

## **DOCUMENT AND DATA CONTROL PROCEDURES**

### **GDPR - Information, Data Management and Public Information**

**Contents:**

7	PROCEDURES .....	3
7.1	Responsibility.....	3
7.2	Data generated by The Institute .....	3
7.3	Restriction on the use of the Personal Public Service Number (PPSN) .....	4
7.4	Dissemination of Information .....	4
7.5	The Academic Quality Assurance System [DMS] .....	4
7.6	Responsibilities for the DMS [Academic Quality Assurance System] .....	4
7.7	Information held on the DMS .....	5
7.8	Records Maintenance, Retention and Disposal .....	6
7.9	Backup systems.....	6
7.10	Data Protection .....	6
7.11	Freedom of Information .....	7
7.12.	Public Information .....	7
7.13	Information Provided to Learners .....	8
7.14	The Institute Website .....	8
7.15	Revisions .....	8

**This document must not be passed or copied to other Companies or persons  
without the written authority of the Board of the Institute for Supply Chain Excellence.**

**Description:** New Issue  
**Issued by:** Quality Co-ordinator  
**Approved by:** Quality Co-ordinator

1	<b>Subject</b>	GDRP - Information, Data Management and Public Information
2	<b>Purpose</b>	<p>To define procedures which are relevant to controlling Information, Data Management and Public Information issued through the Institute for Supply Chain Excellence - Quality Management System.</p> <p>This document specifies the methods to be used in the proper control of all documents and the procedures to be followed by those authorised to make changes.</p>
3	<b>Scope.</b>	<p>The Institute for Supply Chain Excellence, hereafter referred to as 'The Institute' is committed to the collection of reliable information and data and its analysis to support informed decision making and to ensure the Institute can establish what is working well and what needs attention in an accessible and timely manner.</p> <p>Procedures are in place to ensure accuracy, security and integrity of data and information obtained and are described in this Procedure.</p>
4	<b>References</b>	<p>Statutory Quality Assurance Guidelines developed by QQI for use by all Providers – QQI April 2016.  Statutory Quality Assurance Guidelines developed by QQI for Independent/Private Providers coming to QQI on a Voluntary Basis. QQI April 2016.  Standards and Guidelines for Quality Assurance in the European Higher Education Area ESG – 2015.  The Data Protection Act 1998 (The Principal Act)  The Data Protection (Amendment) Act 2003  Data Protection Act 2018  ePrivacy Directive, May 2018  Quality Manual, section 4.5  Procedures Manual ref:  AP/407.05 – Student Access, Transfer and Progression  AP/407.07 – Management of Modules  AP/407.12 – Student Admission Process  AP/407.14 – Monitoring of Academic Quality Support Systems  MS/405.01 - Document and Data Control  MS/414.01 - Corrective and Preventive Action.  SA/410.01 – Control of Academic Quality Assurance Records.</p>
5	<b>Documentation</b>	Nil.
6	<b>Definitions</b>	<p>GDPR: General Data Protection Register  PPSN: Personal Public Service Number  DMS: Quality Management System  DMS: Data Management System</p>

## **7 PROCEDURES**

### **7.1 Responsibility**

7.1.1 The Director of Academic Administration and Student Affairs [hereafter referred to as The Director] is responsible for implementing Information, Data Management and Public Information procedure ref: MS/405.03

7.1.2 The Director has overview responsibility for the accuracy, completeness and confidentiality of all learner data held in the DMS. [Data Management System]

7.1.3 The Administrator is the Institutes appointed Data Protection Officer.

7.1.4 The IT manager is responsible for the maintenance and security of the ICT systems and providing documentation to support the DMS and any other data management system holding personal data.

7.1.5 The Director is responsible for the preparation of reporting templates and ensuring that where learner data is used for reporting, monitoring and benchmarking, the information derived is robust, transparent and traceable.

7.1.6 The Director, together with the Administrator is responsible for ensuring that all staff are aware of data security measures when using the Institutes' ICT and data management systems.

### **7.2 Data generated by the Institute**

7.2.1 The Institute collects and generates data to facilitate informed decision making and comparisons with similar providers as a benchmarking exercise to support the Institute's quality enhancement agenda.

Such information includes:

- Admissions data
- Information about learners (see section 11.4)
- Assessment data
- Progression and retention data
- Award Data and classifications.
- Learner surveys
- Graduate surveys

7.2.2 Information gathered and data collected shall be verified, analysed and used responsibly.

7.2.3 It is the responsibility of the Director to oversee all academic reports generated by the Institute and ensure that stakeholder representation, including learners, are involved in the monitoring and enhancement processes.

7.2.4 The Administrator is responsible for the integrity and veracity of the data held and reports generated from the DMS.

7.2.5 The Administrator is responsible for providing accurate and timely information to awarding bodies [for example QQI] as required and appropriate.

