

SECTION 8: INFORMATION AND DATA MANAGEMENT

Supporting Documents:

1. Freedom of Information Acts 1997, 2003 and 2014
2. Data Protection Acts of 1988, 2003 and 2018.
3. General Data Protection Regulation (GDPR- Regulation (EU) 2016/679)

8.1 Information Systems

8.1.1 IMS

The key system for information collection and storage within the College is the Information Management System (IMS), which has been specifically designed and tailored to meet the needs of the College. Each new student registered with the College is assigned a unique student number on the system, which remains with them for the duration of their studies with the College. Access to the system is strictly limited to internal College staff, with varying levels of access for teaching and administration staff. Amendments to information held on the system may only be made by authorised personnel of the Administration Department following receipt of written confirmation of the required changes.

8.1.2 Survey Monkey

All staff, student, graduate and other stakeholder surveys are administered using Survey Monkey online surveying tools (www.surveymonkey.com). This system allows for the easy dissemination of surveys through e-mail or online channels. Data gathered is stored online in a private account, accessible only by authorised College staff. The system also facilitates basic analysis of the data or exporting of the data to other computer applications for more advanced analysis. Participation in these surveys is on a voluntary basis and the identities of respondents are protected in all publications of survey results.

8.1.3 Assessment Broadsheets

Broadsheets of assessment results are completed for each academic year and uploaded to QQI's QBS for certification of students' academic achievements. These electronic broadsheet files are stored indefinitely in the secure filing system of the college, accessible only to internal College staff and may only be amended by authorised personnel of the Administration Department. Any

amendments required to broadsheets following their ratification by Examination Board will be notified, in writing by the Manager of Academic Affairs, to the External Examiner(s) and QQI.

8.2 Learner Information Systems

8.2.1 Personal Data

Personal identifying information on all students is gathered and maintained for the purpose of providing an individually tailored service to each student, and for registering students for certification with accrediting bodies.

This information is collected for each individual student as part of the application process, and is updated each year through the re-registration process. All personal student information collected through these processes (i.e. name(s), addresses, email, contact telephone numbers, PPSN, gender, nationality, country of birth, occupational status.) is inputted into the College Information Management System (IMS), updated annually, and maintained indefinitely. A student will be facilitated to register a change in their personal details at any stage of their studies. To facilitate a name change students are required to submit suitable identification with the desired name (i.e. birth certificate/marriage certificate). This documentation will be forwarded to the relevant accrediting body and maintained on file by the College.

At the application/registration stage, students are also informed of the College's obligation to share this information with QQI/Other relevant bodies, in a case where the Protection of Enrolled Learners (PEL) arrangements are invoked. Students are informed of any changes within 14 days of such change.

Additional hardcopy documentation gathered in the application process is maintained for the period of registration of the individual student. This can include:

- Application form
- Photographs
- Copy of ID (driver's licence/ passport)
- Copy of visa (International students)
- Previous educational transcripts
- Volunteer declaration form
- Academic reference (Advanced Entry students)
- CV (Advanced Entry students)
- English proficiency evidence (International students)
- Interview record form

The tutorial support function generates significant records regarding individual students' progress with their studies. The College is committed to ensuring that sufficient data is gathered and stored to ensure the ongoing provision of a high standard of service and support to students, while respecting individual student needs for confidentiality.

The following records are maintained for the period of student registration on a programme to ensure continuity in the provision of tutorial supports, to facilitate any transition in tutors and to ensure consistency in the application of College policy and procedures:

- Individual student tutorial records;
- Assignment extension applications;
- Medical certificates;
- Records of all online activity of students, including assessment activities completed online.

Tutorial information which may be called upon after student graduation is maintained by the College indefinitely. This information may be relevant to students who progress to further education or who appeal assessment results to the accrediting bodies, for example. The following records are maintained indefinitely by the College:

- All formal written correspondence between tutors and students;
- All original documentation relating to additional supports or assessment accommodations implemented (e.g. for reasons of disability/medical condition/specific learning difficulty);
- Records of assessment appeals and outcomes;
- Records of disciplinary procedures and outcomes (including any plagiarism investigations).

8.2.2 Academic Performance and Achievement

Details of programmes, modules and assessments completed by students are recorded by the College and maintained indefinitely, to facilitate the certification of students' work through the accrediting bodies as well as facilitating access, transfer and progression for students.

