

# Quality Assurance Manual

Information & Data Management

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## Foreword

The 2019 revision of the Dorset College Quality Assurance Handbook (QAH) is in line with the Statutory Quality Assurance Guidelines developed by QQI for use by all Providers[1] and the Sector Specific Statutory Quality Assurance Guidelines developed by QQI for Independent/Private Providers coming to QQI on a Voluntary basis[2], as well as the Standards and Guidelines for Quality Assurance in the European Higher Education Area, May 2015[3]. This revision also takes into consideration the evolving scope of Dorset College encompassing policies and procedures applicable to higher, further and English language education. The revision is within the context of overall governance and management structures in place to support the delivery of such programmes and specifically encompassing policies and procedures applicable to our current suite of programmes (Level 5 to Level 8) and in the future up to level 9 on the National Framework of Qualifications (NFQ).

This edition of the QAH was informed by consultation with key stakeholders of the College including but not limited to learners, staff and faculty and wider engagement with the further and higher educational community as well as external stakeholders for approval by Dorset College Academic Quality Committee upon review by an independent QQI panel.

[1] QQI's Core Statutory QA Guidelines

<https://www.qqi.ie/Downloads/Core%20Statutory%20Quality%20Assurance%20Guidelines.pdf>

[2] QQI's Sector Specific QA Guidelines

<https://www.qqi.ie/Downloads/Sector%20Specific%20Quality%20Assurance%20Guidelines%20V2.pdf>

[3] European Standards and Guidelines (ESG)

[https://enqa.eu/wp-content/uploads/2015/11/ESG\\_2015.pdf](https://enqa.eu/wp-content/uploads/2015/11/ESG_2015.pdf)



# **8. Information & Data Management**



# Content

## **8. INFORMATION DATA MANAGEMENT**

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## Purpose

The purpose of these policies is to provide information and transparency regarding the Data Protection obligations of the College. This includes obligations in dealing with personal data, in order to ensure that the organisation complies with the requirements of the relevant Irish legislation, namely the Data Protection Act(s) 1988 and the Data Protection (Amendment) Act (2003), The Data Protection Act 2018 and the e-Privacy Regulations 2011 and GDPR 2018.

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## Scope

This policy covers both personal and sensitive personal data held in relation to data subjects by the College. The policy applies equally to personal data held in manual and automated form.

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## Policy Statement

The College must comply with the Data Protection principles set out in the relevant legislation. This Policy applies to all Personal Data collected, processed and stored by the College in relation to its staff, service providers and clients in the course of its activities. The College makes no distinction between the rights of Data Subjects who are employees, and those who are not. All are treated equally under this Policy.

# 8.1

## Information Systems

The College recognises the importance of collecting, and having ready access to, pertinent information about its operations to help inform its decision making and to allow it to review and improve how it operates. Central to this are the College's Learner Management System and Virtual Learning Environment, where much of the information that the College collects is either initially recorded or later stored.

The College will:

- \_Ensure that both its Learner Management System (LMS) and Virtual Learning Environment (VLE) MOODLE are maintained securely, kept up-to-date and remain fit for purpose. Responsibility of this resides with the College's ICT Manager.
- \_Ensure that its LMS and/or VLE can produce pertinent statistics, or that these statistics can easily be derived from the LMS or VLE.
- \_Utilise data-driven reports to inform its decision-making.
- \_Utilise data-driven reports to inform reviews and improvement to its quality assurance policies and procedures.
- \_Produce annual data-driven reports (Annual Monitoring Reports) for each programme.

These reports will contain:

- Learner satisfaction rates.
- Learner progression/attrition/dropout rates.
- Learner completion rates.



## Information Systems

- Learner graduation/certificate rates.
- Grade analysis of learner performance (benchmarked to best available national statistics)
- Career paths of graduates.
- Produce reports on learners as required by external regulatory bodies.

# 8.2

## Management Information Systems

Although the ability to generate a breadth of learner data is important, the College is cognisant that without embedding the use of this data within its quality assurance structures, then its usefulness is limited.

Therefore, the College will embed the use of statistics and data-driven reports in the following ways:

\_The Academic Quality Committee will consider the Annual Monitoring Reports for each programme and will action follow-ups that arise from these. The AQC will also assign ownership to these actions.

\_The Academic Management Group will consider, and action follow-ups that arise from, statistics related to the ongoing performance of learners. This will include:

- Learner attendance.
- Learner assessment performance (to date).
- Learner feedback.

