

## FE Sector: Record of Processing Activities/Information Asset Register

| Departmental Reference Guide |   |  |
|------------------------------|---|--|
| <b>Glossary of Terms</b>     | <b>Personal data</b>                              | Any information relating to an identified or identifiable natural person ('data subject'); an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person |
|                              | <b>Special Category (Sensitive) Personal Data</b> | Personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, or trade union membership, and the processing of genetic data, biometric data for the purpose of uniquely identifying a natural person, data concerning health or data concerning a natural person's sex life or sexual orientation   |
|                              | <b>Processing</b>                                 | Any operation or set of operations which is performed on personal data or on sets of personal data, whether or not by automated means, such as collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction   |
|                              | <b>Data Controller</b>                            | The natural or legal person, public authority, agency or other body which, alone or jointly with others, determines the purposes and means of the processing of personal data; where the purposes and means of such processing are determined by Union or Member State law, the controller or the specific criteria for its nomination may be provided for by Union or Member State law  |
|                              | <b>Data Processor</b>                             | A natural or legal person, public authority, agency or other body which processes personal data on behalf of the controller  |
|                              | <b>Third Party</b>                                | A natural or legal person, public authority, agency or body other than the data subject, controller, processor and persons who, under the direct authority of the controller or processor, are authorised to process personal data   |
|                              | <b>Data Breach</b>                                | A breach of security leading to the accidental or unlawful destruction, loss, alteration, unauthorised disclosure of, or access to, personal data transmitted, stored or otherwise processed   |
|                              | <b>Data Sharing Agreement</b>                     | A softer version of a contract, solely for purpose of considering the personal data processing side of a relationship  |
|                              | <b>Data Protection Impact Assessment</b>          | An assessment of data protection implications performed at the start of a new project which impacts on personal data or peoples privacy. Examples include, new technologies, camera installation, large scale processing – anything which will result in high risk.  |

Functionality Area : Business Engagement

Legislation Ref:

Art 30.1.d

Art 30.3

Art 30.1.f

Art.30.1.g / 30.2.d

| Asset ID | Functionality       | Class / Activity      | Record Type        | Who is this information shared with? Eg. 3rd parties | Location of data | Volume of data held | Who has access to this data ie category of staff? | Format of the data | Retention period | Description of technical and security measures | If applicable, is there an up to date DPIA in place? | Risk / Impact of a data breach? | Risk rating | Security classification |
|----------|---------------------|-----------------------|--------------------|--|------------------|---------------------|---|--------------------|------------------|--|--|---------------------------------|-------------|-------------------------|
| BE00X    | Business Engagement | Departmental Function | Client Information |  |                  |                     |   |                    |                  |  |  |                                 |             |                         |

Delivery Plans (Innovate Us)

\* Relevant documentation

DfE

Sharepoint SPICE system

<500

Specified staff

Electronic

End of project / relationship + 10years

Staff logjn credentials

NO

Loss of reputation  
Commercial risk

Minimal

Confidential

Business Proposals (Innovation vouchers / Innovation Boost)

→

Funders (Invest NI / Intertrade Ireland)

Sharepoint

<100

Specified staff

Electronic

End of project / relationship + 1 year

Staff logjn credentials

NO

Loss of reputation  
Commercial risk

Minimal

Confidential

Business Client Information (Client audit documentation)

