

November 2022

NIHE Data Protection Policies

- 1. Request for a copy of the NIHE Data Protection policy, the Data Retention Policy and Data Breach Plan.**

In response to your request, copies of the following are provided:

- Disposal of Records Schedule
- Policy and Procedures for Handling Personal Data under the GDPR and DPA 2018
- Personal Data Breach Management Plan

Disposal of Records Schedule

Northern Ireland Housing Executive

Version 4

Amended September 2014

HousingExecutive

Contents

Section 1 – Introduction	3
1. Functions and Structure of the Housing Executive	3
2. Purpose of Disposal Schedule.....	4
3. Categories of Disposal	4
Section 2 – Operation of this Disposal of Records Schedule.....	4
1. Closure of Files	4
2. Retention Period	5
3. Destruction of Records.....	5
4. File Review	5
5. Permanent Preservation within the Housing Executive.....	5
6. Transfer to PRONI	5
7. Commitment to preserving files/records	6
8. Roles and Responsibilities	6
Section 3 – Disposal Schedules	6
Division: Regional Services.....	8
Division: Finance	24
Division: Landlord Services	32
Division: Corporate Services	43
Table of Acronyms	60
Northern Ireland Housing Executive Disposal and Retention Schedule.....	62

Section 1 – Introduction

1. Functions and Structure of the Housing Executive

The Housing Executive is a Non-Departmental Public Body (NDPB) whose sponsoring department is the Department for Social Development (DSD).

The Housing Executive is the regional housing authority for Northern Ireland, and under existing legislation, its primary responsibilities are to;

- regularly examine housing conditions and housing requirements
- draw up wide ranging programmes to meet those needs
- effect the closure, demolition and clearance of unfit houses
- effect the improvement of the condition of the housing stock
- encourage the provision of new houses
- establish housing information and advisory services
- consult with district councils and the Northern Ireland Housing Council
- manage its own housing stock in Northern Ireland

The Board

Responsibility for general policy, management and operation of the Housing Executive is vested in a 10-person Board. Following Ministerial approval all Board Members are appointed by the Permanent Secretary of the DSD. Four members are nominated by the Housing Council from its membership and the remainder are DSD nominees. Legislation states that at least one member shall be a woman.

The Chairman of the Board is accountable to the Minister for the organisation's performance.

Chief Executive's Business Committee

The Chief Executive's Business Committee meets weekly and the business conducted at this meeting is reported to Board Members on a weekly basis.

The Chief Executive is the Housing Executive's Accounting Officer responsible to the Permanent Secretary as the Accounting Officer for the DSD.

The Chief Executive has responsibility for the overall management and staffing of the organisation. He reports directly to the Board.

The team of central directors report to the Chief Executive. The Chief Executive's Business Committee meets weekly. As members of the Chief Executive's management and business committees they decide on operational issues delegated by the board as well as referring matters to it for approval.

They are: Director of Corporate Services, Director of Finance, Director of Regional Services, Director of Landlord Services, Director of Transformation, [REDACTED].

The following is a summary of the key functions delivered by each of the Housing Executive's five divisions;

Corporate Services Division provides a combination of support functions and non-landlord services and is responsible for corporate assurance, internal audit, Personnel (including recruitment, Learning & Development, Health & Safety), Procurement and Contracts, Communications and Secretariat, Information Technology and Legal Services.

The Transformation Unit is located within Corporate Services Division and responsible for managing the internal restructuring of the Housing Executive within the overall context of the Social Housing Reform

Programme (including the HR enabling programme, communications with stakeholders and provision of information to SHRP team). The division is responsible for Business Improvement, Business Projects working towards business excellence. The Transformation Unit deals with change management, provides support for internal transformation and contact with staff.

The main support services provided by Finance Division are payments, accounting, Housing benefit and financial planning, including small-scale treasury management and Counter Fraud & Security.

Landlord Services Division is responsible for most of the landlord-related services such as response maintenance, grounds maintenance and heating, rent collection and rent arrears, contact centres, anti-social behaviour, community development and community cohesion, and housing allocations and transfers. Landlord Services Division delivers its services through a three regional structure, and a network of local area and district offices.

Regional Services Division provides a range of services including private sector renovation grants, licensing of Houses in Multiple Occupation (HMO), the Warm Homes and Boiler Replacement programmes through Private Sector Improvement Services (PSIS) and the delivery of the Social Housing Development Programme (SHDP) through the Development Programme Group. Grants and HMO services are delivered through a number of locally based offices. The division is also responsible for Supporting People, Homelessness and Housing Allocations policy, Strategic Housing Need (including research, rural housing, adaptations and sustainable development), Land & Strategic Regeneration (including Special Purchase of Evacuated Dwellings, empty homes and planning & feasibility).

2. Purpose of Disposal Schedule

The Disposal Schedule sets out the disposal arrangements for records created by the Housing Executive. The schedule complies with the requirements of the Public Records Act (NI) 1923 and the Disposal of Documents Order (S.R. & O. 1925 No 167).

Other relevant legislation affecting determination of retention and disposal actions;

Limitation Act 1980

Housing (NI) Order 1988

Housing (NI) Act 2010

Test Instrument Register Part C Section 12

Reporting of Injuries, Diseases & Dangerous Occurrences Regulations 1995

3. Categories of Disposal

- Destruction
- Review
- Permanent Preservation

Section 2 – Operation of this Disposal of Records Schedule

1. Closure of Files

Records should be closed as soon as they have ceased to be of active use other than for reference purposes. Registered files (i.e. those officially recorded within a file index, departmental filing system or EDRMS) normally have a maximum life span of 5 years but they can be closed at any time up to five years old in the following circumstances:

- They reach 2.5cm thick;
- The file subject is finished (e.g. the title is time bounded); and
- Nothing new has been added for 2 years.

When a file is due to be closed a senior officer should consult the disposal schedule and record on the front cover of the file the date on which the file can be destroyed, or referred to the [REDACTED] to be transferred to the Public Record Office of Northern Ireland (PRONI), or whether it should be subject to the normal review procedures. Closing a file simply means that no further papers can be added to it but the file can still be used for reference purposes.

2. Retention Period

The retention period required for each type of record is determined from the date the file is closed. For example, a tenancy file will be closed when the tenancy ends and will be retained for a period of 6 years after which it will be destroyed.

3. Destruction of Records

Where the disposal action is 'Destroy' the files should be kept for the period stated and then securely destroyed by the local manager in accordance with the relevant directions from Facilities Services on waste disposal.

4. File Review

Where the disposal action is 'Review' the file will be subject to the 'Review' processes. This will be initiated by the local manager. The review procedures are as follows: -

(a) The files for Review should have been closed for a period of 5 years with no further papers having been added since closure. The 5 year period is calculated from the date of file closure or date last paper added, whichever is the later.

(b) An officer of at least Level 6 or equivalent should carry out a First Review of each file, based solely on its administrative value. Files recommended for destruction should be referred initially to the [REDACTED] who will then contact PRONI, whose staff will inspect the relevant files to consider whether or not they should be preserved permanently or held in storage by the NIHE to await a Second Review, 15 years later.

In normal circumstances, the retention period for such files should not exceed 20 years from their respective closure dates. The [REDACTED] will refer all files described in (b) above to PRONI.

5. Permanent Preservation within the Housing Executive

Where the disposal action is 'Permanent Preservation within the NIHE', the records are exempt from the normal Review process. Where a class of files/records has been marked for "Permanent Preservation – within the NIHE", the corresponding Disposal Schedule entry should clearly state the relevant legislation and/or NIHE policy that makes it necessary to permanently retain these records. Managers should contact the [REDACTED] to discuss arrangements for the long-term storage of these records.

6. Transfer to PRONI

Where the disposal action is transfer to PRONI, the records are exempt from the normal review process. The file should be sent to the [REDACTED] marked for transfer to PRONI. The [REDACTED] will make arrangements to have the records transferred as soon as possible.

Records such as reports, published or otherwise, strategy documents and the like should be considered for Permanent Preservation. Copies of these documents should be sent to the [REDACTED] who will arrange for them to be transferred to PRONI.

The Housing Executive has previously agreed that all Board and CXBC books and Sealed Directions should be sent to the PRONI for permanent safe keeping.

In line with this policy, it is the responsibility of relevant departmental heads to ensure any originals of Sealed Directions are transferred to PRONI, within 3 months, using the correct procedures.

7. Commitment to preserving files/records

The Housing Executive, mindful of its obligations under the Public Records Act (NI) 1923 declares that it will take the necessary measures to ensure that the records it creates will be physically well maintained and cared for while they are in its custody, i.e., until ready for destruction or transferred to PRONI for permanent preservation. These measures will include:

Removing paper clips and pins from papers before filing with particular attention being given to those records, which, according to the Disposal Schedule, are to be preserved permanently;

Using registered files with file covers as opposed to buff folders, which do not offer the same protection to the papers inside (these can be obtained from the [REDACTED]);

Using continuation files if files get too bulky (i.e. more than 25 mm thick);

Storing bulky or outsize items in a pocket or envelope inside the file cover on the left hand side.

8. Roles and Responsibilities

The Chief Executive has a duty to ensure that the Housing Executive complies with the requirements of legislation affecting management of the records, and with supporting regulations and codes.

The [REDACTED] will work closely with Directors and senior managers to ensure that there is consistency in the management of records and that advice and guidance on good records management practice is provided.

Managers and professional staff are responsible for ensuring that records and information systems in their areas conform to this policy and to the requirements of legislation. All members of staff are responsible for documenting their actions and decisions in the records and for maintaining the records in accordance with good records management practice.

The role of the [REDACTED] is to ensure compliance with Records Management standards within their Directorate, and to co-ordinate activities aimed at ensuring that information is recorded, stored, managed and disposed of both effectively and legally.

Section 3 – Disposal Schedules

Regional Services

- Land & Strategic Regeneration
- Social Housing Development Programme
- Private Sector Grants
- Strategic Planning / Research & Market Intelligence
- Supporting People & Homelessness

Finance

- Corporate Accounting
- Financial Support Services
- Counter Fraud & Security
- Housing Benefit

Landlord Services

- Housing Management (Service Delivery)
- Housing Services
- Asset Management
- Direct Labour Organisation (DLO)

Corporate Services

- Communications
- Audit & Risk Assurance
- Secretariat
- Procurement and Facilities
- Information Technology
- Legal Services
- Human Resources
- Transformation Unit

Division: Regional Services

Department: Land & Strategic Regeneration

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
5 Year Estimates	Leasehold	End of period	6 years	Destroy	
Annual Reports (Data)	Land & Property / Commercial Property Headquarters (HQ) Commercial Property	Completion of recommendations	2 years	Destroy	
Appointment of Estate Agents	Land & Property (Area Offices)	Expiry of panel	5 years	Destroy	
Area Plan Assessments	Planning & Feasibility	Close when plan adopted	2 years	Destroy	
Article 63 (Demolition Cases)	Land & Property (Area Offices)	Demolition	10 Years	Destroy	
Article 63 (General Files)	Land & Property / Commercial Property (HQ)	Close 6 years after opening	10 years	Destroy	
Article 63 (Individual Files)	Land & Property (Area Offices)	2 years after opening	10 years	Destroy	
Audit Query and Report Files	Land & Property	Completion of recommendations	2 years	Destroy	
Belfast Arterial Routes Project	Planning & Feasibility	Close 10 years after opening	2 years	Review	
Budget Files	Regeneration/Asset Management	End of financial year	5 Years	Destroy	
Commercial property deed drawings	Cartographic	Completion of lease/sale	Permanent	Permanent preservation NIHE	
Conacre lettings (Individual Files)	Land & Property (Area Offices)	Expiry of agreement	10 years	Destroy	
Corporate Asset Management Action Plan	Regeneration/Asset Management	End of financial year	5 years	Destroy	
Corporate Asset Management Strategy	Regeneration/Asset Management	On replacement with update strategy	2 years	Destroy	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Chief Executive Draft Responses	Planning & Feasibility	Close 3 years after last paper on file	2 years	Destroy	
CXBC /Board Papers	Regeneration/Asset Management	Approval	1 Year	Destroy	
Development Briefs	Planning & Feasibility	On Transfer to Housing Association	2 years	Destroy	
Environment Management	Planning & Feasibility	Close 3 years after last paper on file	2 years	Destroy	
Equity Sharing (Individual Files)	Land & Property (Area Offices)	Full equity purchased	10 years	Destroy	
Existing Open Space Register	Land & Property / Commercial Property (HQ)	End of financial year	6 years	Destroy	
Extinguishments and Abandonments	Land & Property	Completion	10 years	Destroy	
Feasibility Files	Planning & Feasibility	Close when site acquired or sold	2 years	Destroy	
Flat sale maps	Cartographic	Completion of sale	Permanent	Permanent preservation NIHE	Business reference
General Correspondence Files	Land & Property / Commercial Property (HQ) Land & Property (Area Offices)	Close 3 years after last paper on file	2 years	Review	
Government Construction Client Group	Planning & Feasibility	Close 3 years after last paper on file	2 years	Destroy	
Green Pilot Housing	Planning & Feasibility	Close 3 years after last paper on file	2 years	Destroy	
Grounds Co-ordination	Planning & Feasibility	Close 3 years after last paper on file	2 years	Destroy	
Grounds Maintenance update requests	Cartographic	Completion of update	1 year	Destroy	
Heating Contractors	Planning & Feasibility	Close 3 years after last paper on file	2 years	Destroy	
Heating Policy Review	Planning & Feasibility	Close 3 years after last paper on file	2 years	Review	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Historical OSNI maps	Cartographic	N/A	Permanent	Permanent preservation NIHE	Title reference
Hot Spot Studies	Planning & Feasibility	On Expiry	2 years	Destroy	
House sale maps	Cartographic	Completion of sale	10 years	Destroy	
House Sale Statistics	Land & Property / Commercial Property (HQ) Land & Property (Area Offices)	End of year	2 years	Destroy	
House Sales (Cancelled Cases)	Land & Property (Area Offices)	Cancellation date	3 years	Destroy	
House Sales (Pre-In House Conveyancing, Individual & In House Conveyancing) Files	Land & Property (Area Offices)	Sale completion	10 years	Destroy	
HRAN (Misc. Papers)	Land & Property / Commercial Property (HQ)	On replacement with update policy	2 years	Destroy	
Housing & Regeneration Studies	Planning & Feasibility	On Expiry	2 years	Review	
Illegal Use/Adverse Possession Cases	Land & Property / Commercial Property (HQ) Land & Property (Area Offices)	Land disposed of/Successful defence of Section 53	3 years	Review	
Individual Compensation Files and index	Land & Property (Area Offices)	Compensation paid	10 years	Destroy	
Land & Property (L&P) Board Papers	Land & Property / Commercial Property (HQ) Land & Property (Area Offices)	Approval	2 years	Review	
L&P Budget Files	Land & Property / Commercial Property (HQ) Commercial Property Regeneration / Asset Management Land & Property (Area Offices)	End of financial year	2 years	Destroy	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
L&P Committee Papers	Land & Property / Commercial Property (HQ)	Approval	2 years	Review	
L&P Information Circulars	Land & Property / Commercial Property (HQ)	End of financial year	2 years	Destroy	
L&P Managers Meetings (Minutes)	Land & Property / Commercial Property (HQ)	End of financial year	2 years	Destroy	
L&P Services Manual	Land & Property (Area Offices) Commercial Property Land and Property Area Offices	On replacement with update policy	2 years	Destroy	
Land Acquisition (Individual Scheme Files Inc. Way leaves, maps)	Land & Property / Cartographic	Completion	10 years	Destroy	
Land Disposal (Individual Scheme Files Inc. Way leaves)	Land & Property (Area Offices)	Completion	10 years	Destroy	
Land Disposal Programme	Land & Property / Commercial Property (HQ)	Land disposed off	3 years	Destroy	
Land Disposals - Cancelled/Refused Cases	Land & Property (Area Offices)	Cancellation date	3 years	Destroy	
Land Terrier	Planning & Feasibility	Close when site disposal complete	2 years	Destroy	
Legacy estate based land terrier maps	Cartographic	Sale of all mapped land	Permanent	Permanent preservation NIHE	Title reference
Legal Cost Files	Land & Property / Commercial Property (HQ)	Expiry of panel	10 years	Destroy	
Planning & Feasibility Management	Planning & Feasibility	Close at end of each year	2 years	Destroy	
Planning Applications	Planning & Feasibility	Expiry of approval	2 years	Destroy	
Postponement of Charges	Land & Property (Area Offices)	Sale completion	10 years	Destroy	
Private Sector Schemes (Individual Files)	Land & Property (Area Offices)	Sale completion	10 years	Destroy	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Property Certificates	Land & Property (Area Offices)	Certificate issued	2 years	Destroy	
Reprographic invoices/payment details	Cartographic	Completion of payment	6 years	Destroy	
Rural Development Programme Files	Regeneration/Asset Management	End of financial year	5 Years	Review	
Sealing Records - Register	Land & Property / Commercial Property (HQ) Commercial Property	Land disposed off	3 years	Destroy	
Service Charge files	Leasehold	End of Service Charge account	6 years	Destroy	
Small Pockets of deprivation (SPOD) Files	Regeneration/Asset Management	End of financial year	5 Years	Review	
Solicitors Panel Files	Land & Property / Commercial Property (HQ)	Publication of Annual Report	2 years	Destroy	
Solicitors Panel Files	Land & Property (Area Offices)	Expiry of panel	10 years	Destroy	
SPED (Individual acquisition/resale files)	Land & Property (Area Offices)	Sale completion	10 years	Destroy	
SPED individual acquisition files	Land & Property / Commercial Property (HQ)	Application unsuccessful/withdrawn	2 years	Destroy	
Staff Personnel Records (Return to work interviews etc.)	Land & Property / Commercial Property (HQ)	Annually	2 years	Destroy Destroy	
Statistics Files	Land & Property / Commercial Property (HQ) Commercial Property	On replacement with update policy	2 years	Destroy	
Title Deeds/Index cards	Land & Property (Area Offices)	N/A		Permanent preservation NIHE	
Title Rectification Files	Land & Property (Area Offices)	Completion of rectification	10 years	Destroy	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Town Centre Regeneration	Planning & Feasibility	Close 5 years after opening	2 years	Review	
Undeveloped & Open Space Land Files	Land & Property / Commercial Property (HQ)	Land disposed off	3 years	Destroy	
Undeveloped Land Schedule	Land & Property / Commercial Property (HQ)	End of financial year	6 years	Destroy	
Urban Regeneration Files	Strategy	When regeneration is complete	5 years	Review	
Vesting/RDA / URA maps	Cartographic	DSD confirmation	10 years	Destroy	

Division: Regional Services

Department: Social Housing Development Programme

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Disabled Adaptation Grant Files	Development Programme	Final payment of DAG	5 year	Destroy	
HAG Payment Files (by Payment period / Financial year)	Development Programme	End of Financial year	3 years	Destroy	
Housing Association Grant Scheme Files	Development Programme	Final payment of HAG	5 year	Review	

Division: Regional Services

Department: Private Sector Grants

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
2 nd Stage Complaint Letter	Grants	Response from CX	6 years	Destroy	
Advice Circulars	Grants	Updated with CXBC / Legal Dept. Approval	5 Years	Destroy	
Affordable Warmth Files - Individual	Grants	Satisfactory Completion	6 years	Destroy	
Affordable Warmth Files - Individual	Grants	Cancelled/Withdrawn	1 year	Destroy	
Boiler Replacement Files - Individual	Grants	Satisfactory Completion	6 years	Destroy	
Boiler Replacement - Individual Files	Grants	Cancelled/Withdrawn	1 year	Destroy	
Commissioner for Complaints Files	Grants	Decision notification from Commissioner	6 years	Destroy	
Group Repair Schemes	Grants	Submission of Certificate of practical completion	10 years	Destroy	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Group Repair Schemes	Grants	Cancelled/Withdrawn	10 Years	Destroy	
Grants Technical - Individual File	Grants	Satisfactory Completion	6 years	Destroy	
Grants Technical - Individual File	Grants	Cancelled/Withdrawn	1 year	Destroy	
Handbooks	Grants	Updated with CXBC Approval		Archive Portal record, destruction of paper record	
HMO - Individual Enforcement Notices	Grants	Compliance with Notice	10 years	As above	
HMO - Individual Enforcement Notices	Grants	Cancelled/Withdrawn	1 year	As above	
HMO - Individual Grant Files	Grants	Satisfactory Completion	6 years	Extract information required for Management Inspections then destroy after 10 years	
Management/System/Technical/Test of Resources Audits	Grants	Report signed off by Assistant Director	6 years	Destroy	
Test of Resources Individual Files	Grants	Approval of associated Grant Application	10 years	Destroy	
Test of Resources Files Individual	Grants	Cancelled/Withdrawn	1 year	Destroy	

