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**Appendix I: Retention of Records containing Personal Data**

This list is not exhaustive, but provides guidance as to best practice. For further detailed advice on document retention see the JISC publication "Study of the Records Lifecycle."

<b>Type of Record</b>	<b>Suggested Retention Period</b>	<b>Reason for Length of Period</b>
Personnel files including training records and notes of disciplinary and grievance hearings	6 years from the end of employment	References and potential litigation
Application forms/interview notes	At least 6 months from the date of the interviews	Time limits on litigation
Facts relating to redundancies where less than 20 redundancies	6 years from the date of redundancy	As above
Facts relating to redundancies where 20 or more redundancies	12 years from the date of the redundancies	Limitation Act 1980
Income Tax and NI Returns, including correspondence with tax office	At least 3 years after the end of the financial year to which the records related	Income Tax (Employment) Regulations 1993
Statutory Maternity Pay records and calculations	As above	Statutory Maternity Pay (General) Regulations 1986
Statutory Sick Pay records and calculations	As above	Statutory Sick Pay (General) Regulations 1982
Wages and salary records	6 years	Taxes Management Act 1970
Accident books, and records and reports of accidents	3 years after the date of the last entry	Social Security (Claims and Payments) Regulations 1979; RIDDOR 1985
Health Records	During employment	Management of Health and Safety at Work Regulations
Health Records where reason for termination of employment is connected with health, including stress related illness	3 years	Limitation period for personal injury claims

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Medical records kept by reason of the Control of Substances Hazardous to Health Regulations 1999	40 years	Control of Substances Hazardous to Health Regulations 1999
Ionising Radiation Records	At least 50 years after last entry	Ionising Radiations Regulations 1985
Student records, including academic achievements and conduct	At least 6 years from the date that the student leaves the institution, in case of litigation for negligence	Limitation period for negligence.
Student records - as above	At least 10 years for personal and academic references.	Permits institution to provide references for a reasonable length of time.
Student records - as above	Certain personal data may be held in perpetuity.	While personal and academic references may become 'stale', some data e.g. transcripts of student marks may be required throughout the student's future career. Upon the death of the data subject, data relating to him/her ceases to be personal data.
Fundraising records Trusts Volunteers Stall holders Major donors Regular donors Corporates SME Budget sheets	Records to be stored electronically and in hard copy for six years for volunteers.  All other records to be stored indefinitely	Volunteer personal data, references, and DBS information.  All other information to be stored until it is no longer valid as it is not time critical

Source: JISC Data Protection Code of Practice for the HE and FE Sectors,



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**Data Protection – Department Protocol Speech & Language Therapy Department**

<b>Data</b>	<b>How Stored</b>	<b>Period of storage</b>	<b>Who has access</b>	<b>Reason for storage</b>	<b>Master/Lead Department</b>
Initial assessment of student.	Locked paper file Electronic folder in SLT drive Databridge	8 years	SLT staff	Legal reasons/confidentiality Information governance standards	Speech & Language Therapy
Past treatment notes	Locked paper file Electronic folder in SLT drive Databridge – SLT area.	8 years	SLT staff	Legal reasons/confidentiality Information governance standards	Speech & Language Therapy
Correspondence about students	Locked paper file Electronic folder in SLT drive	8 years	SLT staff	Legal reasons/confidentiality Information governance standards	Speech & Language Therapy
Current Speech & Language Therapy treatment records	Databridge – confidential SLT area.	8 years	SLT staff	Legal reasons/confidentiality Information governance standards	Speech & Language Therapy
Speech & Language Therapy reports	Locked paper file Electronic folder in SLT drive Databridge	8 years	SLT staff	Legal reasons/confidentiality Information governance standards	Speech & Language Therapy
Videos and photographs	Electronic folder in SLT drive	8 years	SLT staff	Legal reasons/confidentiality Information governance standards	Speech & Language Therapy
Diaries	Locked filing cabinet	3 years	SLT staff	Legal reasons/confidentiality Information governance standards	Speech & Language Therapy
Staff management records	Locked filing cabinet Electronic folder on management drive of NHS Trust	Variable	SLT manager SLT managers in NHS SLT service	Legal reasons/confidentiality Information governance standards	Speech & Language Therapy
Training	All SLT team complete information governance toolkit training as part of NHS requirements	Annually	SLT staff		



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**Data Protection – Department Protocol Physiotherapy Department**

<b>Data</b>	<b>How Stored</b>	<b>Period of storage</b>	<b>Who has access</b>	<b>Reason for storage</b>	<b>Master/Lead Department</b>
Initial assessment of student.	Locked file or on enotefile electronic note system (encrypted dropbox storage)	7 years after leaving college	Physiotherapy staff	Legal reasons	Physiotherapy
Past treatment notes	Locked file or on enotefile electronic note system (encrypted dropbox storage)	7 years after leaving college	Physiotherapy staff	Legal reasons	Physiotherapy
Correspondence about students	Locked file or on enotefile electronic note system (encrypted dropbox storage)	7 years after leaving college	Physiotherapy staff	Legal reasons	Physiotherapy
Physiotherapy treatment records	Locked file or on enotefile electronic note system (encrypted dropbox storage)	7 years after leaving college	Physiotherapy staff	Legal reasons	Physiotherapy
Attendance spreadsheet	Physio only shared drive	7 years after leaving college	Physiotherapy staff	Legal reasons	Physiotherapy
Physiotherapy reports	Locked file or on enotefile electronic note system (encrypted dropbox storage)	7 years after leaving college	Physiotherapy staff	Legal reasons	Physiotherapy
Videos and photographs	Locked file or on enotefile electronic note system (encrypted dropbox storage)	7 years after leaving college	Physiotherapy staff	Legal reasons	Physiotherapy
Wheel chair information	Locked file or on enotefile electronic note system (encrypted dropbox storage)	7 years after leaving college	Physiotherapy staff and wheel chair repair man.	Legal reasons	Physiotherapy
Diary	Locked file	7 years after leaving college	Physiotherapy staff	Legal reasons	Physiotherapy

**Data Protection – Department Protocol Learning & Skills Department**

<b>Data</b>	<b>How Stored</b>	<b>Period of storage</b>	<b>Who has access</b>	<b>Reason for storage</b>	<b>Master/Lead Department</b>
LEARNER INITIAL ASSESSMENT REPORT	Word Documents & MIS System College Network	3 Years	CM	Local Authority	L&T Department
LEARNER ENROLMENT FORMS	Paper Lockable Filling Cabinet (QSM/DM Office)	7 Years	DM and QD Team	Funding Audit Requirements	Quality and Data Department
STUDY PROGRAMME FORMS	Paper & Spreadsheets Lockable Filling Cabinet (QSM/DM Office) – College Network	7 Years	DM and QD Team	Funding Audit Requirements	Quality and Data Department
ENGLISH & MATHS CONDITION OF FUNDING FORMS	Paper & MIS System Lockable Filling Cabinet (QSM/DM Office)	7 Years	DM and QD Team	Funding Audit Requirements	Quality and Data Department
SURVEY FORMS	Paper & Spreadsheets Lockable Filling Cabinet (Admin Office) – College Network	3 Years	QD Team	SAR Reports	Quality and Data Department
SAFEGUARDING REFERRALS & PEER AUDITS	Paper & Spreadsheets Lockable Filling Cabinet (BSM & QSM/DM Offices) – College Network	ON GOING	PBSM & QSM	To Monitor Safeguarding and for Council Audits	L&T Department
LEARNER PHOTOS	PDFs & MIS System College Network	Until Learner reaches 101.	QD Team & Reception	Learners frequently return to attend other care services at College.	Quality and Data Department
RARPA 1 FILES – LEARNER DETAILS	Paper Locked Room (Chestnut Admin Store)	3 Years	Exam Admin	Quality & Ofsted	L&T Department
RARPA 23456 FILES – TARGET AND OBJECTIVES	Paper Kept Locked in Classrooms	3 Years	Personal Tutors	Quality & Ofsted	L&T Department



