

IC-224897-C9C2

Disclosure Bundle

Information Asset Registers (IARs)

Guidance Pages

Risk Assessment

Impact	
Guidance	For each information asset you should consider the impact on the ICO if the confidentiality, integrity or availability of your information is compromised. Key factors to consider include the effect on business continuity and the reputation of the ICO.
Low (1)	Low impact on the ICO. The information is not particularly sensitive, is of low value or may be available from other sources. The impact on business continuity or ICO reputation will be minimal and can be overcome without difficulty.
Medium (2)	Significant impact on the ICO. The information may be of a sensitive nature and compromise will have a notable impact on business continuity or ICO reputation but this can be overcome despite some difficulties.
High (3)	Substantial impact on the ICO. Compromise would have a significant impact on business continuity, our legal obligations or ICO reputation and this will be very hard or impossible to overcome.

Probability	
Guidance	You should consider the likelihood of the confidentiality, integrity or availability of your information being compromised. Factors to consider include the volume of the data, it's location / where it is stored and any access controls or other security measures that you have in place.
Low (1)	1-20% - likelihood of compromise is low but not improbable. For example, the documents are stored securely with stringent access controls.
Medium (2)	21-50% - Compromise is fairly likely to occur. For example, the documents are stored somewhat securely with minimal access controls.
High (3)	51-100% - Compromise is more likely to occur than not. For example, The documents are not stored securely and have no access controls.

Risk Score (Multiply Probability and Impact score)			
Guidance	The risk score is obtained by multiplying your impact and probability scores. You should consider if it is possible to reduce medium and high risks through mitigation.		
Probability (x) / Impact (y)	1 - Low	2 - Moderate	3 - High
3 - High	Low	High	High
2 - Moderate	Low	Medium	High
1 - Low	Low	Low	Low

Final Score	
1-3	Low Risk
4-5	Moderate Risk
6-9	High Risk

Examples

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
DPIA Forum Meeting Minutes	Minutes from the monthly DPIA forum meetings	[withheld - s31]	Director of Corporate Governance	50 files	Yes	No	Access is open read only to all	Information is not shared with any third parties	Word documents	6 years - review	No	1	1	1 - Low
Employee Files	ICO staff employee files	[withheld - s31]	Director of HR	762 current employee files	Yes	Yes	Access is restricted to members of HR	Information is not shared with any third parties	Emails, excel spreadsheets, PDF copies of correspondence	6 years - destroy	No	3	1	3 - Low

Assurance

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Audit and engagement processes and procedures	Documentation covering the process of how the department undertakes, delivers and quality assures its audits and engagements. Includes manuals, templates, and guidance.	[withheld - s31]	Director of Regulatory Assurance	Under 100 documents and templates	No	No	Read only for everyone outside of Assurance. [withheld - s31] restricted to Assurance managers and site owners.	No	Digital	Superseded - 3 years - Review	No	2	1	2
Departmental projects	Documentation that relates to departmental projects, detailing development and output. Includes local project reports where applicable.	[withheld - s31]	Director of Regulatory Assurance	Approx. 10 document libraries Several hundred documents	No	No	Read only for everyone outside of Assurance	No	Digital	Last action - 6 years - Review	No	2	1	2
Audit research and evaluation	Research and planning regarding potential audit areas and organisations	[withheld - s31]	Director of Regulatory Assurance	Under 100 documents in 1 library	No	No	Read only for everyone outside of Assurance	No	Digital	Last action - 6 years - Review	No	2	1	2
Staff training material	Training material for staff	[withheld - s31]	Director of Regulatory Assurance	Under 100 documents in 1 library	No	No	Read only for everyone outside of Assurance	No	Digital	Superseded - 6 years - Review	No	1	1	1
Engagements under DPAB	Documentation relating to each regular engagement. Includes all correspondence, completed working papers and reports.	[withheld - s31]	Director of Regulatory Assurance	Approx. 25 document libraries Many hundreds of documents	No	No	Read only for everyone outside of Assurance	No	Digital	Case closed - 6 years - Review	Yes	1	1	1
Engagements under GDPR - Regular	Documentation relating to each regular engagement. Includes all correspondence, completed working papers, reports and any official notices. Includes current live engagements and finished ones.	[withheld - s31]	Director of Regulatory Assurance	Approx. 140 document libraries Many hundreds of documents	No	No	Read only for everyone outside of Assurance	Yes	Digital	Case closed - 6 years - Review	Yes	3	1	3
Engagements under GDPR - High profile and ICO projects	Documentation relating to each high profile engagement and ICO project. Includes all correspondence, completed working papers, reports and any official notices. ICO project documentation detailing relevant cross-department or cross-office engagement as well development and output.	[withheld - s31]	Director of Regulatory Assurance	Approx. 30 document libraries Many hundreds of documents	No	No	Restricted. Read only for individuals outside of Assurance with specific access	Yes	Digital	Case closed - 6 years - review	Yes	3	1	3
Departmental admin	Departmental documentation including: - Meeting minutes - Management information - General correspondence - Information Governance documentation - Newsletters - Organisation charts - Physical information tracking - Job descriptions - Security clearances - Disposal logs - Web update log	[withheld - s31]	Director of Regulatory Assurance	Approx. 20 document libraries Several hundred documents	No	No	Most areas read only for everyone outside of Assurance. [withheld - s31] restricted to managers and site owners.	No	Digital	Review 3 years from last action for team administration, templates, procedures, information and meeting minutes. Review 6 years from the end of financial year for management information. Destroy 6 years after end of employment for security clearances.	No	2	1	2

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
ICO IPA audits	Audits by the ICO of Telecoms Operators served a notice under the IPA.	[withheld - s31]	Director of Regulatory Assurance	23 folders each relating to a single audit	No	No	Communications Audit Team only	Yes	Digital	Last action - 6 years - review	No	2	1	2
ICO DRIPA audits	Audits by the ICO of Telecoms Operators served a notice under the DRIPA.	[withheld - s31]	Director of Regulatory Assurance	24 folders each relating to a single audit	No	No	Communications Audit Team only	Yes	Digital	Last action - 6 years - delete	No	1	1	2
Communications Audit Team Third party emails.	Emails between the IOC and the Home Office, IOCCO, and others containing important notifications, agreements and information.	[withheld - s31]	Director of Regulatory Assurance	5 folders containing several hundred emails	No	No	Communications Audit Team only	Yes	Digital	Last action - 6 years - review	No	3	1	3
Communications Audit Team Audit delivery	Documents, toolkits, policy positions, and research papers authored to develop, improve and deliver the audits carried out.	[withheld - s31]	Director of Regulatory Assurance	Under 100 items	No	No	Communications Audit Team only	No	Digital	Legal Advice Last action - 6 years - review Internal Guidance and Lines to Take Date withdrawn - 6 years - destroy All others Last Action - 3 years - review	No	3	1	3