Division: Regional Services

Department: Strategic Planning / Research & Market Intelligence

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Advice Agencies information	Energy Conservation	On completion	3 Years	Destroy	
ASPS	Central & Area Planners	On completion	5 years	Review	
Board and CXBC Papers	Corporate Planning	On completion	5 years	Transfer to PRONI	
Board Books	Assistant Director	Monthly Board Meeting	20 years	Destroy	
Corporate Environmental Reports	Environmental Management	On completion	3 years	Destroy	
Correspondence from Elected, Voluntary, Residents, Statutory and Community representatives	Central & Area Planners	On completion	5 years	Review	
Databases (Key projects – HCS, CTOS	Research	Held securely on Meridio	Indefinite.	Retain permanently by NIHE	Longitudinal analysis
Data, standards and general information relating to OSNI, QAS software and update for standardising address records in NIHE, Research/Rural related GIS projects	Rural Housing Research	Normal Office Management Procedures	None	Destroy	
District Housing Plans and supporting data	Central & Area Planners	Annual Review	5 years	Review	
Economic Appraisals	Central & Area Planners	On completion of work to affected land	5 years	Destroy	
Energy Agencies information and correspondence	Energy Conservation	On completion	5 years	Destroy	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Energy Efficiency information, Energy marketing and Fuel Poverty and correspondence and info relating to Government Departments, Councils and Health Action Zones	Energy Conservation	On completion	5 years	Review	
Energy Reports, Schools competitions, Renewable Energy and correspondence relating to Rural Proofing, Research, Surveys and Schemes	Energy Conservation	On completion	5 years	Destroy	
ESF	Environmental Management	On completion	20 years	Destroy	
ESP	Environmental Management	On completion	3 years	Permanent preservation NIHE	
EU Applications/Funding/Projects	Energy Conservation	On completion	5 years	Destroy	
Funding to outside agencies	Energy Conservation	On completion	6 Years	Destroy	
General Admin held by Asst Director from Business Units, (incl. PRG, JPWG), ICT project Board, SPRB and CIPSS. General & Office expenses & invoices (District Housing Plans and HNA docs.)	Corporate Planning	On completion	3 years	Destroy	
Health & Safety – inspections, risk assessments, presentations, meetings, audits, incident reports	Corporate Planning	On completion	5 years	Destroy	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
HMA/Housing Market Profiles/Sectoral Strategies/Empty Homes/Associated research	Central & Area Planners	On completion	20 years	Review	
Housing & Adaptation Policy Documents	Housing Policy	Policy no longer applicable	5 Years	Review	
Housing Association Applications for Social Housing and Site Registrations	Central & Area Planners	Unsupported/ Site digitally mapped/registered	1 Year	Destroy	
Housing Need Assessment and associated info.	Central & Area Planners	On completion of Plan Period	5 years	Review	
Housing Association Scheme files	Central & Area Planners	On completion of scheme	10 years	Destroy	
Interagency Policy, Practice & Procedures	Central & Area Planners	On completion	20 years	Destroy	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Joint Working groups/external partners such as Local Agenda, healthy Cities, implementing policy	Central & Area Planners	On completion/ Dissolution of working groups	3 years	Review	
Land & Property/ Land Issues	Central & Area Planners	On completion	10 years	Review	
Land Transfer & Surplus Land Process	Central & Area Planners	HA nomination accepted	5 Years	Review	
Legislation and Consultative Papers	Energy Conservation	Legislation files retained	20 years	Review	
Personnel Information – including appraisals, procedural notes, disciplinary, acting up, Interview notes, efficiency reviews, career breaks, job descriptions	Corporate Planning	On completion	5 years	Destroy	
Project Files	Research	Sign off of report	3 years	Destroy	
Questionnaires	Research	Data keyed and QA'd	1 Year	Destroy	
Rural Projects, Schemes and Strategies	Rural Housing	On completion	5 Years	Review	
Salaries and Travel/Subsistence Budgets	Business Planning Unit	Budget review	5 years	Destroy	
Social Housing Programme – including SHDP, unmet need prospectus	Central & Area Planners	On completion	7 years	Review	
Social Housing Programme – including strategic guidelines,	Central & Area Planners	On completion	5 years	Review	
Special Acquisitions	Central & Area Planners	Acquisition completed	2 Years	Review	
Strategic Planning data held by Asst Director including Planning Service files/Policies and Procedures	Central & Area Planners	On completion	5 Years	Review	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Sustainable Development Monitor	Environmental Management	On completion	5 years	Destroy	
Training – information on and attendance at seminars, courses (internal or external) and conferences plus travel expenses, presentations	Corporate Planning	Completion of course	5 years	Destroy	
Undeveloped Land Schedule	Rural Housing Strategic Development Team	Annual update completed	2 Years	Review	
Urban Renewal Area reports	Central & Area Planners	On completion of work to effected land	20 years	Review	
Waiting List Statistics	Central & Area Planners	On completion	20 years	Destroy	

Division: Regional Services

Department: Supporting People and Homelessness

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Asylum seekers strategy	Asylum Seekers	When scheme/strategy completed	5 Years	Destroy	
Block Subsidy evidence	Supporting People SPSP	3 year cycle	6 years	Destroy	
Business plans	Supporting People QMS	End of financial year	5 years	Destroy	
CXBC	Supporting People QMS	When lever arch file full	5 years	Destroy	
External reference group	Supporting People Contracts	End of financial year	5 years	Destroy	
Financial Documents	Asylum Seekers	When scheme complete	5 Years	Destroy	
Floating Support files	Supporting People SPSP	When provider ceases operation	6 years	Destroy	
Floating support providers	Supporting People QMS	2 yearly	5 years	Destroy	
Gateway Review 1	Supporting People QMS	When file full	5 years	Destroy	
General ASPP	Supporting People Contracts	3 year cycle	6 years	Destroy	
Housing / Homeless Applications	Homeless Services Unit	Re-housing / Negative Dec	4 years	Destroy	
Homelessness :Complaints / Queries / Reviews / Former Appeals	Homeless Policy	Completion of investigation	5 years	Destroy	
Homeless Judicial Reviews	Homeless Policy	Completion of case	5 Years	Review	1988 Order/ 2010 Act
Homelessness Funding / Evaluations	Homeless Policy	Completion of funding	5 years	Destroy	1988 Order
Homelessness Policy Development Documents	Homeless Policy	Policy no longer applicable	5 years	Review	
Homeless Referrals	Homeless Services Unit	Re-housing / Negative Dec	4 years	Destroy	
Maintenance Reports	Asylum Seekers	Close 2 years after last paper on file	3 Years	Destroy	
NIFHA	Supporting People SPSP	When provider ceases operation	6 years	Destroy	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Pipeline evidence	Supporting People Contracts	3 year cycle	6 years	Destroy	
Pipeline information	Supporting People SPSPD	Transfer to active or closed files as appropriate	6 years	Destroy	
Platinum Cut block gross evidence file	Supporting People Contracts	3 year cycle	6 years	Destroy	
Platinum Cut general	Supporting People Contracts	3 year cycle	6 years	Destroy	
Platinum Cut system reports	Supporting People SPSPD	3 year cycle	6 years	Destroy	
Property Files	Asylum Seekers	Close 2 years after last paper on file	6 Years	Review	
SASPP	Supporting People SPSPD	3 year cycle	6 years	Destroy	
Scheme Files	Asylum Seekers	Scheme completed	5 Years	Review	
Smoke Detector Certificates	Asylum Seekers	Close 2 years after last paper on file	3 Years	Destroy	
SNMA award notices	Supporting People Contracts	3 year cycle	6 years	Destroy	
SP Budget monitors for programme	Supporting People QMS	End of financial year	5 years	Destroy	
SP Contract performance returns	Supporting People QMS	3 year programme close	5 years	Destroy	
SP Domestic violence sub-group	Supporting People Contracts	End of financial year	5 years	Destroy	
SP Older people sub-group	Supporting People Contracts	End of financial year	5 years	Destroy	
SP Q&M Group	Supporting People QMS	Each financial year	5 years	Destroy	
SP Scheme review files for supported housing	Supporting People QMS	After initiation of next review of that scheme	3 years	Destroy	
SP Strategy – Quality and monitoring	Supporting People QMS	Limited reviewed	Indefinite	Destroy	
SPIT Project board	Supporting People Contracts	End of financial year	5 years	Destroy	
Strategic Partnerships Risk Register	Supporting People QMS	End of financial year	5 years	Destroy	
Supporting people Conferences	Supporting People QMS	End of financial year	Nil	Destroy	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Supporting people estimates	Supporting People Contracts	3 year cycle	6 years	Destroy	
Supporting people invoices	Supporting People SPSPD	End of financial year	3 years	Destroy	
Supporting People Modernising Services	Supporting People QMS	When file full	5 years	Destroy	
Supporting People pipeline	Supporting People Contracts	3 year cycle	6 years	Destroy	
Value for money	Supporting People QMS	End of financial year	5 years	Destroy	

Division: Finance

Department: Corporate Accounting

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Area Finance reports	Corporate Accounting	Year end	3 years	Destroy	
Special case records	Corporate Accounting	Year end	5 years	Destroy	

Division: Finance

Department: Financial Support Services

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
A) Monthly Control Sheets	Systems Development	Year End	6 Years	Destroy	
Additions & Removal from Housing Stock	Rates	Year End	6 years	Destroy	
Allpay Card Requests	Private Housing Benefit	Year End	6 Years	Destroy	
Allpay Transfer to PRAWL – HB Card Payments to Rent	Private Housing Benefit	Year End	6 Years	Destroy	
Bacs Control Sheets	Systems Development	Year End	6 Years	Destroy	
BACS Recalls / Cheque Stops	Salaries & Wages	Year End	6 Years	Destroy	
Bank/Giro Statements	Accounts Receivable/Home Loans Income & Rent Accounting	Year End	6 Years	Destroy	
Board/CXBC Papers	Accounts Receivable/Home Loans	Year End	12 Years	Destroy	
Career Break Notification	Salaries & Wages	Year End	10 Years	Destroy	
Cash Book/Bank Lodgements/Receipt Books	Income & Rent Accounting	Year End	6 Years	Destroy	
Certificates of Age Exemption (Nat. Ins.)	Salaries & Wages	Year End	End of Employment	Return to Employee	
Change of Bank Details	Salaries & Wages	Year End	6 Years	Destroy	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
CIT & VAT Returns and supporting documentation	Payments	Year End	6 years	Destroy	
Computer Input	Accounts Receivable/Home Loans	Year End	6 Years	Destroy	
Copy Standing Order Mandates	Income & Rent Accounting	Year End	6 Years	Destroy	
Correspondence Files	Income & Rent Accounting	Year End	6 Years	Destroy	
Credit Controller Records	Accounts Receivable/Home Loans	Year End	6 Years	Destroy	
Deduction Authorisations (Voluntary)	Salaries & Wages	Year End	6 Years	Destroy	
Deed Register	Accounts Receivable/Home Loans	After Redemption of Final Loan	6 Years after final loan redemption	Destroy	
Direct Deductions of Benefits	Private Housing Benefit	Year End	6 Years	Destroy	
Disabled Persons Allowance	Rates	Year End	6 years	Destroy	
DLO Jobs	Systems Development	Year End	6 Years	Destroy	
Early Payment of Salary	Salaries & Wages	Year End	1 Year	Destroy	
Earnings Enquiries from Solicitors	Salaries & Wages	Year End	10 Years	Destroy	
Electronic Requisition of Services (EROS) Control Sheets	Systems Development	Year End	6 Years	Destroy	
End User Lists	Systems Development	Year End	6 Years	Destroy	
EJO File	Private Housing Benefit	Year End	6 Years	Destroy	
Employers Liability Claims	General Services	Claim:- defended, settled, repudiated, withdrawn, taken over by other party	6 years	Destroy	
Enforcement Orders	Salaries & Wages	Year End	6 Years	Destroy	
EROS Amendments	Systems Development	Year End	6 Years	Destroy	
Exceptional Payment Forms	Salaries & Wages	Year End	2 Years	Destroy	
Financial end of year	Accounts Receivable/Home Loans	Year End	12 Years	Destroy	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
First Aid Payments	Salaries & Wages	Year End	2 Years	Destroy	
GL Monthly Control Sheets	Systems Development	Year End	6 Years	Destroy	
General Correspondence	Salaries & Wages	Year End	2 Years	Destroy	
GL Change Requests	Systems Development	Year End	6 Years	Destroy	
General Payment requests, reports and supporting documentation	Payments	Year End	6 years	Destroy	
General Rating Records	Rates	Year End	6 years	Destroy	
Ground Rent Records	Accounts Receivable/Home Loans	Year End	6 Years	Destroy	
HMRC Correspondence – Enquiries	Private Housing Benefit	Year End	6 Years	Destroy	
HMS Input	Income & Rent Accounting	Year End	6 Years	Destroy	
Home Loans Schedules	Accounts Receivable/Home Loans	Year End	6 Years	Destroy	
Honorarium Payments	Salaries & Wages	Year End	2 Years	Destroy	
IMS Accounts Receivable (AR) Control Sheets	Systems Development	Year End	6 Years	Destroy	
IMS General Ledger Control Sheets	Systems Development	Year End	6 Years	Destroy	
Index Cards	Accounts Receivable/Home Loans	After Redemption of Final Loan	6 Years after final loan redemption	Destroy	
Information Requests – Landlords	Private Housing Benefit	Year End	6 Years	Destroy	
Insurance Claims	General Services	Claim:- turned down, settled	6 years	Destroy	
Insurance Renewals	General Services	Completion of renewal process	6 years	Destroy	
Insurance Schedules.	General Services	N/A	Permanent	Permanent retention By NIHE	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Invoices Paid	Accounts Receivable/Home Loans	Year End	6 Years	Destroy	
Landlord changes for bulk properties	Private Housing Benefit	Year End	6 Years	Destroy	
Legal Action	Accounts Receivable/Home Loans	On completion of proceedings	6 Years	Destroy	
Manual Cheque File (EPFs)	Private Housing Benefit	Year End	6 Years	Disposal	
Maternity / Paternity Leave	Salaries & Wages	Year End	2 Years	Destroy	
Medical Certificates	Salaries & Wages	Year End	4 Years	Destroy	
Missing Cheque Register	Private Housing Benefit	Year End	6 Years	Destroy	
Month End Control Sheets	Systems Development	Year End	6 YEARS	Destroy	
New Start Advices	Salaries & Wages	Year End	2 Years	Destroy	
NILGOSC Annual Return	Salaries & Wages	Year End	10 Years	Destroy	
Overtime Claim Forms	Salaries & Wages	Year End	2 Years	Destroy	
P35 Returns	Salaries & Wages	Year End	10 Years	Destroy	
Payroll Reports	Salaries & Wages	Year End	6 Years	Destroy	
Profess, EROS & RESUS payment requests, reports and supporting documentation	Payments	Year End	6 years	Destroy	
PSL: Accounts Closed, Recalls	Private HB	Year End	6 Years	Destroy	
Public Liability Claims (PLC)	General Services	Claim:- defended, settled, repudiated, withdrawn, written off, taken over by other party	6 years	Destroy	
Public Liability Claims - Minors	General Services	Claim:- defended, settled, repudiated, withdrawn, written off, taken over by other party	Up to 21 years	Destroy	
Redeemed Files	Accounts Receivable/Home Loans	Year End	12 Years	Destroy	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Redirection of Cheques	Private Housing Benefit	Year End	6 Years	Destroy	
Remittance Advices	Income & Rent Accounting	Year End	6 Years	Destroy	
Rent Arrears Correspondence	Salaries & Wages	Year End	6 Years	Destroy	
Royal Courts of Justice	Private Housing Benefit	Year End	6 Years	Destroy	
Standing Orders/Credit Transfers	Income & Rent Accounting	Year End	6 Years	Destroy	
Stop Cheques Register	Private HB	Year End	6 Years	Destroy	
Student Loan Notification	Salaries & Wages	Year End	6 Years	Destroy	
Superannuation Forms	Salaries & Wages	Year End	2 Years	Destroy	
System Output Reports	Income & Rent Accounting	Year End	6 Years	Destroy	
Tax Code Amendments	Salaries & Wages	Year End	6 Years	Destroy	
Temporary Accommodation Bed Bureau System invoicing/reports	Accounts Policy Financial & Income Management	Date doc actioned	Current year + 6yrs	Destroy	
Termination Advices	Salaries & Wages	Year End	2 Years	Destroy	
Travel & Subsistence Claims, reports and supporting documentation	Payments	Year End	6 years	Destroy	
Unpaid Leave	Salaries & Wages	Year End	2 Years	Destroy	
User Update Request Forms	Systems Development	Year End	6 Years	Destroy	
Underpayment (Type 5)	Private Housing Benefit	Year End	6 Years	Destroy	
Vendor File maintenance documents	Payments	Year End	6 years	Destroy	

Division: Finance

Department: Counter Fraud & Security

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Court Orders	Counter Fraud & Security	PPS decision 'not to prosecute' or conclusion of court proceedings (including appeal period)	10 Years	Destroy	Home Office guidance
Section 29(3) Requests	Counter Fraud & Security	12 months (on a rolling basis)	3 Years	Destroy	
Investigations - Internal	Counter Fraud & Security	Investigation concluded for onward referral or confirmation of NFPA	10 Years	Destroy	Home Office guidance
Investigations – disciplinary	Counter Fraud & Security	Investigation concluded for onward referral or confirmation of NFPA	10 Years	Destroy	Home Office guidance
Investigations – report to police	Counter Fraud & Security	Referral to PPS or NFPA	10 Years	Destroy	Home Office guidance
Whistleblowing Referrals	Counter Fraud & Security	Investigation concluded for onward referral or confirmation of NFPA	10 Years	Destroy	Home Office guidance

