

DATA PROTECTION OFFICE (PMO)

Title:- An overview of the Data Protection Act and its implications as regards registration, transfers of personal data and data subject access requests.

PRESENTED BY: Mrs Drudeisha Madhub
Data Protection Commissioner
Data Protection Office
Defence and Home Affairs Department
Prime Minister's Office

Tel:- 201 36 04

Email:- dmadhub@mail.gov.mu; pmo-dpo@mail.gov.mu

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- The Data Protection Act 2004 (DPA) gives individuals the right to know what information is held about them. It provides the legal framework to ensure that personal information is handled properly.
- The Eight Data Protection Principles which may be termed the mantras of data protection are as follows-
 - Personal data shall be processed fairly and lawfully.
 - Personal data shall be obtained only for a specified and lawful purpose, and shall not be further processed in any manner incompatible with that purpose.
 - Personal data shall be accurate and, where necessary, kept up to date.

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➤ Personal data processed for any purpose shall not be kept longer than is necessary for that purpose or those purposes.

➤ Personal data shall be processed in accordance with the rights of the data subjects under the Data Protection Act.

➤ Appropriate security and organisational measures shall be taken against unauthorised or unlawful processing of personal data and against accidental loss or destruction of, or damage to, personal data.

➤ Personal data shall not be transferred to another country, unless that country ensures an adequate level of protection for the rights of data subjects in relation to the processing of personal data.

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✓ What does processing, legally speaking, mean?

➤ "processing" means any operation or set of operations which is performed on the data wholly or partly by automatic means, or otherwise than by automatic means, and includes -

- collecting, organising or altering the data;
- retrieving, consulting, using, storing or adapting the data;
- disclosing the data by transmitting, disseminating or otherwise making it available; or
- aligning, combining, blocking, erasing or destroying the data;

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- For the purpose of the DPA, the data controller is the person who processes personal information of individuals and in our context, the data controller is the bank.
- Personal data is defined under the DPA as data, whether recorded electronically or otherwise, which relates to an identified or identifiable living individual, i.e, whose identity is apparent or can reasonably be ascertained from the data.

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What does sensitive personal data mean?

- It means personal information of a data subject which consists of information as to his/her -
- racial or ethnic origin;
- political opinion or adherence;
- religious belief or other belief of a similar nature;
- membership to a trade union;
- physical or mental health;
- sexual preferences or practices;
- the commission of an offence; or
- any proceedings for an offence committed or alleged to have been committed by him, the disposal of such proceedings or the sentence of any court in such proceeding.

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✓ **Can sensitive data be processed by a data controller ?**

- No sensitive data can be processed without the consent of the data subject or where the latter has made the data public, subject to certain further exceptions as provided in the Act.
- The data processor is the person, other than an employee of the data controller, who be required to register under the DPA suffice that the amendments made to the DPA are proclaimed and the relevant regulations enacted which are planned for this year only.

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- Data controllers are the natural or legal persons, who determine the purposes and the means of the processing of personal data, both in the public and in the private sector.
- A medical practitioner would usually be the controller of the data processed on his clients; a company would be the controller of the data processed on its clients and employees; a sports club would control the data processed on its members and a public library controls the data processed on its users.

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- Where the data controller is not established in Mauritius, he must nominate a representative who resides in Mauritius to carry out his data processing activities through an office in Mauritius.
- Each data controller must adhere to the Data Protection Act where he is established in Mauritius and where he is not established in Mauritius but uses equipment in Mauritius for processing data, other than for the purposes of transit through Mauritius.

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How is an application made to the Data Protection Office for registration?

- It must be made in writing to the Commissioner by filling in the registration form for data controllers which contain the following information as required by the DPA:-
 - His/her name and address and that of his/her representative.
 - A description of the personal data being processed, the purpose for which it is being processed and the category and class of data subjects targeted, where possible their names.
 - A statement as to whether he/she holds sensitive personal data
 - A description of the intended recipients to whom the data controller intend to disclose the personal data in his possession.
 - A description of the country to which the data controller intends to transfer the data, directly or indirectly.

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- After the form is duly filled in and approved by the Commissioner and upon payment of the relevant fee, it will then be included in the public register which will be available at the DPO for viewing by the public and a copy may be also made available on request upon the payment of a fee of Rs 100. A list of registered controllers will also be available on the website.
- Remember to use a separate application form for each purpose for which you process personal data. For instance, if you use personal information for internal banking and commercial purposes, then you should fill in two separate forms.

