'near-miss'), they must report it to their line manager and the Single Point of Contact (SPOC) within 24 hours. If the SPOC is not at work at the time of the notification, their nominated deputy would need to start the investigation process.

If the breach has the potential to have serious or wide-reaching detriment to data subjects, then the Data Protection Officer must be contacted within this 24-hour period.

If appropriate, the individual who discovered the breach, or their line manager, will make every effort to retrieve the information and/or ensure recipient parties do not possess a copy of the information.

### **Assigning Investigation (within 48 hours)**

Once received, the SPOC will assess the data protection risks and determine the severity rating using the Risk Matrix. An Investigation Report should also be completed.

The SPOC will notify the Senior Information Risk Owner (SIRO) and the relevant Information Asset Owner (IAO) that the breach has taken place. The SPOC will recommend immediate actions that need to take place to contain the incident.

The IAO will assign an officer to investigate any near misses, very low, low and moderate incidents. High or very high incidents will be investigated by the SPOC or SIRO, with assistance from the Data Protection Officer (DPO).

### **Reporting to the ICO/Data Subjects (within 72 hours)**

The SIRO, in conjunction with the relevant manager, SPOC, IAO and DPO will decide whether the incident needs to be reported to the ICO, and whether any data subjects need to be informed. The relevant member of staff/IAO will be responsible for liaising with data subjects and the DPO for liaising with the ICO.

## Investigating and Concluding Incidents

The SPOC will ensure that all investigations have identified all potential information risks and that remedial actions have been implemented.

When the DPO has investigated a data breach, the SIRO must sign off the investigation report and ensure recommendations are implemented.

The SIRO will ensure all investigations have been carried out thoroughly and all highlighted information security risks addressed.

All incidences should be recorded on our Data Breach Log, along with the outcome of the investigation.

DPO contact details:

Schools Data Protection Officer  
Veritau  
West Offices  
Station Rise  
York  
North Yorkshire  
YO1 6GA

[schoolsDPO@veritau.co.uk](mailto:schoolsDPO@veritau.co.uk) // 01904 554025



Rating	Incident Threshold	Recommended Actions
<p><b>WHITE</b></p> <p><b>Information Security Event</b></p>	<p>No breach of confidentiality, integrity, or availability has taken place but there is a failure of the implemented safeguards that could lead to a breach in the future.</p> <p><i>Examples</i></p> <ul style="list-style-type: none"> <li>▪ A post-it note containing a user name and password to a School database is found attached to a keyboard.</li> <li>▪ A key safe, containing keys to filing cabinets, has been found unlocked and unsupervised.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Responsible officer(s) spoken to by management and reminded of data protection responsibilities. If repeated offence management to consider HR action.</li> <li>▪ Logged on school register of incidents</li> </ul>
<p><b>GREEN</b></p> <p><b>Minimal Impact Incident</b></p>	<p>The School's security measures have failed and have consequently resulted in a breach of confidentiality, integrity, or availability.</p> <p>Incident has been contained within the organisation (or trusted partner organisation).</p> <p>The information does not contain any special category data or any data that would be considered to be sensitive.</p> <p>The actual or potential detriment to individuals is virtually non-existent.</p> <p><i>Examples</i></p> <ul style="list-style-type: none"> <li>▪ An email, containing details of a service user's address or contact details, is sent to an incorrect recipient within the School.</li> <li>▪ A document containing the only record of pupil's contact details have been destroyed in error.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Responsible officer(s) spoken to by management and reminded of data protection responsibilities. If repeated offence management to consider HR action.</li> <li>▪ Logged on school register of incidents</li> <li>▪ Notify SIRO</li> <li>▪ Investigation report to be conducted by Information Asset Owner.</li> </ul>
<p><b>AMBER</b></p> <p><b>Moderate Impact Incident</b></p>	<p>The School's security measures have failed and have consequently resulted in a breach of confidentiality, integrity, or availability.</p> <p>The information has left school control.</p> <p>The information does not contain special category data or data that is considered to be sensitive but may contain data that should have been confidential to the School.</p> <p>The incident appears to affect only a small number of individuals.</p> <p>The actual or potential detriment is limited in impact and does not reach the threshold for reporting to the Information Commissioner's Office.</p> <p><i>Examples</i></p> <ul style="list-style-type: none"> <li>▪ A letter is sent to the wrong postal address and the incorrect recipient has learnt of another individual's dealings with the School. However, the letter does not contain any special category information.</li> <li>▪ An email has been sent to ten parents without the BCC function being utilised which reveals all ten personal email addresses.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Responsible officer(s) asked to re-sit Data Protection e-learning. Management to consider HR action.</li> <li>▪ Consider utilising key messages/intranet to remind all staff of certain data protection best practice.</li> <li>▪ Logged on School register of incidents</li> <li>▪ Notify SIRO</li> <li>▪ Investigation report to be conducted by Information Asset Owner .</li> </ul>
<p><b>RED</b></p> <p><b>Serious Impact Incident</b></p>	<p>The School's security measures have failed and have consequently resulted in a breach of confidentiality, integrity, or availability.</p> <p>The information has left school control.</p>	<ul style="list-style-type: none"> <li>▪ Management to consider (potentially immediate) HR action.</li> </ul>