Division: Finance

Department: Housing Benefit

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
All –pay Adjustments	Housing Benefit System	Action as required	3 Years	Destroy	
Appeal Files	Housing Benefit Policy	Completion of Appeal Hearing	2 Years	Destroy	
Case Files	Housing Benefit Unit	End of HB entitlement and no overpayment	3 years	Destroy	
Corporate Plan, Corporate Business Plans	Business Planning Unit	Annual Review	5 Years	Destroy – copy of final plan to PRONI	
Data Cleansing Exercises	Housing Benefit System	Action as required	3 years	Destroy	
‘E-Benefit’ Testing	Housing Benefit System	Completion of Testing/Loading onto RBLIVE	3 Years	Destroy	
HMS Interface – Data RBE295/296 Reports and RBE342 standard and adjust file.	Housing Benefit System	Review and Action Weekly	3 Years	Destroy	
HMS Interface – Data HMS Suspense Account	Housing Benefit System	Review and Action Weekly	3 Years	Destroy	
Housing Association – Rent Increase	HB System	Completion of Loading data to iworld RBLIVE	3 Years	Destroy	
‘iworld’ System Version release testing Files	Housing Benefit System	Completion of Testing/loading onto iworld RBLIVE	3 Years	Destroy	
‘iworld’ System Version release Manuals	Housing Benefit System	Completion of Testing/loading onto iworld RBLIVE	3 Years	Destroy	
LPA – Changes	HB System	Actioned Weekly	3 Years	Destroy	
LPA – Financial Transactions to HMS	Housing Benefit System	Actioned weekly	3 Years	Destroy	
LPA - Overpayments	HB System	Actioned Weekly	3 Years	Destroy	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
LPA – Payment Files HMS – HA and LPS	Housing Benefit System	Actioned Weekly	3 Years	Destroy	
LPA – ‘Stats’	HB System	Actioned Weekly	Permanent	Permanent preservation NIHE	
Local Housing Allowance (LHA) Quarterly updated	Housing Benefit System	Checked Quarterly	3 Years	Destroy	
Performance and Risk Management Monitors – Corporate, Divisional Units and Area Planners	Business Planning Unit	Monthly completions	5 years	Destroy	
Performance Management & Quality Assessment (PMQA)	Housing Benefit System	Action as required	3 Years	Destroy	
Rate Reference Updates	Housing Benefit System	Actioned Weekly	3 Years	Destroy	
Property Amendments	Housing Benefit System	Actioned as required	3 Years	Destroy	
Rate Relief – Data Cleansing File	Housing Benefit System	Actioned Weekly	3 Years	Destroy	
Rate Relief – HA payment File	Housing Benefit System	Actioned weekly	3 years	Destroy	
Rate Relief – Excess Capital	Housing Benefit System	Actioned Weekly	3 Years	Destroy	
Rate Relief – Under/Over Report	HB System	Actioned Weekly	3 Years	Destroy	
Supporting People Files	Housing Benefit Policy	Closed Schemes	3 Years	Review	
System Reports ISB	Housing Benefit Unit	Normal Office Management Procedures	1 year	Destroy	
System Security – ‘Profile Reports’	Housing Benefit System	Reviewed and actioned as required	3 Years	Destroy	
Statistical Returns – Work-load Summary Report	Housing Benefit System	Review	3 Years	Destroy	
‘Year End’ allowance testing	Housing Benefit System	Completion of Testing/ loading onto RBLIVE	3 Years	Destroy	

Division: Landlord Services

Department: Housing Services

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Annual Rent Increase Assoc Reports	Income Collection & Neighbourhoods	Date report actioned	Current year + 6yrs	Destroy	
Anti-Social Behaviour (ASB) Files	Landlord Housing Policy	Legal Action complete /case closed Tenancy Terminated/case closed District no longer require action	7 years	Destroy	PSNI Information Sharing Protocol
Arrears Recovery Files	Income Collection & Neighbourhoods	Date Arrear cleared	Current year + 6yrs	Destroy	
Arrears Enforcement Documentation	Income Collection & Neighbourhoods	Date doc processed	Current year + 6yrs	Destroy	
Assembly Information	Income Collection & Neighbourhoods	Normal office procedures	5 years	Destroy	
BRIC Programme – SEUPB Funding Files	Income Collection & Neighbourhoods	Final audit by SEUPB	Until 31.12.2020	Review	Requirement of funder
Business Plans	Business Support	Files renewed for new working year	2 years	Destroy	
Commissioner of Complaints/Formal Complaints files	Income Collection & Neighbourhoods	Date case closed	5 years (TBC)	Destroy	
Community Cohesion Funding Files	Income Collection & Neighbourhoods	Final evaluation	6 years	Review	
Exceptional Payments docs – Disturbance etc.	Income Collection & Neighbourhoods	Date payment made	Current year + 6yrs	Destroy	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Financial Transactions Debit/credit	Income Collection & Neighbourhoods	Transaction completion date	Current year + 6yrs	Destroy	
FOI Requests	Business Support	Info provided/withheld	3 years	Destroy	
Funded project files	Landlord Housing Policy	End of funding/project	7 Years	Destroy	
Funding / Evaluation Files	Business Support	Funding / Evaluation completed	5 Years	Destroy	
Funding Outside Bodies - Policy files	Business Support	5 years	3 years	Destroy	
Government Funding Database - Policy files	Business Support	5 years	2 years	Destroy	
HMS Annual Rent Increase Assoc Reports	Income Collection & Neighbourhoods	Date report actioned	Current year + 6yrs	Destroy	
Housing Complaint Files	Landlord Housing Policy	Completion of investigation	2 Years	Review	
Housing Query Files	Landlord Housing Policy	Completion of investigation	2 Years	Review	
IMS Receipting System and all associated docs /Reports	Income Collection & Neighbourhoods	Transaction completion date	Current year + 6yrs	Destroy	
Invoices from BCC – Fitness Inspections done by Environmental Health	Income Collection & Neighbourhoods	Certified for payment	6 years	Destroy	
Judicial Review Files	Landlord Housing Policy	Case settled	5 Years	Review	
LAN – SEUPB Funding Files	Income Collection & Neighbourhoods	Final audit by SEUPB	Until 31.12.2020	Destroy	Requirement of funder
Mediation Files	Landlord Housing Policy	End of case/resolution	7 Years	Destroy	
Production of Printing Invoicing	Income Collection & Neighbourhoods	Payment processed date	Current year + 6yrs	Destroy	
Project /Policy Development/Review Files	Income Collection & Neighbourhoods	Policy implementation date	5 years	Destroy	
PTC - Input & back up doc	Income Collection & Neighbourhoods	Date of payment issued	Current year + 6yrs	Destroy	
Payment Control Registers	Income Collection & Neighbourhoods	Date last payment made	Current year + 6yrs	Destroy	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Performance Review Group Books	Business Support	1 year	5 years	Destroy	
Policy files - Evaluations Services	Business Support	5 years	3 years	Review	
Project Evaluations - Individual Project Files	Business Support	Completion of individual evaluation and issue of final report	1 year	Destroy	
PTC/ PTS Audit Checklists	Income Collection & Neighbourhoods	Date audit completed	Current year + 6yrs	Destroy	
Rent Abatements (Including Rent Credits)	Income Collection & Neighbourhoods	Date abatement period ceased	Current year + 6yrs	Destroy	
Reports/Statistical Information	Income Collection & Neighbourhoods	5 years	5 years	Destroy	
Representation on Outside Bodies - Policy files	Business Support	5 years	2 years	Destroy	
Shared Neighbourhood Programme – IFI Funding Files	Income Collection & Neighbourhoods	Final audit by IFI	6 years from date of final payment	Review	Requirement of funder
Social Security Agency Direct Payment Reports	Income Collection & Neighbourhoods	Date report actioned	Current year + 6yrs	Destroy	
Staff Appraisals	Business Support	Appraisal completed and signed off, files renewed for new working year	5 years	Destroy	
Subject Access Requests	Business Support	Info provided/withheld	3 years	Destroy	
TMS Reports	Business Support	Actioned/signed by Manager	1 year	Destroy	
Write Off documentation/file (Accounts Unit)	Income Collection & Neighbourhoods	Date a/c written off	Current year + 6yrs	Destroy	
Write Off Reports HQ	Income Collection & Neighbourhoods	Date a/c written off	Current year + 6yrs	Destroy	

Division: Landlord Services

Department: Housing Management (Service Delivery)

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Adaptation case files	Regional Office	Adaptation complete or no longer required/necessary	6 years	Destroy	
Anti-Social Behaviour (ASB) case files	Area Office	Case resolved	7 Years	Destroy	
Arrears	Regional Office	Cleared / Written off	7 Years	Destroy	
Change of heating refusals	Area Office	Tenant advised	1 Year	Destroy	
Community Files	Area Office	When strategy ends	5 years	Review	
Complex Needs Case Files	Regional Office	Complex needs points not awarded; re-housed; applicant moved away; no reply to renewal letter	2 years	Destroy	
Contractors files	Area Office	Close 5 Years after opening	2 years	Destroy	
Correspondence Files - Strategy	Area Office	When strategy ends	5 years	Review	
First Stage Formal Complaints	Regional Office	Complaint resolved or escalated to second stage	3 Years	Destroy	
Group Heating Charge notifications	Regional Office	Tenants notified/charges applied	3 years	Destroy	
Homelessness Review case files	Regional Office	Homeless Review completed	2 years	Destroy	
Information Requests	Regional Office	SAR / FOI request completed	3 Years	Destroy	
Lock Out Crime (LOC) Scheme	Area Office	Complete	6 Years	Destroy	
Past Applicant	Area Office	Application not renewed	2 Years	Destroy	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Personnel – Fair Employment Equal Opportunities Acting up / Honoraria Secondments Tribunal	Regional Office	Cases closed and files renewed for new working year	10 Years	Destroy	
PLIC inspection sheets	Area Office	Year end	21 years	Retain permanently	Statute of Limitations (Minors)
PLIC case files	Area Office	Case settled	6 Years	Destroy	
PLIC case files (minors)	Area Office	Case settled	Until child is 21	Destroy	
Procurement - Contract Management Board Quality Assurance Statements	Regional Office	Files renewed for new working year	10 Years	Destroy	
Requests re Statutory Charges	Area Office	Orders removed from Stat Charges Register	6 years	Destroy	
Regional Manager / Area Manager Operational Files	Regions / Areas	Normal office procedures	5 Years	Destroy	
Smart Move Rent Guarantee Scheme Files	Regional Office	When funding ends	5 years	Destroy	
Staff Appraisals	Regions / Areas	Appraisal completed and signed-off; files renewed for new working year	5 Years	Destroy	
Strategies / Sectoral Studies	Regional Office	Files renewed for new working year	5 Years	Destroy	
Service User Files - Asylum Seekers	Regional Office	Close 2 years after last paper on file	3 Years	Destroy	
Schemes	Area Office	Scheme completed	10 Years	Destroy	
Smoke Alarm COT	Area Office	Completed	6 Years	Destroy	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Telephone Post Inspection Ticket	Regional Office	Normal Office Management Procedures	1 year	Destruction	
Tenancy file	Area Office	Tenancy ends	6 Years	Destroy	
Travellers	Regional Office	End of financial year	5 Years	Review	
Unfitness	Area Office	Passed as fit	6 Years	Destroy	

Division: Landlord Services

Department: Asset Management - Business Strategy

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Annual Clearing House Books	Programme Management	End of Year Summary Report	3 years	Destroy	
Annual Scheme Starts & Completion Statistical Records.	Programme Management	Compilation of end of year figures	5 years	Destroy	
EROS/RESUS Purchasing files	Administration Unit	Normal office management procedures	2 years	Destroy	
Heating Services Schemes	Heating Services Unit	Scheme completed	10 years	Destroy	
Miscellaneous payment files	Administration Unit	Normal office management procedures	3 years	Destroy	
Monthly Programme Books	Programme Management	Compilation of end of month figures	1 year	Destroy	
Scheme files for Disabled Lift Installations and Removals	Administration Unit	Scheme completed	10 years	Destroy	
Training courses files	Administration Unit	Normal office management procedures	4 years	Destroy	
User Manuals – MIS/Citrix	Programme Management	N/A (Continuously Updated)	Retain until superseded	Destroy	

Division: **Landlord Services**

Department: **Asset Management - Design Services**

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Adaptation for Persons with a Disability (APDs)	Headquarters & Regional Offices	Financial Reconciliation H&S File complete	10 Years	Destroy	
Audit Files	Headquarters & Regional Offices	Completion	5 Years	Destroy	
Central cost group scheme files	Headquarters & Regional Offices	Scheme Completion	20 Years	Destroy	
Civil Engineering	Headquarters & Regional Offices	Final certificate paid, Final Account, approved and all defects completed and H&S file complete	20 Years	Drawings retained permanently by NIHE	
Clerk of Works	Headquarters & Regional Offices	At end of defects period and issue of Defects Liability Certificate	15 Years	Destroy	
Consultants	Headquarters & Regional Offices	none	As required	Destroy	
Directors general files	Headquarters & Regional Offices	Completion	5 Years	Destroy	
External Cyclical Maintenance (ECMs)	Headquarters & Regional Offices	Final Certificate paid, Final Account approved and all defects completed and H&S File complete	15 Years	Destroy	
Health & Safety	Headquarters & Regional Offices	As above	20 Years	Destroy	
Housing Association Fees	Headquarters & Regional Offices	Final Account, fees and adoptions	20 Years	Destroy	
Kitchen Schemes	Headquarters & Regional Offices	As above	15 Years	Destroy	
Landscape Schemes	Headquarters & Regional Offices	As above	15 Years	Destroy. Drawings retained permanently by NIHE	
MEI Schemes	Headquarters & Regional Offices	As above	20 Years	Drawings retained permanently by NIHE	

Division: Landlord Services

Department: Direct Labour Organisation

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Accident Book Report Forms	Health & Safety Officer	Claim Settlement	10 Years	Destroy	
Completion & Inspection Certificate Part C Section 4	Electrical Testing	Job completion	10 years	Destroy	
Control of non-conformance Part A Section 13	Electrical Testing	Job completion	2 years	Destroy	
COT Inspection reports Part C Section 7	Electrical Testing	Job completion	10 years	Destroy	
Customer complaints Part B Section 6	Electrical Testing	Complaint resolved	2 years	Destroy	
DLO Management Accounts	Management Accountant	Fin. Year End	7 years	Destroy	
DS Management Accounts	Management Accountant	Fin. Year End	7 years	Destroy	
DLO Business Plan	Management Accountant	Fin. Year End	7 years	Destroy	
DS Business Plan / D&PS Salary Business Plan	Management Accountant	Fin. Year End	7 years	Destroy	
D&PS Salary monitor	Management Accountant	Fin. Year End	7 years	Destroy	
DLO Management Meeting Minutes	Assistant Director DLO	Month end	3 years	Destroy	
EFIN Purchase Orders	Transport	Fin. Year End	7 Years	Destroy	
Egan Job claims - Part Completed	Support Services Unit DLO	Fin. Year End	1 Year	Destroy	
Electrical Health & Safety Report (10 Year)	Belfast / Coleraine DLO	Fin. Year End	7 Years	Destroy	
Electrical Installation Certificate (New)	Belfast / Coleraine DLO	Fin. Year End	7 Years	Destroy	
Electrical Testing	Transport	Fin. Year End	7 Years	Destroy	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Emergency Callout Sheets	Belfast / Coleraine DLO	Fin. Year End	7 Years	Destroy	
Employee records	Belfast / Coleraine DLO Transport	Fin. Year End	7 Years	Destroy	
Environmental Certificates	Transport	Fin. Year End	7 Years	7 Years	
EROS requisition, confirmation and delivery dockets	Support Services Unit DLO Belfast/Coleraine DLO	Receipt of goods	7 years	Destroy	
Fire Prevention Log	Transport	Fin. Year End	7 Years	7 Years	
Fuel Receipts	Belfast / Coleraine DLO Transport	Fin. Year End	7 Years	Destroy	
Grants Inspection Report Part C Section 8	Electrical Testing	Job completion	10 years	Destroy	
HSENI RIDDOR Forms NI2508	Health & Safety Officer	Claim Settlement	10 Years	Destroy	
Insurance Claims	Assistant Director DLO	Fin. Year end	3 years	Destroy	
Invoice batch posting reports Act_RFS_001	Support Services Unit DLO	Payment of invoices	7 years	Destroy	
M2, M3 & M4 (Used)	Transport Belfast/Coleraine DLO	Fin. Year End	7 Years	Destroy	
Monthly Employee Absence Returns for MVW Staff TMS	Health & Safety Officer	Fin. Year End	3 Years	Destroy	
Overtime Sheets, Travel & Sub Claims	Transport	Fin. Year End	2 Years	Destroy	
Petty Cash	Transport	Fin. Year End	7 Years	Destroy	
Plant Insurance Certificate	Transport	Fin. Year End	7 Years	Destroy	
PLIC Reports	Belfast / Coleraine DLO	Fin. Year End	4 years	Destroy	
Portable Appliance Test Certificates	Electrical Testing	Start of new test cycle	10 years	Destroy	
Preliminary contract review Part B Section 9	Electrical Testing	New contract	3 years	Destroy	
Quotations for goods and services	Support Services Unit DLO	Issuing of purchase order	5 years	Destroy	
Record of Job Certificate Part C Section 5	Electrical Testing	Job completion	10 years	Destroy	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Supplier Invoices	Support Services Unit DLO	Payment of Invoice	7 years	Destroy	
Tax Book Files	Transport	Fin. Year End	Life of Vehicle	Destroy	
Tender documents	Support Services Unit DLO	Award of contract	7 years	Destroy	
Test Instrument Register Part C Section 12	Electrical Testing	Start of new test cycle	10 years	Destroy	Test Instrument Register Part C Section 12
Test Instrument Failure and calibration records Part B Section 5	Electrical Testing	Start of new test cycle	10 years	Destroy	
Un-posted Daily Invoice VAT Rate Report	Support Services Unit DLO	Payment of invoices	7 years	Destroy	
Used M2, M3, & M4 Book Stubs	Belfast / Coleraine DLO	Fin. Year End	7 Years	Destroy	
Vehicle Accident Insurance Claim Forms	Health & Safety Officer	Claim Settlement	10 Years	Destroy	
Vehicle Files	Transport	Fin. Year End	Life of Vehicle	Destroy	
Vehicle Transaction Report	Transport	Fin. Year End	7 Years	Destroy	
Water Service Log	Transport	Fin. Year End	7 Years	Destroy	

Division: Corporate Services

Department: Communications

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Annual Report file	Headquarters and Regions	On publication and copy to PRONI	1 year	Destroy file Copy of publication to PRONI	
Assembly Questions	Headquarters and Regions	On issue of final response	4 years	Review	
Commissioner for Complaints	Headquarters and Regions	End of process	10 years	Destroy	
Complaints Files	Headquarters and Regions	Resolution of complaint	3 years	Destroy	
FOI / DPA information requests / internal reviews - case files	Headquarters and Regions	Response issued	3 years	Destroy	
FOI / DPA ICO complaints files	Headquarters and Regions	Response issued	5 years	Destroy	
Newspaper scans	Headquarters and Regions	Normal office management procedures	4 years	Destroy	
Photographs	Headquarters and Regions	Transfer to digital format	Retained on digital archive	Retained on digital archive by NIHE	
Press releases	Headquarters and Regions	On issue	2 years	Destroy	

Division: Corporate Services

Department: Audit & Risk Assurance

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Audit Committee	Internal Audit	Meeting takes place	5 years	Destroy	
Audit Assignment Files	Internal Audit	Final report issued.	Reviewed after 6 years	Destroy	
Board Papers	Internal Audit	Normal office administration procedures	1 year	Destroy	
DIU Planned Inspection – Working papers	Repairs Inspection Schemes Inspection Divisional Inspection	On completion of the annual inspection	3 years	Destroy	
Investigation – General File	Repairs Inspection Schemes Inspection Divisional Inspection	On completion of Senior Management / Police action	5 years	Review	
Investigation – Potential Disciplinary reports	Repairs Inspection Schemes Inspection Divisional Inspection	After fact finding meetings and responses from the individual members of staff.	5 years	Destroy	
Planned Inspection – Review details	Repairs Inspection Schemes Inspection Divisional Inspection	After the introduction of the revised annual program	5 years	Destroy	
Planned Inspection – Evidence Pack	Repairs Inspection Schemes Inspection Divisional Inspection	On completion of the quarterly report	5 years	Destroy	
Planned Inspection – Pro-forma booklet	Repairs Inspection Schemes Inspection Divisional Inspection	On completion of the quarterly report	5 years	Destroy	
Planned Inspection – Preliminary report	Repairs Inspection Schemes Inspection Divisional Inspection	On completion of the quarterly report	5 years	Destroy	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Planned Inspection – Final report	Repairs Inspection Schemes Inspection Divisional Inspection	After the report has been presented to the area Management Team	7 years	Review	
Planned inspection – Recommendations monitor	Repairs Inspection Schemes Inspection Divisional Inspection	After the Area Management team acknowledges corrective action measures have been implemented	3 years	Destroy	
Review of Contractors or Areas response	Repairs Inspection Schemes Inspection Divisional Inspection	After completion of a complete review of the Contractors or the Area.	5 years	Review	