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**Data Protection – Department Protocol Learning & Skills Department**

LEARNER PERSONAL DETAILS, REGISTERS, CARERS CONTACTS, EHCP, LEARNER CARE PLAN AND MEDICATION, EVENT LOG, GOALS AND TARGETS	MIS System	Until Learner reaches 101.	All Staff, but varied levels of access.	Learners frequently return to attend other care services at College.	L&T Department
LEARNER COMPUTER LOGINS	College Network	Untill Learner leaves college.	ICT Staff	For access to Network.	ICT
BEHAVIOURAL PLANS	Word Documents & MIS System College Network	3 Years	PBSM	Quality	L&T Department
ABC FORMS	Paper & MIS System	3 Years	PBSM	Quality	L&T Department
LEARNER CERTIFICATES	Paper Lockable Filling Cabinet (Chestnut Room 5)	Handed to Student or Posted as soon as possible	Exam Admin	Until Learner is next in college.	Quality and Data Department
EXAM RECORDS	Paper Locked Room (Chestnut Exam Safe Room)	3 Years	Exam Admin	For Audit, to prove passes.	Quality and Data Department
STAFF PERSONAL DETAILS	HR System	Until they leave.	HR	Operational Needs.	HR
STAFF APPRAISALS	Word Documents College Network	3 Years	Line Managers	HR Records	L&T Department
TUTOR & CSA PERFORMANCE REVIEWS – PRE	Paper & Spreadsheets Lockable Cupboard (HQLT Room) - College Network	3 Years	HQLT	SAR	Quality and Data Department
MIS REPORTS	Paper & Spreadsheets Lockable Cupboard (HQLT Room) - College Network	3 Years	HQLT	Quality & SAR	Quality and Data Department
STAFF TIMESHEETS/PLANNED ABSENCES	Paper & MIS System Lockable Filling Cabinet (Chestnuts Room 5)	3 Years	L&T Admin	Finance Audits	L&T Department



## Procedure No. I.2I – DATA PROTECTION POLICY RECORDS

STAFF QUALIFICATION CERTIFICATES	PDFs College Network Paper Based – passed to Staff Development Manager	On Going	Exam Admin	Staff CPD and Development	Staff Development Department
TEACHING OBSERVATIONS	Paper & Spreadsheets Lockable Filling Cabinet (QIM Office) – College Network	3 Years	QD Team	SAR	Quality and Data Department
STAFF RETURN TO WORKS/INTERVIEW DETAILS	Paper & HR System Lockable Filling Cabinet (HR Office)	Untill Leave college.	HR Staff	HR	HR Department





**Procedure No. 1.21 – DATA PROTECTION POLICY RECORDS**

**Data Protection – Department Protocol - Marketing, Student Recruitment & Assessment Department**

<b>Data</b>	<b>How Stored</b>	<b>Period of storage</b>	<b>Who has access</b>	<b>Reason for storage</b>	<b>Master/Lead Department</b>
Prospectus request contact details	Donor Strategy		Student Recruitment & Marketing teams who have privileges	Learner journey	Student Recruitment Department
Prospective parents & learners contact details	Paper file Donor Strategy	3 years	Student Recruitment  Student Recruitment & Marketing teams who have privileges	Learner journey	Student Recruitment Department
Applications for Further Education learners	Filing cabinets – Birches B3	Prior to commencing training	Assessment team & staff based in B3	Potential students	Admissions Department
Applications for current Further Education learners	Archive cupboard	Seven years after they have completed	Assessment team		Admissions Department
All current & ex-learners' personal information	Databridge	6 years	All staff who have privileges		Quality/Data Department
Visual recording consent forms	Paper version with the learner's file, plus Databridge	Seven years after they have completed	Assessment team for paper version, All staff who have privileges for Databridge	Current students	Admissions Department
Applications of learners who have withdrawn or found not suitable for a programme	Archive cupboard	1 year after receiving	Assessment team	Any queries or new applications	Admissions Department
Friends of Portland	Paper application form Donor Strategy	Until the individual requests removal from the list	Marketing  Student Recruitment & Marketing teams who have privileges	Database storage	Marketing department



**Procedure No. I.2I – DATA PROTECTION POLICY RECORDS**

**Data Protection – Department Protocol Finance Department**

<b>Data</b>	<b>How Stored</b>	<b>Period of storage</b>	<b>Who has access</b>	<b>Reason for storage</b>	<b>Master/Lead Department</b>
<p>A) Suppliers Accounts</p> <ol style="list-style-type: none"> <li>1. Cheques/Remittance advice</li> <li>2. Cash Book Listing</li> <li>3. Invoice</li> <li>4. Purchase Requisitions from Stores etc.</li> <li>5. Purchase Orders</li> <li>6. Quotations – Capital Expenditure</li> <li>7. Revenue Expenditure – Successful Quotations</li> <li>8. Bills of Lading, Consignment Notes etc.</li> </ol>	<p>Locked filing cabinet/ Locked Store Room/ Computerised records</p>	<p>6 years 6/10 years 3/6 years (Revenue) 10 years (Capital) 2 years 3 years Indefinite  2 years 3 years</p>	<p>Finance Dept</p>	<p>Statute of Limitations Commercial/ Companies Act VAT/Companies Act/ Commercial Commercial/Audit  VAT/Commercial Commercial/Audit  Audit VAT</p>	<p>Finance Dept</p>
<p>B) Assets Accounting</p> <ol style="list-style-type: none"> <li>1. Ledger Sheets – Capital Revenue</li> <li>2. Consolidated Accounts – Analysis of fixed assets and provision for depreciation</li> <li>3. Disposals of assets</li> <li>4. Application to write off plant book value</li> </ol>	<p>Locked filing cabinet/ Locked Store Room</p>	<p>10 years Indefinite  Indefinite Indefinite</p>	<p>Finance Dept</p>	<p>Commercial/Companies Act Commercial  Commercial Commercial</p>	<p>Finance Dept</p>
<p>C) Salaries/Wages Documentation</p> <p>(Please also refer to Employers Guide to PAYE (Booklet No. P7) – preservation of pay records paragraph 145)</p> <ol style="list-style-type: none"> <li>1. Income Tax – Employee leaving (P45)</li> </ol>	<p>Locked filing cabinet/ Locked Store Room/ Computerised records</p>	<p>6 years</p>		<p>Taxes Management Act</p>	



**Procedure No. I.2I – DATA PROTECTION POLICY RECORDS**

Data	How Stored	Period of storage	Who has access	Reason for storage	Master/Lead Department
2. Authority to refund tax to new employee 3. Notice to employer of tax code number 4. Certificate of pay and tax deducted (P60) 5. Income Tax Notice of Code change etc. 6. Annual return of taxable pay and tax paid 7. Schedule of deductions 8. Timesheets 9. Pay advice 10. Payroll and Payroll Control		6 years 6 years 2 years 6 years 6 years 6 years 2 years 2 years 6 years	Finance Dept	Taxes Management Act Taxes Management Act Commercial Taxes Management Act Taxes Management Act Taxes Management Act Audit Audit/Commercial Statute of Limitations/Taxes Management Act	Finance Dept
D) Sales Documents 1. Customers complaints 2. Customer orders 3. Enquiries 4. Estimates and quotations 5. Sales Ledger 6. Nominal and Private Ledgers 7. Journal Ledgers 8. Journal Vouchers 9. Sales Invoices and Credit Notes 10. Consignment Notes 11. Customers personal files 12. Schedule of outstanding accounts- credit control 13. Overdue accounts	Locked filing cabinet/ Locked Store Room/ Computerised records	3 years 6 or 12 years after expiry of contract 1 year 6 or 12 years after expiry of contract 6/10 years Indefinite 10 years 3/6 years 3/6 years 3/6 years 6 years 6 years Until paid	Finance Dept	VAT Commercial Commercial Commercial Companies Act/Commercial Companies Act/Commercial Companies Act/Commercial Companies Act/Commercial VAT/Companies Act VAT/Companies Act Statute of Limitations Statute of Limitations Commercial	Finance Dept