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Service / departmental delivery work	Departmental correspondence, meeting notes, public guidance, planning and tracking documents, training and awareness materials.	[withheld - s31]	Director of Regulatory Assurance	Several hundred documents	No	No	Access restricted to the BCRs team.	No	Digital	Training Materials Superseded - 6 years - review Guidance for External Use Superseded - 6 years - review All others Last Action - 3 years - review	No	3	1	3
BCR internal process and operational documentation	Relevant departmental correspondence, legal advice, and operations manuals across all areas related to the various BCR schemes.	[withheld - s31]	Director of Regulatory Assurance	Several hundred documents	No	No	Access restricted to the BCRs team.	No	Digital	Legal Advice Last Action - 6 years - review All others Last Action - 3 years - review	No	3	1	3
EU BCRs authorised under DPA98 - terminated	All documents relating to an EU BCR application authorised by the ICO or that has been terminated.	[withheld - s31]	Director of Regulatory Assurance	Several BCRs	No	No	Access restricted to the BCRs team.	No	Paper	Date of termination of the BCR - 6 years - delete	No	1	1	1
EU BCRs authorised under DPA98 and GDPR - transferred to a new EU Supervisory Authority	Documents, correspondence and meeting notes, assessments/evaluations and supporting evidence, relating to an EU BCR originally authorised by the ICO but now transferred to a different EU SA.	[withheld - s31]	Director of Regulatory Assurance	Numerous BCRs	No	No	Access restricted to the BCRs team.	Yes	Digital and paper	Date of transfer of the BCR - 6 years - delete	No	1	1	1
Applications for EU BCRs under GDPR that remain relevant for applications for UK BCR approval.	Documents, correspondence, initial assessments and supporting evidence, relating to an EU BCR application that is no longer being handled by the ICO as SA but have value for any UK BCR application.	[withheld - s31]	Director of Regulatory Assurance	Several BCRs	No	No	Access restricted to the BCRs team.	Yes	Digital	Date of Brexit grace period ending - 3 years - delete	No	2	1	2
EU BCRs under GDPR being processed for UK BCRs approval under transitional regulations	All documents, correspondence, submissions and materials present in relation to EU BCRs authorised by EU SAs that are eligible for UK BCR approval application under transitional regulations.	[withheld - s31]	Director of Regulatory Assurance	Several BCRs	No	No	Access restricted to the BCRs team.	Yes	Digital	Last action - 3 years - review	No	3	1	3
Applications for UK BCRs	Documents, correspondence, initial assessments and supporting evidence, relating to an UK BCR applications.	[withheld - s31]	Director of Regulatory Assurance	None at present	No	No	Access restricted to the BCRs team.	Yes	Digital	From the failure or abandonment of the application - 6 years - Delete.	No	3	1	3
Approved UK BCRs	Documents, correspondence and meeting notes, assessments/evaluations and supporting evidence, relating to a UK BCR application approved by the ICO.	[withheld - s31]	Director of Regulatory Assurance	None at present	No	No	Access restricted to the BCRs team.	Yes	Digital	From the termination or superseding of the UK BCR - 6 years - Delete.	No	3	1	3
DPA 2018 notifications, under Section 75 and 77	Emails and notifications from law enforcement agencies relating to the sharing of personal data.	[withheld - s31]	Director of Regulatory Assurance	Under 100 documents	No	No	Access restricted to the BCRs team.	No	Digital	Last action - 6 years - review	No	1	1	1
EU GDPR Article 49 notifications	Received notifications of transfers made under Article 49 of the EU GDPR	[withheld - s31]	Director of Regulatory Assurance	Under 100 documents	No	No	Access restricted to the BCRs team.	No	Digital	Last action - 6 years - review	No	1	1	1
UK GDPR 49 notifications	Received notifications of transfers made under Article 49 of the UK GDPR	[withheld - s31]	Director of Regulatory Assurance	Under 100 documents	No	No	Access restricted to the BCRs team.	No	Digital	Last action - 6 years - review	No	1	1	1
Administrative Arrangements	Public authority notifications of transfers and the subsequent ICO documentation relating to their assessment and approval.	[withheld - s31]	Director of Regulatory Assurance	Under 100 documents	No	No	Access restricted to the BCRs team.	No	Digital	Last action - 6 years - review	No	1	1	1

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
NIS - all current documents	Internal correspondence, policy discussions, and delivery planning to develop the ICO's NIS function.	[withheld - s31]	Director of Regulatory Assurance	Under 100 items	No	No	Communications Audit Team only	Yes	Digital	Legal Advice - Last action - 6 years - review Internal Guidance and Lines to Take Date withdrawn - 6 years - destroy All others Last Action - 3 years - review	No	3	1	3

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Version Control			
Version	Changes Made	Date	Made By
v1.0	Completed and published	Oct-21	Regulatory Assurance / IM Service
v1.1	Entry of missing retention periods for IAs.	Nov-22	W Davies - Assurance LIMO
v1.2	Change of storage location for BCR physical records.	Nov-22	W Davies - Assurance LIMO
	Removal of: Certification schemes Codes of Conduct Supervisory Guidance Sandbox International transfers - Adequacy		
v2.0	eIDAS	Dec-22	W Davies - Assurance LIMO
v2.1	Additional categories of information created in Reg Assurance to provide greater granularity to documents used by the department.	Dec-22	W Davies - Assurance LIMO

Business Advice Service (BAS)

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Minutes	Huddle and Weekly Briefing	[withheld - s31]	Director of Digital, IT and Customer Services	One document library	Yes	No	Open to all ICO staff (read only)	No	Digital	Last Action - 3 years - Review Business Need	No	1	1	1
Training Materials	Training and instructions for new starters, live services and presentations	[withheld - s31]	Director of Digital, IT and Customer Services	Five document libraries	No	No	Open to all ICO staff (read only)	No	Digital	Last Action 3 years Review Business Need	No	1	1	1
BAS - Policies, processes and Procedures	Internal processes used by the BAS team for casework and operating live services.	[withheld - s31]	Director of Digital, IT and Customer Services	One document library	No	No	Open to all ICO staff (read only)	No	Digital	Last Action - 3 years - Review Business Need	No	1	1	1
General administration documents	Management information relating to performance, staffing and tasks	[withheld - s31]	Director of Digital, IT and Customer Services	Three document libraries	Yes	No	Restricted to BAS Managers	No	Digital	End of Financial Year - 6 years - Review - Business Need	No	2	1	1
	Records and resources for ad hoc administration tasks including resourcing and forecasting reports, quality assurance templates and desk aids	[withheld - s31]	Director of Digital, IT and Customer Services	Two document libraries	No	No	Open to all ICO staff (read only)	No	Digital	End of Financial Year - 6 years - Review - Business Need	No	1	1	1
		[withheld - s31]	Director of Digital, IT and Customer Services	1 document library	No	No	BAS Resourcing restricted to BAS Resourcing Access Group	No	Digital	Last Action - 3 years - Review Business Need	No	2	1	1
Live services material	Transcripts of live chats Performance of agents Multimedia templates. Other general live services administration.	[withheld - s31]	Director of Digital, IT and Customer Services	Six document libraries [withheld - s31]	Two Yes	No	Open to all ICO staff (read only)	No	Digital	Last Action - 3 years - Review Business Need Livechat transcripts creation - 100 days - destroy.	No	1	1	1
Rotas	Weekly and Annual Leave rotas and rotas for LCO tasks	[withheld - s31]	Director of Digital, IT and Customer Services	2 document libraries	Yes (names of BAS staff)	No	Open to all ICO staff (read only)	No	Digital	Creation - 3 years - Review - Business Need	No	2	1	2
		[withheld - s31]	Director of Digital, IT and Customer Services	1 document library	Yes (names of BAS staff)	No	Restricted to BAS LCOs	No	Digital	Creation - 3 years - Review - Business Need	No	2	1	1
Casework	Customer written enquiries	[withheld - s31]	Director of Digital, IT and Customer Services	Est 4000 PA Est Total 7000	Yes - Customer and staff details	Yes	Open to all staff	Yes	Digital	Case Closed - 2 years - Destroy - Business Need	No	3	1	1
	Elected Representatives	[withheld - s31]	Director of Digital, IT and Customer Services	Est 200 PA Est Total 1000	Yes - Customer and staff details	Yes	Restricted - Elected Representatives	Yes	Digital	Case Closed - 2 years - Destroy - Business Need	No	3	1	1
	Gender Recognition & Whistleblowing	[withheld - s31]	Director of Digital, IT and Customer Services	Est 20 PA Est Total 100	Yes - Customer and staff details	Yes	Cases held on [withheld - s31]. Hard copies in locked cupboard (Responsibility to be transferred to PADCPs)	Yes	Digital and physical copies	Case Closed - 2 years - Destroy - Business Need	No	3	1	1
Shared area	Business Services (shared)													
General administration documents	BS manager documents including MI reports, business continuity spreadsheet, job descriptions and induction rota and details	[withheld - s31]	Director of Digital, IT and Customer Services	Two document libraries	Yes	No	Restricted to BS Managers	No	Digital	End of Financial Year - 6 years Review - Business Need	No	2	1	2
	General documents including weekly briefing minutes, suggestions logs, IVR routing, career banding framework, BS newsletters and IMC documents	[withheld - s31]	Director of Digital, IT and Customer Services	Seven document libraries	Yes (names in weekly briefing minutes)	No	Open to all ICO staff (read only)	No	Digital	Last Action - 3 years - Review - Business Need	No	1	1	1
Sector specialist documents	Sector Specialist analysis and documents including Forms data and trends	[withheld - s31]	Director of Digital, IT and Customer Services	Two document libraries	No	No	Open to all ICO staff (read only)	No	Digital	Last Action - 3 years - Review - Business Need	No	1	1	1
Shared area	BS/PA (shared)													
Management Information	Liaison meeting minutes, MI Reports	[withheld - s31]	Director of Digital, IT and Customer Services	One document library	Yes	No	Restricted to PA&DPC and BS Managers	No	Digital	End of Financial Year - 6 years Review - Business Need	No	2	1	2
Terminated contact logs	Records of terminated calls and chats in PA&DPC and in BAS	[withheld - s31]	Director of Digital, IT and Customer Services	One document library	Yes	No	Open to all ICO staff (read only)	No	Digital	Case Closed - 2 years - Destroy - Business Need	No	2	1	2
Policies, processes and procedures	General documents including technical instructions for live services and Touchpoint information regarding login classes and the Change log. Also includes casework processes and operating procedures	[withheld - s31]	Director of Digital, IT and Customer Services	Seven document libraries	Yes (names login class spreadsheet)	No	Open to all ICO staff (read only)	No	Digital	Last Action - 3 years - Review - Business Need	No	1	1	1