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- Remember it is an offence not to register if you are a data controller!
- The Commissioner may refuse an application for registration where:-
 - she reasonably believes that the details supplied to her by the applicant are insufficient or simply not furnished; or
 - appropriate safeguards for the protection of the privacy of the data subjects have not been provided by the data controller; or
 - the applicant is not a proper and fit person.
- The Commissioner must as soon as is reasonably practicable, notify in writing, the applicant of the reasons for refusal and of the fact that he may appeal to the ICT Tribunal.

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What if the data controller supplies false information to the Commissioner?

- It is an offence and the penalty is a fine not exceeding Rs 100,000 and imprisonment not exceeding 2 years.

For how long does the registration remain valid?

- It remains valid for a period of one year and if registration is not renewed, it will be cancelled.

Is it an offence not to register or to renew registration?

- Yes, the penalty is a fine not exceeding Rs 200,000 and imprisonment not exceeding 5 years.

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- The types of personal data to be provided on the registration form may range from contact, financial, income, employment, medical, marital details to property owned, qualifications, amount of debt, transaction details.
- The purposes for their processing are actually the nature of the business being carried out for instance, they may range from the provision of banking to health services.
- Any change in address is to be notified in writing to the Commissioner within 15 days of the change. Otherwise, it is an offence.
- You may also request the Commissioner to remove your name from where it is contained in the register.
- An amendment will be brought to the DPA to include changes in particulars of the data controller to be notified in writing to the Commissioner.

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- Minimum security arrangements would normally include the following physical and technical safeguards:-
- Physical safeguards- Access to computers should be restricted to authorised personnel only, premises alarmed and secure when not occupied.
- Technical Safeguards- Access to computers to be password-protected, PC workstation is subject to password-protected lock-out after period of inactivity, anti-virus software is in use, a firewall is used to protect systems connected to the internet.
- For sensitive data, it is recommended to use additional safeguards such as routine encryption of files and multi-level access control.

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✓ What can the Data Protection Office do when a data controller or a data processor contravenes the Data Protection Act?

- Where the Commissioner finds that a data controller or a data processor is acting in violation of the Data Protection Act, she may serve an *enforcement notice* on the data controller or the data processor requiring him/her to take such steps within the period of time specified in the notice which must not be less than 21 days, to remedy the matter and implement the measures recommended by the Commissioner in the *enforcement notice*.

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- The data controller or the data processor must then notify the data subject of his compliance with the enforcement notice, not later than 21 days after such compliance.

- **Is it an offence not to comply with the enforcement notice?**

Yes. Any person who does not comply with the enforcement notice and does not have a reasonable excuse for not complying will commit an offence, the penalty of which will be a fine not exceeding Rs 50,000 and imprisonment not exceeding 2 years.

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- Where the data controller is using the services of a data processor, he must ensure that the data processor is providing sufficient guarantees in respect of security and organisational measures.
- A data processor is also required to take all reasonable steps to ensure that any person employed by him is aware of and complies with relevant security measures.
- The written contract must provide that the data processor will act only on the instructions received from the data controller and the data processor will be bound by the obligations devolving on the data controller.

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- In determining the appropriate security measures, in particular, where the processing involves the transmission of personal data over an information and communication network, a data controller must consider the:-
- State of technological development;
- The cost of implementing any of the security measures;
- The special risks that exist in the processing of the data; and
- The nature of the personal data being processed, as they are elaborated in section 27 of the DPA.

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- Under section 28 of the DPA, the data controller must notify the data processor holding data, where the purpose for keeping which has lapsed, to destroy it **as soon as is reasonably practicable**.
- Under section 29 of the DPA, any data processor, who without lawful excuse, discloses personal data processed by him without the prior authority of the data controller shall commit an offence, the penalty of which is a fine not exceeding Rs 200, 000 and imprisonment for a term not exceeding 5 years.

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- Under section 31 of the DPA, no data controller is allowed to transfer personal data to another country, except with the authorisation of the Commissioner.
- The word “transfer” is not defined in the DPA. The ordinary dictionary meaning of this word is transmission from one place, person, etc. to another. Transfer does not bear the same meaning as mere transit which refers for example, to data originating from Mauritius and routed through a server in Dubai on its way to Europe.
- Before making a transfer, a data controller must consider whether it is possible for it to achieve its objectives without processing personal data at all and examine such options such as anonymisation of such data.

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- Derogations from the Eighth Principle:-
- Where the data subject has given his consent for the transfer;
- or the transfer is necessary for the execution or intended execution of a contract between the data subject or any other person acting at the request of data subject or in the interest of the data subject and the data controller;
- or is in the public interest, to safeguard public security or national security;
- or the transfer is made on such terms as may be approved by the Commissioner as ensuring adequate safeguards for the protection of the rights of the data subject;
- A transfer to a country not satisfying adequate safeguards may be effected.

