



**Dundalk Institute of Technology**

**Compliance Policy**

**Version 1.0.4**

## Document Location

..\DkIT\_Policy\_Documents\Policies

## Revision History

Date of this revision: 24/09/2018	Date of next review:
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Version Number/Revision Number	Revision Date	Summary of Changes	Changes marked
v1.0.0	20/5/13	Version 1.0 release	
v1.0.1	10/09/15	Annual review of document include reference to logical, remote & physical access documents, noting new official titles	
v1.0.2	23/03/18	Review document for GDPR	

## Consultation History

Version Number/Revision Number	Consultation Date	Names of Parties in Consultation	Summary of Changes
V1.0.0	09/01/14	James McCahill, Peter McGrath Michael Denihan Linda Murphy Loretto Gaughran	Create Policy Document for DkIT
V1.0.1	10/09/15	James McCahill, Peter McGrath Michael Denihan	Annual review
V1.0.2	04/09/18	James McCahill, Loretto Gaughran	Review document for GDPR go-live on 25-May-2018 Roles and Responsibilities
V1.0.3	24/09/18	James McCahill, Michael Denihan	Review document for approval
V1.0.4	4/10/18	James McCahill, Loretto Gaughran	Get Legal Opinion in respect of this being a collegewide compliance document; Review document for approval

## Approval

This document requires the following approvals:

Name	Title	Date
Governing Body Finance and Risk Committee	M.F. 186.7 Review of IT Policies for GDPR Compliance	12-Mar-2019
Governing Body	Meeting Ref No:G.257.5	7th May, 2019

**This Policy was noted by the Governing Body on 7<sup>th</sup>-May-2019. It shall be reviewed and, as necessary, amended by the Institute annually. All amendments shall be recorded on the revision history section above.**

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# 1 Overview

This policy provides direction to Dundalk Institute of Technology staff, students and external parties on what they need to comply with for Dundalk Institute of Technology to maintain overall legal and statutory compliance and to maintain the good reputation and standing for Dundalk Institute of Technology.

# 2 Purpose

The purpose of this policy is to provide an awareness / direction to Dundalk Institute of Technology staff, students and external parties on what they need to comply with to operate within and maintain overall legal and statutory compliance and to maintain the good reputation and standing of Dundalk Institute of Technology

# 3 Roles and Responsibilities

The following roles and responsibilities apply in relation to this Policy:

<b>Governing Body</b>	To review and approve the policy on a periodic basis.
<b>Senior Leadership Team</b>	The Senior Leadership Team is responsible for the internal controls of Dundalk Institute of Technology, an element of which is the retention of records used in the decision-making process for key decisions in order to demonstrate best practice and the assessment of risk. The SLT is responsible for: <ul style="list-style-type: none"><li>• Reviewing and approving this Policy and any updates to it as recommended by the Data Protection Officer.</li><li>• Ensuring ongoing compliance with GDPR in their respective areas of responsibility.</li><li>• Ensuring oversight of data protection issues either through their own work or a Data Protection Oversight Committee or other governance arrangement.</li></ul>
<b>IT Manager</b>	<ul style="list-style-type: none"><li>• To define and implement standards and procedures which allows the institute's users access to IT resources while cognisant of the Compliance Policy.</li><li>• To oversee, in conjunction with data owners, compliance with the policy and supporting standards and procedures.</li><li>• To inform the Vice President for Financial and Corporate Affairs of suspected non-compliance and/or suspected breaches of the policy and supporting standards and procedures.</li></ul>
<b>Data Protection Officer</b>	<ul style="list-style-type: none"><li>• To provide advice on appropriate classification of data.</li></ul>