**Procedure No. I.2I – DATA PROTECTION POLICY RECORDS**

Data	How Stored	Period of storage	Who has access	Reason for storage	Master/Lead Department
<p>E) Employee Records</p> <ol style="list-style-type: none"> <li>1. Deeds and Rules etc. of pension funds</li> <li>2. Trustees Minute Books</li> <li>3. Actuarial valuation reports</li> <li>4. Group Health Policies</li> </ol> <p>5. Expense Accounts</p>	<p>Locked filing cabinet/ Locked Store Room/or Computerised records</p>	<p>Indefinite Indefinite Indefinite 12 years after final cessation of benefit</p> <p>6 years</p>	<p>Finance Dept</p> <p>Trustees Finance Dept</p>	<p>Companies Act/Commercial Companies Act/Commercial Companies Act/Commercial Statute of Limitations</p> <p>Statute of Limitations</p>	<p>Finance Dept</p> <p>Finance Dept</p>
<p>F) Insurance</p> <ol style="list-style-type: none"> <li>1. Policies</li> <li>2. Claims correspondence</li> <li>3. Accident reports and relevant correspondence</li> <li>4. Insurance schedule</li> </ol>	<p>Locked filing cabinet/ Locked Store Room</p>	<p>3 years after lapse 3 years after settlement 3 years after settlement 10 years</p>	<p>Finance Dept</p>	<p>Commercial Commercial</p> <p>Commercial</p> <p>Commercial</p>	<p>Finance Dept</p>



**Procedure No. I.2I – DATA PROTECTION POLICY RECORDS**

Data	How Stored	Period of storage	Who has access	Reason for storage	Master/Lead Department
<p>G) Cash Records</p> <ol style="list-style-type: none"> <li>1. Bank Paying in Counterfoils</li> <li>2. Cheque/Remittance advices, control sheets</li> <li>3. Bank Statements</li> <li>4. Daily Cash Books</li> <li>5. Sales Ledger receipts and details of sales</li> <li>6. Petty Cash Disbursements, claims for imprests etc.</li> <li>7. Unpresented cheque lists</li> <li>8. Bank Reconciliation</li> <li>9. Petty cash records</li> <li>10. Main Cash Book</li> <li>11. Cash received sheets</li> <li>12. Cheque payment sheets</li> </ol>	<p>Locked filing cabinet/ Locked Store Room/ Computerised records</p>	<p>6 years 2 years  6 years 10 years 6/10 years 6 years  6 year 2 years 3 years Indefinite 6 years 6 years</p>	<p>Finance Dept</p>	<p>Statute of Limitations Audit/Commercial  Statute of Limitations Companies Act/Commercial Statute of Limitations/ Commercial Statute of Limitations/ Commercial Statute of Limitations Statute of Limitations Audit/Commercial  Audit/VAT Companies Act/Commercial Statute of Limitations Statute of Limitations</p>	<p>Finance Dept</p>
<p>H) Investments</p> <ol style="list-style-type: none"> <li>1. Register of Certificates in respect of shares held by the Company and held by any pension fund.</li> <li>2. Pensions funds and investment ledgers.</li> </ol>	<p>Locked filing cabinet/ Locked Store Room</p>	<p>Indefinite  Indefinite</p>	<p>Finance Department</p>	<p>Companies Act/Commercial  Companies Act/Commercial</p>	<p>Finance Department</p>



**Procedure No. I.2I – DATA PROTECTION POLICY RECORDS**

Data	How Stored	Period of storage	Who has access	Reason for storage	Master/Lead Department
I) Share Registration Documents  1. Application/Acceptance/Allotment forms etc. 2. Annual Return	Locked filing cabinet/ Locked Store Room	Indefinite  Indefinite	Finance Department	Companies Act  Companied Act	Finance Department
J) Loans  1. Debtor Annual control report 2. Arrears Schedule 3. Individual debtor's accounts	Locked filing cabinet/ Locked Store Room/ Computerised records	6 years 6 years Indefinite	Finance Dept	Statute of Limitations Statute of Limitations Companies Act/Commercial	Finance Dept
K) Corporate Documents  1. Balance sheets, profit and loss accounts, minutes 2. Copies of Powers of Attorney and Court Orders etc 3. Agreements with trade unions	Locked filing cabinet/ Locked Store Room/ Computerised records	Indefinite  Indefinite  Indefinite	Finance Dept	Companies Act/Commercial  Companies Act/Commercial  Commercial	Finance Dept
L) Contracts/Agreements and Related Correspondence  1. Contracts with customers	Locked filing cabinet/ Locked Store Room	Under seal – 12 years after expiry Others – 6 years after expiry	Accountant	Statute of Limitations	Accountant



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<b>Data</b>	<b>How Stored</b>	<b>Period of storage</b>	<b>Who has access</b>	<b>Reason for storage</b>	<b>Master/Lead Department</b>
2. Contracts with Agents, suppliers etc. 3. Leases, Land Certificates, Planning permission, searches, etc		Ditto  12 years after interest in property ceases		Statute of Limitations  Statute of Limitations/Commercial	
M) Trade Mark Records  1. Agreements, licences and registered users 2. Infringements	Locked filing cabinet/ Locked Store Room	Indefinite  Indefinite	Accountant	Commercial  Commercial	Accountant
N) Stores and Accounts Documents  1. Goods received sheets 2. Inwards Invoice Register 3. Goods Inwards and Outwards Records Books 4. Store Control Vouchers 5. Store Requisitions 6. Stock Inventories and Stock Sheets 7. Bin Cards 8. Purchase Copy Orders	Locked filing cabinet/ Locked Store Room/ Computerised records	2 years 3/6 years 3 years  2 years 2 years 6 years  2 years 3 years	Finance Dept	Audit Audit/Companies Act VAT  Audit Audit/Commercial Audit/Commercial  Audit Audit/VAT	Finance Dept



**Procedure No. 1.21 – DATA PROTECTION POLICY RECORDS**

**Data Protection – Department Protocol Nursing Department**

<b>Data</b>	<b>How Stored</b>	<b>Period of storage</b>	<b>Who has access</b>	<b>Reason for storage</b>	<b>Ideal Master/Lead Department</b>
Duty Rotas	Kept in cupboard in office	5 years	Nursing staff	Care Standards/NMC	Nursing
Supervision notes 1-1 computer based 1-2	Computer based Paper copy	Period of employment	Nurse manager Individual person	Care standards Personal development	Personnel (P File)
Dept. records of sickness	Locked draw	Period of employment	Nurse manager	Management tool for monitoring of sickness	Personnel (P File)
Budget sheets	Folder in cupboard in nurse managers office	24 months	Nursing staff	Budgetary control	Accounts
Minutes DMG	Kept on the hard drive	12 months	Nursing staff	Dissemination of information	Chairperson of group
Minutes Staff meeting	Folder in cupboard in nurse managers office	3 years	Nursing staff	Dissemination of information	Nursing
Learning & skills assessment nursing notes	Lockable filing Cabinet	Student accepted – made into nursing notes (40 years) Student rejected - Destroyed	Nursing staff	See period of storage	Nursing