All marks achieved by students in assessments are recorded and maintained in secure Excel files, on the College IMS and on the QBS, which are updated on completion of each module. Internal Broadsheets are produced and these are finalised and signed on conclusion of the Examination Board meeting. Following the meeting the agreed marks are signed off by the Academic Manager on the QBS for issuing of certificates. Electronic copies of the broadsheets are maintained on computer file indefinitely, to facilitate the provision of transcripts and reprints of Diploma Supplements.

For each year of their studies with the College, each student is assigned a file, which is maintained by their Tutor and in which the following are stored:

- All work submitted by the student for assessment;
- Completed rubric for each assessment;
- Copy of written feedback given to student on assignments;
- Copies of appropriate documentation regarding assessment supports and/or accommodations implemented;
- Records of assessment appeals and outcomes.

In addition to this hardcopy record all assignments (excluding appendices) submitted through Turnitin.com are maintained indefinitely as electronic files, and rubrics, with feedback to students, are filed and maintained indefinitely on the College's secure IT system.

On conclusion of the Appeals Process timeframe, hardcopies of all ratified assessment scripts and related materials will be destroyed (using a certified document destruction contractor) within 4 weeks. Students are advised to keep a copy of all work, which they submit to the College for assessment, as this cannot be returned.

Where a student has delayed completion of their studies, the following system applies to the storage of students' work:

- Students' work that has been assessed and ratified by the Examination Board will be destroyed within 4 weeks of the meeting, as the corresponding credits will have been awarded to the student by this time.
- Assignments and examinations, which have been completed but not ratified by the Examination Board, will be considered invalid after a two-year period.
- The work of any student, who wishes to return to the Open Training College more than two years following their withdrawal, will be reviewed individually by the Course Director, and the student may be required to attend a viva voce and/or resubmit work. This is to ensure that the student's knowledge and skills are sufficiently current and relevant for them to continue with their studies.

8.2.3 Student Feedback

Student satisfaction with and feedback on the programmes and services of the Open Training College is garnered through a series of module and end of year surveys administered online, with each individual student. In these surveys, students are invited to give their feedback on the

module and programme content and delivery, the tutorial and other learning supports, and the subsidiary support services offered by the College.

This feedback is collected by e-mail invitation to each individual student. Responses to all surveys are treated as confidential and identifying information of respondents is not contained in any published material. However in the case of inappropriate use of the surveys individual responses may be altered or removed, as deemed appropriate by the College. The College also reserves the right to track responses to the individual user to be followed up as appropriate.

Inappropriate use of the surveys includes the identification of any staff member or student by using their name in a response, and the use of language that may be considered defamatory, obscene, threatening or offensive. Students are provided with appropriate usage guidelines before commencing any survey.

8.3 Management Information Systems

As is detailed in this document the College has a well-functioning quality assurance management system that produces ongoing evaluative information about results and processes. Management and College staff can then use this information to respond, develop policies and procedures and take actions that contribute to strategic/operational management and continuous improvement, which is at the core of our quality assurance system.

The management process assisted by the information generated by the QA system includes sequential planning and management activities such as strategic management and objectives, the planning of operations and resources, implementation and monitoring, and finally, the evaluation of results and process performance. The strategy process produces the strategic objectives for the planning period. The operations of the internal processes are aligned with budgeting and human resources planning. The achievement of results is regularly monitored and ensured to achieve the desired objectives during the planning year. Finally, the achievement of objectives is evaluated and reported to stakeholders.

8.4 Information for Further Planning

All of the data gathered by the College, as indicated throughout this Quality Assurance Document provides important information to the College about the success of its endeavours, areas

requiring improvement and opportunities for further developments. All data which is considered to be a critical quality indicator is carefully considered by the Academic Council and/or the appropriate subcommittee of the Council, and forms the basis upon which recommendations are made to amend, develop and improve programmes and services. Data, which are considered to be critical quality indicators, include:

- Student registration and re-registration numbers
- Withdrawal numbers
- Programme and stage completion rates
- Assessment results
- Staff and student feedback
- Survey response rates
- Quality assurance recommendations and follow-up

8.5 Completion Rates

Completion rates are recorded in the first instance on the cover page for the External Examiner's report. The information given will show, in relation to the specific programme, the number of students who:

a. Started; b. Withdrew; c. Passed or failed; and d. Completed (and relative percentages).