Division: Corporate Services

Department: Secretariat

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Appointments	Chief Executive's Office	N/A	Retain permanently	Permanent preservation NIHE	
Audit	Chairman's Office Chief Executive's Office	Normal office administrative procedures	10 years	Destroy	
Audit Committee	Chief Executive's Office	Normal office administrative procedures	Archive papers after each quarter; retain for 5 years from file closure	Destroy	
Board Administration & Correspondence	Chairman's Office Chief Executive's Office	Normal office administrative procedures	5 years	Review	
Board Members Appointments	Chairman's Office	Normal office administrative procedures	10 years	Review	
Board Members Assessments	Chairman's Office	Normal office administrative procedures	5 years	Review	
Board Papers and Minutes	Secretariat	End of year	5 years	Transfer to PRONI	
Briefing Papers & Notes	Chairman's Office	Normal office administrative procedures	5 years	Review	
Camphill Communities	Chief Executive's Office	Normal office administrative procedures	5 years from file closure	Review	
Conferences	Chairman's Office	Normal office administrative procedures	3 years for UK Conferences 5 years for overseas	Destroy	
Chairman -correspondence	Chief Executive's Office	Normal office administrative procedures	10 years from end of term of office	Review	
Correspondence files (individual tenants etc)	Chief Executive's Office	Normal office administrative procedures	5 years from file closure	Review	
Department for Social Development	Chairman's Office	Normal office administrative procedures	10 years	Review	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Director's Diaries	Directors	End of calendar year	5 Years	Destroy	
Elected Representatives Correspondence	Chairman's Office	Normal office administrative procedures	5 years	Review	
Empty Homes Scheme Review	Chairman's Office	Normal office administrative procedures	5 years	Review	
External bodies – meetings & Correspondence	Chairman's Office	Normal office administrative procedures	5 years	Review	
Government Departments	Chief Executive's Office	Normal office administrative procedures	10 years from file closure	Review	
Home Energy Conservation Authority	Chief Executive's Office	Normal office administrative procedures	10 years from file closure	Review	
Homelessness Review	Chairman's Office	Normal office administrative procedures	5 years	Review	
Honours & Awards	Chairman's Office	Normal office administrative procedures	5 years	Review	
Hospitality	All	End of financial year	3 Years	Destroy	
Housing Council – General correspondence	Chairman's Office	Normal office administrative procedures	5 years	Review	
Housing Selection Scheme	Chairman's Office	Normal office administrative procedures	5 years	Review	
Investigations Files e.g.: Project Amber/Young etc	Chairman's Office Chief Executive's Office	Normal office administrative procedures	10 years	Review	Home Office Guidance
NI Departments	Chairman's Office	NI Departments	Normal office administrative procedures 10 years	Review	
NIHE Senior Officers Correspondence	Chairman's Office	Normal office administrative procedures	5 years	Review	
North Belfast	Chief Executive's Office	Normal office administrative procedures	10 years from file closure	Review	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Performance Review Meetings with the Minister	Chairman's Office	Normal office administrative procedures	5 years	Review	
Personal Business	Chief Executive's Office	Normal office administrative procedures	5 years from file closure	Review	
Public Accounts Committee	Chief Executive's Office	Normal office administrative procedures	10 years from file closure	Review	
References	Chief Executive's Office	Normal office administrative procedures	10 years from file closure	Destroy	
Review of Public Administration	Chief Executive's Office	Normal office administrative procedures	10 years from file closure	Review	
Somerdale Correspondence	Chief Executive's Office	Normal office administrative procedures	10 years from file closure	Review	
Somerdale Correspondence	Chairman's Office	Normal office administrative procedures	10 years after file closure	Review	

Division: Corporate Services

Department: Procurement

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Arbitrations	Contract Claims	Settlement of issue	20 years	Destroy	
Adjudications	Contract Claims	Settlement of issue	20 years	Destroy	
Audit	Contract Claims	Settlement of issue	20 years	Destroy	
Contract notices	Contract Claims	Settlement of issue	20 years	Destroy	
Contractor File	Construction Procurement	Normal office management procedures	20 years after date of removal/last action	Destroy	
Contractor Ledger Page	Construction Procurement	Tender awarded	20 years from end of contract	Destroy	
Correspondence	Supplies & Services	Receipt	7 years	Destroy	
Delivery Notes	Supplies & Services	Notes received	7 years	Destroy	
Determinations	Contract Claims	Settlement of issue	20 years	Destroy	
EC Adverts	Construction Procurement	Tender awarded	20 years from end of contract	Destroy	
Fraud	Contract Claims	Settlement of issue	20 years	Destroy	
Goods Received Notes	Supplies & Services	Notes received	7 years	Destroy	
Insolvencies	Contract Claims	Settlement of issue	20 years	Destroy	
Insurance Records	Construction Procurement	Normal office management procedures	5 years after date of removal/last action	Destroy	
Liquidation & Ascertained Damages	Contract Claims	Settlement of issue	20 years	Destroy	
Litigations	Contract Claims	Settlement of issue	20 years	Destroy	
PLICs	Contract Claims	Settlement of issue	20 years	Destroy	
Purchase requisitions	Supplies & Services	Purchase order creation	7 years	Destroy	
Purchase orders	Supplies & Services	Purchase order printed and posted	7 years	Destroy	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Scheme Project File	Construction Procurement	Tender awarded	5 years	Destroy	
Tender Application File	Construction Procurement	Tender awarded	5 years	Destroy	
Tenders less than £20k	Supplies & Services	Tender awarded	7 years after end of contract	Destroy	
Tenders greater than £20k	Supplies & Services	Tender awarded	12 years after end of contract	Destroy	

Division: Corporate Services

Department: Facilities Services

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Accident Reports	Headquarters & Regional Offices	End of Calendar Year	10 Years	Destroy	
Asbestos Register	Headquarters & Regional Offices	N/A	Permanent	Permanent preservation NIHE	
Asbestos Correspondence	Headquarters & Regional Offices	5 Years from opening	5 Years	Destroy	
Budgets	Headquarters & Regional Offices	End of calendar year	3 Years	Destroy	
Car Parking	Headquarters & Regional Offices	End of Calendar Year	6 Years	Destroy	
Correspondence	Headquarters & Regional Offices	Normal office procedures	7 years	Destroy	
COSHH	Headquarters & Regional Offices	End of Calendar Year	40 Years	Destroy	
Delivery Note	Headquarters & Regional Offices	Order Complete	7 Years	Destroy	
Environmental / Energy	Headquarters & Regional Offices	End of calendar year	6 Years	Destroy	
Exceptional Payment Forms	Headquarters & Regional Offices	Normal office procedures	7 years	Destroy	
Fire Certificate	Headquarters & Regional Offices	N/A	Permanent	Permanent preservation NIHE	
Goods Received Note	Headquarters & Regional Offices	Order Complete	7 Years	Destroy	
Health & Safety Audits	Headquarters & Regional Offices	End of Calendar Year	5 Years	Destroy	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Health & Safety inspection reports	Headquarters & Regional Offices	Normal office procedures	3 years	Destroy	
Invoice	Headquarters & Regional Offices	Order Complete	7 Years	Destroy	
Key holders register	Headquarters & Regional Offices	Time of updating	3 Years	Destroy	
Mail posting books	Headquarters & Regional Offices	Normal office procedures	3 years	Destroy	
Meetings	Headquarters & Regional Offices	End of calendar year	6 Years	Destroy	
Off-Site Storage Requests	Headquarters & Regional Offices	End of Calendar Year	2 Years	Destroy	
Personnel absence file	Headquarters & Regional Offices	End of calendar year	3 Years	Destroy	
Petty Cash records	Headquarters & Regional Offices	Normal office procedures	5 years	Destroy	
Photocopy contracts	Headquarters & Regional Offices	End of contract period	7 Years	Destroy	
Policy Files	Headquarters & Regional Offices	End of Calendar Year	3 Years	Destroy	
Post Office invoices / Books	Headquarters & Regional Offices	End of book	2 Years	Destroy	
Premises Files	Headquarters & Regional Offices	End of Calendar Year	10 Years	Destroy	
Purchase Order	Headquarters & Regional Offices	Order Complete	7 Years	Destroy	
Purchase Requisition	Headquarters & Regional Offices	Order Complete	7 Years	Destroy	
Quotations SO / WQ File	Headquarters & Regional Offices	End of calendar year	7 Years	Destroy	
RIDDOR Records	Headquarters & Regional Offices	End of Calendar Year	40 Years	Destroy	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
RESUS Information	Headquarters & Regional Offices	End of Calendar Year	7 Years	Destroy	
Risk Assessment Reports	Headquarters & Regional Offices	End of Calendar Year	5 Years	Destroy	
Security / Premises / CCTV	Headquarters & Regional Offices	End of calendar year	1 month	Destroy	
Staff appraisal	Headquarters & Regional Offices	End of calendar year	6 Years	Destroy	
Staff / management briefings	Headquarters & Regional Offices	End of calendar year	3 Years	Destroy	
Staff relocations	Headquarters & Regional Offices	End of calendar year	3 Years	Destroy	
Stationery Requisition	Headquarters & Regional Offices	End of Calendar Year	7 Years	Destroy	
Tenders less than £20K	Headquarters & Regional Offices	End of contract period	7 Years	Destroy	
Testing of Electrical Items & Inspection	Headquarters & Regional Offices	End of Calendar Year	10 Years	Destroy	
Training	Headquarters & Regional Offices	End of Calendar Year	10 Years	Destroy	
Telephony	Headquarters & Regional Offices	End of calendar year	6 Years	Destroy	
Tenders	Headquarters & Regional Offices	End of contract period	7 years	Destroy	
Franking machine records	Headquarters & Regional Offices	Normal office procedures	5 years	Destroy	
Workplace Inspections	Headquarters & Regional Offices	End of Calendar Year	3 Years	Destroy	

Division: Corporate Services

Department: Information Technology

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
AGI meetings, conferences and general info.	GIS	Normal Office Management Procedures	None	Destroy	
BT SICTP Contract	Information Technology	End contract	20 years	Destroy	
Corporate GIS strategy	GIS	Normal Office Management Procedures	20 years	Destroy	
Invoices/ Software Requisition Forms relating to GIS Unit	GIS	Normal Office Management Procedures	20 years	Destroy	
Land Terrier Management System – project and technical documentation	GIS	At project end	5 Years	Destroy	
NI Mapping Agreement - NIHE and LPS regarding licensing of OSNI products for internal usage	GIS	Normal Office Management Procedures	20 years	Destroy	
Non-Strategic Partner payments	Information Technology	Normal office management procedures	6 years	Destroy	
PRAWL / Repairs contract (Originally ICL, now Fujitsu)	Information Technology	End contract	20 years	Destroy	
Project development, meetings, software applications and data relating to BT, HA Grounds Maintenance, L & P, Research, Rural Unit , NIGIS Strategy implementation	GIS	Normal Office Management Procedures	5 years	Destroy	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Reference Guide to GIS data purchased by NIHE and other data of interest to the GIS Unit	GIS	Normal Office Management Procedures	5 Years	Destroy	
Strategic Partner payments	Information Technology	End of BT contract	6 years	Destroy	
Strategic Partner Reconciliations	Information Technology	End of BT contract	6 years	Destroy	
Wheelchair Project	GIS	At project end	5 Years	Destroy	

Division: Corporate Services

Department: Legal Department

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Advice	Legal Dept	On completion	6 years	Destroy	
Board papers	Legal Dept	On completion	6 years	Review	
Building	Legal Dept	On completion	20 years	Destroy	
Cheque requisitions	Legal Dept	On completion	6 years	Destroy	
Conveyancing	Legal Dept	On completion	10 years	Destroy	
Counsels' opinion	Legal Dept	On completion	Permanent	Permanent preservation NIHE	
Debt	Legal Dept	On completion	6 years	Destroy	
Decrees	Legal Dept	On completion	6 years	Destroy	
Judgements	Legal Dept	On completion	6 years	Destroy	
Litigation (General)	Legal Dept	On completion	6 years	Destroy	
Orders	Legal Dept	On completion	6 years	Destroy	
Payments	Legal Dept	On completion	6 years	Destroy	
Personnel files	Legal Dept	On completion	6 years	Destroy	
P.L.I.C	Legal Dept	On completion	6 years	Destroy	
Policy documents	Legal Dept	On completion	5 years	Review	
Precedents	Legal Dept	On completion	20 years	Review	
Settlements	Legal Dept	On completion	6 years	Destroy	

Division: Corporate Services

Department: Human Resources

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Accident, Incident and Violent Reports	Health & Safety	Normal office management procedures (2 years)	3 years	Destroy	Reporting of Injuries, Diseases & Dangerous Occurrences Regulations 1995
BME Survey data	Equality Unit	Data collated and reported on	1 Year	Destroy	
Child Protection Referrals	Equality Unit	When Referred to Social Services	5 years	Destroy	
Communication Support requests and invoices	Equality Unit	Service Provided and Annual report	7 years	Destroy	
Consultation lists and records, Information requests, FOI etc.	Equality Unit	Annual Review	7 Years	Destroy	
Commissioner for Complaints	Human Resources	End of process	10 years	Destroy	
COSHH Assessments	Health & Safety	Keep open until file is reviewed/ updated.	50 Years	Destroy	
Data Reports, including waiting list, allocation, tenants and grants	Equality Unit	Annual Review	20 years	Destroy	
Disciplinary Cases	Human Resources	After Employment ceases	Until age 72	Destroy	
Equal Opportunities Files	Human Resources	End of process	6 years	Destroy	
Equality Reports	Equality Unit	When Written	7 Years	Destroy	
Grievance Cases	Human Resources	End of process	6 years	Destroy	
H&S Audits	Health & Safety	Management response	10 years	Destroy	
H&S Committee Papers/Minutes	Health & Safety	Normal office management procedures (2 years)	1 year	Destroy	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
H&S Manual	Health & Safety	Superseded	n/a	Retained permanently by NIHE	
H&S Training	Health & Safety	Normal office management procedures (2 years)	6 Years	Destroy	
Industrial Tribunals	Human Resources	End of process	6 years	Destroy	
Information Requests, FOI etc.	Equality Unit	When Written	3 Years	Destroy	
Personal Files - Permanent Employees	Human Resources	Employment ceases	Age 100 years	Destroy	
Personal Files - Temporary Employees	Human Resources	Employment ceases	Age 100 years	Destroy	
PETF	Human Resources	After course is completed	6 years	Destroy	
Promoting Social Inclusion (BSI) Reports	Equality Unit	On completion	3 years	Review	
Recruitment files	Recruitment Services	Final appointment made/reserve list expires	1 year	Destroy	
Risk Assessments	Health & Safety	Normal office management procedures (2 years)	5 years	Destroy	
Training Internal/External	Human Resources	End of recruitment process	6 years	Destroy	
Training Consultants	Human Resources	End of Training process	3 years	Destroy	
Welfare Files	Human Resources	Employment ceases	6 years	Destroy	

Division: Corporate Services

Department: Transformation

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Administration files	Efficiency Services / PMO	Superseded	2 years	Destroy	
Administration - PMO General	Programme Management Office	Superseded	5 years	Destroy	
Board and Committee papers	Programme Management Office	Implementation of business change	5 years	Destroy	
Business Improvement Project files (working papers, presentations and outcomes)	HB Project CSR Other BI Activity	CXBC Approval or Implementation completion	10 years	Review with view to destroy	
Departmental Reports	Programme Management Office	Actions completed	5 years	Destroy	
Departmental Staff Records	Programme Management Office	Termination of employment	1 year	Destroy	
Gateway Reviews	Programme Management Office	Completion of Recommendations and reporting as required to NIHE Board and DSD	10 YEARS	Destroy	
Grading files (individual) – working papers and outcomes	Efficiency Services	Superseded	5 years	Destroy	
Journey to Excellence, presentations, project files – working papers, strategies and outcomes	Transformation	Date of last activity after change implementation	6 years	Review with view to destroy	
PMO Guidance	Programme Management Office	Superseded	10 years	Destroy	
Procedures and guidance	Efficiency Services	Superseded	5 years	Destroy	

Record Description	Work Area	Closure Action	Retention Period	End Action	Legislation / Policy
Programme Management - High level strategies for business change	Programme Management Office	Implemented and held for Gateway Review	10 years	Destroy	
Project files - Assessment and analysis of workforce requirements	Efficiency Services	CXBC Approval or Implementation completion	10 years	Destroy	
Project Management - Detailed documents to manage, govern and report on projects	Programme Management Office	Implemented and held for Gateway Review	10 years	Destroy	
Social Housing Reform Programme presentations, project files – working papers and outcomes	Transformation	Date of last activity after change implementation	10 years	Review with view to destroy	
Staff files (Appraisal/Performance, grading/promotion, etc.)	Efficiency Services	Termination of employment	2 years	Destroy	
Structure Review files – working papers and outcomes	Efficiency Services	Superseded	10 years	Destroy	
Evidence (Site Visit reports, Submission documentation & Action Plans etc.)	Quality Submissions e.g. EFQM	Conclusion of Submission and Report	10 years	Review with view to destroy	
Subscription to Professional Membership	Programme Management Office	Transferred to NIHE Secretariat. Closed	5 years	Destroy	
Systems thinking Review files – working papers, presentations and outcomes	Transformation	Date of last activity after change implementation	6 years	Review with view to destroy	
Team Meetings	Programme Management Office	Actions Completed	5 years	Destroy	

Table of Acronyms

Acronym	Description
AGI	Association for Geographic Information
AP	Accounts Payable
APD	Adaptations for Persons with a Disability
AR	Accounts Receivable
ASB	Ant-social behaviour
ASPS	Area Supporting People Partnerships
BACS	Bank Automated Credit System
BCC	Belfast City Council
BME	Black Minority Ethnic
BRIC	Building Relationships in Communities
BT	British Telecommunications PLC
CCTV	Closed Circuit Television
CIPSS	Corporate Infrastructure Projects Infrastructure & Security
CIT	Construction Industry Taxation
COSHH	Control of Substances Hazardous to Health
COT	Commencement of tenancy repairs
CSU	Customer Service Unit
CXBC	Chief Executive's Business Committee
DIU	Divisional Inspection Unit
DLO	Direct Labour Organisation
DPA	Data Protection Act
D&PS	Design & Property Services
DS	Design Services
ECM	External Cyclical Maintenance
Efin	Finance computer system
EJO	Enforcement of Judgments Office
EPF	Exceptional Payment Form
EROS	Electronic Requisitioning of Services
ESF	Environmental System form
ESP	Environmental System Procedures
EU	European Union
FOI	Freedom of Information
GIS	Geographic Information System
GL	General Ledger
HA	Housing Association
HAG	Housing Association Grant
HB	Housing Benefit
HMA	Housing Management Assessment
HMO	House in Multiple Occupation
HNA	Housing Need Assessments
HMS	Housing Management System
HQ	Headquarters
H&R	Housing & Regeneration
HRAN	Housing & Regeneration Advice Note

HSENI	Health & Safety Executive Northern Ireland
ICT	Information & Communications Technology
IFI	International Fund for Ireland
IMS	Information Management System
ISB	Information Services Belfast
JPWG	Joint Party Working group
LAN	Local Area Network
LHA	Local Housing Allowance
LOC	Lock Out Crime
L&P	Land & Property
LPA	Lone Pensioner Allowance
MEI	Multi-Element Improvement
MIS	Management Information System
NIFHA	Northern Ireland Federation of Housing Associations
NIGIS	Northern Ireland Geographic Information System
NILGOSC	Northern Ireland Local Government Officers Superannuation Committee
OSNI	Ordnance Survey Northern Ireland
PETF	Post Entry Training Facility
PLIC	Public Liability Insurance Claim
PMQA	Performance Management & Quality Assessment
PRAWL	Property Record & Waiting List
PSI	Promoting Social Inclusion
PRG	Performance Review Group
PTC	Payments to customers
PSL	Private Sector Landlord
PTS	Payments to tenants
QAS	Quick Address System
RDA	Redevelopment Area
RESUS	Requisition of Supplies & Services
RIDDOR	Reporting of Injuries, Diseases & Dangerous Occurrences Regulations 1995
SASSP	South Area Supporting People Partnership
SEUPB	Special European Union Programme Body
SHDP	Social Housing Development Programme
SICTSP	Strategic Information & Communications Technology Services Partnership
SNMA	Special Needs Management Allowance
SO/WQ	Straightforward Order/Written Quotation
SP	Supporting People
SPED	Special Purchase of Evacuated Dwellings
SPIT	P33
SPOD	Small Pockets of Deprivation
SPQ&M	P32
TMS	Time Management System
URA	Urban Renewal Area

Northern Ireland Housing Executive Disposal and Retention Schedule

Prepared as required by the Public Records Act (Northern Ireland), 1923 and in accordance with the Rules made pursuant thereto, approved by Order in Council dated 20th January 1925.