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Version	Changes Made	Date	Made By
v1.0	Completed and published	Jul-21	BAS / IM Service
v2.0	Annual review - updated [withheld - s31] document libraries and reviewed retention schedule	Dec-22	BAS-Judi McGhee

Certification schemes

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Certification schemes – under development	Admin, correspondence, meeting notes, assessment / evaluation documents, and supporting evidence relating to proposed certification schemes in various stages of development.	[withheld - s31]	Director of Regulatory Assurance	9 folders of individual certification schemes. Several hundred items.	No	No	Read only access to all. Contribute access to codes/certs team.	Yes	Digital	Last action - 12 months - review	No	3	1	3
Certification schemes - approved	Admin, correspondence, meeting notes, assessment / evaluation documents, and supporting evidence relating to the both the development of original certification schemes which have been approved, and any subsequent modifications or changes.	[withheld - s31]	Director of Regulatory Assurance	Folders of individual certification schemes. 0 currently held.	No	No	Read only access to all. Contribute access to codes/certs team.	Yes	Digital	From the date of the certification scheme being discontinued - 6 years - delete	No	3	1	3
Certification bodies - engagement	Documents, records, and notifications regarding delivery of the certification schemes to accredit organisations by the Certification bodies.	[withheld - s31]	Director of Regulatory Assurance	1 folder per Certification body. Currently 0 records held.	No	No	Read only access to all. Contribute access to codes/certs team.	Yes	Digital	From the date the certification bodies stop using the certification scheme - 6 years - delete	No	2	1	2
UKAS - Key stakeholder engagement	Documents, records, correspondence and notifications regarding both certification scheme development and Certification bodies accreditation by UKAS.	[withheld - s31]	Director of Regulatory Assurance	1 folder with several hundred items.	No	No	Read only access to all. Contribute access to codes/certs team.	Yes	Digital	Last action - 6 years - review	No	2	1	2
Service / departmental delivery work	Departmental correspondence, meeting notes, planning and tracking documents, documents relating to EDPB, accreditation requirements training and awareness materials, project group documentation and templates/guidance.	[withheld - s31]	Director of Regulatory Assurance	6 folders with over 100 items.	No	No	Read only access to all. Contribute access to codes/certs team.	No	Digital	Training Materials Superseded - 6 years - review Guidance for External Use Superseded - 6 years - review All others Last Action - 3 years - review	No	3	1	3

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Version Control			
Version	Changes Made	Date	Made By
v1.0	Completed and published	Oct-21	Regulatory Assurance / IM Service
v2.0	No changes made	Feb-23	Julie Quinn LIMO

CIRIT

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Action Boards	Spreadsheet of work and those assigned to each action	[withheld - s31]	Director of Investigations	1 file	Yes	No	Restricted to all CIRIT staff	No	Digital	Case Closed - 6 Years - Review	No	1	1	1 - Low
Forensic Reports	Forensic reports relating to investigations	[withheld - s31]	Director of Investigations	6 files	Yes	No	Restricted to all CIRIT staff	No	Digital	Case Closed - 6 Years - Review	No	3	1	3 - Low
Legislation	General Information on Legislative Issues	[withheld - s31]	Director of Investigations	2 files	Yes	No	Restricted to all CIRIT staff	DCMS	Digital	Case Closed - 6 Years - Review	No	1	1	1 - Low
Management Information	Spreadsheets - casework and workplans	[withheld - s31]	Director of Investigations	2 files	Yes	No	Restricted to all CIRIT staff	No	Digital	End of Financial Year - 6 Years - Review	No	1	1	1 - Low
Meetings	General Information and notes	[withheld - s31]	Director of Investigations	22 files	No	No	Restricted to all CIRIT staff	No	Digital	Last Action - 3 Years - Review	No	1	1	1 - Low
NIS List of DSP's	General Information and Mailshot	[withheld - s31]	Director of Investigations	70 files	Yes	No	Restricted to all CIRIT staff	No	Digital	Document Created - 6 Years - Review	No	3	1	3 - Low
CRIMSON	Case work	[withheld - s31]	Director of Investigations	2 sub-sites, 1 Library supporting circa.1,700 investigation files	Yes	No	Restricted to all CIRIT staff	No	Digital	3 years - review	No	3	1	3 - Low
Op.Gobi	Case work	[withheld - s31]	Director of Investigations	1 or 2 USB's OR 1 USB and 1 CD containing responses to Information Notice	No	No	All staff with access to [withheld - s31]	No	Physical	Case Closed - 6 Years - Review	No	1	1	1 - Low
Parking & Property Maintenance	Case work	[withheld - s31]	Director of Investigations	1 Level Arch File containing all casework documents from CMEH	No	No	All staff with access to [withheld - s31]	No	Physical	Last Action - 6 Years - Review	No	1	1	1 - Low
British Airways	Case work	[withheld - s31]	Director of Investigations	1 Level Arch File containing all casework documentation of correspondence between ICO and BA	Yes - basic identifiers	No	All staff with access to [withheld - s31]	No	Physical	Case Closed - 6 Years - Review	No	2	1	2 - Low