### **7.3 Restriction on the use of the Personal Public Service Number (PPSN)**

- 7.3.1 The Institute is required by QQI to provide it with the PPSN of each learner enrolled on a validated programme.
- 7.3.2 The purpose of this provision is to enable QQI to make an award to a learner, and to retain a record of each award made to each learner.
- 7.3.3 QQI shall retain this data so that a learner can confirm with it at any point that such an award was made.
- 7.3.4 The Institute shall not process this data, for example by accessing it or by storing it, except for the single purpose of registering the learner with QQI for the purposes of the making of the relevant award.
- 7.3.5 The PPSN of learners shall not be processed by the Institute for any other purpose and shall not be retained in its records once used for the sole purpose for which it was collected.

### **7.4 Dissemination of Information**

- 7.4.1 Some information gathered or produced by or about the Institute is made available to the public on the Institutes website and /or the website of an awarding body such as QQI.
- 7.4.2 Information, relevant to current learners shall be accessed via the Institute intranet/ Student Portal.
- 7.4.3 Information of interest to staff such as the minutes of the Academic Council, Programme Committee, Examinations Boards, etc., shall be available on the shared drive accessible to both full-time and part-time staff.
- 7.4.4 Confidential information such as Examination Board broadsheets shall be kept secure [see section 7.8 below] and shared only as appropriate and with awarding bodies via a secure transfer system.

### **7.5 The Academic Quality Assurance System [DMS]**

- 7.5.1 The Institute uses an DMS to maintain and secure learner records [see procedure reference: AP/407.14 – Monitoring of Academic Quality Assurance System – attachment 5.1 Index of Monitoring Instruments].

### **7.6 Responsibilities for the DMS [Data Management System]**

- 7.6.1 The Administrator is directly responsible for ensuring learners are properly registered on the system and for the reliability and accuracy of the data held on the DMS.
- 7.6.2 Authorising rights of access and right to amend data is the responsibility of the Director.
- 7.6.3 The ICT Manager is responsible for the maintenance, security and documenting of processes of the DMS.

7.6.4 Information held on the DMS is subject to the Institutes Documents and Data Control procedure ref: MS/405.01 Data Protection and Record.

## **7.7 Information held on the DMS**

7.7.1 On registration with the Institute learners are enrolled on the programme to which they applied and were admitted – [see procedure ref: Ap/407.05 – Student Access, Transfers and Progression].

The DMS holds personal information and learner records such as:

- Personal details
- Contact information
- Correspondence
- Assessment results
- Stages completed and progression
- Modules – mandatory and electives
- Awards conferred
- Award classification

7.7.2 The DMS is organised in a number of segments which group data in accordance with various themes: Admissions, learner details, assessment, attendance and financial.

7.7.3 The DMS provides a record of the progression of learners through the programme; learners are enrolled on modules and for examinations and reassessment where appropriate.

7.7.4 On completion of the Examination Board, learners are progressed to the next stage of the programme, the determination of the Examination Board shall be recorded.

7.7.5 In addition, confidential personal data such as disciplinary records and assessment results are held on the DMS.

7.7.6 The DMS allows for an audit to be produced of changes made to learner records. It identifies the field altered, the date the change was made and by whom.

7.7.7 the Administrator shall access and amend pre-enrolment data and assign learner identification numbers.

7.7.8 The Director shall have full access to learner records and is authorised to make the following amendments:

- Personal Details: updates and corrections.
- Enrolment on modules mandatory and electives
- Entering and verifying assessment data prior to Examination Boards.
- Issuing transcripts after the publication of results.
- Other activities with the agreement of the Administrator.

7.7.9 The Administrator shall have full access to learner records and are authorised to make the following amendments:

- Registering learners to programmes.
- Personal Details: updates and corrections.
- Revising assessment records as authorised by an Examination Board.
- Progressing learners from stage to stage.
- Issuing transcripts and other activities, such as requests for confirmation of learner status, etc.

## **7.8 Records Maintenance, Retention and Disposal**

- 7.8.1 The Administrator shall be responsible for maintaining learner records.
- 7.8.2 Academic performance and achievement details for programmes, modules and assessments completed by learners are recorded by the Institute and maintained indefinitely in the DMS; this facilitates the certification of learners' work through the accrediting bodies as well as facilitating access, transfer and progression for learners.
- 7.8.3 All marks achieved by learners in assessments are recorded and maintained on the DMS.
- 7.8.4 Electronic copies of all Examination Board broadsheets are maintained digitally indefinitely, to facilitate the provision of transcripts and reprints of Diploma Supplements.
- 7.8.5 Learner records shall be retained and/or disposed of in strict accordance with procedure reference: *SA/410.01 – Control of Academic Quality Assurance Records*.