\* Correspondence

None

Sharepoint CRM

<10,000

Specified staff

Electronic

End of project / relationship + 2 years

Staff logjn credentials

NO

Loss of reputation

Minimal

Confidential

\* Contractual information

None

Sharepoint CRM

Up to 1000

Specified staff

Electronic

End of project / relationship + 2 years

Staff logjn credentials

NO

Loss of reputation

Minimal

Confidential

\* Contact details

Funders

Sharepoint CRM

<10,000

Specified staff

Electronic

End of project / relationship + 2 years

Staff logjn credentials

NO

Loss of reputation

Minimal

Confidential

\* Company size / employees

Funders

Sharepoint CRM

<10,000

Specified staff

Electronic

End of project / relationship + 2 years

Staff logjn credentials

NO

Loss of reputation

Minimal

Confidential

\* Training needs analyses

Funders

Sharepoint CRM

<1000

Specified staff

Electronic

End of project / relationship + 2 years

Staff logjn credentials

NO

Loss of reputation

Minimal

Confidential

## Functionality Area: Curriculum

## Legislation Ref:

| Asset ID | Functionality  | Class / Activity      | Record Type        | Art 30.1.d  | Art 30.3   |   |   | Art 30.1.f         | Art.30.1.g / 30.2.d    |  | If applicable, is there an up to date DPIA in place? | Risk / Impact of a data breach?                                       | Risk rating        | Security classification |              |        |
|----------|--|-----------------------|--------------------|---|--|---|---|--------------------|------------------------|--|--|---|--------------------|-------------------------|--------------|--------|
|          |  |                       |                    | Who is this information shared with?<br>Eg. 3rd parties | Location of data   | Volume of data held                     | Who has access to this data ie category of staff? | Format of the data | Retention period       | Description of technical and security measures       |  |   |                    |                         |              |        |
| CUR00X   | Curriculum   | Departmental Function | Client Information |   |  |   |   |                    |                        |  |  |   |                    |                         |              |        |
|          | <u>Curriculum Planning</u>   |                       |                    | →   | Department for Economy<br>ETI  | Sharepoint<br>S/drive                   | <50   | Specified staff    | Electronic             | Current academic<br>year + 5 years                   | Staff login credentials                              | N/A   | None               | Minimal                 | Public       |        |
|          | <u>Performance Monitoring reports</u>                              |                       |                    | →   | Department for Economy<br>ETI  | Sharepoint<br>S/drive                   | <50   | Specified staff    | Electronic             | Current academic<br>year + 5 years                   | Staff login credentials                              | N/A   | Loss of reputation | Moderate                | Confidential |        |
|          | <u>Generic course information</u>                                  |                       |                    | •   | Course specific information relating to coursework and assessment design                         |   |   |                    |                        |  |  |   |                    |                         |              |        |
|          |  |                       |                    |   | Public   | College website                         | <3000   | Public             | Electronic<br>Hardcopy | Current academic<br>year + duration of<br>the course | N/A  | N/A   | None               | Minimal                 | Public       |        |
|          | <u>Course handbook</u>   |                       |                    | →   | Public   | College website                         | <3000   | Public             | Electronic<br>Hardcopy | Record subject to<br>on-going update<br>and review   | N/A  | N/A   | None               | Minimal                 | Public       |        |
|          | <u>Preparation and delivery of courses</u>                         |                       |                    | •   | Course notes / Lecture notes / Seminar notes / Handouts / Presentation materials / Reading lists | S/drive<br>Sharepoint<br>Secure storage | VLE   | 500,000            | Specified staff        | Electronic<br>Hardcopy                               | Record subject to<br>on-going update<br>and review   | Secure storage within restricted access<br>Staff login<br>credentials | N/A                | None                    | Minimal      | Public |
|          | <u>Design of new curricula</u>                                     |                       |                    | •   | Reports and other key documents  |   |   |                    |                        |  |  |   |                    |                         |              |        |
|          |  |                       |                    |   | Public   | College website                         | <10   | Public             | Electronic<br>Hardcopy | Record subject to<br>on-going update<br>and review   | None   | N/A   | None               | Minimal                 | Public       |        |
|          | <u>Identification and analysis of market needs for new courses</u> |                       |                    | •   | Generic course information   |   |   |                    |                        |  |  |   |                    |                         |              |        |
|          |  |                       |                    |   | Public   | College website                         | <3000   | Public             | Electronic<br>Hardcopy | Current academic<br>year + duration of<br>the course | N/A  | N/A   | None               | Minimal                 | Public       |        |
|          |  |                       |                    | •   | Course specific information relating to coursework and assessment design                         |   |   |                    |                        |  |  |   |                    |                         |              |        |
|          |  |                       |                    |   | Public   | College website                         | <3000   | Public             | Electronic<br>Hardcopy | Current academic<br>year + duration of<br>the course | N/A  | N/A   | None               | Minimal                 | Public       |        |



Functionality Area: Examinations

Legislation Ref:

| Asset ID | Functionality | Class / Activity      | Record Type        | Who is this information shared with?<br>Eg. 3rd parties | Location of data | Volume of data held | Who has access to this data ie<br>category of staff? | Format of the<br>data | Retention period | Description of technical and security measures | If applicable, is there an up to date<br>DPIA in place? | Risk / Impact of a data<br>breach? | Risk rating | Security<br>classification |
|----------|---------------|-----------------------|--------------------|---|------------------|---------------------|--|-----------------------|------------------|--|---|------------------------------------|-------------|----------------------------|
| EX00X    | Examinations  | Departmental Function | Client Information |   |                  |                     |  |                       |                  |  |   |                                    |             |                            |