\_The College's Senior Management Group as well as the Academic Quality Committee and the Risk Management Committee will consider, within their respective capacities, learner attendance, academic performance and learner attrition when forecasting its capacity for future academic years. This will inform decisions such as whether it should seek additional capacity and its minimum and maximum number of learners per programme.



## Management Information Systems

The statistics and reports outlined above will be produced by the College Registrar or Registry team.

The AQC will annually review the usability of the College's LMS and VLE and how easily these facilitate the generation of relevant statistics and data-driven reports. The AQC will then determine whether these systems require further investment or if they should be replaced by a system that is more fit-for-purpose.



# 8.3

## Records Maintenance and Retention

When determining the data retention periods, the College has been guided by employment and other law, as well as the statutory retention periods arising from these and associated laws. Furthermore, limitation periods, needs of the College, and the GDPR principles have been taken into account. The data retention periods implemented by Dorset College for HR data are as follows:

The data retention periods implemented by Dorset College for HR data are as follows:

Type of Personal Data	Duration
Annual Leave and Public Holiday records	<b>6 years</b>
Carer's Leave records	<b>8 years</b>
Parental Leave records and Force Majeure Leave records	<b>8 years</b> (Parental Leave Acts, section 27)
Hours Worked and related information such as breaks, annual leave and public	<b>6 years</b> (3 years required of The Organisation of Working Time Act, 1997, Section 25, and the Organisation of Working Time (Records) Prescribed Form and Exemptions, Regulations 2001). 6 years in line with College policy.

## Records Maintenance and Retention

Type of Personal Data	Duration
Payslips	<b>6 years</b> (3 year required of National Minimum Wage Act, Section 22). 6 years in line with College policy.
Employment Permit records	<b>5 years or for the duration of the employment</b> (whichever is the longer)
Employment records of young persons under 18	<b>6 years</b>
Collective redundancy information	<b>6 years</b>
Taxation Records	<b>6 years</b> (Companies Acts and Taxes Consolidation Act)
Accidents	<b>10 years from date of an accident</b> (the Safety health and Welfare at Work; General Applications Regulation 1993, section 60)
Employee contract	<b>6 years from the date of termination of the employment</b>

## Records Maintenance and Retention

Type of Personal Data	Duration
CV and interview notes of unsuccessful interviewees	<b>6 years</b> (3 year required of National Minimum Wage Act, Section 22). 6 years in line with College policy.
Signed Documents	<b>6 months</b>
Other HR details (not included above)	<b>1 year</b>

**The data retention periods implemented by Dorset College for learner data are as follows:**

Type of Personal Data	Duration
Records relating to summative assessment results	<b>Permanently retained</b> – whether a reward has been recommended or not (level of detail of permanently retained data should be at least sufficient to facilitate the issue of a Europass Diploma Supplement (Assessments and Standards, 2013, section 4.5.2))



## Records Maintenance and Retention

Type of Personal Data	Duration
Records which contribute towards module grade	<b>Duration of Studies + 1 year after graduation</b> (benchmarked to University of Limerick and cognisant of Assessment and Standards, 2013, section 4.6.2)
Research theses	<b>Permanently retained</b>
Broadsheets	<b>Permanently retained</b>
Records of successful student applicants	<b>Duration of Studies + 3 years</b>
Garda Vetting records	<b>Duration of Studies + 1 year</b>
External Examiners' reports	<b>Permanently retained</b>
Deferral, withdrawal and applications for transfer	<b>Duration of Studies + 1 year</b>

## Records Maintenance and Retention

### Type of Personal Data

### Duration

Board of Examiners meeting records

**Permanently retained**

Annual Monitoring Reports

**Permanently retained**

**The data retention periods implemented by Dorset College for other forms of personal data not included above are as follows:**

### Type of Personal Data

### Duration

Security – CCTV footage

**6 months**, unless specifically required for investigation/security/safety/legal purposes

Minutes of Quality Assurance meetings

**Permanently retained**

Record of amendments to Quality Assurance system

**Permanently retained**



# 8.4

## Privacy Policy

Dorset College is an education institute, which offers programmes of Higher Education, Further Education, English Language, and Professional programmes. This privacy notice explains how the College uses any personal information it collects about learners.

The College collects information about individuals when they register as learners. It also collects information when learners voluntarily complete learner surveys, provide other forms of formal feedback, and participate in formal meetings or committees as part of the College's quality assurance structure. Furthermore, as part of the academic programmes provided, the College collects and collates information related to the performance of a learners on its programmes, such as assessment results and attendance. Finally, website usage information is collected using cookies.

