IT Services Policy

DG03 – Third Party Access to Information

Previously Known as: Confidentiality Agreement SOP
Prepared by: <Shelim Miah>
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Reviewers: Kris Bush, Head of Business Support Services  
Henrick Brogger, Head of Service Delivery  
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Bahar Shahin, Head of Procurement  
David Boakes, Assistant Director IT Operations

Policy Owner: Rhys Davies, Chief Information Officer

Previous name & number: DG03 Confidentially Agreement

Revision History

<table>
<thead>
<tr>
<th>Version</th>
<th>Description</th>
<th>Author</th>
<th>Date</th>
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<tr>
<td>1</td>
<td>Initial version.</td>
<td>Nick Good</td>
<td>18/08/2010</td>
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<tr>
<td>1.1</td>
<td>Annual Review – some re-wording</td>
<td>Kris Bush</td>
<td>11/07/2014</td>
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<tr>
<td>1.2</td>
<td>Added appendix B for contractors to sign CDA</td>
<td>Shelim Miah</td>
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<td>1.3</td>
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<td>Shelim Miah</td>
<td>22/03/2016</td>
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Authorisation:

<table>
<thead>
<tr>
<th>Name / Position</th>
<th>Rhys Davies, Chief Information Officer</th>
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<tbody>
<tr>
<td>Signature</td>
<td>Rhys Davies</td>
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<tr>
<td>Date</td>
<td>28.05.18</td>
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1 Policy Statement

1.1 This policy ensures that anyone who has the ability to access QMUL information complies with legislation and best practice guidelines and is aware of the conditions of their access.

1.2 The Policy aims to:
   - Outline the expectations of individuals accessing QMUL owned information.
   - Ensure QMUL information is controlled and is used for the purpose it was intended for
   - Ensure QMUL information is accessed by those who are authorised to do so
   - Outline roles & responsibilities
   - Enhance Communications

2 Scope

2.2 This policy applies to consultants, third party suppliers, contractors, temps and visitors, who will need to sign an individual CDA or that their access to information is covered by a CDA (e.g. signed on their behalf by their employer). This must happen before gaining access to any QMUL information held in physical or electronic form, e.g. information that would enable them to tender for a contract. Such information includes, but is not limited to, IT network or system setup and related procedures.

2.3 It should be noted that all staff, including those on honorary contracts, and students will already have signed CDAs as part of their employment or educational contracts. There is therefore no need for these individuals to sign additional CDAs.

3 Policy Detail

3.1 A senior member of QMUL staff must take personal responsibility for maintaining confidentiality of information provided to third parties.

3.2 When contracting an external company, i.e. contract staff or other information related services (including information held in paper formats) the Procuring Officer or senior staff member of QMUL must make the company aware of QMUL’s confidentiality policy. Refer to DG04 – Contracting for IT Services.

3.3 The Procuring Officer or senior staff member of QMUL will, in the first instance, check whether the external supplier has an existing CDA and if not, or where there is uncertainty, a copy of the standard confidentiality agreement can be sent for signing. See Appendix A for an outline CDA. If required, a more detailed CDA can be drafted with the assistance of the QMUL Procurement department.

3.4 The CDA must be signed by a senior staff member of QMUL with sufficient seniority to ensure that these terms are met.

3.5 Only once a signed copy of the CDA has been received, and placed on file; the supplier may be provided with a work specification or any details of QMUL’s information systems.
3.6 Information supplied by QMUL must be stored in a secure environment at all times (e.g. in a locked cupboard). Where stored electronically, the QMUL recommended encryption is employed where possible. Refer to DG12 – Cryptographic Controls.

3.7 Where Confidential or Restricted data (as defined in DG09 – Information Classification) is to be transferred across the Internet, or by removable media, encryption must be employed. Refer to DG12 – Cryptographic Controls and DG15 – Handling Information.

3.8 Contractors must only have access to information on a need to know basis in order to carry out agreed tasks.

3.9 The information shall only be used for the purpose for which it is supplied.

3.10 Information supplied must not be disclosed to any other organisation or individual without the prior written consent of the senior staff member of QMUL.