Art 30.1.d

Art 30.3

Art 30.1.f

Art.30.1.g / 30.2.d

JCQ Regulations

- Specific awarding body regulations

Staff

S/drive  
restricted access

Secure storage within

50

Staff

Electronic  
Hardcopy

Lifetime of Regulations

Secure storage within restricted access  
login credentials

Staff

NO

None

Minimal

Public

Reports (Quality)

- Moderation visit reports

Awarding Organisation  
ETI

Sharepoint

S/drive

<10,000

Specified staff

Electronic

Current academic year + 3  
years

Staff login credentials

N/A

Loss of reputation

Minimal

Confidential

- Centre approval document

Awarding Organisation

Sharepoint

S/drive

<50

Specified staff

Electronic

Record subject to on-going  
review and update Staff login credentials

N/A

Loss of reputation

Minimal

Confidential

- Course approval letters (online)

Awarding Organisation

Sharepoint

S/drive

<500

Specified staff

Electronic

Record subject to on-going  
review and update Staff login credentials

N/A

Loss of reputation

Minimal

Confidential

Functionality Area: Finance

Legislation Ref:

| Asset ID | Functionality | Class / Activity                                   | Record Type   | Art 30.1.d   |  | Volume of data held | Who has access to this data ie category of staff? | Art 30.3           |                        | Art 30.1.f  |  | Art.30.1.g / 30.2.d |    | Risk / Impact of a data breach? | Risk rating | Security classification |
|----------|---------------|--|---|--|--|---------------------|---|--------------------|------------------------|---|--|---------------------|----|---------------------------------|-------------|-------------------------|
|          |               |  |   | Who is this information shared with? Eg. 3rd parties | Location of data                         |                     |   | Format of the data | Retention period       | Description of technical and security measures  | If applicable, is there an up to date DPIA in place?     |                     |    |                                 |             |                         |
| FIN00X   | Finance       | Departmental function                              | Client information  |  |  |                     |   |                    |                        |   |  |                     |    |                                 |             |                         |
|          |               | <u>Financial Accounting / Statutory Accounting</u> | <ul style="list-style-type: none"> <li>Records documenting the handling of petty cash.</li> </ul>   | N/A  | S/Drive storage within restricted access | Secure              | up to 200   | Specified staff    | Electronic<br>Hardcopy | Current financial year + 6 years  | Staff login credentials storage within restricted access | Secure              | NO | Loss of reputation              | Minimal     | Confidential            |
|          |               |  | <ul style="list-style-type: none"> <li>Records documenting financial returns made to the Department for the Economy.</li> </ul>   | N/A  | S/Drive storage within restricted access | Secure              | <500  | Specified staff    | Electronic<br>Hardcopy | Current financial year + 6 years  | Staff login credentials storage within restricted access | Secure              | NO | Loss of reputation              | Minimal     | Confidential            |
|          |               | <u>Asset Management</u>                            | <ul style="list-style-type: none"> <li>Records documenting low level/value / insignificant expenditure appraisal (ie business cases/economic appraisals), (eg chairs, routine everyday purchases).</li> </ul> | N/A  | S/Drive storage within restricted access | Secure              | <500  | Specified staff    | Electronic<br>Hardcopy | Current financial year + 6 years  | Staff login credentials storage within restricted access | Secure              | NO | Loss of reputation              | Minimal     | Confidential            |
|          |               | <u>Procurement / Contracts</u>                     | <ul style="list-style-type: none"> <li>Records documenting pre-procurement advice, specification and contract development documentation, PQQ and ITT.</li> </ul>  | Sector Colleges<br>Sector Organisations              | Other Public<br>S/Drive                  |                     | 1000+   | Specified staff    | Electronic             | Contracts NOT under seal: Expiry of contract + 6 years<br>Contracts under seal: Expiry of contract + 12 years | Staff login credentials                                  |                     | NO | Loss of reputation              | Minimal     | Open (e-tenders)        |