## **7.9 Backup systems**

- 7.9.1 Backup of all network drives are performed on a daily basis with off-site storage to ensure that data can be recovered.
- 7.9.2 Backup logs are checked on a daily basis to ensure the correct data backup has occurred.
- 7.9.3 The DMS shall be backed up each evening, before close of business to another server, additionally the databases are also backed up within a historic archive on an external (off-site) backup device.
- 7.9.4 Each daily backup is segregated into separate folders for each day of the month, and then archived again for the last day of each month.
- 7.9.5 Both soft and hard copy of records including minutes of committees, Examination Boards, External Examiners reports, and examination broadsheets are filed securely and maintained, soft copies are backed up and secured on the Institute servers.
- 7.9.6 Hard copies of all attendance sheets are retained in a secure designated area with restricted access. The electronic record is stored in the DMS. Hard copies are retained for the duration of the learner's studies.
- 7.9.7 Hard and soft copies of learner assessment scripts are archived, with hard copies stored within a secured dedicated storage location, while soft copies are archived in the DMS.
- 7.9.8 Records for destruction shall be disposed of appropriately using the services of a professional and accredited shredding company.

## **7.10 Data Protection**

- 7.10.1 The Administrator shall serve as the Institutes Data Protection Officer.

7.10.2 Data Protection is the safeguarding of privacy rights of individuals in relation to the processing of personal data. The legislation regulates the collection, processing, keeping and disclosure of personal data and to give individuals access to their data.

7.10.3 The Institute respects the privacy and Data Protection rights of its learners, staff and other data subjects by complying with its obligations under such legislation.

7.10.4 The Institutes Data Protection Policy is informed by the current legislation governing data protection and the processing of Personal Data:

- The Data Protection Act 1998 (The Principal Act)
- The Data Protection (Amendment) Act 2003
- Data Protection Act 2018
- ePrivacy Directive, May 2018

## **7.11 Freedom of Information**

7.11.1 The Institute does not currently fall within the remit of the Freedom of Information Acts, 1997-2014.

## **7.12. Public Information**

7.12.1 The Institute is committed to publishing clear, accurate, objective, up-to-date and easily accessible information for all stakeholders on the Institute website ([www.isce.ie](http://www.isce.ie)).about the suite of programmes on offer at the Institute.

7.12.2 The information provided meets the requirement to furnish information to prospective and enrolled learners.

7.12.3 Public information issued by or about The Institute shall include:

1. Institute Mission and Strategy.
2. Information regarding education and training programmes including non-accredited programmes:
  - a. Programme Information
  - b. Arrangements for the protection of enrolled learners
  - c. Terms and conditions
  - d. Tuition and all associated fees
  - e. Pre-enrolment Information
3. Quality Management System - policies and procedures:
  - a. Quality Management System
  - b. Details of External Examiners Reports
4. Partnerships and /or collaborations
5. Reports from DMS or programme evaluations by QQI, this includes, but is not limited to:
  - b. Validation
  - c. Revalidation
  - d. Institutional review

7.12.3 The Administrator is responsible for ensuring that all information in the public domain is clear, accurate, objective, up to date and easily accessible and for ensuring that reports issued for formal evaluations including Institute enhancements are published in a timely manner.

- 7.12.4 Such information shall be made available on the Institute website, intranet or in the learners handbook – ‘A Course Guide for Students’, the Institute Programme Specification Proforma and other marketing material.
- 7.12.5 are described in sections 5.2 and 5.3.
- 7.12.6 It is the responsibility of the Marketing Manager to ensure that all information relating to the arrangements for marketing material and third-party websites for the purposes of advertising programmes is current and is approved by the Director of Academic Administration.

### **7.13 Information Provided to Learners**

- 7.13.1 The Administrator shall be responsible for ensuring that all relevant programme and award information is made available on the Institute website to prospective learners and that it is current, honest, transparent and facilitates comparison.
- 7.13.2 The Academic Director shall ensure that all relevant programme and award information is available to enrolled learners in the learner’s handbook – ‘A Course Guide for Students’ and Module Outlines,
- 7.13.3 When documentation is being prepared and/or updated, the information shall be checked, by quality co-ordinator.
- 7.13.4 The Quality co-ordinator shall conduct a review on an annual basis prior to production of the Institutes Prospectus by the Administrator and Director of Academic Administration. This shall ensure that accuracy is maintained to enable prospective learners to have clear, transparent information to facilitate comparison and better decision making.
- 7.13.5 Prior to enrolment all learners shall have access to information described in procedure ref: AP/407.12 – Student Admission Process
- 7.13.6 This information is either available to all on the Institute website, or included in the learners’ offer letter and enrolment information.

### **7.14 The Institute Website**

- 7.14.1 The Institute website shall be used as the principal instrument for communicating information to the public.
- 7.14.2 The Institute shall publish on its website marketing and programme information together with information on upcoming events, news, Institute activities and the relevant support services attached to a programme.

### **7.15 Revisions**

- 7.15.1 Revisions to this procedure shall be subject to the approval of the Board of Governors.