3.11 Once the task has been completed, the original information must be returned to the responsible senior staff member of QMUL as soon as possible. The third party without the approval of the senior staff member shall retain no copies of the information.

4 Process and Procedures
4.1 The associated processes and guidance documents can be found by visiting the ITS webpage.

5 Roles & Responsibility
5.1 The Risk and Governance Manager will be responsible for initiating the review cycle for the policy, process document owner to carry out the review. The Document owner will assess and incorporate any comments or feedback received.

5.2 Once the document has been updated, the Risk and Governance Manager will take the document to the appropriate board for approval. All approved documentation are to be stored in a central repository and uploaded to the web where applicable.

6 Monitoring
6.1 It is mandatory for consultants, third party suppliers, contractors, temps and visitors, to comply with this IT Policy and any associated procedure. Where non-compliance is identified, ITS will take appropriate action, which may result in escalation to senior management for action to be taken.

6.2 Checks will be made by the Risk and Governance Manager and the findings will be reported to the IT Lead Team (ITLT) in the first instance for corrective actions to be issued.

6.3 The AD of IT Operations, in conjunction with the Risk & Governance Manager, is responsible for the monitoring, revision and updating of this policy.
7 Exceptions

7.1 In the event of an exception that is not addressed by this policy, the matter will be firstly referred to the ITLT via the Assistant Director for IT Operations.

7.2 The ITLT will then make a decision or refer this to the IT Strategy Board (ITSB) for further guidance as necessary.

8 References

- SOP DG03 – Confidentiality Agreement Standard Operating Procedures
- SOP DG04 – Contracting for IT Services
- SOP DG09 – Information Classification
- SOP DG12 – Cryptographic Controls
- SOP DG15 – Handling Information
- QMUL’s published Confidentiality and Procurement Policies (including the Statement of Confidentiality).
# Appendix A – Definitions

<table>
<thead>
<tr>
<th>Term</th>
<th>Meaning</th>
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<tbody>
<tr>
<td>QMUL</td>
<td>Queen Mary University of London</td>
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<tr>
<td>CDA</td>
<td>Confidentiality Non-Disclosure Agreement – in which information is released to the signee who agrees to protect and use the information in accordance to the agreed terms.</td>
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<tr>
<td>JANET</td>
<td>Joint Academic Network, the organisation the provides QMUL with Internet connectivity</td>
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<tr>
<td>ITS</td>
<td>IT Services</td>
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<tr>
<td>Users:</td>
<td>All Students, Staff or otherwise authorised users of QMUL IT Systems and Services</td>
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<tr>
<td>BYOD</td>
<td>Bring Your Own Device refers to users using their own device (which is not owned or provided to you by QMUL) to access and store QMUL information, whether at the place of work or remotely, typically connecting to the QMUL’s Wireless Service.</td>
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<tr>
<td>Data Controller</td>
<td>The Data Controller is a person, group or organisation (in this case QMUL) who determines the purposes for which and the manner in which any personal data are, or are to be, processed.</td>
</tr>
<tr>
<td>User</td>
<td>A member of staff, enrolled student, contractor, visitor, or another (any other) person authorised to access and use QMUL’s systems.</td>
</tr>
<tr>
<td>ITLT</td>
<td>IT Lead Team – Team of Senior Managers consisting of the Assistant Directors of IT, Faculty Relationship Managers and Chaired by the IT Director.</td>
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<tr>
<td>ITSB</td>
<td>IT Strategy Board – Team of Executive Managers consisting of Vice Principals and the IT Director, who oversee the delivery of the IT Strategy.</td>
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<tr>
<td>Account Sponsor</td>
<td>Can be a line manager or person of authority that is responsible and accountable for an IT Account that has been issued.</td>
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CONFIDENTIALITY UNDERTAKING

1) We [____________________] (the Receiving Organisation) acknowledge that Queen Mary, University of London (QMUL) has agreed to provide or otherwise disclose information on QMUL owned Intellectual Property in relation to [____________________] (the role/Project) and that this information is confidential to QMUL.