Additional information will also be presented regarding the percentage of students achieving particular grades. This data will then be analysed in the annual QA report for programmes, in conjunction with Student end-of-year feedback and Programme Board improvement plans.

Completion statistics can then be used to allow benchmarking against other internal and external (sectoral, discipline area, national, international) cognate programmes.

8.6 Records Maintenance and Retention

GENERAL DATA PROTECTION REGULATION (GDPR) POLICY OPEN TRAINING COLLEGE

1. Introduction

The EU General Data Protection Regulation (GDPR), effective May 2018 confers rights on individuals as well as responsibilities on organisations processing personal data. Personal data, both automated and manual are data relating to a living individual who is or can be identified, either from the data or from the data in conjunction with other information.

2. Purpose

To outline how the OTC complies with its legal obligations in respect of data protection.

3. Scope

This policy applies to all students, prospective students, staff, stakeholders and suppliers of the Open Training College (OTC) whose data is stored on College systems or in handwritten or hard-copy filed formats.

There are 6 legal bases on which data may be processed:

(a) Consent: the individual has given clear consent for you to process their personal data for a specific purpose.

(b) Contract: the processing is necessary for a contract you have with the individual, or because they have asked you to take specific steps before entering into a contract.

(c) Legal obligation: the processing is necessary for you to comply with the law (not including contractual obligations).

(d) Vital interests: the processing is necessary to protect someone's life.

(e) Public task: the processing is necessary for you to perform a task in the public interest or for your official functions, and the task or function has a clear basis in law.

(f) Legitimate interests: the processing is necessary for your legitimate interests or the legitimate interests of a third party, unless there is a good reason to protect the individual's personal data which overrides those legitimate interests. (This cannot apply if you are a public authority processing data to perform your official tasks.)

In relation to sharing student data for certification purposes, such as with Quality and Qualifications Ireland (QQI), the College will rely on the basis of the contract which has been undertaken with the student, so that this contract may be completed. For an instance such as Protection of Enrolled Learners (PEL), if this were invoked, College would rely on 'legal obligation'.

4. Policy Statement

OTC has existing arrangements in place with respect to data protection, under the Data Protection Acts of 1988 and 2003. These arrangements are hereby supplemented with regard to the Data Protection Act, 2018 and the General Data Protection Regulation (GDPR- [Regulation \(EU\) 2016/679](#)).

OTC will ensure that the following core principles of the GDPR are adhered to:

1. Lawfulness, Fairness, Transparency; 2. Purpose limitation; 3. Data minimisation; 4. Accuracy; 5. Storage limitation; 6. Integrity and confidentiality; 7. Accountability.

Specifically, OTC will strengthen its response to data protection responsibilities by:

(1) Revising all forms and methods of data collection to ensure that data subjects are informed in advance of all possible and specific uses of information, so that the subject is aware of the limited, and necessary cases where their data will be shared; such as with QQI for certification purposes.

(2) In the case of specific permissions (where the basis for data processing is not covered by contract completion or legal obligation): Ensuring that data subjects are informed of an opt-out option at any time, having opted in, and that a clear route to activation of this option is provided to all subjects.

(3) Minimising data storage, so that unwarranted storage is deleted, within the following parameters:

Area	Maximum Storage Time
Student Results	Indefinite – the College is required to retain data relating to student results, so that such information is available to students at any given future date, in order that they may verify their results, particularly in relation to progressing to other programmes.
Financial Records	7 years – to comply with Revenue and SMH (St. Michael’s House) policies.
Student Assessments and Feedback	5 weeks from ratification of results by the relevant Examination Board. This allows for the appeal window to have closed.
Other data: Communication with and information stored relating to any of the data	According to the current OTC GDPR Action Plan and in any case, no more than 7 years.

subjects outlined in (3.) Scope, above. For example, emails, written notes and letters to/from the data subject.	
Student e-mail accounts	6 months after graduation.

(4) Keeping all stored data safe and secure, with appropriate back-up arrangements.

(5) In the case of specific permissions (where the basis for data processing is not covered by contract completion or legal obligation): Using all data only for the purposes which are agreed by the informed consent of the data subject. Written consent to such usage is also to be stored securely and in the case of students seeking QQI awards, specific consent will be stored on the pro forma consent forms supplied.