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Minutes Students of concern	Folder in cupboard in nurse managers office	In line with retention of student file	Nursing staff	Dissemination of information	Students file in Gail Birds office
Old nursing notes	In the archive room	8 years	Nursing staff	Litigation, Legal statutes	Nursing
MAR Sheets (Medication Records)	Current - Folder for use Old - Archived with nursing notes	While at Portland College 8 years	Nursing staff	Litigation, Legal statutes	Nursing
Record of drugs destroyed/returned	Bound lined book in nurses station	Destroyed after 3 years	Nursing staff	Record of student medication that has been returned to pharmacy/destroyed while person is student at college	Nursing



**Procedure No. 1.21 – DATA PROTECTION POLICY RECORDS**

**Data Protection – Department Protocol CATERING, FUNCTIONS and LETTINGS**

<b>Data</b>	<b>How Stored</b>	<b>Period of storage</b>	<b>Who has access</b>	<b>Reason for storage</b>	<b>Master/Lead Department</b>
Staff department meeting minutes	Locked cupboard in catering office and on the document drive .	1 YEAR	D Powney	Staff and student info	D Powney
DIETARY REQUIREMENTS FORMS.	locked cupboard and in the department files.	DURATION OF STUDENT.	D Powney	REFERENCE	CATERING
students food comments feedback forms	held in woodlands and in the catering dept office	1 YEAR	ALL STUDENTS & STAFF	REFERENCE.	CATERING.
SUPPLIERS NAMES ADDRESS PHONE NUMBERS	OFFICE PHONE BOOK AND ORDER BOOK	UNTIL SUPPLIERS CHANGED	ALL STAFF	TO PLACE & CHECK ORDERS	CATERING.
STAFF PHONE NUMBERS	IN PHONE BOOK IN LOCKED CUPBOARD IN CATERING OFFICE.	WHILE EMPLOYED	D Powney R Hensleigh	FOR CONTACT	CATERING.
STAFF TRAINING AND DEVELOPMENT REGISTER	IN CATERING OFFICE	4 YEARS	ALL STAFF	Training updates	CATERING.
CATERING MEETING MINUTES	LOCKED CUPBOARD IN CATERING OFFICE	2 YEARS	D Powney R Hensleigh	REFERENCE	CATERING.



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CUSTOMER DETAILS	LOCKED CUPBOARD IN CATERING OFFICE	1 YEAR AFTER THE EVENT	D Powney R Hensleigh	REFERENCE	CATERING.
STAFF SUPERVISION & APPRAISAL	LOCKED CUPBOARD IN CATERING OFFICE	1 YEAR	D Powney R Hensleigh	REFERENCE	CATERING.
BEECHES TENANTS CONTRACT	info locked in cupboard at main reception.	until contract is terminated	R Hensleigh customer service team	REFERENCE	R Hensleigh



**Procedure No. I.2I – DATA PROTECTION POLICY RECORDS**

**Data Protection – Department Protocol EMPLOYMENT TEAM (+ residual SES)**

<b>Data</b>	<b>How Stored</b>	<b>Period of storage</b>	<b>Who has access</b>	<b>Reason for storage</b>	<b>Master/Lead Department</b>
The Employment Team actively work with Students through Learner Services	Locked in Filing Cabinets in Learner Services or Electronically maintained including use and logging of information on Databridge.	We adhere to all processes for data storage of Student information whether electronic or paper based systems.			Learner Support Team
DWP's Specialist Employability Service (SES) Client Data	All Client data relating to Clients on the DWP's Specialist Employability Service (SES) referred to Portland College through the Job centre is stored electronically on a CRM system called Yeti.	The SES Programme for Portland College finished 31/08/17.  All data is stored electronically on Yeti but access to this will cease at the end of September 2017.  The data will be kept by STEPs to Employment Limited.			Employment Team and STEPs to Employment Limited.
SES Service Level Agreements (Contracts)	Electronic and hard copy signed	7 years after contract has ended	Employment Team	Evidence of financial agreements.	Employment Team
SES Performance Data	Electronically on shared Drive	7 years after contract has ended	Employment Team and Senior Managers	Evidence of numbers referred to, accepted on and finished SES Programme.	Employment Team
SES Subcontractor Performance Data	Hard copy files in locked cabinet and electronically stored on Shared Drive	7 years after contract has ended	Employment Team	Evidence of Performance Management.	Employment Team
SES Job Start data	Electronically on Yeti up to 30/09/17.  Post 01/10/17 electronically in Excel.	Until each Client has been in work for 26 out of 30 weeks.	Employment Team	To ensure relevant tracking to 13 and 26 week Outcome Stage.	Employment Team



**Procedure No. I.2I – DATA PROTECTION POLICY RECORDS**

13 week Job Outcome information and paperwork	Locked filing cabinet in (B4) and electronically	As per DWP Guidance (Minimum until Client has been in work for 26 out of 30 weeks)	Employment Team	To ensure Employer Verification Templates can be completed by the Employer/Client and monies claimed from DWP.	Employment Team
26 week Job Outcome information and paperwork	Locked filing cabinet in (B4) and electronically	As per DWP Guidance (Minimum until Client has been in work for 26 out of 30 weeks)	Employment Team	To ensure Employer Verification Templates can be completed by the Employer/Client and monies claimed from DWP.	Employment Team
Purchase invoices and supplier documentation	Payments cash book or record of payments made	7 years plus current financial year	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Finance
Purchase invoices and supplier documentation	Purchase ledger	7 years plus current financial year	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Finance
Purchase invoices and supplier documentation	Invoice - revenue	7 years plus current financial year	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Finance
Purchase invoices and supplier documentation	Petty cash records	7 years plus current financial year	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Finance
Purchase invoices and supplier documentation	Capital expenditure and buildings	7 years plus current financial year	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Finance



**Procedure No. I.2I – DATA PROTECTION POLICY RECORDS**

Income/monies received	Bank paying in counterfoils	7 years plus current financial year	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Finance
Income/monies received	Bank statements	7 years plus current financial year	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Finance
Income/monies received	Remittance advices	7 years plus current financial year	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Finance
Income/monies received	Correspondence re donations	7 years plus current financial year	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Director of Fundraising and Marketing
Income/monies received	Bank reconciliations	7 years plus current financial year	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Finance
Income/monies received	Receipts cash book	7 years plus current financial year	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Finance
Income/monies received	Sales ledger	7 years plus current financial year	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Finance
Income/monies received	Gift Aid declarations	7 years plus current financial year	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Director of Fundraising and Marketing



**Procedure No. I.2I – DATA PROTECTION POLICY RECORDS**

Income/monies received	Deeds of covenant	7 years plus current financial year	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Finance
Sensitive Income/monies received	Legacies	7 years plus current financial year	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Finance
Payroll documentation	Income tax records re employees leaving (P45)	3 previous tax years plus current year	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Payroll
Payroll documentation	Notice to employer of tax code (P6)	3 previous tax years plus current year	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Payroll
Payroll documentation	Annual return of employees and directors expenses and benefits (P11D)	3 previous tax years plus current year	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Payroll
Payroll documentation	Certificate of pay and tax deducted (P60)	3 previous tax years plus current year	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Payroll
Payroll documentation	Notice of tax code change	3 previous tax years plus current year	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Payroll
Payroll documentation	Annual return of taxable pay and tax deducted	3 previous tax years plus current year	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Payroll



**Procedure No. I.21 – DATA PROTECTION POLICY RECORDS**

Payroll documentation	Records of pension deductions (including superannuation)	3 previous tax years plus current year	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Payroll
Payroll documentation	Time cards, clock cards	2 years after audit	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Payroll
Payroll documentation	Payroll	3 previous tax years plus current year	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Finance Manager
Employee/personnel records	Accident books, Accident records/reports as amended, and Limitation Act 1980.	3 years from the date of the last entry (or, if the accident involves a child/ young adult, then until that person reaches the age of 21).		Maintained by all Providers and Subcontractors for SES Programme.	Individual Subcontractor/Provider H & S Managers
Employee/personnel records	Medical records and details of biological tests under the Control of Lead at Work Regulations	40 years from the date of the last entry	Portland College HR Team and Senior Managers	Portland College dealt with all HR Functions for STEPs to Employment Limited.	HR
Employee/personnel records	Medical records as specified by the Control of Substances	40 years from the date of the last entry	Portland College HR Team and Senior Managers	Portland College dealt with all HR Functions for STEPs to Employment Limited.	HR