CIVIT

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Crimson - open case files	Case investigation files/records of case action management	[withheld - s31]	Director of Investigations	1 document library	Yes	Potentially - as the action management relates to cases references to relevant categories of scd may be included within uploaded evidence documents	Restricted to Investigations staff	No	Digital	Ongoing (dependent on case outcome)	No	3	1	3
Crimson - closed case files - no regulatory action	Case investigation files/records of case action management	[withheld - s31]	Director of Investigations	1 document library	Yes	Potentially - as the action management relates to cases, references to relevant categories of scd may be included within uploaded evidence documents	Restricted to Investigations staff	No	Digital	Case closed - 2 years - destroy	No	2	1	2
Crimson - closed case files - regulatory action	Case investigation files/records of case action management	[withheld - s31]	Director of Investigations	1 document library	Yes	Potentially - as the action management relates to cases, references to relevant categories of scd may be included within uploaded evidence documents	Restricted to Investigations staff	No	Digital	Case closed - 6 years - review	Yes	3	1	3
CMEH Legacy - closed case files no regulatory action	Case investigation files containing relevant documentation regarding closed cases	[withheld - s31]	Director of Investigations	1 document library	Yes	Yes - case files likely to include references to relevant categories of scd if relevant to investigations	Open to all ICO staff (read only)	No	Digital	Case closed - 2 years - destroy	No	2	1	2
CMEH Legacy - closed case files regulatory action taken	Case investigation files containing relevant documentation regarding closed cases where regulatory action has been taken	[withheld - s31]	Director of Investigations	1 document library	Yes	Yes - case files likely to include references to relevant categories of scd if relevant to investigations	Open to all ICO staff (read only)	No	Digital	Case closed - 6 years - review	Yes	3	1	3
[withheld - s31] - open case files ('Incidents' and 'Investigations')	Case investigation files containing relevant documentation regarding ongoing cases	[withheld - s31]	Director of Investigations	1 document library	Yes	Yes - case files likely to include references to relevant categories of scd if relevant to investigations	Restricted to Investigations staff	No	Digital	Ongoing (dependent on case outcome)	No	3	1	3
[withheld - s31] - closed case files ('Incidents' and 'Investigations') - no regulatory action	Case investigation files containing relevant documentation regarding closed cases where no regulatory action has been taken	[withheld - s31]	Director of Investigations	1 document library	Yes	Yes - case files likely to include references to relevant categories of scd if relevant to investigations	Restricted to Investigations staff	No	Digital	Case closed - 2 years - destroy	No	2	1	2
[withheld - s31] - closed case files ('Incidents' and 'Investigations') - regulatory action taken	Case investigation files containing relevant documentation regarding closed cases where regulatory action has been taken	[withheld - s31]	Director of Investigations	1 document library	Yes	Yes - case files likely to include references to relevant categories of scd if relevant to investigations	Restricted to Investigations staff	No	Digital	Case closed - 6 years - review	Yes	3	1	3
Team training materials	Internal team training materials, including mentoring resources, new starter training documents, GDPR refresher session resources	[withheld - s31]	Director of Investigations	3 folders	No	No	Restricted to Investigations staff	No	Digital	Superseded - 6 years - destroy	No	1	1	1
Civil Team admin spreadsheets	Internal case related admin/management information spreadsheets, including officer case trackers, reporting and output spreadsheets, case flags and risk assessment spreadsheets	[withheld - s31]	Director of Investigations	3 folders	Yes	No	Restricted to Investigations staff	No	Digital	Last Action - 2 years - destroy	No	2	1	2
General team resources	Internal team resources including team template letters, policy advice library, administrative penalty process documents	[withheld - s31]	Director of Investigations	3 folders	Yes	No	Restricted to Investigations staff	No	Digital	Last Action - 3 Years Review Business Need	No	2	1	2
Hard copy materials relating to open cases	Case related information, including officer working documents/notes, DC hard copy responses and supporting documents etc.	[withheld - s31]	Director of Investigations	2 storage cabinets	Yes	Yes - case files likely to include references to relevant categories of scd if relevant to investigations	Restricted to Investigations staff	No	Physical	Ongoing (dependent on case outcome)	No	3	1	3
Sensitive hard copy materials relating to closed cases where no regulatory action taken	Case related information, including officer working documents/notes, DC hard copy responses and supporting documents etc.	[withheld - s31]	Director of Investigations	5 boxes (approx.)	Yes	Yes - case files likely to include references to relevant categories of scd if relevant to investigations	Restricted to Investigations staff	No	Physical	Case closed - 2 years - destroy	No	2	1	2
Sensitive hard copy materials relating to closed cases where regulatory action taken	Case related information, including officer working documents/notes, DC hard copy responses and supporting documents etc.	[withheld - s31]	Director of Investigations	6 boxes (approx.)	Yes	Yes - case files likely to include references to relevant categories of scd if relevant to investigations	Restricted to Investigations staff	No	Physical	Case closed - 6 years - review	Yes	3	1	1

Document Control	
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Version Control			
Version	Changes Made	Date	Made By
v1.0	Completed and published	Jul-21	CIVIT / IM Service
v2.0	Annual review - update to the approx number of boxes housing sensitive hard copy materials (rows 14 and 15)	05/12/2022	[personal data]

Codes of Conduct

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Passes see 'Risk Assessment' tab for further guidance
Codes of conduct – Undergoing assessment	Correspondence, documents, supporting evidence, evaluations, assessments related to proposed codes of conduct being submitted for approval.	[withheld - s31]	Director of Regulatory Assurance	12 folders each relating to a separate code of conduct. Several hundred items	No	No	Read access to all. Contribute access to codes/certs team	Yes	Digital	From last action - 12 months - review	No	3	1	3
Codes of conduct - Approved	Correspondence, documents, supporting evidence, evaluations, assessments, update documentation and annual reviews, related to approved codes of conduct.	[withheld - s31]	Director of Regulatory Assurance	Folders each relating to a separate code of conduct. 0 held at present.	No	No	Read access to all. Contribute access to codes/certs team	Yes	Digital	From code of conduct being superseded or retired - 6 years - delete	No	3	1	3
Monitoring bodies – Undergoing application	Initial correspondence, documents, application forms and supporting evidence, assessments and evaluations related to applications for monitoring body status that have not been finalised or who's application have become inactive.	[withheld - s31]	Director of Regulatory Assurance	12 folders each relating to a separate engagement. Several hundred items	No	No	Read only access to all. Contribute access to codes/certs team	Yes	Digital	From last action - 12 months - review	No	3	1	3
Monitoring bodies –Approved	Initial and ongoing correspondence, documents, application forms and supporting evidence, assessments and evaluations, related to application for, and ongoing maintenance of, monitoring body status that have been successful.	[withheld - s31]	Director of Regulatory Assurance	12 folders each relating to a separate engagement. Several hundred items	No	No	Read access to all. Contribute access to codes/certs team	Yes	Digital	From the date of the end of an organisation being a monitoring body - 6 years - delete	No	2	1	2
Service / departmental delivery work	Departmental correspondence, legal advice, admin, briefings, EDPH documents, accreditation requirements and toolkits, process documents and templates, and training/awareness materials.	[withheld - s31]	Director of Regulatory Assurance	7 folders with several hundred documents	No	No	Read access to all. Contribute access to codes/certs team	No	Digital	Training Materials Superseded - 6 years - review Guidance for External Use Superseded - 6 years - review All others Last Action - 3 years - review	No	3	1	3

Document Control	
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v1.0	Completed and published	Oct-21	Regulatory Assurance / IM Service
v2.0	No changes made	Feb-23	Julie Quinn LIMO

Commercial Legal

Name of asset	Description NB: Information contained here may be privileged	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access NB: All information in Commercial Legal is restricted/ Paper copies held in a secure safe with restrictive access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Contracts	Copies of agreements and related legal advice / Contract Registers and Contract Reviews	[withheld - s31]	Director of the Legal Services (Regulatory Advice & Commercial)	537 folders and 148 single documents on [withheld - s31] Hard copies in [withheld - s31] (volume unknown)	Yes	Yes - data includes disability and criminal records information	Access restricted to Commercial Legal staff and ET	Yes - shared with DCMS and details of contracts over £10,000 are published on the ICO and/or Find a Tender website. Any information subject to legal privilege is not shared.	Digital / Physical	6 years from the end of contract - Review	No	2	1	2-Low
Property Law	Building leases, licences, communication with regard to properties held by the ICO, legal advice	[withheld - s31]	Director of the Legal Services (Regulatory Advice & Commercial)	32 folders containing various files re properties held/ Hard copies in [withheld - s31]	Yes	No	Access restricted to Commercial Legal staff and ET	Yes - may be shared with DCMS or other government departments	Digital / Physical	12 years from the end of contract - Review	No	2	1	2-Low
MoUs	Legal Advice (Privileged)	[withheld - s31]	Director of the Legal Services (Regulatory Advice & Commercial)	1 folder	Yes	No	Restricted, available on the 'need to know' basis	Yes - published on the ICO website	Digital/Physical	6 years from the end of understanding - destroy	No	2	1	2-Low
Non Disclosure Agreements	Agreements, legal advice in relation to NDAs and contracts	[withheld - s31]	Director of the Legal Services (Regulatory Advice & Commercial)	204 folders	Yes	No	Restricted, available on the 'need to know' basis	No	Digital / Physical	2 years from last action - Review	No	1	1	1-Low
Delegated Authorities	Delegated powers and functions of the Commissioner and related legal advice	[withheld - s31]	Director of the Legal Services (Regulatory Advice & Commercial)	20 folders plus over 300 single documents in Admin and Index document library	Yes	No	Restricted, available on the 'need to know' basis	Yes - May be shared with external legal advisors	Digital / Physical	6 years (end of Commissioner's Term)	Yes	1	1	2-Low
Supplier Approvals	Detailed information about suppliers, communication and legal advice to ensure compliance with Procurement Policy	[withheld - s31]	Director of the Legal Services (Regulatory Advice & Commercial)	177 folders	Yes	No	Restricted, available on the 'need to know' basis	No	Digital	6 years from last action - Review	No	1	1	1-Low
General Legal Advice	Record of correspondence with stakeholders and general legal advice	[withheld - s31]	Director of the Legal Services (Regulatory Advice & Commercial)	127 (folders and single documents)	Yes	No	Restricted, available on the 'need to know' basis	No	Digital	6 years from last action - Review	No	2	1	2-Low
FOI Requests-Admin	Responses in relation to request for information	[withheld - s31]	Director of the Legal Services (Regulatory Advice & Commercial)	12 folders	Yes	No	Restricted, available on the 'need to know' basis	No	Digital	6 years from last action - Review	No	2	1	2-Low
Work Management Log	List of instructions / tasks received/ summary of advice and progress of matter.	[withheld - s31]	Director of the Legal Services (Regulatory Advice & Commercial)	2 spreadsheets	Yes	No	Restricted, available on the 'need to know' basis	No	Digital	3 years from last action Review	No	2	1	2-Low
Intellectual Property, Copyrights and Trademarks	General legal advice and correspondence	[withheld - s31]	Director of the Legal Services (Regulatory Advice & Commercial)	98 folders and over 400 single files	Yes	No	Restricted, available on the 'need to know' basis	No	Digital	6 years from last action - Review	No	2	1	2-Low
Team and Directorate Meetings Minutes	Recorded minutes from periodic meetings	[withheld - s31]	Director of the Legal Services (Regulatory Advice & Commercial)	15 single documents	Yes	No	Restricted, available on the 'need to know' basis	No	Digital	3 years from last action - Review	No	2	1	2 - Low
Legal Resources	Library lists, LION (Legal Info Online Network 2017) / Books in a secure cabinet	[withheld - s31]	Director of the Legal Services (Regulatory Advice & Commercial)	21 single documents	Yes	No	Restricted, available on the 'need to know' basis	No	Digital / Physical	Superseded - 6 years review	No	1	1	1-Low
Licenses	Non-property licences	[withheld - s31]	Director of the Legal Services (Regulatory Advice & Commercial)	4 single documents	Yes	No	Restricted, available on the 'need to know' basis	No	Digital	TBC	No	1	1	1-Low
Dataflow Mapping Project 2020-21	Project information re contract management and procurement policy.	[withheld - s31]	Director of the Legal Services (Regulatory Advice & Commercial)	39 single documents (live project, docs being added)	Yes	No	Restricted, available on the 'need to know' basis	No	Digital	3 years from last action - Review	No	2	1	2-Low
Templates	Internal correspondence and legal discussion around template legal documents	[withheld - s31]	Director of the Legal Services (Regulatory Advice & Commercial)	23 folders/single documents	No	No	Restricted, available on the 'need to know' basis	No	Digital	6 years from last action - Review	No	1	1	1-Low