| Asset ID | Functionality                     | Class / Activity   | Record Type        | Art 30 1 d   |                                   |   |   | Art 30 3  |                     | Art 30 1 f                                     |  | Art 30 1 g / 30 2 d                                |  |                         |                    |                    |              |              |
|----------|-----------------------------------|--|--------------------|--|-----------------------------------|---|---|---|---------------------|--|--|--|--|-------------------------|--------------------|--------------------|--------------|--------------|
|          |                                   |  |                    | Who is this information shared with? Eg. 3rd parties | Location of data                  | Volume of data held                     | Who has access to this data ie category of staff? | Format of the data  | Retention period    | Description of technical and security measures | If applicable, is there an up to date DPIA in place? | Risk / Impact of a data breach?                    | Risk rating                                      | Security classification |                    |                    |              |              |
| GC00X    | Governance & Corporate            | Departmental Function  | Client Information |  |                                   |   |   |   |                     |  |  |  |  |                         |                    |                    |              |              |
|          | <b>Governance &amp; Corporate</b> | <b>Sector Plan (Draft)</b>   | →                  | Public   | S/Drive                           | Sharepoint                              | 1   | SMT   | Electronic          | Creation date + 10 years                       | Staff login credentials                              | NO   | None   | Minimal                 | Public             |                    |              |              |
|          |                                   | <b>College Development Plan</b>  | →                  | Public for Economy                                   | Department Governing Body S/Drive | Sharepoint                              | 10  | SMT   | Electronic          | Creation date + 10 years                       | Staff login credentials                              | NO   | None   | Minimal                 | Public             |                    |              |              |
|          |                                   | <b>Performance reporting (report cards and ERIC)</b>   | →                  | Public for Economy                                   | Department Governing Body S/Drive | Sharepoint                              | 20  | Specified College Staff   | Electronic Hardcopy | Creation date + 10 years                       | Staff login credentials archive storage              | Restricted access                                  | NO   | Loss of reputation      | Minimal            | Confidential       |              |              |
|          |                                   | <b>Governing Body</b>  | •                  | Public   | Instrument of Government          | Sharepoint with restricted access       | Secure Storage                                    | 3   | CEO Chairperson     | Governing Body Governing Body Secretary        | Electronic Hardcopy                                  | Record subject to on-going update and review       | Staff login credentials within restricted access | Secure storage          | NO                 | None               | Minimal      | Open         |
|          |                                   | <b>Articles of Government</b>  | •                  | Public   | Articles of Government            | Sharepoint with restricted access       | Secure Storage                                    | 3   | CEO Chairperson     | Governing Body Governing Body Secretary        | Electronic Hardcopy                                  | Record subject to on-going update and review       | Staff login credentials within restricted access | Secure storage          | NO                 | None               | Minimal      | Open         |
|          |                                   | <b>Planning and implementation of organisational and cultural change, and analysis of its impact</b>                                     | →                  | N/A  |                                   | CEO Drive                               | <20   | CEO Office  | Electronic          | Current academic year + 5 years                | Staff login credentials within restricted access     | Secure storage                                     | No   | Loss of reputation      | Minimal            | Open               |              |              |
|          |                                   | <b>College organisation plans / structures / charts</b>  | →                  | Public for Economy                                   | Department Governing Body S/Drive | Sharepoint                              | 10  | SMT   | Electronic          | Creation date + 10 years                       | Staff login credentials                              | NO   | None   | Minimal                 | Public             |                    |              |              |
|          |                                   | <b>Risk assessment reports and associated documentation</b>  | →                  | Staff  |                                   | S/Drive                                 | Sharepoint  | <200  | Staff               | Electronic                                     | Current academic year + 5 years                      | Staff login credentials                            | N/A  | Loss of reputation      | Minimal            | Open               |              |              |
|          |                                   | <b>Service level agreements with suppliers</b>   | →                  | Contracted Body                                      |                                   | Secure storage within restricted access | <100  | CEO office  | Hardcopy            | Record subject to on-going update and review   | Secure storage within restricted access              | N/A  | Loss of reputation                               | Minimal                 | Confidential       |                    |              |              |