Chief Executive

Director of Personnel and Management Services

POLICY AND PROCEDURES FOR HANDLING PERSONAL DATA UNDER THE GENERAL DATA PROTECTION REGULATION AND DATA PROTECTION ACT 2018

DATA PROTECTION

Policy Title:	Policy and Procedures for Handling Personal data under the General Data Protection Regulation and Data Protection Act 2018
Author(s):	David Mayers, DPO
Ownership:	Data Protection Team Policy applies to all Housing Executive Staff
Date Created:	13 August 2018
Approved by:	Board
Date Approved:	29 August 2018
Operational Date:	27 September 2018
Review Timeline:	Every 3 years or as required
Review Date:	29 May 2019
Next Review Date:	01 September 2021
Version Control:	Version 1.2
Replaces:	Procedures for Handling Personal Information under the Data Protection Act 1998
Explanation for Review:	The Housing Executive's Data Protection Policy was reviewed and updated to reflect recommendations outlined in the February 2019 audit.
Links to other NIHE Policies:	<u>Disposal of Records Schedule</u>
Key Words:	Data Protection; GDPR; Data Subject Rights (DSR); Subject Access Requests (SAR); Personal Information; Data Protection Officer (DPO); Information Commissioner's Office (ICO); Sharing Personal Information; Lawful Basis.

Version Record

Version No	Amendments Made	Authorisation
V1	N/A – Original Document	Board – 29/08/18
V1.1	Version Control Record included in document	DPO – 01/04/19
V1.2	<ul style="list-style-type: none">• Inclusion of a formal procedure for closing and archiving DSRs in cases where the individual does not validate their request by providing identification;• Inclusion of who may approve the release of data for departments in the absence of a Level 9 officer;• Inclusion of archiving procedure for closed requests.	DPO – 29/05/19

Contents

1.0	Scope	7
2.0	Data Protection Policy Statement	7
2.1	Introduction	7
2.2	General Data Protection Regulation (GDPR)	7
2.3	Purpose.....	8
2.4	The Housing Executive's Commitment to Data Protection.....	8
2.5	Contact.....	8
2.6	Resources.....	8
3.0	Governance: Roles and Responsibilities	8
3.1	Board, Chief Executive and the Directors	8
3.2	Data Protection Officer.....	9
3.3	Information Asset Owners.....	10
3.4	Data Subject Request Co-ordinators.....	11
3.5	Managers	11
3.6	All Staff.....	11
3.7	Information Commissioner	11
3.8	Information Commissioner's Office	12
4.0	Definitions	12
4.1	Personal data.....	12
4.2	Data Subject	13
4.3	Special Category Data	13
4.4	Data Controller	13
4.5	Joint Data Controller	14
4.6	Data Processor	14
4.7	Processing (In relation to personal data).....	14
4.8	Filing system	14
4.9	Redaction.....	14
4.10	Exempt data.....	15
5.0	GDPR Principles	15
5.1	Lawfulness, fairness and transparency.....	15
5.2	Purpose.....	15

5.3	Data minimisation.....	15
5.4	Accuracy	16
5.5	Storage	16
5.6	Security	16
6.0	Collecting personal data	16
6.1	Lawful basis	16
6.2	Special Category data.....	17
6.3	Consent.....	18
6.4	Withdrawing consent.....	18
6.5	Privacy Notice	19
6.6	Forms.....	19
6.7	Data Protection by Design and by Default	20
6.8	Data Protection Impact Assessments	20
6.9	Children.....	21
7.0	Retention and Disposal of Personal Data	21
7.1	Make retention/destruction decisions	21
8.0	Keeping personal data secure	22
8.1	User Security Policy	22
8.2	Store personal data securely	22
8.3	Transmit personal data securely	23
8.4	Retrieval of files from archive storage	23
8.5	Phone calls	24
8.6	Destroy information securely.....	24
8.7	Transfers Outside of the European Economic Area	25
8.8	Email	25
9.0	Sharing personal data with others	25
9.1	Data Sharing Agreements	26
10.0	Data Subject Rights	26
10.1	Right to be Informed.....	26
10.2	Right to Access	26
10.3	Right to Rectification	26
10.4	Right of Erasure	27
10.5	Right to Restrict Processing.....	27
10.6	Right to Object to Processing.....	27

10.7	Right to Appeal Automated Decision Making	28
10.8	Right to Data Portability	28
11.0	Data Subject Requests	29
11.1	Requests	29
11.2	Requests from members of staff or ex-employees	30
11.3	Confirming identity	30
11.4	Data subject representatives	30
11.5	Elected Representatives	31
11.6	Timeframe	32
11.7	Fees	33
11.8	Processing	33
11.9	Response Sign Off	34
11.10	Access to Third Party data	35
11.11	Response Format	35
11.12	Requests for large amounts of personal data	35
11.13	Manifestly unfounded or excessive	35
11.14	Editing	36
11.15	Redacting exempt or another individual's data	36
11.16	Potentially offensive or derogatory data	37
11.17	Requests to view or collect data at a Housing Executive office	37
11.18	Review	37
11.19	Archiving	38
12.0	Information Asset Register	38
13.0	Breaches	38
14.0	Contracts	39
15.0	Anonymisation and Pseudonymisation	40
15.1	Anonymisation	40
15.2	Pseudonymisation	40
16.0	Online Apps	40
17.0	Further information and advice	41
	Appendix 1: Glossary	42

1.0 Scope

The aim of the Policy and Procedures outlined in this document is to ensure compliance with the General Data Protection Regulation (GDPR) and the Data Protection Act (DPA) 2018. This policy applies to all staff undertaking duties on behalf of the Housing Executive and applies to personal data in any form; written, photographic or verbal.

2.0 Data Protection Policy Statement

2.1 Introduction

The Housing Executive is committed to carrying out its statutory functions and its role as an employer in a manner which respects and protects the privacy of an individual.

The Housing Executive collects, uses and retains information about our customers and stakeholders in our role as a data controller. We also receive general information and personal data about other individuals in the course of those dealings. These individuals are collectively called 'data subjects' and include Housing Executive staff, applicants for housing and renovation grants etc.

'Personal data' can be factual information, such as name and address, or expressions of opinion about or intentions towards individuals. It can occur in any format, for example, word documents, databases, spreadsheets, emails, CCTV, index cards, paper files and verbally i.e. during an interview or telephone call with a customer.

The policy applies throughout the life of the data, from collection to destruction or passed to PRONI for permanent preservation.

2.2 General Data Protection Regulation (GDPR)

GDPR (Regulation (EU) 2016/679) is applicable to all member states of the European Union (EU) since 25 May 2018. GDPR places a greater emphasis on accountability and being able to demonstrate that there are procedures in place to protect the personal data rights of all data subjects.

The DPA 2018 updates the UK data protection law and applies GDPR standards in domestic law. The DPA 2018 makes provision for how GDPR applies in the UK and covers additional areas outside GDPR such as law enforcement and immigration.

The Housing Executive's compliance with these data protection laws will be monitored by the Data Protection Officer (DPO) and supported by this policy.

2.3 Purpose

The purpose of this policy is to provide a framework to enable the Housing Executive to:

- a. Comply with GDPR and the DPA 2018 regarding personal data;
- b. Protect the rights of Housing Executive customers, service users, staff and other individuals;
- c. Protect the organisation and its officers from the consequences of a breach of its responsibilities;
- d. Follow good practice.

2.4 The Housing Executive's Commitment to Data Protection

The Housing Executive is committed to compliance GDPR and the DPA 2018. We treat this responsibility as a fundamental obligation and one that is in keeping with our role as the strategic housing authority for Northern Ireland.

As such, we endorse the data protection principles outlined in section 5.0 and expect our staff to take reasonable steps to ensure compliance with the data protection legislation and in particular to adhere to our data protection procedures as set out in this policy.

2.5 Contact

For data protection queries:

Data Protection Officer,
Legal Services,
Housing Centre,
2 Adelaide Street,
Belfast, BT2 8PB.

Email: dataprotection@nihe.gov.uk

Information Commissioner's Office (ICO) website: www.ico.org.uk.

2.6 Resources

Additional resources mentioned throughout this policy are available on the GDPR Gateway page.

3.0 Governance: Roles and Responsibilities

3.1 Board, Chief Executive and the Directors

The Board has overall responsibility for information governance, including data protection. The Chief Executive is responsible for assuring that all risks to data

protection and information security are effectively managed with overall responsibility for the management, review and implementation of this policy. Each Director has responsibility for ensuring and assuring compliance with this policy and the data protection laws within their functional areas.

3.2 Data Protection Officer

GDPR introduced a requirement for public bodies to appoint a Data Protection Officer (DPO) to monitor internal compliance, inform and advise on data protection obligations, provide advice regarding privacy by design and act as a point of contact for data subjects and the Information Commissioner's Office (ICO).

In accordance with GDPR the DPO remains independent at all times. This means the DPO cannot be instructed or directed as to "what result should be achieved, how to investigate a complaint or whether to consult the regulatory authority".

The task of the DPO to monitor the organisation's compliance with GDPR does not make the DPO individually liable for non-compliance by the organisation. The guidance from Europe states that organisations are free to ignore the advice of DPOs as they remain "responsible for compliance", but when doing so must document in writing the reasons for not following the advice. The DPO reports directly to the Chief Executive on matters arising out of his role.

The Data Protection Officer's duties include:

- a. Overall responsibility for ensuring that information threats and data security breaches are identified assessed and any personal data breaches managed;
- b. Informing the ICO of notifiable breaches within 72 hours of the organisation becoming aware of the breach;
- c. Providing information and advice to the organisation and its employees about their obligations to comply with data protection legislation;
- d. Providing advice (where requested) regarding Data Protection Impact Assessments (DPIAs) and monitor performance;
- e. Monitoring compliance with data protection legislation;
- f. Acting as a point of contact for and cooperating with the ICO;
- g. Monitoring prompt and appropriate responses to Data Subject Requests (DSRs);
- h. Maintaining and renewing the Housing Executive's registration with the ICO ensuring that it accurately reflects its data processing activities.

The Housing Executive is legally obliged to demonstrate its compliance with GDPR. The DPO will therefore report all data protection activity on a quarterly basis to the Audit and Risk Assurance Committee (ARAC).

3.3 Information Asset Owners

Assistant Directors have been appointed as Information Asset Owners (IAOs) and are listed in the corporate structure which can be found under the People & Organisation tab of Gateway.

IAOs are responsible for ensuring that information assets 'owned' by their functional areas are managed in line with this policy and relevant legislation.

The IAOs role has been expanded to facilitate compliance. Previously Assistant Directors were assigned as IAOs to electronic systems; this role now extends to include hard copy data i.e. paper files, both open or retained. Whilst this role has been designated to all level 9 post holders, the IAO may allocate associated activities to a nominated officer or officers to ensure compliance with GDPR and the DPA 2018.

The role of an IAO within their area(s) of responsibility is to:

- a. Ensure awareness and application of Data Protection Policy and Procedures;
- b. Ensure application of the Retention and Disposal Schedule;
- c. Ensure that all information assets are identified and the DPO is advised of any changes needed to ensure that the Information Asset Register is kept up to date;
- d. Ensure staff awareness and compliance with the breach notification procedure as outlined in section 13.0;
- e. Ensure a Data Protection Impact Assessment (DPIA) as outlined in section 6.8 is undertaken if there are changes to current projects or new processing requirements involving personal data;
- f. Ensure compliance with data security and the organisation's policies on clear desks, password security, encryption and security for removal of personal data for out-of-office working as outlined in section 8.0;
- g. Ensure all forms used to collect personal data are updated and include a reference to the organisation's Privacy Notice and are clear regarding the collection and use of personal data;
- h. Ensure all staff have completed GDPR e-learning for the first time and annually thereafter.

IAOs should liaise with the DPO if specific data protection guidance is required for their business functions. This may include specific operational procedures or training to ensure that data protection practice is established and followed.

3.4 Data Subject Request Co-ordinators

Officers who undertake the Data Subject Request co-ordinator (DSR co-ordinator) role, previously known as the Subject Access Request (SAR) co-ordinator role, are responsible for processing DSRs relating to any of the enhanced data rights.

3.5 Managers

All managers are required to ensure that they (and their staff) are aware of, understand and adhere to this policy and any associated procedures. They are responsible for ensuring that staff are informed and updated of any changes made to this policy. All managers must ensure that their staff undertake the data protection e-learning training and any training in information security which is specific to their role. Refresher training for all staff must be undertaken annually. Managers are responsible for ensuring that appropriate actions are taken following receipt of advice from the DPO.

3.6 All Staff

Staff (both contracted employees and agency workers) must be aware of, understand and adhere to this policy. All staff have a responsibility for data protection and are required to complete any associated training and confirm their acceptance of the Housing Executive's IT Security Policy before accessing any systems containing personal data.

All staff must:

- a. Understand the main concepts of data protection legislation, the six GDPR principles, special category data and the need for lawful bases for processing personal data;
- b. Be aware of and know the applicable lawful bases for processing personal data within their area of work;
- c. Identify and report any risks to the security of personal data processed by the Housing Executive to the DPO or to their Line Manager (who will notify the DPO and the relevant IAO);
- d. Assist customers to understand their rights and the Housing Executive's responsibilities regarding data protection;
- e. Identify and forward any Data Subject Requests (DSRs) to dataprotection@nihe.gov.uk . DPO to monitor DSRs in accordance with the process set out in this policy.

3.7 Information Commissioner

The Information Commissioner is an independent official who reports directly to Parliament.

3.8 Information Commissioner's Office

The Information Commissioner's Office (ICO) is an independent authority in the UK that promotes openness of official information and protection of private information. The ICO does this by promoting good practice, ruling on eligible complaints, providing information to individuals and organisations, and taking appropriate action against breaches of data protection legislation.

The ICO oversees:

- a. The Data Protection Act (DPA) 2018;
- b. The Freedom of Information Act 2000;
- c. The Environmental Information Regulations 2004;
- d. The Privacy and Electronic Communications Regulations 2003;
- e. The General Data Protection Regulation (GDPR).

The ICO can exercise the following regulatory powers:

- a. Enforcement Notice
Notice served by the Information Commissioner to compel a data controller to take a specific course of action in relation to the processing of data.
- b. Assessment Notice
This relates to the powers for the ICO to conduct a compulsory audit.
- c. Information Notice
This is a requirement from ICO to provide information for an investigation.
- d. Monetary penalty
The ICO can impose monetary penalties up to 4% of annual turnover or £17m, whichever is greater.

4.0 Definitions

4.1 Personal data

Personal data is anything that identifies or relates to a living person either by itself or when put together with other information.

This includes:

- a. The names and other details of tenants, grant applicants, housing benefit claimants, housing applicants, homelessness applicants, employees, and other individuals with whom we do business;
- b. The names and other details of those who correspond with us or provide details during telephone calls;

- c. Information about contractors and suppliers of goods and services;
- d. Information held by managers about their staff, such as performance management information;
- e. Word processed documents, spreadsheets and databases which contain personal details such as names and addresses;
- f. Emails, where either the person sending or receiving is identifiable or the contents refer to identifiable people.

Collectively this personal information is known as 'personal data'. The information is generally held in computer systems such as HMS, I-world (Housing Benefit), Payroll and PSMS (Grants), Outlook mailboxes and a range of other local specific databases 'owned' by Departments.

4.2 Data Subject

The data subject is the person to which the personal data relates. This includes Housing Executive customers, their partners, dependants and Housing Executive staff. All references to the data subject should be understood to mean the data subject or their legal representative.

4.3 Special Category Data

Special category data under GDPR and the DPA 2018 is broadly similar to sensitive personal data under the Data Protection Act (DPA) 1998. It is personal data which is considered more sensitive and needs further protection. In particular, this type of data could create significant risks to a person's fundamental rights and freedoms, for example, by putting a person at risk of unlawful discrimination. See section 6.2 for more detailed information.

Examples of special category data include information about an individual's:

- a. Race or ethnic origin;
- b. Political opinions;
- c. Religious beliefs or other beliefs of a similar nature;
- d. Trade union membership;
- e. Physical or mental health;
- f. Sex life or sexual orientation.

Note: Personal data relating to criminal convictions or related security measures is processed by other provisions outside special category data.

4.4 Data Controller

The data controller determines the purposes, conditions and means of the processing of personal data. The Housing Executive is a data controller in most

instances. However, circumstances could arise where the Housing Executive may also be a data processor.

4.5 Joint Data Controller

Where two or more controllers jointly determine the purposes, conditions and means of processing.

4.6 Data Processor

A data processor processes personal data on behalf of the data controller, for example:

- a. Companies or contractors who carry out maintenance and improvement contracts;
- b. Belfast City Council who process data on behalf of the Housing Executive for Housing Benefit purposes.

A list of who we share information with is available via the following link:

[Who we share data with](#)

This is not an exhaustive list and may be subject to change.

4.7 Processing (In relation to personal data)

Processing is defined as collecting, recording or holding personal data or performing any operation or set of operations on personal data, including:

- a. Accessing or viewing data;
- b. Organisation, adaptation or alteration of the data;
- c. Retrieval, consultation or use of the data;
- d. Disclosure of the data by transmission, dissemination or otherwise making available;
- e. Alignment, combination, blocking, erasure or destruction of the data.

4.8 Filing system

This is any structured or unstructured set of personal data which is accessible according to specific criteria.

4.9 Redaction

The removal of data that is exempt from disclosure by whatever means is required, for example, electronic redaction or using a redaction pen on both sides of the paper on a photocopy of the original document. The original document must not be altered in any way.

4.10 Exempt data

Certain data, which can be legally withheld when responding to a DSR and which relates to:

- a. National security, defence, public security;
- b. Prevention, investigation, detection or prosecution of a criminal offence;
- c. Public interest, economic or financial interests.

Any queries regarding GDPR Derogations or DPA 2018 Exemptions should be referred to the DPO for advice.

5.0 *GDPR Principles*

The Housing Executive must follow the six GDPR principles when processing personal data i.e. when it is being collected, used and stored. The law demands that compliance with those principles can be demonstrated. This is key to the Housing Executive being able to demonstrate accountability for the processing of personal data. It is therefore essential that all processing of personal data complies with the six GDPR principles listed below:

5.1 **Lawfulness, fairness and transparency**

Personal data should be processed lawfully, fairly and in a transparent manner in relation to individuals.

This requires openness and honesty in all processing activities. It is important to be transparent when acquiring personal data from people. Individuals have the legal right to be informed about the collection and use of their data. This is done through the organisation's Privacy Notice. See section 6.1 on Lawful Basis for further information.

5.2 **Purpose**

Personal data should be collected for specified and legitimate purposes and not further processed outside the intended purpose.

5.3 **Data minimisation**

Personal data should be adequate, relevant and limited to what is necessary in relation to the purpose.

When collecting personal data the purpose for which it is to be used should be clear and only personal data necessary to achieve that purpose should be collected. A record of that decision should be kept. Do not collect irrelevant information simply because it might be useful at some point in the future. Consider whether pseudonymised or anonymised information would achieve the same result as information with a name attached.

5.4 Accuracy

Personal data should be accurate and where necessary, kept up to date. Reasonable steps should be taken to ensure that inaccurate personal data is rectified without delay.