**Procedure No. I.2I – DATA PROTECTION POLICY RECORDS**

	Hazardous to Health Regulations (COSHH)				
Employee/personnel records	Records of tests and examinations of control systems and protective equipment under the Control of Substances Hazardous to Health Regulations (COSHH)	5 years from the date on which the tests were carried out	Portland College HR Team and Senior Managers	Portland College dealt with all HR Functions for STEPs to Employment Limited.	HR
Employee/personnel records	Personnel files and training records (including disciplinary records and working time records)	6 years after employment ceases	Portland College HR Team and Senior Managers	Portland College dealt with all HR Functions for STEPs to Employment Limited.	HR
Employee/personnel records	Director records (senior management team or their equivalents)	Permanently	Portland College HR Team and Senior Managers	Portland College dealt with all HR Functions for STEPs to Employment Limited.	HR
Employee/personnel records	Wage/salary records (also overtime records and authorisations, bonuses)	3 previous tax years plus current year	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Payroll
Employee/personnel records	Expense accounts/ records	7 years plus current financial year	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Finance
Employee/personnel records	Redundancy details, calculations of	6 years from the date of redundancy	Portland College HR Team and Senior Managers	Portland College dealt with all HR Functions for STEPs to Employment Limited.	HR



**Procedure No. I.2I – DATA PROTECTION POLICY RECORDS**

	payments, refunds, notifications to the Secretary of State				
Employee/personnel records	Life Assurance expression of wish forms	6 years after employment ceases or upon death	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Payroll
Employee/personnel records	Applications forms and interview notes for unsuccessful candidates (transferred to personnel file for successful applicants)	1 year	Portland College HR Team and Senior Managers	Portland College dealt with all HR Functions for STEPs to Employment Limited.	HR
Employee/personnel records	Vacancy adverts	1 year	Portland College HR Team and Senior Managers	Portland College dealt with all HR Functions for STEPs to Employment Limited.	HR
Employee/personnel records	Statutory Maternity Pay records, calculations, certificates (Mat B1s) or other medical evidence	3 years after the end of the tax year in which the maternity period ends as amended	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Payroll
Employee/personnel records	Statutory Sick Pay records, calculations, certificates, self certificates	3 years after the end of the tax year to which they relate	Portland College HR Team and Senior Managers	Portland College dealt with all HR Functions for STEPs to Employment Limited.	HR



**Procedure No. I.2I – DATA PROTECTION POLICY RECORDS**

Employee/personnel records	Records relating to working time	2 years from date on which they were made	Portland College HR Team and Senior Managers	Portland College dealt with all HR Functions for STEPs to Employment Limited.	HR
Employee/personnel records	National minimum wage records	3 years after the end of the pay reference period following the one that the records cover	Portland College Finance Team and Senior Managers	Portland College dealt with all Finance Functions for STEPs to Employment Limited.	Payroll



**Procedure No. I.2I – DATA PROTECTION POLICY RECORDS**

**Data Protection – Department Protocol Learner Services**

<b>Data</b>	<b>How Stored</b>	<b>Period of storage</b>	<b>Who has access</b>	<b>Reason for storage</b>	<b>Master/Lead Department</b>
Current Learners Personal Files	Cabinets in tutor room locked room B5	Until Client Leaves	Learner services team	To continuously update learner records with any actions, reviews etc	Learner Services
Personal Files of Learners who have left training	Cabinet in Learner services locked	6 Years	Learner services team	Details for References to remind Tutors of learners' ability. Information required by Solicitors provided letter comes with Learners agreement for the information to be disclosed	Learner Services
Written Placement Files + Learner disclaimer for information to prospective Work Placement Providers	Locked Cabinet B4/B5 And data bridge documents electronically	No firm instructions until now. From now on 6 years	Learner services team	Records for Work Placement, Monitor for Work Placement	Learner Services
Work Placement Application Letters	Electronically shared drive and hard copies learner work ex folders	Termly when learner leaves programme	Learner services team	Reference until Work Placement is set up Evidence of process.	Learner Services
Work Preparation Learner Records (Current)	Locked Filing Cabinet B4	5 years	Learner services team	Work preparation Audit Purposes and progression	Learner Services
Work Preparation Client Records (Old)	Filing Cabinet B4	5 Years	Learner services team	Work Preparation Audit Purposes and progression statistics	Learner Services



## Procedure No. I.2I – DATA PROTECTION POLICY RECORDS

Learner stage 1 IAG document for work experience.	Fling cabinet B4	3 Years	Learner services team	Maintain assessment details of learner along with risk assessment information to support placements and training	Learner services
Risk assessments companies	Fling cabinet B4	1 year	Work experience coordinator, Job coaches Manager	Maintain accurate records of risk assessments of companies. Updates yearly or when new placement starts.	Learner services
Risk assessment work experience learner	Stage 1 document IAG	1 year	Work experience coordinator, Job coaches Manager	To ensure placements are suitable for learners and to ensure learners are safe in the propose placement environment and ensure staff area aware of any individual risks regarding specific learners	Learner services
Assessees Files from IA transition and outcomes section only.	Filing Cabinet B5	Until client starts training	Learner services team Head of Education.	Personal details for when client begins programme, supporting further assessment during base line	Learner Services
Learner accounts	Electronically maintained by learner and Preparation for Employment Advisor	Until learner leaves training	Learner, Learner services team, Network Administrator	Details of learners job search activities	Learner Services
Progression data Databridge	Electronically maintained learner details	6 years	Learner services team Network Administrator Quality data assistant	Provides progression details and activities of learners during training and for reference when they have completed training	Learner Services
Help Desk Support information, and session attended data	Electronically maintained	3 years	Learner services team Network Administrator Quality data assistant	To maintain accurate records of learners attendance and training received specific to learner service and work skills.	Learner Services



## Procedure No. I.2I – DATA PROTECTION POLICY RECORDS

Student Information files and learner work/evidence/images of work experience	Hard copy, paper based in a cupboard in B5, Electronically Shared drive	6 months after completion	Student Support , Care, Care Team Managers	Evidence of learner attendance activity learning and evidence of work placements.	Student Support Services
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**Procedure No. I.2I – DATA PROTECTION POLICY RECORDS**

**Data Protection – Department Protocol College main reception**

<b>Data</b>	<b>How Stored</b>	<b>Period of storage</b>	<b>Who has access</b>	<b>Reason for storage</b>	<b>Master/Lead Department</b>
Customer contact details	Locked cupboard at main reception. Booking pro that is pass word protected.	1 Year after the event	Carol Aram Rachael Hensleigh, Lauren Monks.	Reference for invoicing, and any issues with bookings or confirmation.	College reception.
Business/supplier contact details	Locked cupboard at main reception. Booking Pro that is password protected.	Until we change suppliers	Carol Aram Rachael Hensleigh, Lauren Monks.	Maintenance contracts, invoicing details, contacting when there is an order required, or a fault.	College reception.