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- Unlike BCR or model clauses referred to in the following slides, there need not necessarily be any protection in place in that particular country, in relation to the data being transferred, where these derogations are used.
- Instead, these provisions reflect the fact that there are instances where it will be justifiable to transfer data even though there will be a lower level of protection given to those data. Thus, being given that these are derogations, they should be narrowly construed.

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- Exporting controllers should also bear in mind when applying for derogations to the Commissioner that, just because the eighth principle does not apply, it does not mean that the other seven principles do not apply as well.
- **The first derogation- Consent:-**
- Clear evidence of consent is required to be produced which is freely given, specific and the informed indication of the wishes of the data subject by which he signifies his agreement to personal data relating to him being processed.

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- **The second derogation:- Necessary for a contract between data controller and data subject or data controller and third party:-**
- The concept of necessity means that there should not be alternatives available to transfers. For example, it may be necessary for travel agents to transfer personal data of their clients to hotels or other commercial partners to organise their clients' stay. It needs to be established by the data controller that there is a sufficiently close and substantial link between the contract and the data subject's interests.
- This is contrasted to the transfer of employee data from a subsidiary based in Mauritius to the parent company based in Argentina in order to centralise a multi national group's HR and payment functions.

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- Although such a transfer may provide a cost-efficiency which may also indirectly benefit the employee, it would be difficult to show that the centralisation of the payment functions is objectively necessary for the performance of the data subject's employment contract and could not be carried out elsewhere.
- However, this does not mean that this sort of arrangement is not permitted at all. It may not satisfy the necessity criteria but it may satisfy the adequacy criteria, for instance where that particular country offers adequate protection, transfers may be effected on this ground only.

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- **The Third Derogation:-Public Security or National Security:-**
- This is subject to the same strict interpretation as for the other derogations. The government may decide through existing laws or which may be enacted as to what is national security as regards data protection. For instance, data regarding criminals such as terrorists may involve national security issues.

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- **The Fourth Derogation:-** Transfer is made on such terms as may be approved by the Commissioner as ensuring adequate safeguards for the protection of the rights of the data subject
- The adequacy of the level of protection in a particular country as regards personal data is assessed by the Commissioner by taking into consideration the following principles:-
 - The nature of the personal data;
 - The purpose and duration of the proposed processing;
 - The country of origin and country of final destination;

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- the rules of law applicable in that particular country;
- any relevant codes of conduct and security measures applicable in that country;
- Where the particular country does not have any of the above-mentioned legal principles, Model Clauses as approved by the EU for transfers outside Europe which are recognised standard contractual clauses, safe harbor principles for transfers to the US or binding corporate rules, i.e, internal codes of conduct operating within a multinational organisation for transfers outside Europe may be considered as offering adequate safeguards by the Commissioner.
- It is therefore imperative before any transfer of personal data is effected that these criteria are borne in mind and applied.

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- The use of model clauses by the exporting controller will satisfy the test of adequacy as they are compliant with the EU Directives.
- Binding Corporate Rules are designed to be a global solution for multinational companies by ensuring their intra-group transfers comply with the eighth principle and providing a simple mechanism for obtaining the necessary authorisation from the Commissioner before effecting any transfer.

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- Nature of the personal data :-
- **The level of risk associated with the transfer of personal data will obviously depend on the degree of sensitivity of the data transferred. The threshold of protection required will thus vary.**
- Purpose and duration of the proposed processing:-
- **The same threshold criteria of sensitivity risk will apply. If the period for retention of data is short, then the risk associated with the transfer may be less.**

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- Country of origin and country of final destination:-
- The country of origin is the country from which the data originates which is not necessarily the same as the country from which the transfer originates.
- The country of *final* destination is not necessarily the same as the interim country to which the transfer is effected.

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- rules of law applicable in that particular country:-
- Whether that particular country has a legal framework on data protection and is compliant with international standards on data protection?
- any relevant codes of conduct and security measures applicable in that country:-
- Security is often a key factor in the commercial considerations of the parties to a contract. Exporting controllers must ensure that personal data transferred are secure from any outside interference by means of, for example, technical measures such as encryption or the adoption of information security management practices analogous to those in ISO 17799/BS7799.

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- *International outsourcing to data processors located abroad:-*
- The DPA will apply and the data controller based in Mauritius and the data processors based outside Mauritius or vice versa are both covered.
- The written contract between the data controller and the data processor may incorporate the model clauses referred to above which is only one method of addressing the requirements of the eighth principle.
- Another method will be a contract which ensures compliance with the seventh principle namely the security and organisational measures since this is likely to ensure adequacy and thus compliance with the eighth principle.

