

## 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:

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
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? 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 ETI	Sharepoint S/drive	<50	Specified staff	Electronic	Current academic year + 5 years	Staff login credentials	N/A	None	Minimal	Public		
	<u>Performance Monitoring reports</u>			→	Department for Economy ETI	Sharepoint S/drive	<50	Specified staff	Electronic	Current academic 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 Hardcopy	Current academic year + duration of the course	N/A	N/A	None	Minimal	Public		
	<u>Course handbook</u>			→	Public	College website	<3000	Public	Electronic Hardcopy	Record subject to on-going update 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 Sharepoint Secure storage	VLE	500,000	Specified staff	Electronic Hardcopy	Record subject to on-going update and review	Secure storage within restricted access credentials	Staff login	N/A	None	Minimal	Public
	<u>Design of new curricula</u>			•	Reports and other key documents												
					Public	College website	<10	Public	Electronic Hardcopy	Record subject to on-going update 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 Hardcopy	Current academic year + duration of the course	N/A	N/A	None	Minimal	Public		
				•	Course specific information relating to coursework and assessment design												
					Public	College website	<3000	Public	Electronic Hardcopy	Current academic year + duration of the course	N/A	N/A	None	Minimal	Public		

Information on		Art 30.2.1		Art 30.2.2		Art 30.2.3		Art 30.2.4		Art 30.2.5		Art 30.2.6		Art 30.2.7		Art 30.2.8		Art 30.2.9		Art 30.2.10		Art 30.2.11		Art 30.2.12		Art 30.2.13		Art 30.2.14		Art 30.2.15		Art 30.2.16		Art 30.2.17		Art 30.2.18		Art 30.2.19		Art 30.2.20		
Asset ID	Functionality	Class / Activity	Record Type	Who is this information shared with eg. 3rd parties	Location of data	Volume of data	Who has access to this data in charge of what?	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																												
<b>Health and Safety records</b>																										<ul style="list-style-type: none"> <li>Minor assets including internal decorations, relocation</li> </ul>		M/Adams Design	M/Services	Adams	Edinburgh	100,000	Specified staff	Electronically	Completion of works + 5 years	Staff logs credentials	N/A	Loss of reputation	Minimal	Confidential		
<b>Planning applications (including approval documentation)</b>																										<ul style="list-style-type: none"> <li>Contractors Local Planning Authority</li> </ul>		Designers	Sharnpoint	Secure storage/with restricted access	100,000	Specified staff	Electronically	Completion of works + 5 years	Staff logs credentials restricted access	N/A	Loss of reputation	Minimal	Public			
<b>Inspection</b>																										<ul style="list-style-type: none"> <li>Inspection and reports</li> </ul>		N/A	Sharnpoint	Edinburgh	1000+	Specified staff	Electronically	Completion of works + 5 years	Staff logs credentials	N/A	Loss of reputation	Minimal	Confidential			
<b>Environmental management</b>																										<ul style="list-style-type: none"> <li>Environmental management function records including reviews, audits, risk assessments and investigations</li> </ul>		Sharnpoint	Ed/line	1000+	Specified staff	Electronically	Creation date + 5 years	Staff logs credentials	N/A	Loss of reputation	Minimal	Confidential				
<b>Energy consumption records</b>																										<ul style="list-style-type: none"> <li>Accredited organisation: Strategic Investment Board (SIB)</li> </ul>		Sharnpoint	Ed/line	1000+	Specified staff	Electronically	Creation date + 5 years	Staff logs credentials	N/A	Loss of reputation	Minimal	Confidential				
<b>Fire records</b>																										<ul style="list-style-type: none"> <li>Fire fighting equipment and assessment</li> </ul>		N/A	Sharnpoint	Ed/line	1000+	Specified staff	Electronically	Creation date + 5 years	Staff logs credentials	N/A	Loss of reputation	Minimal	Confidential			
<b>Fire evacuation drill records</b>																										<ul style="list-style-type: none"> <li>Fire evacuation drill records</li> </ul>		N/A	Sharnpoint	Office 365	up to 100	Specified staff	Electronically	Creation date + 5 years	Staff logs credentials	N/A	Loss of reputation	Minimal	Confidential			
<b>Health and Safety</b>																										<ul style="list-style-type: none"> <li>Contract health and safety records</li> </ul>		N/A	Secure storage/with restricted access	Sharnpoint	1000+	Specified staff	Electronically	Permanent	Staff logs credentials restricted access	Secure storage/with restricted access	N/A	Loss of reputation	Minimal	Confidential		
<b>Contracts</b>																										<ul style="list-style-type: none"> <li>Contract documents (paper work)</li> </ul>		Legal representatives external	Sharnpoint	Ed/line	1000	Specified staff	Electronically	Creation date + 12 years	Staff logs credentials restricted access	Secure storage/with restricted access	N/A	Loss of reputation	Possible/High action	Severe	Confidential	