**Procedure No. I.2I – DATA PROTECTION POLICY RECORDS**

**Data Protection – Department Protocol Portland Print**

<b>Data</b>	<b>How Stored</b>	<b>Period of storage</b>	<b>Who has access</b>	<b>Reason for storage</b>	<b>Master/Lead Department</b>
Portland Print staff training records	<ul style="list-style-type: none"> <li>Electronic – password protected</li> </ul>	3 Years or until deemed necessary (when staff leave the college)	All Portland Print staff has access to their own records and R Hensleigh, HR, B Harrison	Reference only	Portland Print
Customer details/ job files Printpak MIS	<ul style="list-style-type: none"> <li>In filing cabinet’s – by job numbers</li> <li>Electronic – password protected</li> </ul>	5 Years	All Portland Print staff for job files Electronic copies via Printpak	Reference	Portland Print
Customer / Supplier details Printpak MIS	<ul style="list-style-type: none"> <li>Electronic – password protected</li> </ul>	On-going	Bryn Smith Lee Harrison	Reference	Portland Print
Portland Print staff appraisals	<ul style="list-style-type: none"> <li>Electronic – password protected</li> </ul>	2 years	Portland print staff to their own appraisals & line manager RH	Information of previous goals & objectives agreed	R Hensleigh
Printing Quotations Printpak MIS	<ul style="list-style-type: none"> <li>Electronic – password protected</li> </ul>	5 Years	Bryn Smith Lee Harrison	Reference	Portland Print
Bonus compilation sheets		1 Years		Reference	Accounts





## Procedure No. I.2I – DATA PROTECTION POLICY RECORDS

	Electronic version circulated to all staff involved in the bonus scheme.		Portland Print staff, Finance, R Hensleigh		
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**Procedure No. I.2I – DATA PROTECTION POLICY RECORDS**

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**Data Protection – Department Protocol. NCS/STUDENT ACCOMADATION**

<b>Data</b>	<b>How Stored</b>	<b>Period of storage</b>	<b>Who has access</b>	<b>Reason for storage</b>	<b>Master/Lead Department</b>
NCS Young people, NCS team leaders/staff parents/guardian contact and medical/dietary details.	On the NCS crm database, hard copies when on trips and visits.	Until the program has ended.	Rebecca Derbyshire and Rachael Hensleigh on a password protect document. Team leaders when on trips and visits (hard copies) in a locked file.	To remain in contact with YP for the NCS program/contract as outlined in the Ingues Trust contract: medical and dietary needs if applicable to meet their needs.	Rebecca Derbyshire Rachael Hensleigh
Young students using Portland college using non registered accommodation: from other colleges here and abroad.	Emails/word doc with a pass word protection.	Until the program has ended	Rachael Hensleigh and Finance for invoicing parents or international schools for payments.	To remain in contact with students before the program has started, medical/dietary needs in order that we can meet their needs.	Rachael Hensleigh



## Procedure No. I.2I – DATA PROTECTION POLICY RECORDS

### Data Protection – Department Protocol.

### Health and Safety

<b>Data</b>	<b>How Stored</b>	<b>Period of storage</b>	<b>Who has access</b>	<b>Reason for storage</b>	<b>Master/Lead Department</b>
Accident Forms R I D D O R	In a locked steel cabinet	3 Years	Health and Safety Manager	Lawful Requirement	H&S
Staff Training Forms and reports	Kept in folders and binders	Updated every 2 years	Health and Safety Manager	A college training requirement and evidencing of training undertaken	H&S
Trips and Visits forms	Electronic copy	Minimum of 3 years	Health and Safety Manager	Lawful Requirement	H&S
Driving licence details	Kept in folders and binders	Updated every year	Health and Safety Manager	Insurance requirement	H&S



**Procedure No. I.2I – DATA PROTECTION POLICY RECORDS**

**Data Protection – Department Protocol – Human Resources**

<b>Data</b>	<b>How Stored</b>	<b>Period of storage</b>	<b>Who has access</b>	<b>Reason for storage</b>	<b>Master/Lead Department</b>
All Personal data relating to staff (Address telephone, qualifications, next of kin etc)	Filing cabinet Electronic – ASR, e-mail	7 yrs after leaving eternity until filed in P/file	HR Manager HR Advisor HR Assistant	Necessary to process all aspects of Personnel function.	HR
Minutes to meetings e.g., Staff Council,	Hard Copy Electronic - Password protected	Throughout duration of committee plus 3 years	HR Manager HR Advisor HR Assistant	Necessary for record of meetings should the college ever be made accountable for actions taken from meetings.	HR
Salary details	Hard copy – locked desk drawer ASR – password protected	Current year  Throughout employment	HR Manager HR Advisor HR Assistant	Necessary to be accountable for any budgetary planning	HR
Contacts	Electronic  Hard copy -	Whilst current	HR Manager HR Advisor HR Assistant	Necessary for constant communication with all concerned.	HR
Successful Application Forms-	Hard Copy – locked filing cabinet	Kept in P File until 7yrs after leaving Eternity	HR Manager HR Advisor HR Assistant	As per personnel data	HR
Unsuccessful application forms	Hard copy – locked filing cabinet	Six months	HR Manager HR Advisor HR Assistant	To utilise if vacancy re-occurs to assist with recruitment costs	HR
DBS Check	ASR – Password protected	Eternity  Eternity	HR Manager HR Advisor HR Assistant	To ensure safety of all Children & vulnerable adults within the College.	HR



**Procedure No. I.2I – DATA PROTECTION POLICY RECORDS**

**Data Protection – Department Protocol CARE**

<b>Data</b>	<b>How Stored</b>	<b>Period of storage</b>	<b>Who has access</b>	<b>Reason for storage</b>	<b>Master/Lead Department</b>
STAFF NAMES	HR Pro/Cascade	UNTIL END OF SERVICE	Ike Onwukwe	TO MONITOR STAFF DEVELOPMENT	
STAFF START DATES	HR Pro/Cascade	UNTIL END OF SERVICE	Ike Onwukwe	TO MONITOR STAFF DEVELOPMENT	
QUALIFICATIONS	HR Pro/Cascade	UNTIL END OF SERVICE	Ike Onwukwe	TO MONITOR STAFF DEVELOPMENT	
STAFF INDUCTION-PASSPORT TO PRACTISE	CPD File	UNTIL END OF SERVICE	Staff Member/Line Manger	TO MONITOR STAFF DEVELOPMENT	Ike
RESIDENCES DIARIES/APPOINTMENTS	WORK DIARY	7 Years	DUTY STAFF	AIDE MEMOIR	MEDICAL APPTS-NURSING OTHERS
CARE STAFF CONTACT NUMBERS	HR Pro/Cascade	LENGTH OF SERVICE	HR	EMERGENCY CONTACT	Currently don't have access to this – feel Team Leaders should
SALARIED STAFF TIME SHEETS+EXTRA DUTY RECORDS+STAFF TOIL RECORDS	Excel spreadsheet – home directory –signing sheets, paper based	7 Years	CARE ADMINISTRATOR	FOR SUBMISSION TO ACCOUNT DEPARTMENT	CARE
CARE MANAGERS MINUTES	HOME DIRECTORY	ON GOING	CARE ADMINISTRATOR + ATTENDEES TO HARD COPY	QUALITY ASSURANCE	CARE



**Procedure No. I.2I – DATA PROTECTION POLICY RECORDS**

OF CONCERN MINUTES (Is this concern logs for safeguarding?)	HOME DIRECTORY + HARDCOPY +INDIVIDUAL STUDENT FILES	10 years		CQC	
STAFF TRAINING AND DEVELOPMENT REGISTER	Brian Harrison	UNTIL END OF SERVICE	DUTY MANAGER	TRACKING DEVELOPMENT	CARE
STUDENT FORUM MEETING	Home Directory – Darren Fleetham	40/60 YEARS	DUTY MANAGER	CQC	CARE
STUDENT BED LIST	Archiving room	7 YEAR		CQC	CARE