The College collects information about learners to ensure the effective operation of its academic programmes, to fulfil its obligations with the awarding bodies (if applicable), to fulfil its legal obligations with the Garda National Immigration Bureau for the registration of non-EEA students (where applicable) and, if learners consent, to email learners about other programmes and services it thinks may be of interest to them.

The College uses cookies as part of its website maintenance.



## Privacy Policy

The College will not share learner information with other companies for marketing purposes.

The College will share learner information with other bodies where it is obliged to do so. The prime examples of this are with awarding bodies and the Garda National Immigration Bureau, for applicable learners.

# 8.5

## Data Protection Policy

In the course of its daily organisational activities, Dorset College acquires, processes and stores personal data in relation to:

\_Employees of Dorset College.

\_Learners of Dorset College.

\_Third party service providers engaged by Dorset College.

In accordance with the Irish Data Protection legislation, this data must be acquired and managed fairly. Not all staff members will be expected to be experts in Data Protection legislation. However, the College is committed to ensuring that its staff have sufficient awareness of the legislation in order to be able to anticipate and identify a Data Protection issue, should one arise. In such circumstances, staff must ensure that the designated staff member with responsibility for Data Protection is informed, in order to ensure that appropriate corrective action is taken.

Due to the nature of the services provided by the College, there is regular and active exchange of personal data between the College and its Data Subjects. In addition, the College exchanges personal data with Data Processors (e.g. external regulatory bodies) on the Data Subjects' (learners) behalf.



## Data Protection Policy

This is consistent with the College's obligations under the terms of its contract with its Data Processors.

This policy provides the guidelines for this exchange of information, as well as the procedure to follow in the event that a College staff member is unsure whether such data can be disclosed.

In general terms, the staff member should consult with the designated staff member with responsibility for Data Protection to seek clarification.

Dorset College operates within the education industry. Given the nature of the service it provides, the College collects significant amounts of personal data on learners and staff (its Data Subjects), including, but not limited to, names, email addresses, physical addresses, financial information and health information. Dorset College also interacts with other institutes as part of its processing of personal data.

The General Data Protection Regulation states that data must be processed in a lawful manner. Specifically, it outlines six criteria, one of which must apply for an organisation or institute to have a lawful basis to process data. These six criteria are:



## Data Protection Policy

- 1. Consent** Where students have given full, free and explicit consent.
- 2. Contract** Where processing is necessary to satisfy a contract with the student.
- 3. Legal Obligation** Where processing is required to comply with an EU or member state legal obligation to which the HEI is subject.
- 4. Vital Interests** Where processing is needed to protect the life of the data subject.
- 5. Public Interest** Where processing is necessary for the public interest or in the exercise of an official authority vested in the data controller.
- 6. Legitimate Interests** Where processing is necessary for the legitimate interests of the HEI, in other words where data processing is required to enable the HEI to carry out its core functions. This basis is only lawful if it does not override the fundamental rights and freedoms of the student.



## Data Protection Policy

To effectively provide its core functions, the College has a **legitimate interest** to process some personal information of its Data Subjects. For example, the College must process personal data relating to assessment results to ensure that it fulfils a core function of facilitating its learners with the opportunity to receive an official certificate, such as a Degree, in the event that that learner has successfully fulfilled the requirements of a validated programme.

The data processing activities for which the College can claim legitimate interest are:

\_ Processing of assessment information.

\_ Appeals of assessment results.

\_ Incidents of academic impropriety.

\_ Ensuring accessibility to course content.

\_ Informing students of developments relevant to their programme of study.

\_ Recording minutes of formal meetings that are specified within the College's quality assurance structures.



## Data Protection Policy

\_Maintenance of the learner record (to provide insights on a student during the studies with Dorset College)

However, it is not sufficient to claim that legitimate interest can cover all aspects of the data processing done by the College. For example, the College may periodically use learner data for statistical analysis of academic performance, to alert them to other programmes of study that the College may think a learner might be interested in. This example would not be covered by the legitimate interest criteria and could not be considered critical to the effective provision of the College's core functions. In such instances, the College will seek **consent** for the processing of data from its data subjects.

The data processing activities for which the College can claim legitimate interest are:

\_Use of personal, anonymised data for statistical analysis purposes.