	<ul style="list-style-type: none"> <li>• To act as a liaison/advisory in conjunction with the data owner.</li> <li>• To lead the data protection compliance and risk management function, with responsibility for advising how to comply with applicable privacy legislation and regulations, including the GDPR</li> <li>• To advise on all aspects of data protection and privacy obligations.</li> <li>• To monitor and review all aspects of compliance with data protection and privacy obligations.</li> <li>• To act as a representative of data subjects in relation to the processing of their personal data.</li> <li>• To report directly on data protection risk and compliance to executive management.</li> </ul>
<b>HR Office and Vice President of Academic Affairs</b>	<ul style="list-style-type: none"> <li>• To follow relevant and agreed disciplinary procedures when HR or Vice President of Academic Affairs Office is informed of a potential breach of the Policy (Refer to Section 9).</li> <li>• To manage the disciplinary process.</li> <li>•</li> </ul>
<b>Staff/Students/External Parties</b>	<ul style="list-style-type: none"> <li>• To adhere to policy statements in this document.</li> <li>• To report suspected breaches of policy to their Head of Department and/or Data Protection Officer.</li> </ul>

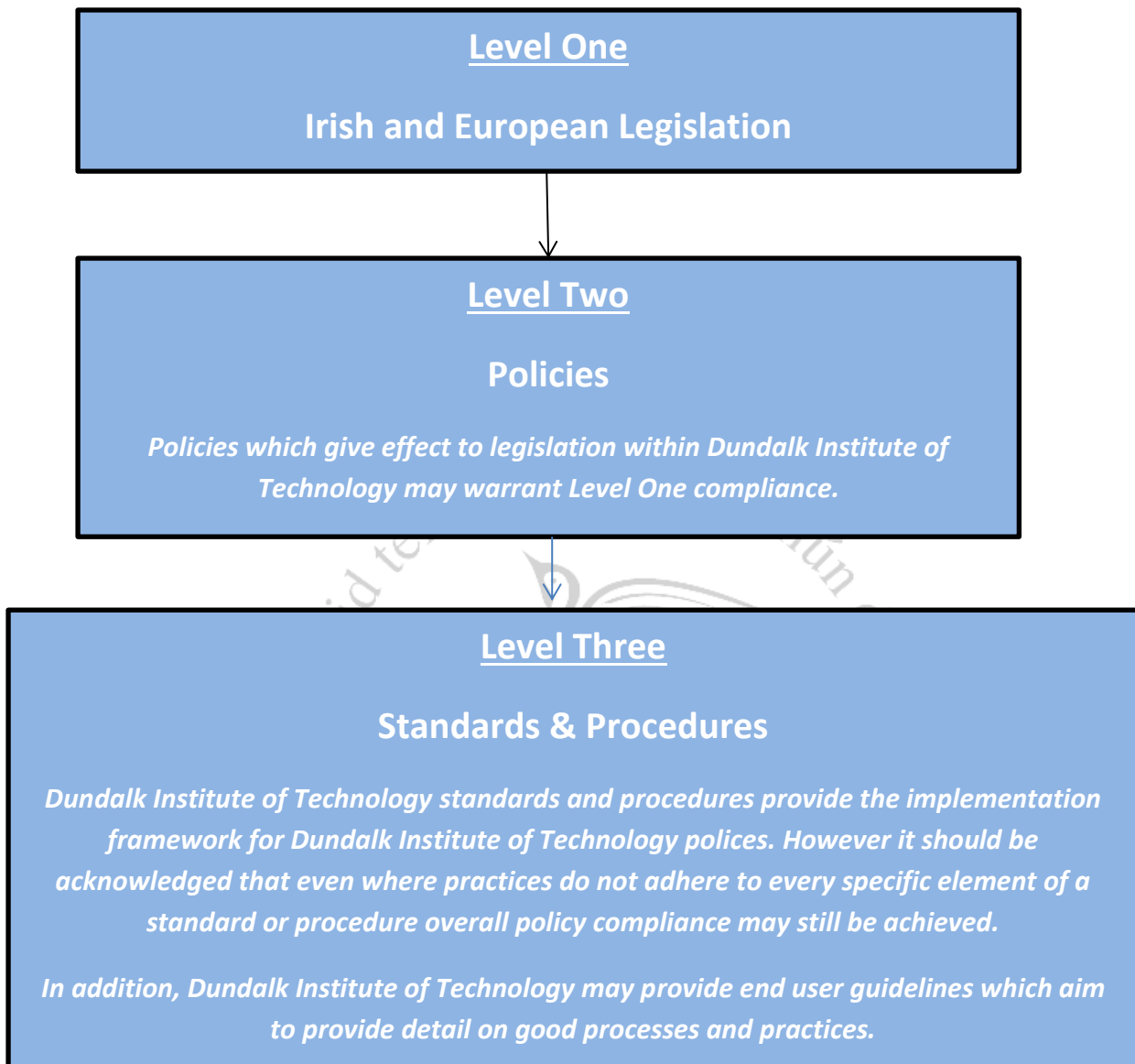
If you have any queries on the contents of this Policy, please contact the Senior Leadership Team or Data Protection Officer.