**Procedure No. I.2I – DATA PROTECTION POLICY RECORDS**

**Data Protection – Department Protocol Staff Training & Development**

<b>Data</b>	<b>How Stored</b>	<b>Period of storage</b>	<b>Who has access</b>	<b>Reason for storage</b>	<b>Master/Lead Department</b>
CPD Records	Excel Spreadsheet HR Pro/Cascade	Until end of service	HR & Staff Development Manager	To monitor staff development	Staff Training & Development
Learner Agreements	Paper Based Files	Until the end of qualification	HR, Finance & Staff Development Manager	To monitor staff development	Staff Training & Development
Safe & Equal Minutes	Paper Based Files	3 years	Staff Development Manager	Record of meetings and topics discussed	Staff Training & Development
Safeguarding Minute Book	Locked cabinet	Until end of placement	Safeguarding Core Team	A record of fortnightly meetings where we discuss and track concerns and live safeguarding cases	VP
Safeguarding Concerns and Data	Electronic on shared drive	Until end of placement	Safeguarding Core Team	To be able to monitor any ongoing concerns	VP



**Procedure No. I.2I – DATA PROTECTION POLICY RECORDS**

**Data Protection – Day Services Department**

Subject	Reason for confidentiality	Whereabouts of item	Length of time stored/archived	Who has access	Master
Pending referral files	<ul style="list-style-type: none"> <li>• Holds personal care and support information, contact details, external and internal contact names and details, external support documentation e.g. community care assessments</li> </ul>	<ul style="list-style-type: none"> <li>• Each file is held in manager’s office in locked cabinet. This will only be removed when a staff member facilitates the assessment visit.</li> </ul>	<ul style="list-style-type: none"> <li>• Until person starts in the service when a full care file is set up.</li> <li>• If they do not start in the service these will be archived.</li> </ul>	<ul style="list-style-type: none"> <li>• Manager, senior carer, member of staff responsible for completing assessment</li> </ul>	<ul style="list-style-type: none"> <li>• Referral file</li> </ul>
Citizen Care Files for day services	<ul style="list-style-type: none"> <li>• Holds personal care and support information, contact details, external and internal contact names and details, external support documentation e.g. community care assessments</li> </ul>	<ul style="list-style-type: none"> <li>• Each citizen that comes to day services has their own care file. These are all purple lever arch files. They are kept across 2 lockable cabinets (A-M &amp; N-Z) in the staff hub area. The keys to open each cabinet are held by a senior carer or another allocated member of support staff. The cabinets are unlocked at request of staff members who need access to care files. The cabinets are locked overnight and the staff hub room is also locked but can be re-opened by domestic staff in a morning for cleaning. The keys for the cabinets are kept in an unlocked drawer in the senior carers desk.</li> </ul>	<ul style="list-style-type: none"> <li>• Care file is in place for all current day service citizens. Once they leave the service their files is archived.</li> </ul>	<ul style="list-style-type: none"> <li>• All members of staff working in the day service department</li> </ul>	<ul style="list-style-type: none"> <li>• Care files</li> </ul>



## Procedure No. I.2I – DATA PROTECTION POLICY RECORDS

Archived Care Files	<ul style="list-style-type: none"> <li>• Holds personal care and support information, contact details, external and internal contact names and details, external support documentation e.g. community care assessments</li> </ul>	<ul style="list-style-type: none"> <li>• Each citizen that leaves day service has their care file contents archived. Contents is taken out the file and stored in a sealed A4 envelope that has their name written on. These are currently stored in bottom of locked care file cupboard in staff hub area. This information currently does not go to an allocated archive area / room.</li> </ul>	<ul style="list-style-type: none"> <li>• In line with archiving policy</li> </ul>	<ul style="list-style-type: none"> <li>• All members of staff working in the day service department</li> </ul>	<ul style="list-style-type: none"> <li>• Archived files / A4 envelopes</li> </ul>
Databridge	<ul style="list-style-type: none"> <li>• Holds the following information:</li> <li>• Student Personal Details including details</li> <li>• Event / Incident Logs</li> <li>• External Professional Bodies contact details</li> <li>• Internal Staff name and their allocated citizen information</li> <li>• All support documentation (current and historic in cases)</li> </ul>	<ul style="list-style-type: none"> <li>• This application is loaded onto all computers where relevant personnel require access across the College.</li> </ul>	<ul style="list-style-type: none"> <li>• Student information is held on Live Databridge for access from relevant staff members.</li> <li>• Held within Databridge indefinitely, when archived to give access for any possible management reports required. Unless deemed necessary by IT to purge information</li> </ul>	<ul style="list-style-type: none"> <li>• See current permissions list</li> </ul>	<ul style="list-style-type: none"> <li>• SQL Server</li> </ul>
Safeguarding referral forms and running records for active cases, cases ready for	Contains confidential information about safeguarding referrals for citizens in day services	<ul style="list-style-type: none"> <li>• Stored on Matthew Gallagher's personal drive</li> <li>• Hard copies stored in locked cabinet in Matthew</li> </ul>	<ul style="list-style-type: none"> <li>• Ongoing</li> </ul>	<ul style="list-style-type: none"> <li>• Safeguarding Team members</li> </ul>	<ul style="list-style-type: none"> <li>• Matthew Gallagher holds hard copies for all day centre</li> </ul>



## Procedure No. I.2I – DATA PROTECTION POLICY RECORDS

peer audit and closed cases		Gallagher's office. Active cases in red folder, cases ready for peer audit in amber folder, closed cases in green folder			citizens and soft copies on personal drive
Safeguarding concern forms	Contains concerns about citizen wellbeing. Potential safeguarding concerns	<ul style="list-style-type: none"> <li>• Stored on Safeguarding Team shared drive</li> <li>• Hard copy of concern forms held in Safeguarding folder stored in locked cabinet in manager's office</li> </ul>	<ul style="list-style-type: none"> <li>• Ongoing</li> </ul>	<ul style="list-style-type: none"> <li>• Safeguarding Team members</li> </ul>	<ul style="list-style-type: none"> <li>• Matthew Gallagher holds hard copies for all day centre citizens</li> </ul>
Team meeting minutes	Contains personal information about citizens' care and support	<ul style="list-style-type: none"> <li>• Stored on S Drive (Day Services)</li> <li>• Stored on Matthew Gallagher's personal Drive</li> <li>• Hard copy of minutes held in Team Meeting folder stored in locked cabinet in manager's office</li> </ul>	<ul style="list-style-type: none"> <li>• Ongoing</li> </ul>	<ul style="list-style-type: none"> <li>• Anyone working in the day service department</li> </ul>	<ul style="list-style-type: none"> <li>• Matthew Gallagher for hard and soft copy</li> </ul>
Senior Carer Meeting Minutes	Contains personal information about citizens' care and support	<ul style="list-style-type: none"> <li>• Stored on S Drive (Day Services)</li> <li>• Stored on Matthew Gallagher's personal Drive</li> <li>• Hard copy of minutes held in Team Meeting folder stored in locked cabinet in manager's office</li> </ul>	<ul style="list-style-type: none"> <li>• Ongoing</li> </ul>	<ul style="list-style-type: none"> <li>• Manager and senior carers</li> </ul>	<ul style="list-style-type: none"> <li>• Matthew Gallagher for hard and soft copy</li> </ul>
Staff Timesheets	Contains hours worked that will be paid – bank staff and additional hours worked	<ul style="list-style-type: none"> <li>• Senior Carers and manager then passed to Finance Team every week</li> </ul>	<ul style="list-style-type: none"> <li>• Not kept within day service department</li> </ul>	<ul style="list-style-type: none"> <li>• Matthew Gallagher, senior carers, Finance Team</li> </ul>	<ul style="list-style-type: none"> <li>• Accounts</li> </ul>