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v1.0	Completed and published	Jul-21	Commercial Legal / IM service
v2.0	Annual review completed - no changes to be made	13-Dec-22	Commercial Legal / [personal data]

Comms

Document Control	
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v1.0	Completed and published.	Jul-21	Communications Directorate/IM Service
v2.0	Annual review - Com2 renamed ICO60	Dec-22	[Personal Data]

Corporate Governance

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Documents from Corporate Governance meetings	Agendas, reports, minutes and other supporting information from the various decision-making forums which Corporate administrators.	[withheld - s31]	Director of Corporate Planning, Risk and Governance	25 document libraries	Yes	No	Restricted to Corporate Governance staff	No	Digital	Minutes Agreed - 6 years - review	Yes	1	1	1
Archived information from CG meetings, held [withheld - s31]	Archived information from past corporate governance meetings - understand that this goes back to prior to the move to [withheld - s31]	[withheld - s31]	Director of Corporate Planning, Risk and Governance	Unknown, but relatively small amount	Yes	No	Restricted to Corporate Governance staff	No	Physical	Minutes Agreed - 6 years - review	Yes	1	1	1
Documents from generation of annual report	Draft versions of reports or report sections, emails regarding queries, issues, comments or logistics for production or laying of report.	[withheld - s31]	Director of Corporate Planning, Risk and Governance	One document library	Yes	No	Restricted to Corporate Governance staff	No	Digital	6 years - review	No	1	1	1
Subset of annual report information - data relating to Management Board pay	The annual report includes information about the pay of Executive Team and Non-Exec Directors. There is some background information held on this, although the vast majority (including actual figures) is held by HR.	[withheld - s31]	Director of Corporate Planning, Risk and Governance	One document library	Yes	Yes	Restricted to Corporate Governance staff	No	Digital	6 years - review	No	2	1	2
Business continuity information	Our business continuity plans and supporting documents (recovery plans etc). One version of the plan includes phone numbers of staff at Dept Head level and above, and hard copies of this are provided to members of the BC team. That is controlled through a register to ensure clarity of who has these copies.	[withheld - s31]	Director of Corporate Planning, Risk and Governance	One document library	Yes	No	Restricted to Corporate Governance staff. People are able to print off hard copies of the plan, including personal mobile phone numbers, but must inform Corporate Governance if they do so and we keep a log.	No	Digital and Physical	Superseded - 3 years - review	No	2	1	2
Scheme of delegation, terms of reference and similar documents.	Current and past versions of schemes of delegation and similar documents. The only personal data included is the Commissioner's signature on copies of the Scheme of Delegation.	[withheld - s31]	Director of Corporate Planning, Risk and Governance	One document library	Yes	No	Open to all ICO staff	No	Digital	3 years - review	Yes	1	1	1
Risk register	Current and past versions of the risk register, as well as some evidence documents of updates to the risk register.	[withheld - s31]	Director of Corporate Planning, Risk and Governance	One document library	No	No	Open to all ICO staff	No	Digital	Superseded - 3 years - review	No	1	1	1
Speaking Engagement requests and outcomes	A group of spreadsheets recording speaking engagement requests which we have received, including various names and company details.	[withheld - s31]	Director of Corporate Planning, Risk and Governance	One document library	Yes	No	Restricted to Corporate Governance staff	No	Digital	3 years - review	No	1	1	1
Memoranda of Understanding	Final copies of MoUs with other organisations. Working documents for these are held by the Departments which develop them. Contain signatures of the signatories (one ICO person, one person from the other organisation).	[withheld - s31]	Director of Corporate Planning, Risk and Governance	Two document libraries	Yes	No	Open to all ICO staff	No	Digital	End of Understanding - 6 years - destroy	No	1	1	1

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v1.0	Completed and published	Jul-21	IM Service / Corporate Governance
v2.0	Annual review	Nov-22	Update no of doc libraries in D2. Added clarification that HR have figures in B5. Updated physical copies of Business Continuity plan in H6.