<b>Legal representatives external</b>																										<ul style="list-style-type: none"> <li>Signed contract documents (paper handover)</li> </ul>		Legal representatives external	Sharnpoint	Ed/line	1000	Specified staff	Electronically	Creation date + 12 years	Staff logs credentials restricted access	Secure storage/with restricted access	N/A	Loss of reputation	Possible/High action	Severe	Confidential	
<b>Transfer contracts, building works</b>																										<ul style="list-style-type: none"> <li>CPD portal</li> </ul>		Ed/line	Viewpoint	100,000	Specified staff	Electronically	Creation date + 12 years	Staff logs credentials	N/A	Loss of reputation	Possible/High action	Severe	Confidential			
<b>Property acquisition decisions</b>																										<ul style="list-style-type: none"> <li>Legal representatives external</li> </ul>		Partners to the	Ed/line	with restricted access	Secure storage	1000	Specified staff	Electronically	Creation date + 12 years	Staff logs credentials restricted access	Secure storage/with restricted access	N/A	Loss of reputation	Possible/High action	Severe	Confidential
<b>Health and Safety</b>																										<ul style="list-style-type: none"> <li>Health and safety representative records</li> </ul>		N/A	Ed/line	1000	Specified staff	Electronic	Creation date + 9 years	Staff logs credentials	N/A	None	Minimal	Open				
<b>External bookings</b>																										<ul style="list-style-type: none"> <li>Room / facility bookings for external parties</li> </ul>		N/A	Ed/line	100	Specified staff	Electronic	Current academic year	Staff logs credentials	N/A	Loss of reputation	Minimal	Confidential				
<b>Information security records</b>																										<ul style="list-style-type: none"> <li>External security company</li> </ul>		Ed/line	1000	Specified staff	Electronic	Current academic year + 2 years	Staff logs credentials	N/A	Loss of reputation	Harm to rights and freedom of data subject	Medium	Confidential				
<b>Contract related records</b>																										<ul style="list-style-type: none"> <li>Current academic year + 2 years</li> </ul>		Ed/line	1000	Specified staff	Electronic	Current academic year + 2 years	Staff logs credentials	Secure storage/with restricted access	N/A	Loss of reputation	Harm to rights and freedom of data subject	Severe	Confidential			
<b>Water related records</b>																										<ul style="list-style-type: none"> <li>Completed work</li> </ul>		N/A	Sharnpoint	100,000	Specified staff	Electronic	Current academic year + 3 years	Staff logs credentials	N/A	Loss of reputation	Minimal	Confidential				
<b>Facility water</b>																										<ul style="list-style-type: none"> <li>Facility water</li> </ul>		N/A	Ed/line	10000	Specified staff	Electronic	Current academic year + 3 years	Staff logs credentials	N/A	N/A	Minimal	Confidential				
<b>Buildings and Community (includes includes transfer of materials)</b>																										<ul style="list-style-type: none"> <li>N/A</li> </ul>		Ed/line	10000	Specified staff	Electronic	Disposal + 1 year	Staff logs credentials	N/A	N/A	Minimal	Confidential					
<b>Fire inspection records</b>																										<ul style="list-style-type: none"> <li>N/A</li> </ul>		Ed/line	1	Specified staff	Electronic	Duration of insurance contract + 3 years	Staff logs credentials	N/A	Loss of reputation	Medium	Confidential					
<b>Buildings and community activities</b>																										<ul style="list-style-type: none"> <li>Proposed work orders</li> </ul>		Ed/line	1000	Specified staff	Electronic	Disposal + 4 years	Staff logs credentials with restricted access	Secure storage	N/A	N/A	Minimal	Public				
<b>Operation and maintenance records</b>																										<ul style="list-style-type: none"> <li>Terms &amp; Service contractor</li> </ul>		Sharnpoint	500,000	Specified staff	Electronic	Life span of equipment	Staff logs credentials with restricted access	Secure storage	N/A	N/A	Minimal	Public				
<b>Service of equipment, machinery and systems</b>																										<ul style="list-style-type: none"> <li>Health and Safety Executive</li> </ul>		Ed/line	Edinburgh	500,000	Specified staff	Electronic	Life span of equipment + 5 years	Staff logs credentials	N/A	Loss of reputation	Minimal	Confidential				
<b>Contracts (Priority records by Contract)</b>																										<ul style="list-style-type: none"> <li>Original letters / deeds</li> </ul>		Other contracted party	Secure storage/with restricted access	Ed/line	2	Specified staff	Electronic	End of lease + 5 years	Staff logs credentials with restricted access	Secure storage	N/A	Loss of reputation	Medium	Confidential		
<b>Buildings</b>																										<ul style="list-style-type: none"> <li>Maintenance contracts and schedule</li> </ul>		LM Services	Edinburgh	Sharnpoint	500,000	Specified staff	Electronic	Life time of contract	Staff logs credentials restricted access	Secure storage/with restricted access	N/A	Loss of reputation	Medium	Confidential		