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- Subprocessing may also take place since the data controller will remain liable for compliance with the DPA.
- It is for him to satisfy itself that such subcontracting will not materially increase the risks to the processing of the data and he must expressly permit so through a clause in the contract with the processor
- Any contract between the processor and the sub processor should therefore mirror the main controller to processor contract and address adequacy issues.

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- What are the powers of the Commissioner?
 - to issue or approve codes of practice or guidelines;
 - create and maintain a register of all data controllers;
 - promote self-regulation among data controllers;
 - take such measures as may be necessary so as to bring to the knowledge of the general public the provisions of this Act;

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- undertake research into, and monitor developments in, data processing and information technology, including data-matching and data linkage;
- examine any proposal for data matching or data linkage that may involve an interference with, or may otherwise have adverse effects on the privacy of individuals and, ensure that any adverse effects of such proposal on the privacy of individuals are minimised;
- do anything incidental or conducive to the attainment of the objects of, and to the better performance of his duties and functions under this Act.

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✓ What are the other powers of the Commissioner?

- Where the Commissioner is of the view that the investigation reveals the commission of a criminal offence under the Data Protection Act, she can refer the matter to the Police.
- The Commissioner can also request information from a person whenever it is required for the Commissioner to discharge her functions properly by sending a notice.

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- The Commissioner can also carry out security checks when she believes that the processing or transfer of data by a data controller will entail specific risks to the privacy rights of the data subjects to assess the security measures taken by the data controller prior to the beginning of the processing or transfer.
- The Commissioner can also carry out periodical audits of the systems of data controllers to ensure compliance with the data protection principles.
- An officer of the Data Protection Office may at any time enter and search the premises where data processing activities are being carried on.

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✓ Who can make a complaint to the Data Protection Office?

Any individual or organization who feels that his privacy rights with regard to the processing of his personal data may have been affected.

✓ What does the Data Protection Office do when it receives a complaint?

It investigates the complaint, unless the complaint is frivolous, and as soon as possible, notify the complainant in writing of its decision.

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✓ **What can the complainant do if he/she is not satisfied with the outcome of the investigation?**

- The complainant may appeal to the Information and Communication Technologies (ICT) Tribunal if he/she is not satisfied with the decision reached by the Commissioner.

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- **Dealing with Subject Access Requests**

- The key right for the individual is the right of access. Essentially this means that you as data controller have to supply to the individual the personal data that you hold if a valid request is made to you under Section 41 of the DPA.
- The data subject must fill in the request for access to personal data form available at the DPO and send it to you.
- The time limit for complying with an access request is 28 days. In order to ensure your compliance with the time limit and your other access obligations the following organisational and procedural steps may be effected:

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- Appoint a Co-ordinator or a Data Protection Officer who will be responsible for the response to the access request. A description of the functions and responsibilities of the Co-ordinator should be circulated within the organisation and staff should be advised of the necessity for co-operation with the Co-ordinator.
- All subject access matters should be submitted to the Co-ordinator.
- Check the validity of the access request. Ensure that it is in writing, that the appropriate fee of Rs 75 is included.

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- Check that sufficient material has been supplied to definitively identify the individual. This is most important as a third party may provide false material to lodge a false access request.
- Check that sufficient information to locate the data has been supplied. If it is not clear what kind of data is being requested you should ask the data subject for more information. This could involve identifying the databases, locations or files to be searched or giving a description of the interactions the individual has had with the organisation.
- Log the date of receipt of the valid request.

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- Keep note of all steps taken to locate and collate data – if different divisions of the organisation are involved, have the steps “signed off” by the appropriate person.
- Check each item of data to establish whether any of the restrictions on or denial of access provided by section 43 will apply.
- If data relating to a third party is involved, do not disclose without the consent of the third party such data. An opinion given by a third party may be disclosed unless it is an opinion which was given in confidence on the clear understanding that it would be treated as confidential.

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- Monitor process of responding to the request – observing time limit of **28 days**.
- Supply the data in an intelligible form (include an explanation of terms if necessary). Also provide description of purposes, disclosees and source of data (unless revealing the source would be contrary to the public interest and confidentiality obligations). Number the documents supplied. Have the response “signed-off” by an appropriate person.
- Regularly review your procedures and processes. If either the data controller or the data processor receives a request for information from another jurisdiction, the data controller will need to comply with the request.

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Thank
you

Any
Questions or
Comments?