2) The Receiving Organisation agrees that, in respect of all such Information/Material received or obtained by it from QMUL (“the information”), the Information/Material remains the property of QMUL and that the Receiving Organisation will:

   i) treat the Information/Material as confidential and apply no lesser security measures to the Information/Material than that party applies to its own confidential information;
   
   ii) not disclose the Information/Material to any third party without the prior written consent of QMUL.
   
   iii) use the Information/Material solely for the purpose of the business activities set out in 1 above;
   
   iv) hand over to QMUL all documents, copies and notes exchanged between the parties to the extent that they contain the Information/Material, within one month of receipt of a written request from QMUL.

3) The Receiving Organisation further agrees that: the requirements of paragraph (2) shall not apply to any part of the Information/Material which:

   i) is in or comes into the public domain without breach of this undertaking by such party;
   
   ii) is lawfully received by the Receiving Organisation from a third party without breach by the Receiving Organisation or such third party of an obligation of confidence towards QMUL;
   
   iii) can be shown to have been in the lawful possession of the Receiving Organisation prior to receipt from QMUL or to have been developed by or for the receiving organisation at any time independently of any disclosure by QMUL;
4) With respect to the Information/Material, this Undertaking replaces any previous agreement or understanding, whether written or oral, between the Receiving Organisation and QMUL.

5) This agreement is subject to the Laws and Jurisdiction of the English Courts.

SIGNED for and on behalf of
Queen Mary, University of London

________________________________________
Authorised signatory

________________________________________
Title

________________________________________
Date

SIGNED  for and on behalf of

________________________________________
Authorised signatory

________________________________________
(The Receiving Organisation) Title

________________________________________
Date
CONFIDENTIALITY UNDERTAKING

1) I [ ] (the Receiving Contractor/Temporary Staff) acknowledge that Queen Mary, University of London (QMUL) has agreed to provide or otherwise disclose information on QMUL owned Intellectual Property in relation to [ ] (the role) and that this information is confidential to QMUL.

2) The Receiving Contractor agrees that, in respect of all such Information/ Material received or obtained by it from QMUL (“the information”), the Information/ Material remains the property of QMUL and that the Receiving Contractor/Temporary Staff will:

   i) treat the Information/Material as confidential and apply no lesser security measures to the Information/Material than that party applies to its own confidential information;

   ii) not disclose the Information/Material to any third party without the prior written consent of QMUL.

   iii) use the Information/Material solely for the purpose of the business activities set out in 1 above;

   iv) hand over to QMUL all documents, copies and notes exchanged between the parties to the extent that they contain the Information/ Material, within one month of receipt of a written request from QMUL.

3) The Receiving Contractor/Temporary Staff further agrees that: the requirements of paragraph (2) shall not apply to any part of the Information/Material which:

   i) is in or comes into the public domain without breach of this undertaking by such party;

   ii) is lawfully received by the Receiving Contractor/Temporary Staff from a third party without breach by the Receiving Contractor/Temporary Staff or such third party of an obligation of confidence towards QMUL;

   iii) can be shown to have been in the lawful possession of the Contractor/Temporary Staff prior to receipt from QMUL or to have been developed by or for the receiving Contractor/Temporary Staff at any time independently of any disclosure by QMUL;
4) With respect to the Information/Material, this Undertaking replaces any previous agreement or understanding, whether written or oral, between the Receiving Contractor/Temporary Staff and QMUL.

5) This agreement is subject to the Laws and Jurisdiction of the English Courts.

SIGNED for and on behalf of
Queen Mary, University of London

____________________________________
Authorised signatory

____________________________________
Title

____________________________________
Date

SIGNED by the
Contractor/Temporary Staff

____________________________________
Signature

____________________________________
(Contractor/Temporary Staff)

____________________________________
Title

____________________________________
Date