|          |                                   | <b>Departmental plans</b>  | →                  | Department for Education                             |                                   | S/Drive                                 | Sharepoint  | <100  | CEO office          | Electronic Hardcopy                            | Record subject to on-going update and review         | Staff login credentials within restricted access   | Secure storage                                   | N/A                     | None               | Minimal            | Public       |              |
|          |                                   | <b>Equality</b>  | •                  | Equality Commission                                  | Equality Commission               | Secure storage within restricted access | Sharepoint D/Drive                                | 1   | CEO office          | Restricted staff                               | Electronic Hardcopy                                  | Record subject to on-going update and review       | Staff login credentials within restricted access | Secure storage          | N/A                | Loss of reputation | minimal      | Public       |
|          |                                   | <b>Disability action plan (DAP) (Annual progress report to quality commission)</b>   | •                  | Equality Commission                                  | Equality Commission               | Secure storage within restricted access | Sharepoint D/Drive                                | 1   | CEO office          | Restricted staff                               | Electronic Hardcopy                                  | Record subject to on-going update and review       | Staff login credentials within restricted access | Secure storage          | N/A                | Loss of reputation | minimal      | Public       |
|          |                                   | <b>Article 55 3 year review</b>  | •                  | Equality Commission                                  | Equality Commission               | Secure storage within restricted access | Sharepoint D/Drive                                | 5   | CEO office          | Restricted staff                               | Electronic Hardcopy                                  | Record subject to on-going update and review       | Staff login credentials within restricted access | Secure storage          | N/A                | Loss of reputation | minimal      | Confidential |
|          |                                   | <b>Documentation to support the development of schemes/ DAP / reviews / equality screening / equality impact assessment / monitoring</b> | •                  | Equality Commission                                  | Public                            | Sharepoint                              | S/Drive   | 1 schema per 3 years / Annual Progress Report DAP updated per annum | CEO office          | Restricted staff                               | Electronic   | Retain from last action on the case + 6 years      | Staff login credentials                          | N/A                     | Loss of reputation | minimal            | Confidential |              |
|          |                                   | <b>Good relations / community relations liaison and reports</b>  | →                  | Equality commission                                  |                                   | Sharepoint                              | S/Drive   | 1 per annum   | Specified staff     | Electronic                                     | Current academic year + 5 years                      | Staff login credentials                            | N/A  | Loss of reputation      | minimal            | Confidential       |              |              |
|          |                                   | <b>Reviews (Annual review of progress (Annual College Development Plan and whole College - ACP)</b>                                      | →                  | Department for Education                             | ETI                               | Sharepoint                              | S/Drive   | 8   | CEO Office          | Governing Body Secretary                       | Electronic   | Retain until 5 years review is completed + 3 years | Staff login credentials                          | N/A                     | Loss of reputation | Minimal            | Public       |              |
|          |                                   | <b>Equality screening forms / equality impact assessments</b>  | →                  | Equality commission                                  |                                   | Sharepoint                              | S/Drive   | 1 per annum per policy, per decision                                | Specified staff     | Electronic                                     | Retain until 5 years review is completed + 3 years   | Staff login credentials                            | N/A  | Loss of reputation      | Minimal            | Confidential       |              |              |
|          |                                   | <b>Policies and procedures (approved)</b>  | →                  | None   |                                   | Sharepoint S/Drive                      | Website   | <500  | CEO office          | Electronic Hardcopy                            | Date of review + 6 years                             | Staff login credentials within restricted access   | Secure storage                                   | N/A                     | Loss of reputation | Minimal            | Public       |              |
|          |                                   | <b>Statistical data used for monitoring policy decisions and access to services</b>  | →                  | None   |                                   | ES                                      | 10000 +   | All staff   | Electronic          | Retain until signed off or approved + 1 year   | Staff login credentials                              | Yes  | Loss of reputation                               | Minimal                 | Open               |                    |              |              |