## 4 Scope

This policy applies to:

- Any person who is employed by Dundalk Institute of Technology who receives, handles or processes data during their employment.
- Any student of Dundalk Institute of Technology who receives, handles, or processes data in the course of their studies for administrative, research or any other purpose.
- Third party companies (data processors) that receive, handle, or process data on behalf of Dundalk Institute of Technology.

## 5 Hierarchy of Compliance



## 6 Legislation Index

Staff, students and external parties have an obligation to abide by all Irish legislation and relevant legislation of the European Community. All Staff, Students and External parties of the Dundalk Institute of Technology resources and data must ensure that they are fully aware of and understand any of the relevant legislation, which applies to IT resources or data assigned to them.

This index of legislation is not a full statement of all applicable laws but is an indication of the areas where compliance is required when processing information and disseminating it through Dundalk Institute of Technology information systems.

Relevant legislation includes but is not limited to:

LEGISLATION	LINK TO POLICY
Health and Safety Act, 1989	<a href="http://www.irishstatutebook.ie/2005/en/act/pub/0010/">http://www.irishstatutebook.ie/2005/en/act/pub/0010/</a>
Criminal Damages Act,1991	<a href="http://www.irishstatutebook.ie/1991/en/act/pub/0031/index.html">http://www.irishstatutebook.ie/1991/en/act/pub/0031/index.html</a>
Freedom of Information Act 1997	<a href="http://www.irishstatutebook.ie/1997/en/act/pub/0013/index.html">http://www.irishstatutebook.ie/1997/en/act/pub/0013/index.html</a>
Non-Fatal Offences Against the Person Act, 1997	<a href="http://www.irishstatutebook.ie/1997/en/act/pub/0026/index.html">http://www.irishstatutebook.ie/1997/en/act/pub/0026/index.html</a>
Child Trafficking and Pornography Act,1998	<a href="http://www.irishstatutebook.ie/1998/en/act/pub/0022/index.html">http://www.irishstatutebook.ie/1998/en/act/pub/0022/index.html</a>
Intellectual Property (Miscellaneous Provisions) Act 1998	<a href="http://www.irishstatutebook.ie/1998/en/act/pub/0028/index.html">http://www.irishstatutebook.ie/1998/en/act/pub/0028/index.html</a>
Data Protection Act, 1988	<a href="http://www.irishstatutebook.ie/1988/en/act/pub/0025/index.html">http://www.irishstatutebook.ie/1988/en/act/pub/0025/index.html</a>
Employment Equality Act 1998	<a href="http://www.irishstatutebook.ie/1998/en/act/pub/0021/index.html">http://www.irishstatutebook.ie/1998/en/act/pub/0021/index.html</a>
Electronic Commerce Act, 2000	<a href="http://www.irishstatutebook.ie/2000/en/act/pub/0027/index.html">http://www.irishstatutebook.ie/2000/en/act/pub/0027/index.html</a>
Copyright and Related Rights Act, 2000	<a href="http://www.irishstatutebook.ie/2000/en/act/pub/0028/index.html">http://www.irishstatutebook.ie/2000/en/act/pub/0028/index.html</a>
eCommerce Directive(2000/31/EC)	<a href="http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2000:178:0001:0001:EN:PDF">http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2000:178:0001:0001:EN:PDF</a>
European Communities (Data Protection) Regulations, 2001	<a href="http://www.dataprotection.ie/documents/legal/6si626-01.htm">http://www.dataprotection.ie/documents/legal/6si626-01.htm</a>
European Communities (Data Protection and Privacy in Telecommunications) Regulations	<a href="http://www.dataprotection.ie/documents/legal/SI336of2011.pdf">http://www.dataprotection.ie/documents/legal/SI336of2011.pdf</a>
2002 Data Protection EU Directive 95/46/EC	<a href="http://www.irishstatutebook.ie/2003/en/si/0131.html">http://www.irishstatutebook.ie/2003/en/si/0131.html</a>
Data Protection (Amendment) Act 2003	<a href="http://www.irishstatutebook.ie/2003/en/act/pub/0006/index.html">http://www.irishstatutebook.ie/2003/en/act/pub/0006/index.html</a>
Official Languages Act 2003	<a href="http://www.irishstatutebook.ie/eli/2003/act/32/enacted/en/html">http://www.irishstatutebook.ie/eli/2003/act/32/enacted/en/html</a>