	<p>The information contains special category data or data that is considered to be sensitive in nature and/or affects a large number of individuals.</p> <p>The incident has or is likely to infringe on the rights and freedoms of an individual and has a likely potential to cause detriment (emotional, financial, or physical damage) to individuals.</p> <p><i>Examples</i></p> <ul style="list-style-type: none"> <li>▪ A file, containing safeguarding and health data, is left unsupervised in a vehicle which is subsequently stolen and the data has been lost to persons unknown.</li> <li>▪ A spreadsheet containing the SEN information for all the School's pupils has been mistakenly sent to a member of the public.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Logged on school register of incidents</li> <li>▪ Notify SIRO and Data Protection Officer</li> <li>▪ Consider forming an incident strategy conference</li> <li>▪ Consider reporting to the Information Commissioner's Office</li> <li>▪ Consider informing affected individual(s)</li> <li>▪ Consider informing the police or other law enforcement agencies.</li> <li>▪ Where appropriate the Data Protection Officer to conduct incident investigation with assistance (where and if required) from internal audit and counter fraud colleagues.</li> </ul>
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## **Appendix Two – Remote Working Policy**

### **Introduction**

On some occasions our workforce may need to work at home or remotely. Where this is the case, the workforce will adhere to the following controls:

### **Lockable Storage**

Individuals will ensure they have lockable storage to keep personal data and our equipment safe from loss or theft. If the individual does not have access to lockable storage, they may apply to the school for assistance in purchasing such storage.

Individuals must not keep personal data or our equipment unsupervised at home for extended periods of time (during periods of annual leave).

Individuals must not keep personal data or our equipment in cars if unsupervised.

### **Private Working Area**

Individuals must not work with personal data in areas where other individuals could potentially view or even copy the personal data (for example on public transport).

Individuals should also take care to ensure that other household members do not have access to personal data and do not use our equipment for their own personal use.

### **Trusted Wi-Fi Connections**

Individuals will only connect their devices to trusted Wi-Fi connections and will not use 'free public Wi-Fi' or 'Guest Wi-Fi'. This is because such connections are susceptible to malicious intrusion.

When using home Wi-Fi networks individuals should ensure that they have appropriate anti-virus software and firewalls installed to safeguard against malicious intrusion. If in doubt, assistance should be sought from our IT provider.

### **Encrypted Devices and Email Accounts**

Individuals will only use encrypted devices issued by ourselves to access school data, unless authorised by the SIRO in accordance with the acceptable use policies.

Individuals will not use personal email accounts to access or transmit school related personal data. Individuals must only use school issued, or school authorised, email accounts.

### **Data Removal and Return**

Individuals will only take personal data away from our premises if this is required for a genuine business need. Individuals will take care to limit the amount of data taken

away from the premises and will ensure that all data is returned to our premises either for re-filing or for safe destruction. Individuals will not destroy data away from the premises as safe destruction cannot be guaranteed.