Criminal Team

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Criminal Property Register	Details policy and property seized by the Criminal Team, including any subsequent disposal	[withheld - s31]	Director of Investigations	One document library	Yes	No	Restricted to members of the Criminal Team	No	Digital	Last action - 12 months - review	No	1	1	1
Equipment Log	Details equipment held by the Criminal Team	[withheld - s31]	Director of Investigations	One document library	No	No	Restricted to members of the Criminal Team	No	Digital	Last action - 12 months - review	No	1	1	1
Policy and Procedures	Contains policies, investigation templates and rotas	[withheld - s31]	Director of Investigations	One document library	Yes	No	Restricted to members of the Criminal Team	No	Digital	Last action - 3 years - review	No	1	1	1
Templates	Contains template documents	[withheld - s31]	Director of Investigations	One document library	No	No	Restricted to members of the Criminal Team	No	Digital	Last action - 3 years - review	No	1	1	1
Incidents	Contains material relating to specific incidents	[withheld - s31]	Director of Investigations	Nine document libraries [withheld - s31] One document library [withheld - s31]	Yes	Yes, cases may contain material relating to racial or ethnic origin, political opinions, religious beliefs, trade union membership, health, sex life and sexual orientation	Restricted to members of the Criminal Team	Yes. Information may be shared with external legal counsel/other agencies	Digital	Case closed - 6 years. Review.	Yes	2	1	2
Investigations	Contains material relating to specific investigations	[withheld - s31]	Director of Investigations	Six document libraries [withheld - s31] One document library [withheld - s31]	Yes	Yes, cases may contain material relating to racial or ethnic origin, political opinions, religious beliefs, trade union membership, health, sex life and sexual orientation	Restricted to members of the Criminal Team. Access to the secure store is restricted but is available to other investigation teams.	Yes. Information may be shared with external legal counsel/other agencies	Digital and physical	Case closed - 6 years. Review.	Yes	2	1	2
Directed Surveillance	Contains material pertaining to directed surveillance including inspection reports	[withheld - s31]	Director of Investigations	Seven document libraries	Yes	No	Restricted to members of the Criminal Team	No	Digital	Case closed - 6 years. Review.	No	2	1	2
Disclosure	Disclosure documents relating to two investigations	[withheld - s31]	Director of Investigations	Two document libraries	Yes	No	Restricted to members of the Criminal Team	Yes. Information may be shared with external legal counsel/other agencies	Digital	Case closed - 6 years. Review.	No	2	1	2
Management	Contains material relating to staff, MI reporting and general management information	[withheld - s31]	Director of Investigations	Twelve document libraries	Yes	No	Restricted to managers in the Criminal Team	No	Digital	End of financial year - 6 years - review	No	2	1	2
Op Howick	An ICO response to the General Election	[withheld - s31]	Director of Investigations	Thirteen document libraries	Yes	Yes, cases may contain material relating to racial or ethnic origin, political opinions, religious beliefs, trade union membership, health, sex life and sexual orientation	Restricted to investigations staff who worked on the Operation	Yes. Information may be shared with other agencies including the Electoral Commission	Digital	Case closed - 6 years. Review.	Yes	2	1	2
Op Pelham	An ICO Criminal Investigation	[withheld - s31]	Director of Investigations	Fifty One document libraries	Yes	Yes, cases may contain material relating to racial or ethnic origin, political opinions, religious beliefs, trade union membership, health, sex life and sexual orientation	Restricted to members of the Criminal Team	Yes. Information may be shared with external legal counsel/other agencies	Digital	Case closed - 6 years. Review.	Yes	2	1	2
Recordings	These are recordings of criminal interviews conducted using Teams	[withheld - s31]	Director of Investigations	One document library	Yes	Yes, cases may contain material relating to racial or ethnic origin, political opinions, religious beliefs, trade union membership, health, sex life and sexual orientation	Restricted to members of the Criminal Team	Yes. Information may be shared with external legal counsel	Digital	Case closed - 6 years. Review.	No	2	1	2
Investigation Manual	Contains a copy of the ICO Investigations Manual and appendix	[withheld - s31]	Director of Investigations	Two document libraries	No	No	Restricted to members of the Criminal Team	No	Digital	Last action - 12 months review	No	1	1	1
Closed cases list	Contains links to Op Spruce disclosure and an action	[withheld - s31]	Director of Investigations	Two document libraries	No	No	Restricted to members of the Criminal Team	No	Digital	Case closed - 6 years. Review.	No	1	1	1
CD Acquisition	Contains files, statements, logs and applications pertaining to communications data	[withheld - s31]	Director of Investigations	Fifteen document libraries	Yes	No	Restricted to members of the Criminal Team and the manager of the CD	Yes, information is shared with OCDA and IPCO	Digital	Case closed - 6 years. Review.	No	2	1	2
Forensics	Contains a spreadsheet relating to forensic submissions	[withheld - s31]	Director of Investigations	One document library	No	No	Restricted to members of the Criminal Team	No	Digital	Case closed - 6 years. Review.	No	1	1	1
Financial Recovery Unit - Criminal Investigations	Contains material pertaining to POCA enquiries/investigations	[withheld - s31]	Director of Investigations	Fifteen document libraries	Yes	No	Restricted to members of the Criminal and FRU Teams	Yes, information may be exchanged with partner agencies who support the POCA investigations	Digital	Case closed - 6 years. Review.	No	2	1	2
Prosecutions Scotland	Contains material relating to applications to the COPFS	[withheld - s31]	Director of Investigations	Nine document libraries	Yes	No	Restricted to members of the Criminal Team	Yes, information may be shared with COPFS	Digital	Case closed - 6 years. Review.	No	2	1	2
Operation Motorman	Investigation material pertaining to Motorman and the Consulting Association. Material relating to the Leveson Inquiry and matters arising from Motorman	[withheld - s31]	Director of Investigations	One Document library	Yes	Yes, cases may contain material relating to racial or ethnic origin, political opinions, religious beliefs, trade union membership, health, sex life and sexual orientation	Restricted to members of the Criminal Team. Access to the secure store is restricted but is available to other investigation teams.	Yes, material may be shared with IA.	Physical	Case closed - 6 years. Review.	Yes	1	2	2

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v1.0	Completed and published.	Jul-21	CRIMINV / IM service
v2.0	Annual review complete. No changes.	Dec-22	[personal data]

Cyber Security Service

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Cyber Security site	ISMS documents and records (OFFICIAL - ORG USE ONLY)	[withheld - s31]	Director of Digital, IT & Business Services	10 document libraries	Yes	No	Open	No	Electronic	Last Action - 6 years	No	1	1	1
Cyber Security site (RA)	ISMS documents and records (OFFICIAL - SENSITIVE)	[withheld - s31]	Director of Digital, IT & Business Services	4 document libraries	Yes	No	Restricted	No	Electronic	Last Action - 6 years	No	2	1	2
Dark Invader	OSINT services	[withheld - s31]	Director of Digital, IT & Business Services	N/A	Yes	No	Restricted	No	Electronic	Last Action - 6 years	No	1	1	1
MyNCSC	Active Cyber Defence services	[withheld - s31]	Director of Digital, IT & Business Services	N/A	No	No	Restricted	No	Electronic	Last Action - 6 years	No	1	1	1

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Version	Changes Made	Date	Made By
v1.0	Completed and published	Jul-21	Cyber Security / IM Service
v1.1	Update on review	Dec-22	Steven Rook
v1.2	Update on review	Mar-23	[personal data]

Data Protection Fees

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Cheque Payments	All cheques sent by post are opened and scanned by third party company called Excella Pre March 20 Cheques were batched and paperwork retained in their processing batches.	[withheld - s31]	Director of Digital, IT and Customer Services	Updating figure daily	Yes	No	Accessed by DP Fees team with a Licence	No	Digital Physical	Digital Scans Process date - 9 months - destroy Physical batches of cheque processing Date of payment - 2 years - destroy	No	3	2	3
Direct Debits	All payments made by direct debit are either sent by post and opened and scanned by Restore or they are sent via email Pre March 20 all DD whether postal or email were batched and paperwork retained in their processing batches.	[withheld - s31]	Director of Digital, IT and Customer Services	Updating figure daily	Yes	No	[withheld - s31] is limited to DP Fees [withheld - s31] is viewed by all staff	No	Digital Physical	Digital Scans Process date - 9 months - destroy [withheld - s31] 12 months - destroy [withheld - s31] 2 years - destroy Physical batches of processed DD - 2 years	No	3	1	3
Changes and Removal requests	All changes and removal requests which the office receives will come either as email or postal.	[withheld - s31]	Director of Digital, IT and Customer Services	2 cupboards in the office for physical records Updating figure daily for [withheld - s31]	Yes	No	Physical copy and [withheld - s31] is viewed by DP Fees staff. [withheld - s31] is viewed by all staff	No	Digital Physical	Physical copies Date of payment - 2 years - destroy Emails in [withheld - s31] - Lapsed registration 2 years - destroy [withheld - s31] Process date - 9 months - destroy	No	2	1	2
Correspondence sent by ICO	Copies of all application and renewal reminders.	[withheld - s31]	Director of Digital, IT and Customer Services	2 libraries in [withheld - s31] [withheld - s31] updating figure daily	Yes	No	[withheld - s31] are viewed by all staff	No	Digital	Lapsed registration - 2 years - destroy	No	2	1	2
Guidance Notes, Templates and Policy and Procedures	All guidance notes, policies and procedures. Master copies of Staff Rotas. Also blank copies of campaign letters and reminder correspondence	[withheld - s31]	Director of Digital, IT and Customer Services	8 libraries	Yes	No	[withheld - s31] is viewed by all Staff	No	Digital	Guidance notes Date withdrawn - 6 years - destroy All other documents Last action - 3 year - review	No	1	1	1
Registration records for each registered DC	All records relating to registration for each DC	[withheld - s31]	Director of Digital, IT and Customer Services	Updating figure daily	Yes	No	[withheld - s31] is viewed by all Staff	Yes	Digital	Lapsed registration - 2 years - destroy	No	3	1	3
Performance Files	Skills Matrix of staff - internal job profiles and objectives	[withheld - s31]	Director of Digital, IT and Customer Services	1 library	Yes	No	D Fees Line managers library is restricted access	No	Digital	Last action - 2 years - destroy	No	1	1	1
Research to ensure all organisations who should be registered are registered	Spreadsheet	[withheld - s31]	Director of Digital, IT and Customer Services	1 library	No	No	[withheld - s31] is viewed by all Staff	No	Digital	Last action - 6 years - review	No	1	1	1
Non Registration	Spreadsheet and copy letters/emails sent to organisations who have been referred to us an not being registered	[withheld - s31]	Director of Digital, IT and Customer Services	1 library	Yes	No	[withheld - s31] is viewed by all Staff	No	Digital	2 years	No	2	1	2
The Tracker	Database of companies who have contacted us as a result of the mailing campaign work. This contains Company House information and reason for exemption from paying the fee and campaign name	[withheld - s31]	Director of Digital, IT and Customer Services	1 tracker for all companies included in the mailing campaigns	No	No	Available for all staff to view and edit the information	No	Digital	6 years	No	2	1	2
Payment & Penalties Referrals	Spreadsheet with referrals to Solicitor for collection of monetary penalty for organisations who failed to respond to a PN	[withheld - s31]	Director of Digital, IT and Customer Services	1 library	Yes	No	Restricted Access	Yes	Digital	6 years	No	3	1	3
Rotas & Annual Leave	Spreadsheets with Rota and Annual Leave information	[withheld - s31]	Director of Digital, IT and Customer Services	1 library	Yes	No	[withheld - s31] is viewed by all Staff	Yes	Digital	12 months	No	3	1	3
Training	Training Documents for DP Fees	[withheld - s31]	Director of Digital, IT and Customer Services	1 library	Yes	No	[withheld - s31] is viewed by all Staff	Yes	Digital	6 years	No	3	1	3
NIS Register	Documents relating to NIS and the Register of RDSP's under NIS	[withheld - s31]	Director of Digital, IT and Customer Services	1 library	Yes	No	[withheld - s31] is viewed by all Staff	Yes	Digital	Last action - 6 year review	No	3	1	3