<b>Fire risk assessments</b>																										<ul style="list-style-type: none"> <li>Contractor</li> </ul>		Ed/line	Sharnpoint	10000	Specified staff	Electronic	Life span of building	Staff logs credentials restricted access	Secure storage/with restricted access	N/A	Loss of reputation	Medium	Confidential			
<b>Contract files</b>																										<ul style="list-style-type: none"> <li>Contract building project files by contractual relationship with contractor</li> </ul>		Sharnpoint	Secure storage	10000	Specified staff	Electronic	Until building demolished	Staff logs credentials restricted access	Secure storage/with restricted access	N/A	Loss of reputation	Commercial risk	Severe	Confidential		
<b>Buildings and maintenance work</b>																										<ul style="list-style-type: none"> <li>Building plans / drawings</li> </ul>		Contractors/Designers	Secure storage/with restricted access	Sharnpoint	1 million	Specified staff	Electronic	Permanent	Staff logs credentials restricted access	Secure storage/with restricted access	N/A	Commercial risk	Medium	Confidential		
<b>Building and engineering works, inclusive of major projects abandoned or deferred</b>																										<ul style="list-style-type: none"> <li>Contractors/Designers</li> </ul>		Secure storage/with restricted access	Sharnpoint	1 million	Specified staff	Electronic	Permanent	Staff logs credentials restricted access	Secure storage/with restricted access	N/A	Commercial risk	Medium	Confidential			
<b>Building portfolios / CDM files</b>																										<ul style="list-style-type: none"> <li>Contractors/Designers</li> </ul>		Secure storage/with restricted access	Sharnpoint	Edinburgh	1 million	Specified staff	Electronic	Permanent	Staff logs credentials restricted access	Secure storage/with restricted access	N/A	Commercial risk	Medium	Confidential		
<b>Construction records</b>																										<ul style="list-style-type: none"> <li>Copy letters and deeds</li> </ul>		Solicitor	Sharnpoint	Secure storage	10	Specified staff	Electronic	Permanent	Staff logs credentials restricted access	Secure storage/with restricted access	N/A	Commercial risk	Severe	Confidential		
<b>Construction records</b>																										<ul style="list-style-type: none"> <li>Schedule and report on site</li> </ul>		Solicitor	Sharnpoint	Secure storage	10	Specified staff	Electronic	Permanent	Staff logs credentials restricted access	Secure storage/with restricted access	N/A	Commercial risk	Severe	Confidential		
<b>Construction records</b>																										<ul style="list-style-type: none"> <li>Comments</li> </ul>		Solicitor	Secure storage/with restricted access	Ed/line	10	Specified staff	Electronic	Permanent	Staff logs credentials restricted access	Secure storage/with restricted access	N/A	Commercial risk	Severe	Confidential		
<b>Construction records</b>																										<ul style="list-style-type: none"> <li>Letters and other rights over property</li> </ul>		Solicitor	Secure storage/with restricted access	Ed/line	10	Specified staff	Electronic	Permanent	Staff logs credentials restricted access	Secure storage/with restricted access	N/A	Commercial risk	Severe	Confidential		
<b>Construction records</b>																										<ul style="list-style-type: none"> <li>Original leases and deeds</li> </ul>		Solicitor	Secure storage/with restricted access	Ed/line	10	Specified staff	Electronic	Permanent	Staff logs credentials restricted access	Secure storage/with restricted access	N/A	Commercial risk	Severe	Confidential		
<b>Construction records</b>																										<ul style="list-style-type: none"> <li>Property acquisition decisions</li> </ul>		Solicitor	Secure storage/with restricted access	Ed/line	10	Specified staff	Electronic	Permanent	Staff logs credentials restricted access	Secure storage/with restricted access	N/A	Commercial risk	Severe	Confidential		
<b>Environmental management</b>																										<ul style="list-style-type: none"> <li>Adviser/regulator</li> </ul>		Contractor	Secure storage/with restricted access	Ed/line	9	Specified staff	Electronic	Permanent	Staff logs credentials restricted access	Secure storage/with restricted access	N/A	None	Minimal	Public		
<b>Environmental management</b>																										<ul style="list-style-type: none"> <li>Health and safety records including health documentation</li> </ul>		Contractor	Students	Secure storage/with restricted access	Ed/line	1000	Specified staff	Electronic	Permanent	Staff logs credentials	N/A	None	Minimal	Public		
<b>Environmental management</b>																										<ul style="list-style-type: none"> <li>Testing, maintenance and statutory inspections</li> </ul>		Contractor	Edinburgh	Sharnpoint	10000	Specified staff	Electronic	Permanent	Staff logs credentials	N/A	Loss of reputation	Minimal	Confidential			