Functionality Area: Human Resources

Legislation Ref:

| Asset ID | Functionality   | Class / Activity               | Record Type   | Art 30.1.d  | Art 30.3           | Art 30.1.f          | Art.30.1.g / 30.2.d                               | If applicable, is there an up to date DPIA in place? | Risk / Impact of a data breach?              | Risk rating  | Security classification |                    |                  |  |
|----------|-----------------|--------------------------------|---|---|--------------------|---------------------|---|--|--|--|-------------------------|--------------------|------------------|--|
|          |                 |                                |   | Who is this information shared with?<br>Eg. 3rd parties | Location of data   | Volume of data held | Who has access to this data ie category of staff? |  |  |  |                         | Format of the data | Retention period | Description of technical and security measures |
| HR00X    | Human Resources | Departmental Function          | Client Information  |   |                    |                     |   |  |  |  |                         |                    |                  |  |
|          |                 | <u>Staff Recruitment</u>       | <ul style="list-style-type: none"> <li>Advertisement of vacancies</li> </ul>  | Public  | Q/Drive            | <500                | Specified staff                                   | Electronic   | Full of Vacancy + 3 years                    | Staff login credentials  | NO                      | Loss of reputation | Minimal          | Public   |
|          |                 | <u>Job descriptions</u>        | <ul style="list-style-type: none"> <li>Job descriptions</li> </ul>  | Public  | Q/Drive            | Up to 1000          | Specified staff                                   | Electronic<br>Hardcopy                               | Record subject to on-going update and review | Staff login credentials within restricted access<br>Secure storage | NO                      | Loss of reputation | Minimal          | Public   |
|          |                 |                                | <ul style="list-style-type: none"> <li>Assessment of jobs in relation to established job evaluation criteria</li> </ul> | N/A   | Q/Drive            | <50                 | Specified staff                                   | Electronic   | Record subject to on-going update and review | Staff login credentials  | NO                      | Loss of reputation | Minimal          | Confidential                                   |
|          |                 | <u>Staff handbook / manual</u> | →   | All staff   | Q/Drive Sharepoint | 1                   | All staff   | Electronic   | Record subject to on-going update and review | Staff login credentials  | NO                      | None               | Minimal          | open   |
|          |                 | <u>Staff payment records</u>   | <ul style="list-style-type: none"> <li>Non-teaching / lecturer pay scales</li> </ul>                                    | Not shared  | Q/Drive Sharepoint | <20                 | All staff   | Electronic   | Termination of employment + 6 years          | Staff login credentials  | NO                      | None               | Minimal          | Open   |
|          |                 | <u>Survey reports</u>          | <ul style="list-style-type: none"> <li>Staff surveys</li> </ul>   | Not shared  | Q/Drive            | <10                 | Specified staff                                   | Electronic   | Creation date + 3 years                      | Staff login credentials  | N/A                     | None               | Minimal          | open   |



Functionality Area: ICT

Legislation Ref:

| Asset ID | Functionality | Class / Activity   | Record Type        | Art 30.1.d  | Location of data | Volume of data held | Who has access to this data ie category of staff? | Art 30.3           | Art 30.1.f                                       | Art.30.1.g / 30.2.d                            | If applicable, is there an up to date DPIA in place? | Risk / Impact of a data breach? | Risk rating | Security classification |
|----------|---------------|--|--------------------|---|------------------|---------------------|---|--------------------|--|--|--|---------------------------------|-------------|-------------------------|
|          |               |  |                    | Who is this information shared with?<br>Eg. 3rd parties |                  |                     |   | Format of the data | Retention period                                 | Description of technical and security measures |  |                                 |             |                         |
| ICT00X   | ICT           | Departmental Function  | Client Information |   |                  |                     |   |                    |  |  |  |                                 |             |                         |
|          | <u>ICT</u>    | <u>Software Licences</u>   | →                  | N/A   | Sharepoint       | 150                 | Specific IT staff                                 | Electronic         | Lifetime of license + 1 year                     | Staff login credentials                        | NO   | Loss of reputation              | Minimal     | Confidential            |
|          |               | <u>Software / Hardware - Lease / Purchase / Maintenance agreements / Contracts</u>                   | →                  | N/A   | Sharepoint       | 150                 | Specific IT staff                                 | Electronic         | Lifetime of lease / purchase / contract + 1 year | Staff login credentials                        | NO   | Loss of reputation              | Minimal     | Confidential            |
|          |               | <u>Design, development and implementation of IT systems including source code and configurations</u> | →                  | Contractors   | Sharepoint       | <200                | Specific IT staff                                 | Electronic         | Record subject to on-going update and review     | Staff login credentials                        | NO   | Compromised College Security    | Moderate    | Confidential            |

Functionality Area: Insurance

Legislation Ref:

| Asset ID | Functionality    | Class / Activity  | Record Type        | Art 30.1.d   |   | Volume of data held       | Who has access to this data ie category of staff? | Art 30.3            | Art 30.1.f             | Art.30.1.g / 30.2.d                            |  | Risk / Impact of a data breach? | Risk rating | Security classification |         |              |
|----------|------------------|---|--------------------|--|---|---------------------------|---|---------------------|------------------------|--|--|---------------------------------|-------------|-------------------------|---------|--------------|
|          |                  |   |                    | Who is this information shared with? Eg. 3rd parties         | Location of data                                    |                           |   | Format of the data  | Retention period       | Description of technical and security measures | If applicable, is there an up to date DPIA in place? |                                 |             |                         |         |              |
| INS00X   | Insurance        | Departmental Function   | Client information |  |   |                           |   |                     |                        |  |  |                                 |             |                         |         |              |
|          | <u>Insurance</u> | <u>Claims history (Insurance Synopsis)</u>                        | →                  | Broker   | J/ Drive<br>Secure storage within restricted access | S/Drive                   | <10   | Specified EST staff | Electronic<br>Hardcopy | Creation date +<br>6years                      | Login credentials<br>restricted access               | Secure storage within           | NO          | Loss of reputation      | Minimal | Confidential |
|          |                  | <u>Renewal documentation (Including insurance reports)</u>        | →                  | Broker   | J/ Drive<br>Secure storage within restricted access | S/Drive                   | <10   | Specified EST staff | Electronic<br>Hardcopy | Creation date +<br>6years                      | Login credentials<br>restricted access               | Secure storage within           | NO          | Loss of reputation      | Minimal | Confidential |
|          |                  | <u>Insurance - inspectors</u>                                     | →                  | Health and Safety Executive                                  | J/ Drive<br>Secure storage within restricted access | S/Drive                   | <10   | Specified EST staff | Electronic<br>Hardcopy | Creation date +<br>6years                      | Login credentials<br>restricted access               | Secure storage within           | NO          | Loss of reputation      | Minimal | Confidential |
|          |                  | <u>Insurance correspondence (advice + general correspondence)</u> | →                  | Insurers   | J/ Drive  | S/Drive                   | <100  | Specified EST staff | Electronic             | Creation date +<br>6years                      | Login credentials                                    |                                 | NO          | Loss of reputation      | Minimal | Confidential |
|          |                  | <u>Insurance premium payments</u>                                 | →                  | Insurers   | J/ Drive  | S/Drive                   | <100  | Specified EST staff | Electronic             | Creation date +<br>6years                      | Login credentials                                    |                                 | NO          | Loss of reputation      | Minimal | Confidential |
|          |                  | <u>Indemnities and guarantees</u>                                 | →                  | Contracted Organisations (Proof of insurance and compliance) | J/ Drive<br>Sharepoint                              | S/Drive                   | <150  | Specified EST staff | Electronic             | Creation date + 10<br>years                    | Login credentials                                    |                                 | NO          | Loss of reputation      | Minimal | Confidential |
|          |                  | <u>Certificates of employers and public liability insurance</u>   | →                  | Broker   | J/Drive<br>Sharepoint<br>within restricted access   | S/Drive<br>Secure storage | <30   | Specified EST staff | Electronic<br>Hardcopy | Permanent                                      | Login credentials<br>restricted access               | Secure storage within           | NO          | None                    | None    | Confidential |

Functionality Area: Marketing

Legislation Ref:

| Asset ID | Functionality | Class / Activity      | Record Type        | Art 30.1.d  |                  |                     |  | Art 30.3              | Art 30.1.f       | Art.30.1.g /30.2.d                                |   |                                    |             |                            |
|----------|---------------|-----------------------|--------------------|---|------------------|---------------------|--|-----------------------|------------------|---|---|------------------------------------|-------------|----------------------------|
|          |               |                       |                    | Who is this information shared with?<br>Eg. 3rd parties | Location of data | Volume of data held | Who has access to this data ie<br>category of staff? | Format of the<br>data | Retention period | Description of technical<br>and security measures | If applicable, is there an up to date<br>DPIA in place? | Risk / Impact of a data<br>breach? | Risk rating | Security<br>classification |
| MKT00X   | Marketing     | Departmental Function | Client Information |   |                  |                     |  |                       |                  |   |   |                                    |             |                            |

Marketing

Marketing Management

- Marketing campaigns and assessment of their impact : Marketing plans, Market research reports + Application reports

N/A

Share Point

20

All staff

Electronic

Current academic year + 1 year

Staff login credentials

N/A

Loss of reputation

Minimal

Public

- Marketing Strategy

N/A

Share Point

1

All staff

Electronic

Current academic year + 4 years

Staff login credentials

N/A

Loss of reputation

Minimal

Public

Promotional Information

- Design and control of college corporate identity: Brand guideline + Publicity material