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v1.0	Completed and published	01 July 2021	DP fees / IM Service
v2.0	Annual Review - All [withheld - s31] information updated	16 December 2022	David Tredwen

Digital and IT architecture

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Product documentation	Architecture diagrams and other technical documentation	[withheld - s31]	Director of Digital, IT and Business Services	[withheld s31]	No	No	Open to all ICO staff (read only)	Yes	Digital	End of System Life - 12 months - Review	No	2	1	2
Website technical documentation	User stories, design decisions and acceptance criteria for website developments	[withheld - s31]	Director of Digital, IT and Business Services	>500 pages	Yes	No	Project and Support Team	Yes, shared with website development and support supplier	Digital	End of System Life - 12 months - Review	No	2	1	2
ICE Product documentation	Architecture diagrams and other technical documentation	[withheld - s31]	Director of Digital, IT and Business Services	[withheld s31]	No	No	Project Team	Yes, Shared with Kainos	Digital	End of System Life - 12 months - Review	No	2	1	2
ICE technical documentation	User stories, design decisions and acceptance criteria, WIKI's, Knowledge Base, Boards and Backlogs	[withheld - s31]	Director of Digital, IT and Business Services	>500 pages	No	No	Project and Support Team	Yes, Shared with Kainos	Digital	End of System Life - 12 months - Review	No	2	1	2
ICO Data Warehouse Documentation	ICO Data Warehouse Design Specification	[withheld - s31]	Director of Digital, IT and Business Services	>50 pages	No	No	Open to all ICO staff (read only)	Yes	Digital	End of System Life - 12 months - Review	No	2	1	2

Economic Analysis

Document Control	
Version Number	v2.0
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Author/Owner	Economic Analysis Directorate
Date of Sign off	Oct-21
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Security Classification	Official

Version Control			
Version	Changes Made	Date	Made By
v1.0	Completed and published	Nov-22	Economic analysis / Im Service
v2.0	Completed and published	Feb-23	Economic analysis / Im Service

eIDAS

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Service / departmental delivery work	Departmental correspondence, meeting notes, public guidance, planning and tracking documents, training and awareness materials.	[withheld - s31]	Director of Regulatory Assurance	Under 100 items.	No	No	Access restricted to the eIDAS team.	Yes	Digital	Guidance for External Use Superseded - 6 years - review All others Last Action - 3 years - review	No	1	1	1
eIDAS process and operational documentation	Relevant departmental correspondence, legal advice, and operations manual (inc. accreditation requirements, accreditation process documents and templates, incident investigation/response flows and processes).	[withheld - s31]	Director of Regulatory Assurance	Several hundred items.	No	No	Access restricted to the eIDAS team.	Yes	Digital	Legal Advice - Last action – 6 years – review Internal Guidance and Lines to Take Date withdrawn – 6 years – destroy All others Last Action - 3 years - review	No	3	1	3
Trust Service Providers - Applications for Qualified status	Documents, correspondence and meeting notes, notification, assessment/evaluation and supporting evidence, relating to an application for Qualified status by a Trust Service Provider.	[withheld - s31]	Director of Regulatory Assurance	Folders of individual TSPs. 1 currently held.	No	No	Access restricted to the eIDAS team.	Yes	Digital	From the failure or abandonment of the application - 6 Years - delete	No	2	1	2
Qualified Trust Service Providers	Documents and records from the original application and granting of Qualified status to a Trust Service Provider, and subsequent reporting/notifications received from the organisation.	[withheld - s31]	Director of Regulatory Assurance	Folders of individual QTSPs. 0 currently held.	No	No	Access restricted to the eIDAS team.	Yes	Digital	From the completion of Qualified Trust Service Provider status termination - 6 years - delete	No	3	1	2
eIDAS security incidents	Documents and correspondence relating to reports, investigations, audits, action and outcomes of security incidents reported by a QTSP.	[withheld - s31]	Director of Regulatory Assurance	Currently 0 records held.	No	No	Access restricted to the eIDAS team.	Yes	Digital	From closure of the incident - 6 years - review	No	3	1	3

Document Control	
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v1.0	Completed and published	Oct-21	Regulatory Assurance / IM Service
v2.0	No changes made	Feb-23	Julie Quinn LIMO