## Procedure No. I.2I – DATA PROTECTION POLICY RECORDS

Staff TOIL sheets	Contains additional hours worked and reason(s)	<ul style="list-style-type: none"> <li>Senior Carers and manager authorise. Hard copies held in TOIL folder in staff hub.</li> <li>Spreadsheet all information is inputted onto is held on shared drive which can be accessed by senior carers and manager</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing</li> </ul>	<ul style="list-style-type: none"> <li>Matthew Gallagher, senior carers, Finance Team</li> </ul>	<ul style="list-style-type: none"> <li>Senior Carers (hard copies)</li> <li>Manager &amp; Senior Carers (spreadsheet)</li> </ul>
Staff Attendance (sickness and other leave)	Contains Staff Attendance reasons for absence codes	<ul style="list-style-type: none"> <li>Stored on Matthew Gallagher's personal Drive</li> </ul>	<ul style="list-style-type: none"> <li>3 Calendar years</li> </ul>	<ul style="list-style-type: none"> <li>Matthew Gallagher</li> <li>HR Team</li> </ul>	<ul style="list-style-type: none"> <li>Matthew Gallagher</li> </ul>
Return to work Interviews and self-cert forms	Contains information about staff sickness e.g. medical conditions & treatment	<ul style="list-style-type: none"> <li>Photocopies are taken and held in 'Staff Information' folder in Matthew Gallagher's locked cabinet in office</li> </ul>	<ul style="list-style-type: none"> <li>3 calendar years</li> </ul>	<ul style="list-style-type: none"> <li>Matthew Gallagher (originals are submitted to HR / Finance Team)</li> </ul>	<ul style="list-style-type: none"> <li>HR (originals)</li> </ul>
Daily Information Sheets & staffing allocation	Contains information for day ahead e.g. staffing arrangements, citizens absent with reasons, planned visits and activities	<ul style="list-style-type: none"> <li>Put up on wall of staff hub area each day as a quick reference point for staff</li> </ul>	<ul style="list-style-type: none"> <li>Hard copies taken down at end of day and archived in file. Also saved to shared drive for day services</li> </ul>	<ul style="list-style-type: none"> <li>All staff working in day service department</li> <li>Copies on shared drive can only be accessed by manager and senior carers</li> </ul>	<ul style="list-style-type: none"> <li>Senior Carers</li> </ul>
One Page Profiles	Contains emergency contact information for citizen, allergies, medication, transport information and contact details	<ul style="list-style-type: none"> <li>Held in staff hub on senior carers desk in a folder. This is a 'quick-grab' folder for emergency situations</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing</li> </ul>	<ul style="list-style-type: none"> <li>All staff working in day service department</li> <li>Soft copies held on day service shared drive</li> </ul>	<ul style="list-style-type: none"> <li>Manager &amp; senior carers</li> </ul>
Daily communication logs	Contains daily communication logs for every citizen that is currently accessing the day service that include information	<ul style="list-style-type: none"> <li>Held in 'Daily Communication File' in staff hub area</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing</li> </ul>	<ul style="list-style-type: none"> <li>All staff working in day service department</li> </ul>	<ul style="list-style-type: none"> <li>Manager &amp; senior carers</li> </ul>



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	about any 'significant contact' for the citizen on that day e.g. phone calls to carers, social workers.				
Daily 1:1 support logs	Contains daily recorded information for citizens in receipt of 1:1 support. The information might include behavioural support needed or activities completed.	<ul style="list-style-type: none"> <li>Held in '1:1 Daily Records file' in staff hub area</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing</li> </ul>	<ul style="list-style-type: none"> <li>All staff working in day service department</li> </ul>	<ul style="list-style-type: none"> <li>Manager &amp; senior carers</li> </ul>
Quality walks and observations	Contains sensitive information about observations of citizens and of staff performance	<ul style="list-style-type: none"> <li>Hard copies held in 'Quality File' in manager's office</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing</li> </ul>	<ul style="list-style-type: none"> <li>Manager</li> <li>Senior Carers</li> </ul>	<ul style="list-style-type: none"> <li>Matthew Gallagher</li> </ul>
Investigation reports and records	Contains confidential information in relation to investigations for disciplinary matters potentially across any department. These are cases where Matthew Gallagher has been investigating officer.	<ul style="list-style-type: none"> <li>Held in Matthew Gallagher's locked filing cabinet</li> </ul>	<ul style="list-style-type: none"> <li>Under remit of HR</li> </ul>	<ul style="list-style-type: none"> <li>Matthew Gallagher</li> <li>HR</li> </ul>	<ul style="list-style-type: none"> <li>HR</li> </ul>
Staff contact numbers for day service department	List of personal contact numbers of all staff members working in the day service department. This is to ensure a means to contact them e.g. if they did not show up for work, there was an emergency.	<ul style="list-style-type: none"> <li>Electronic copy held on shaed drive. This document can only be accessed by manager / senior carers</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing- if staff member leaves the department they get taken off the list</li> </ul>	<ul style="list-style-type: none"> <li>Manager</li> <li>Senior Carers</li> </ul>	<ul style="list-style-type: none"> <li>Manager &amp; senior carers</li> </ul>
Contract Information (inc spot purchasing)	Contract information for day services. This may include internal and external contact details, financial information. Spot purchase contracts may hold confidential information about individual citizens e.g. DOB, address, support needs.	<ul style="list-style-type: none"> <li>Held in 'Contracts File' in Matthew Gallagher's locked filing cabinet</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing</li> </ul>	<ul style="list-style-type: none"> <li>Matthew Gallagher</li> <li>Possibly others if required e.g. Head of Care</li> </ul>	<ul style="list-style-type: none"> <li>Matthew Gallagher</li> </ul>



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Finance e.g. monthly ledgers	<ul style="list-style-type: none"> <li>• Contains personal data including</li> <li>• Career history</li> <li>• Medical</li> <li>• References</li> </ul>	<ul style="list-style-type: none"> <li>• Viewed by Senior tutor for selection purposes then returned to HR</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• Recruiting Manager (Matthew Gallagher)</li> <li>• HR</li> </ul>	<ul style="list-style-type: none"> <li>• HR</li> </ul>
Accident forms	Contains information about incidents / accidents where harm / injury may have been sustained by somebody in the day service. Includes information about immediate actions taken. May be in relation to challenging behavioural incident.	<ul style="list-style-type: none"> <li>• Held in 'Accident Reports' File in Matthew Gallagher's office (locked cabinet)</li> </ul>	<ul style="list-style-type: none"> <li>• Ongoing</li> </ul>	<ul style="list-style-type: none"> <li>• Manager</li> <li>• May be requested by H&amp;S committee / Estates Team?</li> </ul>	<ul style="list-style-type: none"> <li>• Matthew Gallagher</li> </ul>
Recruitment Information	Includes assessment of candidates through recruitment process. Application Forms including sensitive information e.g medical history, contact details.	<ul style="list-style-type: none"> <li>• Viewed by Manager / senior carer for selection purposes then returned to HR</li> </ul>	<ul style="list-style-type: none"> <li>• Once recruitment has been completed all documentation is passed onto HR Team</li> </ul>	<ul style="list-style-type: none"> <li>• Manager</li> <li>• HR</li> </ul>	<ul style="list-style-type: none"> <li>• HR</li> </ul>
Staff supervisions and IPRs	Contains information about staff sickness, performance, development	<ul style="list-style-type: none"> <li>• Any hard copies are held in 'Supervision &amp; IPR' file which is kept in locked cupboard in manager's office. Staff may keep their own copies on personal drives and in their own CPD folders but they have responsibility for keeping these safe.</li> <li>• Soft copies of part 2 IPR forms are held on Matthew Gallagher's personal drive</li> </ul>	<ul style="list-style-type: none"> <li>• Ongoing</li> </ul>	<ul style="list-style-type: none"> <li>• Matthew Gallagher, HR, Quality Team, SMT</li> </ul>	<ul style="list-style-type: none"> <li>• HR (originals)</li> </ul>