When creating file notes, comments about individuals should be based on recorded facts and defensible as accurate if challenged. Whenever writing anything about individuals, it is important to be professional. Individuals have a right to ask to see what is written about them.

5.5 Storage

Personal data should be kept in a form which permits identification of data subjects for no longer than is necessary for the purposes for which the personal data has been processed. Records must be disposed of in line with the Housing Executive's Disposal of Records Schedule.

Personal data may be stored for longer periods where it will be processed solely for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes. Staff should ensure that this data is safeguarded in line with this policy and IT Security.

5.6 Security

Appropriate measures should be put in place to protect the confidentiality and integrity of personal data. This includes protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate technical and organisational measures.

6.0 *Collecting personal data*

Personal data obtained, created and held by Housing Executive staff as a result of their work are part of our corporate records. These records are subject to the procedures and business rules governing the management of records outlined in our Records Management Handbook which can be found on the GDPR Gateway page.

6.1 Lawful basis

The first GDPR principle, that processing of personal data must be lawful, requires the Housing Executive to ensure that processing is being carried out on a lawful basis. If the processing is unlawful an individual will have the right to have that data erased. GDPR and the DPA 2018 set out the six lawful bases for processing which are summarised below:

Consent	The individual has freely given clear consent to process their personal data for a specified purpose.
Contract	Processing is necessary for a contract with an individual.
Legal Obligation	Processing is necessary to comply with the law.
Vital Interests	Processing is necessary to protect someone's life
Public Task	Processing is necessary to perform a task in the public interest, for official functions and the task or function has a clear basis in law.
Legitimate Interests	Processing is necessary for legitimate interests unless there is a good reason to protect the individual's personal data which overrides those legitimate interests.

Public Task or Legal Obligation may be used where processing is necessary to comply with relevant legislation. If either Public Task or Legal Obligation are not appropriate lawful bases, the other lawful bases should be considered.

When processing is necessary for the performance of any of the Housing Executive's statutory functions (which includes duties and powers) the appropriate lawful basis is considered Public Task. If the processing can be linked to any of the Housing Executive's statutory functions, then it can be reasonably assumed that the processing is justified on the grounds of Public Task. Where processing is necessary for the Housing Executive to comply with the law, the lawful basis of Legal Obligation may be appropriate. Where Public Task or Legal Obligation are the most appropriate lawful bases, consent should not be used.

As a public body the Housing Executive has limited scope to rely upon Legitimate Interest, which will not apply where Public Task is applicable. Legitimate Interest may apply to our role as an employer e.g. HR functions.

If a lawful basis cannot be established, the DPO should be contacted for advice before commencing processing.

6.2 Special Category data

To process special category data (previously known as sensitive data) at least one of the conditions below must be satisfied (GDPR Article 9(2)). When considering this it is important to understand that it does not have to be the same as that used for the lawful basis. For example, if consent is used as the lawful basis for processing, this does not restrict the choice of the condition for the special category processing to that of explicit consent.

The conditions are:

- a. The data subject gives explicit consent to the processing;
- b. It is necessary for the purposes of carrying out the obligations and exercising specific rights;
- c. It is necessary to protect the vital interests of the data subject or of another natural person incapable of giving consent;
- d. It is carried out in the course of its legitimate activities;
- e. It relates to personal data which are manifestly made public by the data subject;
- f. It is necessary for the establishment, exercise or defence of legal claims;
- g. It is necessary for reasons of substantial public interest;
- h. It is necessary for the purposes of preventive or occupational medicine;
- i. It is necessary for reasons of public interest in the area of public health;
- j. It is necessary for archiving purposes in the public interest, scientific or historical research purposes or statistical.

The condition used will depend on the purpose and reasons for processing the personal data. Advice should be sought from the DPO where there is any uncertainty regarding the appropriate condition for processing.

6.3 Consent

Consent is a freely given, specific and informed indication of the data subject's wishes, by which he or she signifies agreement to the processing of their personal data. Consent must be clear and concise and separate from the organisation's terms and conditions.

Consent should be used as a last resort where no other lawful basis for processing applies. To be valid, the consent must be freely given. If there is a clear imbalance of power between the controller requesting consent and the data subject, it is likely that the consent will not be valid. If an individual, dependent on any of our services could fear adverse consequences, they might feel they have no choice but to agree and as such, consent would not be considered to be freely given.

If consent is being considered as a lawful basis, please contact the DPO via dataprotection@nihe.gov.uk.

6.4 Withdrawing consent

Requests to withdraw consent including full details of the processing to which it relates must be sent to dataprotection@nihe.gov.uk or by post to:

DPO, 4th Floor, Legal Services, Housing Centre, 2 Adelaide Street, Belfast BT2 8PB.

The DPO will assess the request and advise staff on the actions to take with immediate effect. The requestor will be informed of the outcome using the template letters.

6.5 Privacy Notice

The Privacy Notice **must** be made available **at the point of data collection**.

The privacy notice informs people of:

- a. Who is collecting personal data i.e. the identity of the controller, noted as 'The Housing Executive';
- b. What data is being collected;
- c. How it is being collected;
- d. Why it is being collected;
- e. How it will be used;
- f. Who it will be shared with.

To comply with the transparency requirement it is vital that data subjects understand the content of the Privacy Notice at the point of data collection.

A copy of the organisations Privacy Notice can be found through the GDPR Gateway page or via the Housing Executive webpage via the following links:

[NIHE Privacy Notice](#)

[NIHE Privacy Notice for Staff \(HR\)](#)

6.6 Forms

The DPA 2018 outlines that the Privacy Notice must be easily understandable and in a prominent position to be seen. Please use the following format as a guide to ensuring forms are compliant with GDPR and the DPA 2018:

What we do with your information

You have applied to the Housing Executive to

The Housing Executive in processing your application is using the lawful basis ofPublic Task/Contract/ Legal Obligation, etc.

The Housing Executive requires the information to process your application to

To find out more information about how we use your personal data and your personal data rights you can view the full version of our Privacy Notice at:

www.nihe.gov.uk/privacy_notice

Sharing your information with others

We will share your information with.....

Your information may also be shared with others for statistical analysis and fraud prevention/detection. Your information is only shared where this is necessary to comply with our legal obligations or as permitted by General Data Protection Regulation or Data Protection Act 2018.

Your Rights

Within certain limitations, you are entitled to view, request a copy, amend, delete, object to or restrict processing of your information.

We will retain your information in line with the Housing Executive's Retention Policy.

To discuss any aspect of making forms compliant please email dataprotection@nihe.gov.uk for further advice.

6.7 Data Protection by Design and by Default

Privacy and data protection are a key consideration in the early stages of any project and continues throughout the project's lifecycle. This enables the organisation to meet its legal obligations. For example, when:

- a. Building new IT systems for storing or accessing personal data;
- b. Developing policy or strategies that have privacy implications;
- c. Embarking on a data sharing initiative; or
- d. Using data for new purposes.

6.8 Data Protection Impact Assessments

A Data Protection Impact Assessment (DPIA) should be carried out when commencing a new project, specifically the implementation of new technologies, a change in processing activities or where the processing is likely to result in a high risk to an individual's data rights. The DPIA screening questions will determine if a DPIA is required.

Areas of high risk include, large scale processing of special category data or personal data in relation to criminal convictions or offences, profiling, decisions which have legal or significant effects on individuals and large scale monitoring of public areas (CCTV).

A DPIA includes the following:

- a. Description of the processing operations and purposes;

- b. Assessment of necessity and scale of the processing in relation to its purpose;
- c. Assessment of risk to individuals;
- d. Measures in place to address risk i.e. security and the need to demonstrate compliance and privacy solutions;
- e. Sign off and record DPIA outcomes;
- f. Integrate DPIA outcomes into project plan.

The DPO cannot complete a DPIA, but will be available in an advisory capacity for any business units considering a new project. The DPIA template is available on the GDPR Gateway page.

Templates should be completed and forwarded to dataprotection@nihe.gov.uk for review by the DPO.

This is a vital process as all changes must be reflected in the relevant Privacy Notice, Information Asset Register and Lawful Basis map.

6.9 Children

Under GDPR, where Information Society Services (most internet services but not preventative or counselling services) are offered directly to children and consent is the lawful basis, parental consent must be obtained. Under the DPA 2018 parental consent must be obtained for children under 13 years of age.

Housing Executive does not provide Information Society Services i.e. online services, to children.

The requirements concerning parental or guardian consent responsibilities could be relevant to third parties with whom personal data is shared but not in the context of preventative or counselling services.

7.0 *Retention and Disposal of Personal Data*

It is the responsibility of each member of staff to ensure that corporate records are managed in line with the Housing Executive's Disposal of Records Schedule.

7.1 Make retention/destruction decisions

As a general rule, unless documents are being retained as part of the corporate record, or there is a specific reason for keeping them they should be destroyed or deleted when they are no longer needed for the purpose for which they were obtained in line with the Housing Executive's Disposal of Records Schedule.

This includes electronic records and emails in personal drives or shared mailboxes, which should either be filed in the Housing Executive's Records Management

System or deleted. It is particularly important that emails containing special category data, for example information about someone's health, are not kept in mailboxes indefinitely.

Note: currently emails which are over 3 months old are deleted automatically.

If personal data is being kept for the corporate record, make sure it is included in the Disposal of Records Schedule agreed with the [REDACTED] and that it is destroyed in accordance with normal application of such schedules.

[Guide to Implementing the Disposal Schedule](#)
[Disposal of Records Schedule](#)

8.0 Keeping personal data secure

This section highlights key organisational guidance which aids compliance with the GDPR Article 5(f) principle on security.

8.1 User Security Policy

The User Security Policy defines the Housing Executive's policy for the security of its information assets and the Information Technology (IT) systems processing this information.

The Housing Executive's User Security Policy applies to:

- a. All Housing Executive staff;
- b. The staff and agents of other organisations (external to the Housing Executive) who directly or indirectly have been given permission to utilise Housing Executive IT systems or its information resources and have access to Housing Executive's IT Services or its information assets.

The Housing Executive Guide to Physical, Document and IT Security covers:

- a. All Housing Executive information assets and supporting IT systems (including PCs) whether connected to a network or not;
- b. The Housing Executive network itself;
- c. All single and multiprocessing systems;
- d. Third party services.

[NIHE Guide to Physical, Document and IT Security](#)

8.2 Store personal data securely

It is important that personal data is stored securely and access restricted to only those with a need or right to see it. This is particularly the case if special category data is involved, or sets of information about a number of people.

Care should be taken to ensure that personal data is not disclosed either verbally or in writing, whether accidentally or not, to any unauthorised third party and in particular, by taking the following measures:

- a. Not leaving paper copies of personal data where anyone else can access them. Keeping manual personal records locked away securely;
- b. Not leaving a computer unattended without locking it;
- c. If the personal data is filed in the Housing Executive's Records Management System, setting access controls so that it can be accessed only by those with a need and a right to see it;
- d. If the personal data is held outside the Housing Executive's Records Management System, using passwords to secure it.
- e. Being mindful during discussion, interview, meeting or telephone call with a client not to tell them anything about another person unless there is a clear lawful basis for doing so.

8.3 Transmit personal data securely

Ensure that transmission of information, whether internally or externally, is done with a level of security appropriate to the nature of the information.

If the information is being transmitted within the Housing Executive by physical means, such as in an envelope, the envelope should be sealed and where possible the recipient alerted to the fact that it has been despatched. If it is being transmitted by email, ensure the email is marked with appropriate protective marking.

If special category data is being transmitted externally by electronic means e.g. to a contractor or other public body, the following rules apply:

- a. Ensure the transmission has been approved by the IAO;
- b. Use technical means such as encryption for transmission;
- c. If a password is required, send it separately.

See the Housing Executive's [Out of Office Security Policy](#) for further guidance on the handling of personal data and other sensitive information when outside the office.

8.4 Retrieval of files from archive storage

Files held in archive storage containing personal data, or other business sensitive information, should be managed in a way that restricts access only to those individuals who are properly authorised to do so.

When requesting retrieval of files containing sensitive information, care should be taken to ensure that, once the files are delivered from storage, they are delivered promptly to the individual officer who made the request. If it is not possible to deliver them immediately (for example the requesting officer is out of the office), the files should be held in a secure area (e.g. locked cabinet, office or store room) until such time as they can be delivered to the appropriate officer.

The onus is, therefore, on the owner of the files (in this case the requestor) to ensure that appropriate arrangements are in place for the secure handling of the files from the point when they are delivered until they are returned to archive storage e.g. If the files contain personal data or special category data, they are delivered to a designated recipient.

8.5 Phone calls

Phone calls can lead to unauthorised use or disclosure of personal data, for example, by the caller pretending to be the data subject. The following precautions should be taken:

- a. Staff must ensure they are confident of the caller's identity and their right to that personal data. If their identity cannot be satisfactorily confirmed, the personal data should not be disclosed ;
- b. If a phone call requires authorised disclosure of personal data but in circumstances that would lead a member of the public to overhear, where practical alternative arrangements should be made, for example, moving to another location, to continue the phone call.

It should be noted that the above rules only apply to enquiries relating to personal data of a routine nature e.g. a tenant making enquiries about rent payments etc. All other requests for disclosure of personal data should be treated as DSRs and should be documented by staff in writing. If in doubt, advice should be sought from the DPO.

8.6 Destroy information securely

When deleting information held electronically, ensure that it is removed from the recycle bin. Destroy paper based personal data only under secure conditions either shred it or use a confidential waste bag. Further advice on this is available from the relevant [REDACTED].

Further advice will be communicated regarding the deletion of records held on the Housing Executive's Records Management System and business function software systems.

8.7 Transfers Outside of the European Economic Area

The Housing Executive, except in response to a Subject Access Request (SAR), do not transfer personal data outside the European Economic Area (EU countries, Iceland, Liechtenstein and Norway) unless (i) the data subject has given consent or (ii) a contract is in place which provides equivalent protection of the rights of data subjects.

8.8 Email

Emails, both incoming and outgoing, are covered by GDPR and the DPA 2018 if one or other of the following criteria is met:

- a. the sender or recipient is identifiable, either through their email address or the text of the email;
- b. The text of the email contains personal data, i.e. facts, opinions or intentions about identifiable living individuals.

Under the DPA 2018, emails in personal mailboxes (including deleted items), emails saved into the Housing Executive's Records Management System and emails placed on paper files that fall within the definition of a relevant filing system are liable for disclosure in response to a DSR. Copies of deleted emails held on back-up systems may also be liable for disclosure.

9.0 *Sharing personal data with others*

This section explains precautions to take if sharing personal data with another person or organisation.

Do not share personal data with anyone outside the Housing Executive without having first obtained approval from the relevant Assistant Director, Regional Manager or other Level 9 post holder, unless through existing approved data sharing arrangements.

If personal data is being passed to someone outside the Housing Executive, follow the guidance below and keep a record of the following:

- a. Sufficient details of the information for it to be clearly identifiable subsequently;
- b. The name of the person who has authorised it;
- c. Details of whom it has been sent;
- d. The date on which it was sent;
- e. The means used to send it e.g. encrypted email.

The guidance above is suitable for situations where the information sharing relates to a single individual or small numbers of individuals in a one-off situation.

If considering sharing information on a larger scale, or smaller amounts of data but on a regular basis this process should generally be managed through a Data Sharing Agreement; the following section gives guidance in this area.

9.1 Data Sharing Agreements

A Data Sharing Agreement (DSA) provides a framework to ensure that the sharing of personal data between the Housing Executive and participating agencies, bodies, groups and organisations is compliant with GDPR principles. Business units considering entering into new data sharing arrangements and those currently sharing data should formalise such information sharing through a DSA unless there are sound reasons for not doing so, for example, the sharing is not of a recurring nature but a one off event.

IAOs must ensure that all DSAs are registered with the DPO who will maintain a central register. The IAOs must also ensure that the DPO is advised of any changes to the current provisions.

The need for a DSA will be included in the DPIA to be completed upon commencement of any relevant new projects.

Advice and guidance on setting up a new data sharing agreement can be sought from the DPO.

10.0 Data Subject Rights

GDPR provides increased rights for individuals. There are eight rights which are outlined below.

A copy of the data rights leaflet can also be found on the GDPR Gateway page.

10.1 Right to be Informed

Data subjects have the right to be informed of the collection and use of their personal data. This has been addressed through the 'Privacy Notice' (see Section 6.5) and 'Forms' (Section 6.6).

10.2 Right to Access

Individuals have the right to access their personal data and supplementary information. This is commonly known as a SAR. This right of access allows individuals to be aware of and verify the lawfulness of the processing.

10.3 Right to Rectification

GDPR gives individuals the right to have personal data rectified if it is inaccurate or incomplete.

Where action is not being taken in response to a request for rectification, the individual must be given a written explanation which must also inform them of their right to complain to the ICO and to a judicial remedy.

10.4 Right of Erasure

The right to erasure is also known as ‘the right to be forgotten’. The broad principle underpinning this right is to enable an individual to request the deletion or removal of personal data where there is no compelling reason for its continued processing.

This is not an absolute right nor is it limited to processing that causes unwarranted and substantial damage or distress. However, if the processing does cause damage or distress, this is likely to make the case for erasure stronger.

A request for erasure can be refused where the personal data is processed for the following reasons:

- a. To exercise the right of freedom of expression and information;
- b. To comply with a legal obligation for the performance of a public interest task or exercise of official authority;
- c. For public health purposes in the public interest;
- d. Archiving purposes in the public interest, scientific research historical research or statistical purposes;
- e. The exercise or defence of legal claims.

Where data has been shared for further processing, each recipient (i.e. a processor) must be contacted and informed of the erasure of the personal data unless this proves impossible or involves disproportionate effort. In this instance, individuals must be informed about these recipients.

10.5 Right to Restrict Processing

Individuals have a right to restrict processing of personal data. When processing is restricted, storage of the personal data is permitted but it is not to be processed any further. However, sufficient information should be retained about the individual to ensure that the restriction is respected in the future.

10.6 Right to Object to Processing

Individuals must be informed of their right to object ‘at the point of first communication’ which is outlined in the Housing Executive’s Privacy Notice.

Individuals have the right to object to:

- a. Processing based on legitimate interests or the performance of a task in the public interest or exercise of official authority (including profiling);

- b. Direct marketing (including profiling);
- c. Processing for purposes of scientific or historical research and statistics.

The objection must be on 'grounds relating to his or her particular situation'.

Processing must cease unless:

- a. There are compelling legitimate grounds for the processing, which override the interests, rights and freedoms of the individual (which must be recorded);
- b. The processing is for the establishment, exercise or defence of legal claims.

Upon receiving a request, further processing must be restricted whilst the objection request is under review. Where the objection request is upheld any further processing must be restricted.

10.7 Right to Appeal Automated Decision Making

Data subjects have the right to ask if automated decision making is taking place and to challenge that process. At present automated decision making only occurs through the Automated Transfer to Local Authority Systems (ATLAS) reports in Housing Benefit. The organisation has controls in place which ensure Housing Benefit staff review all automated decisions which can result in a retrospective change in the award of Housing Benefit. Claimants are informed of all decisions which result in a change to their Housing Benefit award. At present 20% of all automated decisions are reviewed by a member of staff.

10.8 Right to Data Portability

The right to data portability allows individuals to obtain and reuse their personal data for their own purposes across different services. It allows them to move, copy or transfer personal data easily from one IT environment to another in a safe and secure way, without hindrance to usability.

This right only applies to the personal data an individual has provided to a controller where processing is based on consent, explicit consent or under a contract and by automated means. As the Housing Executive works primarily under the lawful basis of public task, this right is unlikely to be engaged.

At present the Housing Executive is unable to provide for data portability but will review this process through Data Protection by Design and Default processes in future.

11.0 Data Subject Requests

11.1 Requests

An individual (this includes members of staff) can make a DSR to **any member of staff either verbally or in writing**, including social media. The request should clearly indicate that it relates to an individual's own personal data, it does not have to include the following phrases to be considered as a DSR:

- a. GDPR;
- b. Data Protection Act 2018;
- c. Subject Access Request;
- d. Data Subject Request.

