

Appropriate Policy Document

The Data Protection Act 2018 (DPA 2018) outlines the requirement for an Appropriate Policy Document (APD) to be in place when processing special category (SC) and criminal offence (CO) data under certain specified conditions.

Almost all of the substantial public interest conditions in Schedule 1 Part 2 of the DPA 2018, plus the condition for processing employment, social security and social protection data, require you to have an APD in place. (See Schedule 1 paragraphs 1(1)(b) and 5).

This document should demonstrate that the processing of SC and CO data based on these specific Schedule 1 conditions is compliant with the requirements of the General Data Protection Regulation (GDPR) Article 5 principles. In particular, it should outline your retention policies with respect to this data. (See Schedule 1 Part 4).

If you process SC or CO data for a number of different purposes you do not need a separate policy document for each condition or processing activity – one document can cover them all. You may reference policies and procedures which are relevant to all the identified processing. Whilst you may explain your compliance with the principles in general terms, without specific reference to each individual Schedule 1 condition you have listed, you should provide the data subject with sufficient information to understand how you are processing their SC or CO data and how long you will retain it for.

However if you rely on one of these conditions, your general record of processing activities under GDPR Article 30 must include:

- (a) the condition which is relied upon;
- (b) how the processing satisfies Article 6 of the GDPR (lawfulness of processing); and
- (c) whether the personal data is retained and erased in accordance with the retention policies outlined in this APD, and if not, the reasons why these policies have not been followed.

The APD therefore complements your general record of processing under Article 30 of the GDPR and provides SC and CO data with further protection and accountability. See Schedule 1 Part 4 paragraph 41.

You must keep the APD under review and will need to retain it until six months after the date you stop the relevant processing. If the Commissioner asks to see it, you must provide it free of charge. See Schedule 1 Part 4 paragraph 40.

You should read this document alongside our [Guide to the GDPR](#).

Note your APD does not have to be structured in accordance with this document. This template is intended as a guideline only.

Description of data processed

Give a brief description of each category of SC/CO data processed. You may wish to refer to your Article 30 record of processing for that particular data:

Criminal offence data may be processed in the following categories

- Details of offences or offending history contained within police complaints and applications for police complaints outcome reviews
- Details of offences relevant for consideration of police pension forfeiture
- Data about offending that is processed by the Humber Violence Prevention Partnership (VPP) in its work
- Data about criminal offences that are reviewed by the OPCC's scrutiny panels
- Data about offending history – or lack of offending history – provided by candidates applying for jobs, or to be passed onto the police for vetting purposes

Schedule 1 condition for processing

Give the name and paragraph number of your relevant Schedule 1 condition(s) for processing. Alternatively, you may wish to provide a link to your privacy policy, your record of processing or any other relevant documentation:

The following conditions apply to the Criminal Offence Data processing detailed above:

1. Employment, social security and social protection (collected direct from the data subject with their consent)
4. Research – where criminal offence data can assist in the identification of interventions to prevent or reduce crime
6. Statutory and government purposes – where criminal offence data is required to fulfil the PCC's duty to hold the police force to account
10. Preventing or detecting unlawful acts – where necessary to identify suitable interventions within the Humber VPP
11. Protecting the public – where necessary within the Humber VPP and in order to support the PCC's commissioned victim support services and crime reduction initiatives
18. Safeguarding of children and individuals at risk – by the PCC's commissioned services to support victims
23. Elected representatives responding to requests – where necessary to respond to communications to the PCC by the public

24. Disclosure to elected representatives – where the PCC needs to disclose information to support people or respond to requests

Procedures for ensuring compliance with the principles

You need to explain, in brief and with reference to the conditions relied upon, how your procedures ensure your compliance with the principles below.

This helps you meet your accountability obligations. You have a responsibility to demonstrate that your policies and procedures ensure your compliance with the wider requirements of the GDPR and in particular the principles. The sensitivity of SC and CO data means the technical and organisational measures you have in place to protect such data are crucially important.

The questions listed in each box are intended to help you describe how you satisfy each principle generally, and are based on the checklist for each principle provided in the [Guide to the GDPR](#). They are not exhaustive and are only intended to act as a guideline.

In explaining your compliance with the principles you should consider the specifics of your processing with respect to the SC and CO data you have identified above. You may also wish to answer other questions which are included in our Guide to the GDPR checklists (see links in each section below).

There is also no requirement to reproduce information which is recorded elsewhere – **questions may be answered with a link or reference to other documentation, to your policies and procedures, Data Protection Impact Assessments (DPIAs) or to your privacy notices.**

Accountability principle

- i. Do we maintain appropriate documentation of our processing activities?
- ii. Do we have appropriate data protection policies?
- iii. Do we carry out data protection impact assessments (DPIA) for uses of personal data that are likely to result in high risk to individuals' interests?