Regulations entitled European Communities (Directive 2000/31/EC) Regulations 2003 (S.I No. 68 of 2003)	<a href="http://www.irishstatutebook.ie/2003/en/si/0068.html">http://www.irishstatutebook.ie/2003/en/si/0068.html</a>
GDPR - REGULATION (EU) 2016/679 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 27 April 2016	<a href="http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32016R0679&amp;qid=1490179745294&amp;from=en">http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32016R0679&amp;qid=1490179745294&amp;from=en</a>
Data Protection Office GDPR Page	<a href="https://dataprotection.ie/docs/GDPR/1623.htm">https://dataprotection.ie/docs/GDPR/1623.htm</a>
GDPR and You information site	<a href="http://gdprandyou.ie/">http://gdprandyou.ie/</a>

## 7 Index of Policies

Staff, students and external parties have an obligation to abide by all Dundalk Institute of Technology polices including but not limited to:

- Dundalk Institute of Technology Information Security Policy;
- Dundalk Institute of Technology Acceptable Usage Policy;
- Dundalk Institute of Technology Code of Conduct;
- Dundalk Institute of Technology Student Regulations;
- Dundalk Institute of Technology Grievance and disciplinary procedures;
- Dundalk Institute of Technology Data Governance Policy;
- Dundalk Institute of Technology Wireless Policy;
- Dundalk Institute of Technology Outsourcing/Third Party Access Policy.
- Dundalk Institute of Technology Logical Access Policy
- Dundalk Institute of Technology Physical Access Policy
- Dundalk Institute of Technology Remote Access Policy

In addition, there can be external policies which Dundalk Institute of Technology must abide by including:

- HEAnet Acceptable Use Policy: <http://www.heanet.ie/about/aup>

## 8 Index of Standards and Procedures

- Dundalk Institute of Technology Password standard;
- Dundalk Institute of Technology User Administration procedure;
- Dundalk Institute of Technology Change management procedure;
- Dundalk Institute of Technology Data backup and monitoring procedure; (Under development)
- Dundalk Institute of Technology Anti-Virus scanning and protection procedure;
- Dundalk Institute of Technology End User Guidelines;
- Dundalk Institute of Technology Disaster recovery plan. (Under development)

## **9 Policy Violation**

Contravention of any of the above policy will lead to the removal of Dundalk Institute of Technology resource privileges and can lead to disciplinary action in accordance with the Dundalk Institute of Technology disciplinary procedures.