(6) Adding additional security for “Special Categories of Data”. These will be stored with additional password protection, with access only to nominated staff members, such as the Programme Director or relevant Programme Administrator.

(7) Complying with any and all Subjects Access Requests (SARs) within the statutory timeframe allowed.

(8) Notifying the designated organisational Data Protection Officer (DPO) and Data Protection Commissioner of any personal data security breaches within 72 hours of such a breach occurring.

5. Roles and Responsibilities

The College Director has ultimate executive responsibility for the effective development and implementation of academic policies. The Academic Affairs Manager has overall delegated responsibility for coordinating the day to day operation of the policies and the development, maintenance and monitoring of supporting procedures. All staff members are responsible for pursuing the implementation of these policies in relation to data storage activities with which they are involved as part of their daily duties.

Further specific responsibilities are outlined in the Procedures attached to this policy.

6. Definitions

Data means automated and manual data. Automated data means any information on computer, or information recorded with the intention that it be processed by computer. Manual data means information that is recorded as part of a relevant filing system or with the intention that the data form part of a system.

Data Controller means a body that, either alone or with others, controls the contents and use of personal data.

Data Processor means a person who processes personal data on behalf of a data controller but does not include an employee of a data controller who processes such data in the course of his employment.

Data Subject means an individual who is the subject of personal data.

Data Protection Officer (DPO) means the individual who is identified and designated by the organisation as having ultimate responsibility for data protection within the organisation; including the duty to report any data breach to the Data Protection Commissioner.

Personal Data means data relating to a living individual who is or can be identified either from the data or from the data in conjunction with other information that is in, or is likely to come into, the possession of the data controller.

Processing means performing any operation or set of operations on the information or data, whether or not by automatic means, including:

- Obtaining, recording or keeping the information, or
- Collecting, recording organising, storing, altering or adapting the information or data,
- Retrieving, consulting or using the information or data
- Disclosing the information or data by transmitting, disseminating or otherwise making them available, or
- Aligning, combining, blocking, erasing or destroying the information or data.

Relevant Filing System means any set of information relating to individuals to the extent that, while not computerised, is structured, either by reference to individuals or by reference to criteria relating to individuals, in such a way that specific information relating to a particular individual is readily accessible.

Special Categories of Data (formerly Sensitive Personal Data) means personal data which relate to specific categories defined as:

- The racial or ethnic origin, the political opinions or the religious or philosophical beliefs of the data subject
- Trade union membership
- The physical or mental health or sexual life of the data subject
- The commission or alleged commission of any offence by the data subject or
- Any proceedings for an offence committed or alleged to have been committed by the data subject, the disposal of such proceedings or the sentence of any court in such proceedings.

Subject Access Request (SAR) means a request, made by an identified data subject, for provision of data held by an organisation on that data subject. All data requested must be supplied to the data subject within 30 calendar days and there cannot be a charge for fulfilling this obligation on the first such request from a data subject. Second and subsequent requests may attract a charge.

7. Related Documentation

This policy should be read in conjunction with *GDPR policy Procedures*.

8. Contacts

The Academic Affairs Manager/Corporate Services Manager.

Policy Title:		General Data Protection Regulation (GDPR)
OTC Policy No		1808
Version		1.2
Date approved: March 2019	Date policy will take effect: April 2019	Date of Next Review: Annual
Approving Authority:		Academic Council
Document Owner/Contact:		Academic Affairs Manager Corporate Services Manager
Supporting documents, procedures & forms of this policy:		<ul style="list-style-type: none"> ▪ Procedure for Data Protection: Open Training College ▪ GDPR Audit ▪ OTC GDPR Action Plan
Audience:		Public – accessible to anyone
Reference(s)		<ul style="list-style-type: none"> ▪ EU General Data Protection Regulation, 2018 ▪ (<u>Regulation (EU) 2016/679</u>) ▪ Data Protection Act, 1988 ▪ Data Protection (Amendment) Act, 2003 ▪ Data Protection Act, 2018