Functionality Area: Examinations

Legislation Ref:

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
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 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 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 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 Sector Organisations	Other Public S/Drive		1000+	Specified staff	Electronic	Contracts NOT under seal: Expiry of contract + 6 years 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
			•	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	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
			•	Equality Commission	Disability action plan (DAP) (Annual progress report to quality 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
			•	Equality Commission	Article 55 3 year review	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
			•	Equality Commission	Documentation to support the development of schemes/ DAP / reviews / equality screening / equality impact assessment / monitoring	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		Loss of reputation	minimal	Confidential			
		<b>Reviews (Annual review of progress (Annual College Development Plan and whole College - ACE)</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	Open	
		<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				
				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
HR00X	Human Resources	Departmental Function	Client Information											

Staff Recruitment

- Advertisement of vacancies

Public

Q/Drive

<500

Specified staff

Electronic

Full of Vacancy + 3  
years

Staff login credentials

NO

Loss of reputation

Minimal

Public

Job descriptions

- Job descriptions

Public

Q/Drive

Up to 1000

Specified staff

Electronic  
Hardcopy

Record subject to  
on-going update  
and review

Staff login credentials  
within restricted access

Secure storage

NO

Loss of reputation

Minimal

Public

- Assessment of jobs in relation to established  
job evaluation criteria

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

Staff handbook / manual

→

All staff

Q/Drive Sharepoint 1

All staff

Electronic

Record subject to  
on-going update  
and review

Staff login credentials

NO

None

Minimal

open

Staff payment records

- Non-teaching / lecturer pay scales

Not shared

Q/Drive Sharepoint

<20

All staff

Electronic

Termination of  
employment + 6  
years

Staff login credentials

NO

None

Minimal

Open

Survey reports

- Staff surveys

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? 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 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?	Art 30.3 Format of the data	Art 30.1.f Retention period	Art.30.1.g / 30.2.d 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
INS00X	Insurance	Departmental Function	Client information											
	<u>Insurance</u>	<u>Claims history (Insurance Synopsis)</u>	→	Broker	J/ Drive Secure storage within restricted access	S/Drive <10	Specified EST staff	Electronic Hardcopy	Creation date + 6years	Login credentials restricted access	Secure storage within NO	Loss of reputation	Minimal	Confidential
		<u>Renewal documentation (Including insurance reports)</u>	→	Broker	J/ Drive Secure storage within restricted access	S/Drive <10	Specified EST staff	Electronic Hardcopy	Creation date + 6years	Login credentials restricted access	Secure storage within NO	Loss of reputation	Minimal	Confidential
		<u>Insurance - inspectors</u>	→	Health and Safety Executive	J/ Drive Secure storage within restricted access	S/Drive <10	Specified EST staff	Electronic Hardcopy	Creation date + 6years	Login credentials 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 + 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 + 6years	Login credentials	NO	Loss of reputation	Minimal	Confidential
		<u>Indemnities and guarantees</u>	→	Contracted Organisations (Proof of insurance and compliance)	J/ Drive Sharepoint	S/Drive <150	Specified EST staff	Electronic	Creation date + 10 years	Login credentials	NO	Loss of reputation	Minimal	Confidential
		<u>Certificates of employers and public liability insurance</u>	→	Broker	J/Drive Sharepoint within restricted access	S/Drive Secure storage <30	Specified EST staff	Electronic Hardcopy	Permanent	Login credentials 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	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		Risk / Impact of a data breach?	Risk rating	Security classification
				Who is this information shared with? Eg. 3rd parties				Format of the data	Retention period	Description of technical and security measures	If applicable, is there an up to date DPIA in place?			
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 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?	Art 30.3 Format of the data	Art 30.1.f Retention period	Art.30.1.g / 30.2.d 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
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? 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