See general [checklist](#) for Accountability and Governance.

- i. The OPCC holds a Record of Processing Activity that details all activities involving the processing of personal data
- ii. The OPCC has a suite of data protection policies to cover the collection, Recording, review, disposal and sharing of data

- iii. There is an assumption that a full DPIA will be carried out for most new processing activity, even where there is not a high risk to individuals' interests.

Principle (a): lawfulness, fairness and transparency

- i. Have we identified an appropriate lawful basis for processing and a further Schedule 1 condition for processing SC/CO data?
- ii. Do we make appropriate privacy information available with respect to the SC/CO data?
- iii. Are we open and honest when we collect the SC/CO data and do we ensure we do not deceive or mislead people about its use?

See general [checklist](#) for Lawfulness, fairness and transparency.

- i) A lawful purpose (and schedule 1 condition where appropriate) are identified in the ROPA
- ii) If CO data is collected direct from the individual, they are provided with privacy information (privacy statements on application/vetting forms)
- iii) It is made clear that data will be shared by the police for security vetting purposes

Principle (b): purpose limitation

- i. Have we clearly identified our purpose(s) for processing the SC/CO data?
- ii. Have we included appropriate details of these purposes in our privacy information for individuals?
- iii. If we plan to use personal data for a new purpose (other than a legal obligation or function set out in law), do we check that this is compatible with our original purpose or get specific consent for the new purpose?

See general [checklist](#) for purpose limitation.

- i. Purposes are identified in application forms and vetting forms
- ii. The privacy information in the vetting forms makes this clear
- iii. We do not use CO data obtained from individuals for any other purpose

Principle (c): data minimisation

- i. Are we satisfied that we only collect SC/CO personal data we actually need for our specified purposes?
- ii. Are we satisfied that we have sufficient SC/CO data to properly fulfil those purposes?
- iii. Do we periodically review this particular SC/CO data, and delete anything we don't need?

See general [checklist](#) for Data minimisation.

- i. CO data is only collected from individuals for employment and vetting purposes and is not reused. Any other CO data that is obtained is anonymised/pseudonymised
- ii. We are satisfied that sufficient data is collected for the purpose
- iii. CO data about individuals is held in accordance with recruitment/personnel file requirements. Other CO data is only retained in an aggregated or anonymised form when used for statistical purposes

Principle (d): accuracy

- i. Do we have appropriate processes in place to check the accuracy of the SC/CO data we collect, and do we record the source of that data?
- ii. Do we have a process in place to identify when we need to keep the SC/CO data updated to properly fulfil our purpose, and do we update it as necessary?
- iii. Do we have a policy or set of procedures which outline how we keep records of mistakes and opinions, how we deal with challenges to the accuracy of data and how we ensure compliance with the individual's right to rectification?

See general [checklist](#) for Accuracy.

It is an employee's responsibility to keep their personnel data updated, other information is disposed of after six months

Principle (e): storage limitation

- i. Do we carefully consider how long we keep the SC/CO data and can we justify this amount of time?
- ii. Do we regularly review our information and erase or anonymise this SC/CO data when we no longer need it?
- iii. Have we clearly identified any SC/CO data that we need to keep for public interest archiving, scientific or historical research, or statistical purposes?

See general [checklist](#) for Storage limitation.

CO data is only held as part of applications (destroyed after six months) or personnel files (destroyed six years after the end of contract)

Any CO data used for statistical purposes is disposed of immediately after use, or accessed from live systems so not stored at all. Such data would belong to the organisation that shared it with us so we would not archive it.

Principle (f): integrity and confidentiality (security)

- i. Have we analysed the risks presented by our processing and used this to assess the appropriate level of security we need for this data?
- ii. Do we have an information security policy (or equivalent) regarding this SC/CO data and do we take steps to make sure the policy is implemented? Is it regularly reviewed?
- iii. Have we put other technical measures or controls in place because of the circumstances and the type of SC/CO data we are processing?

See general [checklist](#) for Security.

CO data must be held on secure (police-run) IT systems, with protections including passwords, policies and screen-locking in place. For paper documents the OPCC has a clear desk policy and uses locked cabinets within a locked room within a secure premises.

Retention and erasure policies

You need to explain your retention and erasure policies with respect to each category of SC/CO data (this could include a link to your retention policy if you have one). You need to explicitly indicate how long you are likely to retain each specific category of SC/CO data.

Most CO data used by the OPCC will not be retained, only accessed from IT systems and used to generate statistical information.

Criminal offence data collected from people applying for jobs is kept 6 months after their application or 6 years after end of contract for people employed by the OPCC.

APD review date

This APD was completed on 19th August 2022 and will be reviewed annually
Reviewed 7th August 2023 – added processing for police pensions forfeiture process (MSR)

Reviewed 25th June 2024 – no changes (MSR)