8.6.2 Procedure for Data Protection

Procedure Outline / Method(s) used to carry out this procedure	Responsibility of	Evidence generated by this procedure to ensure its effectiveness
<p>1. Revision of forms/IMS terms and conditions</p>	<p>Academic Affairs Manager, Programme Administrator, Corporate Services Manager, Head of E-learning</p>	<p>Updated forms to be stored on the shared drive. Specific use of data to be outlined at point of data collection.</p> <p>Terms and conditions attached to student registration to be agreed by data subject at time of registration on the College's Information Management System (IMS).</p>
<p>2. Opt-out</p>	<p>As above.</p>	<p>In the case of specific permissions (where the basis for data processing is not covered by contract completion or legal obligation): Opt-out at time of data collection or any future stage to be specified on all above collection modes. Default opt-out point of contact is: enquiries@opentrainingcollege.com</p>
<p>3. Retention/Deletion</p>	<p>Course Directors and Managers (CDM) executive committee.</p> <p>Teaching, Learning & Assessment Committee.</p> <p>Collaborative Partners.</p> <p>Corporate Services Manager, Academic Affairs Manager, CIT Support St.</p>	<p>Retention periods to be specified in GDPR Action Plan. Current periods to be published in Student Handbooks and on OTC and Collaborative Partner websites.</p> <p>Deletion schedule to be agreed by CSM and AAM in conjunction with CDM; to take place twice annually in</p>

	Michael's House.	<p>January and July.</p> <p>Physical deletion, timing and amount by agreement with St. Michael's House CIT Services, for soft data. Hard copy data to be deleted under current arrangements for professional and confidential shredding service.</p>
<p>4. Storage and Security</p>	<p>Academic Affairs Manager, Programme Administrators, Corporate Services Manager, Head of E-learning</p>	<p>All soft data to be stored on shared drive and IMS. Movement of data on secured, password protected and encrypted memory sticks. Back-up per St. Michael's House IT systems procedures. Particular arrangements for "Special Categories" at (5.) below.</p>
<p>5. Special Categories of Data <i>Relevant:</i></p> <p>1. Medical certificates</p> <p>2. Additional support reports</p>	<p>Programme Directors, Designated Programme Administrator</p>	<p>Programme Directors to store sensitive information on students in a separate, password protected folder on the shared drive. Information relevant to workshops/assignments to be shared with designated programme administrators only. Hard copies of sensitive information are stored in a code-protected room (or temporarily in locked filing cabinet).</p>

<p>6. Subject Access Requests</p>	<p>Designated Administrator</p>	<p>All information relating to data stored on the relevant subject to be sent in hard copy to the subject making the access request, within 30 calendar days of such a request. If subject requests soft copy provision this may be supplied, as an alternative but only if this request comes from the subject. Hard copies to be sent by registered mail.</p>
<p>7. Breaches</p>	<p>Data Protection Officer (DPO) – St. Michael’s House</p>	<p>Any data breach discovered to be reported immediately to the designated SMH Data Protection Officer (DPO). The DPO must inform the Data Protection Commissioner of any such breaches within 72 hours.</p>

PEL and GDPR: All students are informed in the Terms and Conditions accepted at the time of registration that in the unlikely event of PEL procedures being initiated, their details may be shared with QQI and any other Colleges/Bodies which may act to “finish out” relevant programmes, as follows:

- Registration details
- Course work to date
- Results achieved to date
- Copies of Assessments; Assignments/Examinations
- Any records of extension applications, appeals, repeats, resubmissions or disciplinary action

8.7 Data Protection and Freedom of Information

Data Protection

In accordance with its function the Open Training College (OTC) is required to collect, use and keep personal data and information for a variety of purposes about its staff, students and other individuals who come in contact with the College. The purposes of processing data about staff, students and other individuals with whom OTC has dealings include the organisation and administration of courses, evaluation activities, consultancy/project work, the recruitment and payment of staff, compliance with statutory obligations and compliance with legal obligations to funding bodies and government, etc.

Data Protection is the safeguarding of the privacy rights of individuals in relation to the processing of personal data. The Data Protection Act 1988, the Data Protection (Amendment) Act 2003 and the Data Protection Act 2018 (the Data Protection Acts) confer rights on individuals as well as responsibilities on those persons processing personal data. Personal data, both automated and manual, are data relating to a living individual who is or can be identified, either from the data or from the data in conjunction with other information that is in, or is likely to come into, the possession of the Data Controller.

This safeguarding has now been strengthened by the introduction of the GDPR in May 2018 (policy at 8.6.1, above).

Freedom of Information

The OTC recognises its responsibility under the Freedom of Information Acts 1997, 2003 and 2014, and the right of students to gain access to information held on them by the College, and will comply with any reasonable requests made under the Acts.