All stakeholders

U/Drive  
S/point

20

All staff

Electronic

Record subject to ongoing update  
and review

Staff login credentials

N/A

Loss of reputation

Minimal

Public

Functionality Area: Quality

Legislation Ref:

| Asset ID | Functionality | Class / Activity      | Record Type        | Art 30.1.d<br>Who is this information shared with?<br>Eg. 3rd parties | Location of data | Volume of data held | Who has access to this data ie<br>category of staff? | Art 30.3<br>Format of the<br>data | Art 30.1.f<br>Retention period | Art.30.1.g / 30.2.d<br>Description of technical<br>and security measures | If applicable, is there an up to date<br>DPIA in place? | Risk / Impact of a<br>data breach? | Risk rating | Security<br>classification |
|----------|---------------|-----------------------|--------------------|---|------------------|---------------------|--|-----------------------------------|--------------------------------|--|---|------------------------------------|-------------|----------------------------|
| QUA00X   | Quality       | Departmental Function | Client information |   |                  |                     |  |                                   |                                |  |   |                                    |             |                            |

Quality

ETI and QAA

- *Inspection reports*

Not shared

S/drive  
Sharepoint

<50

Quality Team

Electronic

Record subject to on-going update and  
review

Login credentials

N/A

None

Minimal

Open

- *Survey reports*

Not shared

S/drive  
Sharepoint

<50

Quality Team

Electronic

Record subject to on-going update and  
review

Login credentials

N/A

None

Minimal

Open

Current awarding body examination /  
assessment rules and regulations

→

Not shared

S/drive  
Sharepoint

<100

All staff

Electronic

Record subject to on-going update and  
review

N/A

N/A

None

Minimal

Public

Functionality Area: Record Management

Legislation Ref:

| Asset ID | Functionality            | Class / Activity                                    | Record Type        | Art 30.1.d  |                  | Volume of data held                     | Art 30.3  |                    | Art 30.1.f       | Art.30.1.g / 30.2.d                            |  | Risk / Impact of a data breach? | Risk rating             | Security classification |                    |          |              |
|----------|--------------------------|---|--------------------|---|------------------|---|---|--------------------|------------------|--|--|---------------------------------|-------------------------|-------------------------|--------------------|----------|--------------|
|          |                          |   |                    | Who is this information shared with?<br>Eg. 3rd parties | Location of data |   | Who has access to this data ie category of staff? | Format of the data | Retention period | Description of technical and security measures | If applicable, is there an up to date DPIA in place? |                                 |                         |                         |                    |          |              |
| RECOOX   | Record Management        | Departmental Function                               | Client Information |   |                  |   |   |                    |                  |  |  |                                 |                         |                         |                    |          |              |
|          | <u>Record Management</u> | <u>Shredding certification</u>                      | →                  | Mount Charles   | River Ridge      | Secure storage within restricted access | up to 10  | Specified staff    | Hardcopy         | Current academic year + 1 year                 | (Dedicated) secure storage within restricted access  | N/A                             | Loss of reputation      | Minimal                 | Confidential       |          |              |
|          |                          | <u>Retention and disposal schedule</u>              | →                  | FE Sector   | Public           | Sharepoint                              | College Website                                   | 1                  | Staff            | Public   | Electronic   | Date of review +6 years         | None                    | N/A                     | None               | No risk  | Public       |
|          |                          | <u>Publication scheme</u>                           | →                  | Public  |                  | College website                         |   | 1                  | Staff            | Public   | Electronic   | Date of review +6 years         | None                    | N/A                     | None               | No risk  | Public       |
|          |                          | <u>Record of processing activities</u>              | →                  | N/A   |                  | S/Drive                                 |   | 2                  | Specified staff  |  | Electronic   | Date of review +6 years         | Staff login credentials | N/A                     | Loss of reputation | Moderate | Confidential |
|          |                          | <u>ICQ data controller registration certificate</u> | →                  | Not shared  |                  | S/Drive                                 |   | 6                  | Specified staff  |  | Electronic   | Date of review +6 years         | Staff login credentials | N/A                     | Loss of reputation | Minimal  | Confidential |
|          |                          | <u>Data privacy impact assessments</u>              | →                  |   |                  | S/Drive                                 |   | <20                | Specified staff  |  | Electronic   | Date of review +6 years         | Staff login credentials | N/A                     | Loss of reputation | Moderate | Confidential |
|          |                          | <u>Data sharing agreements</u>                      | →                  | Sector Agreeing Party                                   | DfE              | S/Drive                                 |   | <20                | Specified staff  |  | Electronic   | Date of review +6 years         | Staff login credentials | N/A                     | Loss of reputation | Moderate | Confidential |