\_Use of personal data for communication purposes outside those that are core for the successful participation on an academic programme.

\_Use of personal comments or feedback on the programmes or services provided by the College, with a view to using these in reports or as a basis for future improvements.



## Data Protection Policy

Furthermore, in certain instances, the College does process data in compliance with **legal obligations**. This is typically to ensure compliance with regulatory specifications, such as retention of data for specified periods, but is also required for its provision of international (non-EEA) students.

The data processing activities for which the College can claim legitimate interest are:

\_Retention of personal information of staff in line with regulatory requirements (see Data Retention Periods document).

\_Providing personal information of non-EEA learners (who require a student visa) as requested by Garda National Immigration Bureau.



# 8.6

## Subject Access Requests Policy

The protection of one's personal data is an EU fundamental right for all individuals. Dorset College, as a data controller, is obliged to ensure that the data it collects is obtained in a fair and transparent manner, stored securely, and is not retained for any longer than is necessary for the purpose of its collection or than the period outlined in the College's data retention periods.

Complementing this fundamental right of individuals is their right of access of information that is retained about them by a data controller. This allows an individual transparency regarding the kinds of data that is processed about them, and to verify that the information is accurate and up to date.

An individual is entitled to make a formal application to the College, asking if the College holds any personal information about them. This request is limited to just clarifying if data is held or not and a description of the personal data and does not include details of the type or scope of the data held, if that is the case. There is **no fee** for this request.



## Procedure to Clarify if Dorset College holds personal data about an individual

	Procedure Stage	Responsibility	Evidence
1.	<p><b>Written Application:</b> Formal, written application is made to the designated person in charge of Data Protection. This form of this application can be either a typed document submitted in hard copy or sent via email.</p>	<p><b>Staff member in charge of Data Protection</b></p>	<p><b>Written Application</b></p>
2.	<p><b>Response:</b> The College will respond in <b>21 days</b> from the date it receives this request with confirmation and a description of the personal data held, if this is the case.</p>	<p><b>Staff member in charge of Data Protection</b></p>	<p><b>Confirmation communication</b></p>

## Subject Access Requests Policy

An individual is entitled to make a formal application to the College, asking for a copy of any personal data held about them. The outcome of this request is to provide a full copy of the personal data that the College retains about an individual. Specifically, the following will be provided to the individual:

- \_ A copy of their personal data.
- \_ The purposes for processing the data.
- \_ The categories of personal data concerned.
- \_ To whom the data has been or will be disclosed.
- \_ Whether the data has been or will be transferred outside of the EU.
- \_ The period for which the data will be stored, or the criteria to be used to determine retention periods.
- \_ The right to make a complaint to the Data Protection Commissioner.
- \_ The right to request rectification or deletion of the data.

## Procedure to access personal data held by Dorset College

Whether the individual has been subject to automated decision making.

There is **no fee** for this request.

	Procedure Stage	Responsibility	Evidence
1.	<p><b>Written Application:</b> Formal, written application is made to the designated person in charge of Data Protection. This form of this application can be either a typed document submitted in hard copy or sent via email.</p>	<p><b>Staff member in charge of Data Protection</b></p>	<p><b>Written Application</b></p>
2.	<p><b>Response:</b> Dorset College will respond in <b>28 days</b> from the date it receives this request with the following information:</p>	<p><b>Staff member in charge of Data Protection</b></p>	<p><b>A copy of personal information held in either printed, oral or electronic format as per the data subject's preference</b></p>



## Procedure to access personal data held by Dorset College

### Procedure Stage

### Responsibility

### Evidence

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— A copy of their personal data.

— The purposes for processing the data.

— The categories of personal data concerned.

— To whom the data has been or will be disclosed.

— Whether the data has been or will be transferred outside of the EU.

— The period for which the data will be stored, or the criteria to be used to determine retention periods.

— The right to make a complaint to the Data Protection Commissioner.



## Procedure to access personal data held by Dorset College

### Procedure Stage

### Responsibility

### Evidence

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   The right to request rectification or deletion of the data.

Whether the individual has been subject to automated decision making.

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# 8.7

## Review of Information and Data Management Policies and Procedures

The College will review these Information and Data Management policies and procedures on an annual basis. This review will assess the adequacy and effectiveness of the support services offered, as well as the learning environment.

The following individual(s) will be involved in this review:

Registrar

Director of Academic  
Operations

Individual in charge  
of Data Protection

ICT Manager

1 Lecturer

1 Learner



**Thank you.**