Where a request has been made verbally or via social media (this includes requests by staff members), staff should record the details of the request on the DSR form and complete the 'for Housing Executive use only' box. Staff should check with the requestor that they have understood their request, as this can help avoid later disputes about how you have interpreted the request. The request should be scanned and forwarded to dataprotection@nihe.gov.uk.

Where a requestor has highlighted an accessibility issue, staff should note the accessibility issue so that the response can be delivered to the requestor in a suitable form, if possible. DSR co-ordinators should contact the Equality Unit to ensure that further communication will be in a suitable format to accommodate the requestor through the Communication Support Policy.

A data subject may request any or all of the following:

- a. Manual records;
- b. Information held on computer including email;
- c. Taped conversations or their transcripts;
- d. Still photographs;
- e. Any other media;
- f. Request for data held on Close Circuit Television (CCTV) or audiotape.

Should a data subject request data from either CCTV or taped conversations; seek advice from the administrator of the CCTV system (usually the local office manager where the CCTV is sited).

A copy of the request should be scanned and emailed to dataprotection@nihe.gov.uk.

11.2 Requests from members of staff or ex-employees

Members of staff or ex-employees of the Housing Executive have the same rights under GDPR as members of the general public and data can be held on them both in their capacity as employees and as customers of the Housing Executive.

DSRs from staff or ex-employees requesting personnel details should be forwarded to dataprotection@nihe.gov.uk.

11.3 Confirming identity

The Housing Executive as a data controller is only obliged to respond to a request where the data subject supplies sufficient information to enable identification of the:

- a. Person making the request;
- b. Information requested.

Access will normally only be given to:

- a. The data subject;
- b. Someone authorised by the data subject (in writing) to receive the data;
- c. An elected representative who is acting on behalf of the data subject.

It is the responsibility of the DSR co-ordinator (or the business unit receiving the request) to establish the identity of the person making a DSR. This is necessary to prevent an unauthorised disclosure of personal data.

Where a request is made by email, it is particularly important to establish the identity of the person making the request. Such information can, if considered appropriate, be obtained by telephone, so long as whatever questions are asked would provide sufficient confirmation.

Where an individual does not validate their request by providing evidence of their identity within 1 month of their initial request, the request will be closed and archived by the Data Protection Team on the DSR database. If an individual contacts the Housing Executive with their identification after their request has been closed, a new DSR request will be required and should be recorded as a new record on the DSR database.

11.4 Data subject representatives

A data subject can nominate a representative to act on their behalf. Disclosure of personal data to a representative should only be made where the consent of the data subject has been given, unless the representative is legally empowered to act on behalf of the data subject or is an elected representative (e.g. MP, MLA councillor or MEP) in their authorised capacity or role.

If there is any doubt about whether the representative is who they say they are, or whether consent is valid, data should not be disclosed. In all cases a decision must be made on an individual basis.

There are certain representatives who are legally empowered to act on behalf of a data subject, for example, a person given Power of Attorney (by a court or by the data subject themselves) deals with all aspects of the data subject's affairs. If this is the case, staff should request a copy of the relevant documentation or available evidence so that they may disclose any data to that representative that could normally be given to the data subject.

Data cannot be disclosed to someone just because they work for a representative group such as the Citizen's Advice Bureau (CAB) or welfare rights groups unless the customer has consented. A written form of authority or consent must be provided prior to release of personal data.

Before disclosing data to anyone other than the data subject, staff must be satisfied that the representative is:

- a. Who they say they are;
- b. Either acting with the consent of the data subject or has been appointed by a government department or a court to act for the data subject.

11.5 Elected Representatives

Elected representatives include MP's, MLA's, MEP's and Councillors. An elected representative or a person acting with their authority (e.g. an MP's personal assistant) may contact the Housing Executive to request personal data on behalf of an individual. Requests for information from elected representatives are usually routine queries regarding repairs, housing applications etc. If the disclosure of personal data, including special category data is considered relevant and necessary regarding such a request, the Housing Executive can disclose personal data to respond to the request without insisting upon evidence such as the individual's consent or formal assurance from the elected representative that that is the case.

If there is doubt about whether the personal data to be disclosed in response to the request is relevant and/or necessary or it is not a routine query, consent may be required from the individual or further evidence from the elected representative to provide the Housing Executive with a lawful basis for disclosing the personal data.

Where requests involve personal data relating to criminal convictions and offences, additional conditions need to be met for disclosure (GDPR Article 10). The DPO should be contacted for further advice.

If an elected representative requests personal data from the Housing Executive on behalf of someone other than the data subject that personal data can only be disclosed if:

- a. In the circumstances, the data subject cannot give consent to the processing;
- b. In the circumstances, the elected representative cannot reasonably be expected to obtain the data subjects consent to the processing;
- c. Obtaining the data subjects consent would prejudice the action taken by the elected representative;
- d. The processing is necessary in the interests of another individual and the data subject unreasonably withholds consent.

For any disclosure of personal data to an elected representative, the decision and criteria used should be recorded.

11.6 Timeframe

Requests should be responded to without delay and at the latest within **one month of receipt**. This timeframe commences once staff are satisfied with the requestor's identity.

The time limit should be calculated from the **day after** the request has been received (whether the day after is a working day or not) until the corresponding calendar date in the next month.

***Example:** An organisation receives a request on 3 September. The time limit will start from the next day (4 September). This gives the organisation until 4 October to comply with the request.*

If this is not possible because the following month is shorter (and there is no corresponding calendar date), the date for response is the last day of the following month. If the corresponding date falls on a weekend or a public holiday, the date for response is the end of the next working day. This means that the exact number of days available to comply with a request varies, depending on the month in which the request was made.

It may be possible to extend the timeframe for response by a further **two months** where requests are complex or a number of requests have been received from the individual. If this is the case, the DSR co-ordinator should discuss the matter with the DPO. This should be done as soon as possible as the individual must be informed of the extension within one month of the receipt of the request with an explanation why it is necessary. The extension letter must be uploaded onto the DSR database.

11.7 Fees

The **first copy** of the information must be provided **free of charge**.

However, a reasonable fee can be charged where a request is manifestly unfounded or excessive, particularly if it is repetitive. A reasonable fee may also be charged where requests for further copies of the same information are received.

This does not mean that a fee can be charged for all subsequent access requests.

The fee **must be based on the administrative cost of providing the information**.

For requests where a reasonable fee may apply, please contact the DPO on dataprotection@nihe.gov.uk to discuss the request.

11.8 Processing

DSRs will be centrally maintained on a DSR database, with oversight by the DPO.

The DSR co-ordinators have the responsibility of:

- a. Acknowledging the request;
- b. Requesting proof of identify (if applicable);
- c. Clarifying the request (if applicable).

When the DSR co-ordinator is satisfied the request is valid they must update the DSR database with the relevant information and must respond within one month of receipt of the valid request.

To process a DSR:

- a. Review that the request is a DSR and not a Freedom of Information request or routine business query (divert where appropriate);

Requests received by staff members

- b. For hard copy requests, date stamp the request when received, scan the request and forward to dataprotection@nihe.gov.uk ;
- c. For requests received by email or via the webpage, forward the request to dataprotection@nihe.gov.uk .

Requests received by DSR co-ordinators

- d. For requests received by post, date stamp and scan the request and upload to the DSR database.
- e. For requests received by email, upload to the DSR database

Requests received through the data protection inbox

- f. Requests will be uploaded to the DSR database and the DSR co-ordinator will be contacted and advised that a request has been received and has been uploaded to the system.

DSR co-ordinators must then:

- g. Verify the identity of the person making the request, using 'reasonable means' i.e. provide proof such as an ID, or permission to act on the subjects behalf;
- h. Determine if we hold the information; if so draft the response from the necessary business units;
- i. Request copies of the information from the relevant business units;
- j. Ensure appropriate redactions are made prior to release of information;
- k. Follow up outstanding requests one week prior to their deadline;
- l. Responses should be prepared using the standard letter templates found on the DSR database;
- m. Seek appropriate sign off for the responses. See section 11.9;
- n. Record the response date, attach the final response and associated correspondence (this must include the redacted and un-redacted copies of the information) to the database file.

Hard copy records created in the response to DSRs should be retained and disposed of in line with the Disposal of Records Schedule following the lifecycle of the record.

If a business area does not hold any personal data relating to the data subject, the DSR co-ordinator should enter this in the notes section of the DSR database and issue the data subject with an appropriate response which must be uploaded to the database. This will advise the data subject that their DSR has been dealt with and there are no records held for them.

The performance of DSR responses are reported to CXBC on an annual basis.

Guidance on use of the DSR database is available on the GDPR Gateway page.

11.9 Response Sign Off

Final responses must be signed off by a level 9 officer or their nominated representative. Where a department does not have a level 9 officer the head of the department or their nominated representative must sign off all final responses. Sign off is not required for requests for interview notes.

11.10 Access to Third Party data

Data relating to third parties means personal data relating to any person other than the data subject or the data controller. There is no right of access to information about other people (third parties) under GDPR and the DPA 2018.

The data of a third party individual can take the following forms:

- a. Data supplied by another individual which relates to the data subject;
- b. Details contained in the data of a data subject, which relates to someone other than the data subject.

The data controller is not obliged to disclose third party data unless:

- a. The other individual has consented to the disclosure to the data subject;
- b. It is reasonable in all the circumstances to make the disclosure without the consent of the other individual.

The disclosure of third party data may result in a complaint by the other individual or the data subject to the ICO if either is unhappy with the decision made. It is therefore important that all aspects are carefully considered before deciding to release or withhold another individual's data.

11.11 Response Format

The format of the response should mirror the format in which the DSR was made unless specified by the data subject, i.e. if the request is made electronically, the information should be provided in a commonly used electronic format.

At present the Housing Executive does not provide remote access to a secure self-service system. Refer to the IT team to determine if data portability is viable for the specific request and seek further advice from the DPO.

11.12 Requests for large amounts of personal data

Where a large quantity of information about an individual is processed, GDPR permits staff to ask the individual to specify the information the request relates to.

11.13 Manifestly unfounded or excessive

The Housing Executive does not have to comply with a request where it has already complied with an identical or similar request by the same individual, unless a reasonable interval has elapsed between compliance with the previous request and the making of the current request.

In deciding what amounts to a reasonable interval, the following factors should be considered:

- a. The nature of the data;
- b. The purpose of the data processing;
- c. How often the data is altered.

Where this is the case staff can consider:

- a. Charging a reasonable fee, taking into account the administrative costs of providing the information;
- b. Refusing to respond.

Where a request has been refused, the individual must be given a written explanation which must also inform them of their right to complain to the ICO and to a judicial remedy. This must be done without undue delay and at the latest within one month of receipt of the request.

11.14 Editing

The reply to a DSR should include all personal data that is held on a data subject at the time the DSR is received, **without amendment**.

The following are the exceptions to this rule:

- a. Amendments or deletions can be made to the personal data after the DSR is received, but before a response is issued. For example, this could take the form of a change of address or bank details. In such cases the previous details may in fact be deleted from the records;
- b. Personal data classified as exempt;
- c. Other individual's personal data, including staff names may be withheld in certain circumstances.

Personal data must never be altered in order to make the response acceptable to the data subject when responding to their request (see section 11.15).

11.15 Redacting exempt or another individual's data

When redacting exempt or other third party data, the DSR co-ordinator must:

- a. Separate those records which can and cannot be issued to the data subject;
- b. Arrange to have all the records which can be issued to the data subject photocopied;
- c. Ensure no deletions or amendments are made on original documents;
- d. Redact any exempt data or other individual's data on the photocopies;

- e. Arrange records in date order.

Decisions made by the DSR co-ordinator to withhold data must be fully documented in the decision letter and on the DSR file and database.

11.16 Potentially offensive or derogatory data

The DSR co-ordinator should identify potentially offensive or derogatory material included in the requested materials and advise the relevant manager of the imminent release of this material to the data subject.

The line manager should review and investigate the matter and take appropriate action. They should also consider what action may be required to ensure future data is recorded correctly and remind officers of the importance of not including unprofessional opinions or remarks regarding an individual in any communications.

The DSR co-ordinator should consider how best to release the data, for example, consider a meeting in the office or home visit to personally deliver the data, instead of posting it out.

The DSR co-ordinator should ensure sure the data subject receives an appropriate apology on behalf of the organisation, an explanation of their rights in relation to rectification, erasure and the right to complain to the ICO. The DSR co-ordinator should also advise the data subject of what steps are being taken to investigate and address the matter e.g. referral to the individual's line manager.

11.17 Requests to view or collect data at a Housing Executive office

The data subject can request that they view or collect their data from any Housing Executive office.

The DSR co-ordinator should make the necessary arrangements with the appropriate local business manager for the area in which the data subject wishes to view or collect the data.

Data subjects must always be accompanied when viewing original documents.

11.18 Review

If an individual is dissatisfied with the response to their DSR request, they can request a review within 2 months of the date of their response letter. The DPO will conduct the review and should aim to respond within one calendar month. An extension of up to 2 months may be required if the review is complex or there are extenuating circumstances. The review will address the initial decision with the potential for a different outcome.

The process for an internal review request must be noted in the response letter noting that requests must be sent to the DPO by email to dataprotection@nihe.gov.co.uk or by post to: DPO, Legal Services, Housing Centre, 2 Adelaide Street, Belfast BT2 8PB.

If an individual is dissatisfied with the handling (i.e. the administration) of their DSR request, this will be dealt with as a complaint under the complaints procedure and passed to the appropriate line manager to action.

Data subjects also have the right to contact the ICO directly; this must also be noted on the initial response. Letter templates are available on the DSR database.

11.19 Archiving

Closed requests will be archived on the database by the Data Protection Team after the internal review timescale has elapsed. This is 2 months after the date of the response letter.

12.0 Information Asset Register

The Information Asset Register (IAR) identifies how and what data we collect, process, hold and retain. The IAR enables us to track the organisation's information assets and their associated risks whilst removing duplication and improving efficiency. The register is held centrally by the DPO. IAOs should ensure that the DPO is advised of any required changes to the IAR.

Any changes in daily business processes will affect the IAR and should therefore be discussed with the relevant IAO and the DPO.

13.0 Breaches

A personal data breach means a breach of security leading to unauthorised disclosure or access, the accidental or unlawful destruction, loss or alteration to personal data transmitted, stored or otherwise processed.

Breaches should be reported to the DPO as soon as they are identified, by completing the breach form (this is available on the GDPR Gateway page), then scan and forward the form to dataprotection@nihe.gov.uk.

As much of the following information as possible should be detailed on the breach form:

- a. Name and contact details;
- b. A description of the nature of the personal data breach;
- c. The categories of data and approximate number of individuals concerned;
- d. The type and number of personal data records concerned;

- e. A description of the likely consequences of the personal data breach;
- f. A description of any measures taken to address the personal data breach.

The DPO must notify the ICO of the breach within 72 hours if he considers, based on the information given, that it is likely to result in a risk to the rights and freedoms of an individual. In addition, if the DPO considers, on the information given, that the personal data breach is likely to result in a high risk to the rights and freedoms of an individual, he must also inform the affected individual without undue delay.

Breaches reported to the DPO will be recorded in a central database. The DPO will ensure IT Security is informed of any security breaches to enable appropriate reporting.

The Housing Executive is committed to consideration of all concerns raised anonymously, in accordance with our whistleblowing policy. Members of staff should contact the DPO if they believe they have exhausted the routes outlined in the whistleblowing policy. Details of the suspected breach can be put in writing anonymously by post or internal mail to the DPO at:
DPO, 4th Floor, Legal Services, Housing Centre, 2 Adelaide Street, Belfast BT2 8PB.

In accordance with good practice the DPO will not attempt to identify the whistle blower although this may affect the ability to investigate the breach within the scope of the details provided.

14.0 **Contracts**

GDPR and the DPA 2018 have brought in a number of changes that will affect the Housing Executive's commercial arrangements (both new and existing) with contractors, suppliers and consultants. There is now a requirement that any processing of personal data, by a processor, should be governed by a written contract with certain provisions included. This applies where the contract involves the processing of personal data, regardless of the value of the contract. This means that contracts which involve the processing of processing of personal data, with a value below £5,000 now require a written contract to be in place with detail proportionate to the value. Further advice can be sought from the Central Procurement Unit (CPU).

From the introduction of the DPA 1998, Housing Executive contracts have standardised clauses which include provision for contractor/supplier/consultant compliance with data protection and information laws. The Department of Finance (DoF) has issued a Procurement Guidance Note (PGN 01/18) "Actions Required on Contracts as a Result of the General Data Protection Regulation (GDPR)". The Housing Executive will address and advise on compliance with the new laws

through CPU in conjunction with relevant officers in the affected business areas as appropriate.

Under GDPR contractors, suppliers and consultants who process personal data in the delivery of their contracted work or service have their own responsibilities and liabilities.

15.0 Anonymisation and Pseudonymisation

15.1 Anonymisation

Anonymisation is the process of turning data into a form where the data subject is no longer identifiable.

This process must be used for data which will be kept for training purposes. All personal data must be removed from the file and/or case history to ensure that the individual cannot be identified. GDPR and the DPA 2018 do not apply to anonymised data.

15.2 Pseudonymisation

Pseudonymisation is the processing of personal data so that the personal data can no longer be attributed to a specific data subject without the use of additional information. The additional information must be kept separately.

Where the right to erasure applies and personal data on electronic systems such as HMS, cannot be deleted due to technical restrictions, the personal data must be pseudonymised using the DSR database reference number in place of the name only and a generic address (such as the Housing Centre address), the date of birth and National Insurance Number. This process will prevent direct identification of a data subject however the data subject can still be re-identified through the use of additional information.

Pseudonymised data remains subject to GDPR and the DPA 2018.

16.0 Online Apps

Online apps will be subject to a layered approach to communicate the Privacy Notice.

Where consideration is being given to the use of online application tools that would include the processing of personal data, a DPIA must be completed as previously outlined in section 6.8. The DPIA should be discussed with the DPO to set out the data protection requirements and any controls that need to be put in place. This will be dealt with on a case by case basis in partnership with the IT department.

17.0 Further information and advice

Additional resources are available on the GDPR Gateway page.

For further advice contact the DPO (see section 2.5 for details).

Appendix 1: Glossary

Anonymisation	The presentation of data where the re-identification of the data subject is impossible.
Consent	Where a data subject actively agrees to have their data processed for explicit reasons. This must involve a positive 'opt-in' and not a pre-ticked box.
Data controller	The party who determines what data is collected, how it is used and the way in which it is processed.
Data processor	Acting on behalf of the controller, the data processor is responsible for processing data.
Data protection by design	The consideration of data protection within all projects and developments within an organisation from the outset.
Data Protection Impact Assessment (DPIA)	This is a process that should be carried out when introducing new technologies and if data processing is likely to put individuals' rights and freedoms at high risk. This could mean the large-scale processing of special category or criminal record data.
Data Protection Officer (DPO)	A DPO must be appointed as a public authority or a large-scale processor of special category data.
Data subject	The individual on which an organisation holds personal data.
Derogations	EU Member States can exercise a degree of flexibility over how to apply GDPR in certain areas.
Encrypted data	A means of encoding data using a key which renders it accessible only to users with that key.
Exemptions	These can be introduced by member states to safeguard democratic society, but must still respect the individual's freedoms and have significant grounds. More details can be found on ICO's exemptions document .
Information Commissioner's Office (ICO)	The UK's independent authority set up to uphold information rights and data privacy for individuals. ICO enforces GDPR in the UK.
Individual rights	Enhanced under GDPR, the rights of the individual are listed as the right to be informed, to access, to rectification, to erasure, to restrict processing, to data portability, to objection and rights in relation to automated decision making and profiling. More details can be found on ICO's individual rights documents .

Lawful basis	Required for the processing of personal data, one of six lawful bases must be met before processing begins.
Personal data	Data that can be directly or indirectly linked to an individual, whether that is by name or an alternative identifier such as ID number or location information.
Personal data breach	Refers to 'a breach of security that leads to destruction loss, alteration, unauthorised disclosure of, or access to, personal data.'
Processing	Any operation or set of operations (either manual or automated) performed on personal data, including collecting, organising, structuring, storing and retrieving.
Profiling	Automated processing of personal data to make decisions or evaluations on the data subject.
Pseudonymisation	The processing of personal data so that the personal data can no longer be attributed to a specific data subject without the use of additional information. The additional information must be kept separately.
Special category data	Also known as sensitive personal data, this data is deemed to be more sensitive and therefore requires enhanced levels of protection (see section 6.2 for additional processing conditions).
Data Subject Rights (DSR)	Can be submitted to organisations by data subjects in accordance with the individual rights (above).

CORPORATE SERVICES DIVISION

Information Governance – Data Protection

Personal Data Breach Management Plan

DOCUMENT CONTROL SUMMARY	
Purpose of Document	Personal Data Breach Management Plan and Procedures
Owner	Data Protection Team
Contact	Data Protection Team
Date Created	01 July 2021
Review Timeline	Every 2 years or as Required
Next Review Date	01 July 2023
Version Control	1
Relevant Guidance	ICO Personal Data Breaches Guidance - link EU Article 29 Working Party guidance - link UKGDPR Articles – 33,34,58,83 and Recitals 75, 85-88 - link HE Data Protection Policy – link HE Disposal of Records Policy - link HE Records Management Handbook and Policy Statement – link
Distribution	Available to all Housing Executive staff via Gateway

APPROVAL				
Version	Author	Approved by	Date Approved	Issue Date
1		David Mayers (DPO)	23/07/2021	04/08/2021

Table of Contents

1.0	Introduction	3
2.0	Scope	3
3.0	Objectives	3
4.0	Definitions	4
5.0	Personal Data Breach Procedures and Guidelines	6
6.0	Monitoring & Reporting	6
7.0	Staff Responsibility.....	6
8.0	Personal Data Breach Recording.....	7
9.0	Data Processor – Personal Data Breach	8
10.0	Personal Data Breach Notifications to the Information Commissioners Office (ICO)	9
11.0	Personal Data Breach Notifications to Data Subjects	10
12.0	Further advice	10
	Appendix 1 – Flow Chart - Discovery of a Personal Data Breach Flowchart	11
	Appendix 2 – Flow Chart - Reporting a Personal Data Breach to the Information Commissioner’s Office	12

1.0 Introduction

- 1.1 Management of a Personal Data Breach is a legal requirement for the Housing Executive and all members of staff, at whatever grade, have responsibilities and roles to play. This plan's objective is to provide the Housing Executive (HE) with standard and clear incident reporting guidance along with supporting roles and responsibilities and to assist all staff to enhance their understanding and awareness of personal data breach reporting and its management.
- 1.2 This plan has been developed to reflect the responsibilities and roles introduced by the UK GDPR. Particularly, it highlights the mandatory requirement to notify the Information Commissioner's Office (ICO) of certain incidents involving personal data within 72 hours and the fines up to £8.7 million for not doing so.
- 1.3 A major objective of this plan is to enable the Housing Executive to identify an incident involving personal data and notify the ICO as required. It is essential that all incidents are reported to the Data Protection Team immediately or at the latest within one working day of discovery.

2.0 Scope

- 2.1 This document covers all personal data breaches including paper information, physical, personnel, and IT. It applies to all individuals within the Housing Executive (meaning permanent, fixed term, and temporary staff, any third-party representatives or sub-contractors, agency workers, volunteers, interns and agents engaged with the Housing Executive. Adherence to this plan is mandatory and non-compliance could lead to disciplinary action.
- 2.2 The procedures outlined in this plan are for the protection of the Housing Executive, its staff, customers, clients and third parties and are of the utmost importance for legal regulatory compliance.

3.0 Objectives

- 3.1 To adhere to the UK GDPR and Data Protection laws;
- 3.2 To have robust and adequate procedures and controls in place for identifying, investigating, reporting and recording any personal data breaches;
- 3.3 To develop and implement adequate, effective and appropriate technical and organisational measures to ensure a high level of security with regards to personal information;

- 3.4 To utilise information audits and risk assessments for mapping data and reducing the risk of personal data breaches;
- 3.5 To have adequate and effective risk management procedures for assessing any risks presented by processing personal information;
- 3.6 To use personal data breach investigations and logs to assess the root cause of any personal data breaches and to implement a full review to prevent further incidents from occurring;
- 3.7 To use the Report a Personal Data Breach Form for all personal data breaches, regardless of severity so that any patterns in causes can be identified and corrected;
- 3.8 To protect customers and staff – including their data, information and identity;
- 3.9 To ensure that the Information Commissioner's Office (ICO) is notified of the personal data breach (where applicable) with immediate effect and at the latest, within 72 hours after having become aware of the breach.

4.0 Definitions

4.1 Personal Data Breach Definition

A personal data breach means a breach of security leading to the accidental or unlawful destruction, loss, alteration, unauthorised disclosure of, or access to, personal data. This includes personal data breaches that are the result of both accidental and deliberate causes. It also means that a breach is more than just about losing personal data.

This would include but is not limited to the following:

- access by an unauthorised third party;
- deliberate or accidental action (or inaction) by a controller or processor e.g. being aware of a security flaw and not fixing it or deliberately removing personal data from an office;
- sending personal data to an incorrect recipient e.g. letters, emails, text messages;
- computing devices containing personal data being lost or stolen;
- alteration of personal data without permission; and
- loss of availability of personal data e.g. a missing file.

4.2 Personal Data Definition

Personal data means any information relating to an identified or identifiable living person ('data subject'). This is a living person who can be identified

either directly or indirectly from one or more identifiers or from factors specific to the individual.

This would include but is not limited to the following:

- Name;
- Address;
- Date of Birth;
- National Insurance Number;
- Car Registration;
- Bank Details;
- Passport Number;
- Telephone Number;
- GPS data;
- IP Address;
- Email Address.

The ICO have published detailed guidance on [determining what is personal data](#).

4.3 Special Category Data Definition

UK GDPR defines Special Category Data as:

- personal data revealing **racial or ethnic origin**;
- personal data revealing **political opinions**;
- personal data revealing **religious or philosophical beliefs**;
- personal data revealing **trade union membership**;
- **genetic data**;
- **biometric data** (where used for identification purposes);
- data concerning **health**;
- data concerning a person's **sex life**; and
- data concerning a person's **sexual orientation**.

Special category data includes personal data **revealing or concerning** the above types of data. Therefore, if you have inferred or guessed details about someone which fall into one of the above categories, this data may count as special category data. It depends on how certain that inference is, and whether you are deliberately drawing that inference.

If you have any queries regarding Special Category Data please contact the Data Protection Team for advice.

4.4 Definition of Risk to Rights and Freedoms

A personal data breach can potentially have a number of consequences for individuals, which can result in physical, material, or non-material damage. This can include loss of control over their personal data, limitation of their

rights, discrimination, identity theft or fraud, financial loss, unauthorised reversal of pseudonymisation, damage to reputation, and loss of confidentiality of personal data protected by professional secrecy. It can also include any other significant economic or social disadvantage to those individuals.

5.0 Personal Data Breach Procedures and Guidelines

- 5.1 The Housing Executive has robust objectives and controls in place for managing personal data breaches. The procedures and guidelines for identifying, investigating and notification of breaches are detailed below. This breach management plan aims to mitigate the impact of any personal data breaches and to ensure that the correct notifications are made.

6.0 Monitoring & Reporting

- 6.1 The Housing Executive has appointed a Data Protection Officer and has a Data Protection Team (DPT) in place who are responsible for the review and investigation of any data breach involving personal information, regardless of the severity, impact or containment.

- 6.2 **All personal data breaches must be reported to the Data Protection Team and the Data Protection Officer person with immediate effect, whereby the procedures detailed in this plan are followed.**

- 6.2 In compliance with UK GDPR Article 33 (5) all personal data breaches must be recorded by the Data Protection Team who will record and assess the personal data breach from the information provided on the Report a Personal Data Breach Form (RPDBF). Individuals may be contacted directly if the Data Protection Team require further information.

- 6.3 The completion of the RPDBF is necessary to enable the Data Protection Team (DPT) to respond more effectively to incidents and to provide more accurate information to senior management on the security of personal data across the Organisation.

- 6.4 All personal data breaches will be investigated, even in instances where notifications and reporting are not required and a full record of all personal data breaches is retained.

7.0 Staff Responsibility

- 7.1 All Personal Data Breaches must be reported to the Data Protection Team (DPT) and the Data Protection Officer (DPO) as soon as they are discovered or at the latest one working day after discovery no matter how minor they may seem. Weekends are not excluded from the time line.

- 7.2 **Do not wait to tell your Line Manager before reporting the personal data breach, report it to the DP Team immediately.**
- 7.3 If you discover a personal data breach that did not occur because of you, it is still your responsibility to report it to the DP Team.
- 7.4 A copy of the 'Report a Personal Data Breach Form' is available via the Data Protection (DP) Gateway Hub which can be accessed [here](#). As the form is a 'living document' Staff must download a new version of the form each time they are reporting a Personal Data Breach. A link to the '**Report a Personal Data Breach**' form is also available in the Key Documents section of the DP Homepage and it is also available via the Useful Forms/Documents section.
- 7.5 As soon as a personal data breach has been discovered, measures must be taken to contain the personal data breach. Such measures are not in the scope of this document due to the vast nature of personal data breaches and the variety of measures to be taken; however, the aim of any such measures should be to stop any further risk/breach to the organisation, customer, client, third-party, system or data prior to investigation and reporting. The measures taken must be noted on the Report a Personal Data Breach Form in all cases.

8.0 Personal Data Breach Recording

- 8.1 The RPDBF must be completed for any personal data breach, regardless of severity or outcome. The forms must be sent to the Data Protection Team (DPT) inbox dataprotection@nihe.gov.uk and the Data Protection Officer (DPO) must be copied in [REDACTED]
- 8.2 Once a personal data breach or suspected/alleged personal breach has been reported to the DPT, the DPT will commence an investigation and assess whether they have sufficient information to identify next steps. The purpose of the investigation is to:
- establish if a personal data breach has happened;
 - establish the nature and cause of the personal data breach;
 - establish the extent of the damage or harm that results or could result from the personal breach;
 - identify the action required to stop the personal data breach from continuing or recurring; and
 - mitigate any risk of harm that may continue to result from the personal data breach.
- 8.3 The personal data breach will be assigned to one of the [REDACTED]. The [REDACTED] will carry out an investigation into the personal data breach and, where applicable, will advise staff on any steps that should be taken in the interim to contain the personal data breach.

- 8.4 Once the [REDACTED] investigation has been completed and it has been established that a personal data breach has taken place, the personal data breach will be given a unique reference number and will be added to the Personal Data Breach database which is accessed and monitored by the DPT.
- 8.5 The [REDACTED] will carry out a risk assessment on the personal data breach to determine if it will require notification to the Information Commissioner's Office (ICO) and whether there is a need to notify the data subject.
- 8.6 The [REDACTED] risk assessment and decision, along with the personal data breach form will then be forwarded to the DPO for final sign off.
- 8.7 The [REDACTED] will then prepare an email advising of the DP Team's decision along with any remedial action required and will send this to the individual who reported the personal data breach and their line manager. This is to ensure that lessons learned, along with any remedial action are circulated to all relevant staff.
- 8.8 The personal data breach will normally be closed on the database, however this will be dependent on what remedial action is required or if there is a requirement to notify the ICO.
- 8.9 If applicable, the Information Commissioner's Office (ICO) and the data subject(s) are notified in accordance with the UK GDPR requirements. The ICO protocols will be followed and their 'Security Breach Notification Form' will be completed and submitted. In addition, any individual whose personal data has been compromised will be notified if required, and kept informed throughout the investigation, with a full report being provided of all outcomes and actions.
- 8.10 If the DPO is unavailable for any reason, for example, the DPO is on annual leave, on sickness absence or is otherwise not available to respond to the personal data breach, then a nominated [REDACTED] must fulfil the responsibilities of the DPO set out in this Personal Data Breach Response Plan.

9.0 Data Processor – Personal Data Breach

- 9.1 If the personal data breach or suspected personal data breach has occurred at one of our Data Processors, the individual reporting the personal data breach must liaise with the Data Processor to obtain as much information as possible about the extent of the personal data breach or suspected personal data breach and any steps being taken to mitigate any risk to data subjects. It will remain the Housing Executive's responsibility to decide whether to report any such breach to the ICO within 72 hours.

- 9.2 Information Asset Owners (IAOs) must ensure that Third Party suppliers and contractors are aware of their obligations to report personal data breaches to the Housing Executive without undue delay.

10.0 Personal Data Breach Notifications to the Information Commissioners Office (ICO)

- 10.1 The DPO has a duty to report notifiable personal data breaches to the Information Commissioner's Office (ICO) within 72 hours of the personal data breach being identified. Failure to report a personal data breach when required to do so can result in a significant fine of up to £8.7 million. The fine can be combined with the ICO's other corrective powers.
- 10.2 All staff have been made aware of both their and the Housing Executive's responsibilities regarding personal data breaches and strict internal reporting lines have been developed to ensure that personal data breaches falling within the notification criteria are identified and reported without delay.
- 10.2 The ICO will be notified of any personal data breach where it is likely to result in a high risk to the rights and freedoms of individuals. These are situations which if the personal data breach was ignored, it would lead to significant detrimental effects on the individual.
- 10.3 Where applicable, the ICO will be notified of the personal data breach no later than 72 hours after the Housing Executive becoming aware of it and are kept notified throughout any personal data breach investigation, being provided with a full report, including outcomes and mitigating actions as soon as possible, and always within any specified timeframes.
- 10.4 In the event that a notifiable personal data breach is not reported to the ICO within 72 hours, a report will be made without delay and the reasons for the delay will be provided.
- 10.5 Where it is not possible to investigate a breach fully within 72 hours, the Housing Executive reserves the right to provide the required information to the ICO in phases in accordance with Article 33 (4) of the UK GDPR. The DPT will prioritise the investigation, give it adequate resources, and expedite it urgently. The DPT will also explain the reasons for the delay to the ICO and advise when we expect to submit more information.
- 10.6 Where a personal data breach is assessed by the DPT and deemed to be unlikely to result in a high risk to the rights and freedoms of an individual, the Housing Executive reserves the right not to inform the ICO in accordance with Article 33 of the UK GDPR.
- 10.7 Where a personal data breach has been notified to the ICO and further investigation uncovers evidence that no personal data breach actually occurred, this information will be provided to the ICO and the incident

recorded accordingly as not being a personal data breach. There is no penalty for reporting an incident to the ICO that ultimately transpires not to be a personal data breach.

- 10.8 Personal Data Breach incident procedures and an investigations are always carried out, regardless of our notification obligations and outcomes and reports are retained to be made available to the Information Commissioner's Office (ICO) if requested.

11.0 Personal Data Breach Notifications to Data Subjects

- 11.1 Where a personal data breach is likely to result in a high risk to the rights and freedoms of an individual the Housing Executive shall communicate the personal data breach to the data subject without undue delay. The threshold for reporting to data subjects is higher than for reporting to the ICO. Not all personal data breaches will be reported to data subjects. If, however for example, Personal Details were inadvertently disclosed and there were fears for the Data Subjects personal safety, advising the individuals involved could obviously allow them to take actions to consider the position and protect themselves.

- 11.2 Any notification to the Data Subject should include measures which they can take to protect themselves and must include as a minimum:

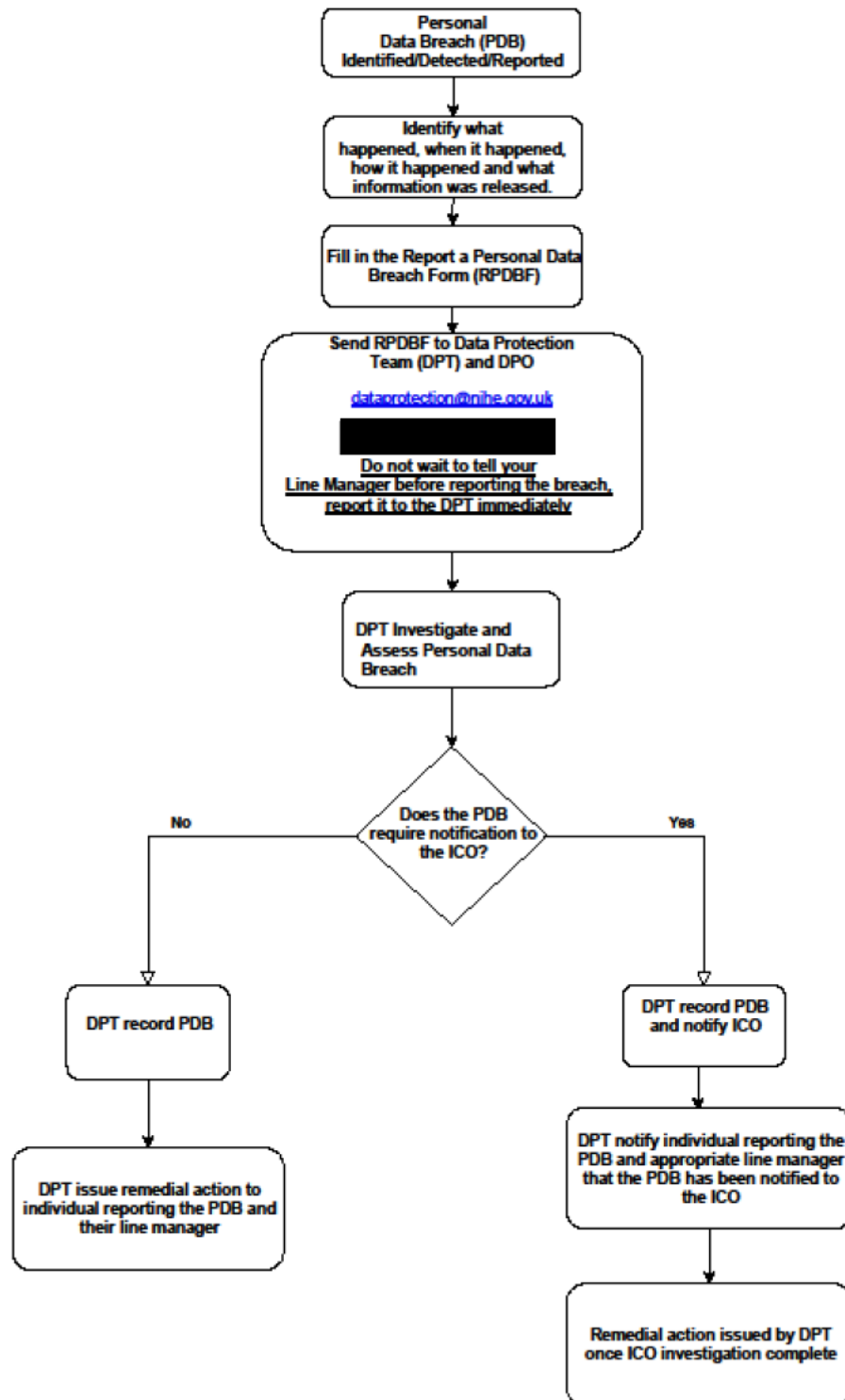
- a description of the nature of the personal data breach;
- the name and contact details of the Data Protection Officer or other contact point;
- a description of the likely consequences of the personal data breach;
- a description of the measures taken or proposed to be taken by the Housing Executive to address the personal data breach, including where appropriate, measures to mitigate its possible effects.

- 11.3 Even if the DPO initially decides not to communicate the personal data breach to the affected data subjects, the ICO can require us to do so, if it considers the personal data breach is likely to result in a high risk to individuals.

12.0 Further advice

- 12.1 Further information regarding this plan can be obtained from the Data Protection Team.

Appendix 1 – Flow Chart - Discovery of a Personal Data Breach Flowchart



Appendix 2 – Flow Chart - Reporting a Personal Data Breach to the Information Commissioner's Office