Enterprise

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation ?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further
Amazon	Records of engagement, correspondence, internal correspondence and analysis documents, advice provided, briefing docs, and stakeholder overviews, including media profiles	[withheld - s31]	Director of Regulatory Futures and Innovation	4 document libraries	Yes	No	Enterprise Members - Contribute Enterprise Owners - Full Control Enterprise Visitors - Read	No	Outlook email files, PDFs, MS Word, MS Excel	Last action - 6 years - review	Yes	2	1	2
Apple	Records of engagement, correspondence, internal correspondence and analysis documents, advice provided, briefing docs, and stakeholder overviews, including media profiles	[withheld - s31]	Director of Regulatory Futures and Innovation	5 document libraries (1 library is temporary and will be deleted by the end of Feb 2022; IAR to be updated once this is done)	Yes	No	Enterprise Members - Contribute Enterprise Owners - Full Control Enterprise Visitors - Read	No	Outlook email files, PDFs, MS Word, MS Excel	Last action - 6 years - review	Yes	2	1	2
Google	Records of engagement, correspondence, internal correspondence and analysis documents, advice provided, briefing docs, and stakeholder overviews, including media profiles	[withheld - s31]	Director of Regulatory Futures and Innovation	5 document libraries (1 library is temporary and will be deleted by the end of Feb 2022; IAR to be updated once this is done)	Yes	No	Enterprise Members - Contribute Enterprise Owners - Full Control Enterprise Visitors - Read	No	Outlook email files, PDFs, MS Word, MS Excel	Last action - 6 years - review	Yes	2	1	2
Meta	Records of engagement, correspondence, internal correspondence and analysis documents, advice provided, briefing docs, and stakeholder overviews, including media profiles	[withheld - s31]	Director of Regulatory Futures and Innovation	5 document libraries (1 library is temporary and will be deleted by the end of Feb 2022; IAR to be updated once this is done)	Yes	No	Enterprise Members - Contribute Enterprise Owners - Full Control Enterprise Visitors - Read	No	Outlook email files, PDFs, MS Word, MS Excel	Last action - 6 years - review	Yes	2	1	2
Microsoft	Records of engagement, correspondence, internal correspondence and analysis documents, advice provided, briefing docs, and stakeholder overviews, including media profiles	[withheld - s31]	Director of Regulatory Futures and Innovation	5 document libraries (1 library is temporary and will be deleted by the end of Feb 2022; IAR to be updated once this is done)	Yes	No	Enterprise Members - Contribute Enterprise Owners - Full Control Enterprise Visitors - Read	No	Outlook email files, PDFs, MS Word, MS Excel	Last action - 6 years - review	Yes	2	1	2
Snap	Records of engagement, correspondence, internal correspondence and analysis documents, advice provided, briefing docs, and stakeholder overviews, including media profiles	[withheld - s31]	Director of Regulatory Futures and Innovation	5 document libraries (1 library is temporary and will be deleted by the end of Feb 2022; IAR to be updated once this is done)	Yes	No	Enterprise Members - Contribute Enterprise Owners - Full Control Enterprise Visitors - Read	No	Outlook email files, PDFs, MS Word, MS Excel	Last action - 6 years - review	Yes	2	1	2
TikTok	Records of engagement, correspondence, internal correspondence and analysis documents, advice provided, briefing docs, and stakeholder overviews, including media profiles	[withheld - s31]	Director of Regulatory Futures and Innovation	4 document libraries	Yes	No	Enterprise Members - Contribute Enterprise Owners - Full Control Enterprise Visitors - Read	No	Outlook email files, PDFs, MS Word, MS Excel	Last action - 6 years - review	Yes	2	1	2
Twitter	Records of engagement, correspondence, internal correspondence and analysis documents, advice provided, briefing docs, and stakeholder overviews, including media profiles	[withheld - s31]	Director of Regulatory Futures and Innovation	5 document libraries (1 library is temporary and will be deleted by the end of Feb 2022; IAR to be updated once this is done)	Yes	No	Enterprise Members - Contribute Enterprise Owners - Full Control Enterprise Visitors - Read	No	Outlook email files, PDFs, MS Word, MS Excel	Last action - 6 years - review	Yes	2	1	2

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation ?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further
DCMS Engagement	Records of engagement, correspondence, internal documents, advice provided, briefing docs, and presentations	[withheld - s31]	Director of Regulatory Futures and Innovation	2 document libraries	Yes	No	Enterprise Members - Contribute Enterprise Owners - Full Control Enterprise Visitors - Read	No	Outlook email files, PDFs, MS Word, MS Excel	Last action - 6 years - review	Yes	2	1	2
Internal OSB Working Group	Records of engagement, correspondence, internal documents, advice provided, briefing docs, and presentations	[withheld - s31]	Director of Regulatory Futures and Innovation	2 document libraries	Yes	No	Enterprise Members - Contribute Enterprise Owners - Full Control Enterprise Visitors - Read	No	Outlook email files, PDFs, MS Word, MS Excel	Last action - 6 years - review	Yes	2	1	2
Ofcom engagement and joint work	Records of engagement, correspondence, internal documents, advice provided, briefing docs, and presentations	[withheld - s31]	Director of Regulatory Futures and Innovation	4 document libraries	Yes	No	Enterprise Members - Contribute Enterprise Owners - Full Control Enterprise Visitors - Read	No	Outlook email files, PDFs, MS Word, MS Excel	Last action - 6 years - review	Yes	2	1	2
DRCF E2EE Workstream	Records of engagement, correspondence, internal documents, advice provided, briefing docs, and presentations	[withheld - s31]	Director of Regulatory Futures and Innovation	3 document libraries	Yes	No	Enterprise Members - Contribute Enterprise Owners - Full Control Enterprise Visitors - Read	No	Outlook email files, PDFs, MS Word, MS Excel	Last action - 6 years - review	Yes	2	1	2
Online Safety archived docs	Records of engagement, correspondence, internal documents, advice provided, briefing docs, and presentations	[withheld - s31]	Director of Regulatory Futures and Innovation	1 document library	Yes	No	Enterprise Members - Contribute Enterprise Owners - Full Control Enterprise Visitors - Read	No	Outlook email files, PDFs, MS Word, MS Excel	Last action - 6 years - review	Yes	2	1	2

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further
Competition	Records of engagement, correspondence, internal correspondence and analysis documents, advice provided, briefing docs, and presentations	[withheld - s31]	Director of Regulatory Futures and Innovation	5 document libraries	Yes	No	Enterprise Members - Contribute Enterprise Owners - Full Control Enterprise Visitors - Read	No	Outlook email files, PDFs, MS Word, MS Excel	Last action - 6 years - review	Yes	2	1	2
Regulatory Cooperation	Records of engagement, correspondence, internal correspondence and analysis documents, advice provided, briefing docs, and presentations	[withheld - s31]	Director of Regulatory Futures and Innovation	14 document libraries	Yes	No	Enterprise Members - Contribute Enterprise Owners - Full Control Enterprise Visitors - Read	No	Outlook email files, PDFs, MS Word, MS Excel	Last action - 6 years - review	Yes	2	1	2
Consultation Responses	Records of responses to consultations	[withheld - s31]	Director of Regulatory Futures and Innovation	1 document library	Yes	No	Enterprise Members - Contribute Enterprise Owners - Full Control Enterprise Visitors - Read	No	Outlook email files, PDFs, MS Word, MS Excel	Last action - 6 years - review	Yes	2	1	2
Finance	Records of engagement, correspondence, internal correspondence and analysis documents, advice provided, briefing docs, and presentations	[withheld - s31]	Director of Regulatory Futures and Innovation	7 document libraries	Yes	No	Enterprise Members - Contribute Enterprise Owners - Full Control Enterprise Visitors - Read	No	Outlook email files, PDFs, MS Word, MS Excel	Last action - 6 years - review	Yes	2	1	2
Briefing and Messaging	Records of engagement and briefing documents	[withheld - s31]	Director of Regulatory Futures and Innovation	2 document libraries	Yes	No	Enterprise Members - Contribute Enterprise Owners - Full Control Enterprise Visitors - Read	No	Outlook email files, PDFs, MS Word, MS Excel	Last action - 6 years - review	Yes	2	1	2
Archive	Archived documents and correspondence	[withheld - s31]	Director of Regulatory Futures and Innovation	1 document library	Yes	No	Enterprise Members - Contribute Enterprise Owners - Full Control Enterprise Visitors - Read	No	Outlook email files, PDFs, MS Word, MS Excel	Last action - 6 years - review	Yes	2	1	2

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation ?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further
Governance	Key work programme documents, such as risk registers, programme decision papers, RDB papers	[withheld - s31]	Director of Regulatory Futures and Innovation	3 document libraries	Yes	No	Enterprise Members - Contribute Enterprise Owners - Full Control Enterprise Visitors - Read	No	Outlook email files, PDFs, MS Word, MS Excel	Last action - 6 years - review (Section 11.1.1 of ICO Retention and Disposal Policy, v8.5)	No	2	1	2
Interface	Information recording the development of the workstream, including engagement notes, workstream-specific action papers and working group activities	[withheld - s31]	Director of Regulatory Futures and Innovation	4 document libraries	Yes	No	Enterprise Members - Contribute Enterprise Owners - Full Control Enterprise Visitors - Read	No	Outlook email files, PDFs, MS Word, MS Excel	Last action - 6 years - review (Section 11.1.1 of ICO Retention and Disposal Policy, v8.5)	No	2	1	2
Identification model	Information recording the development of the workstream, including engagement notes, workstream-specific action papers and working group activities	[withheld - s31]	Director of Regulatory Futures and Innovation	3 document libraries	Yes	No	Enterprise Members - Contribute Enterprise Owners - Full Control Enterprise Visitors - Read	No	Outlook email files, PDFs, MS Word, MS Excel	Last action - 6 years - review (Section 11.1.1 of ICO Retention and Disposal Policy, v8.5)	No	2	1	2
PA Consulting enhanced supervision study	Documents recording development and outputs from ICO commissioned study. Includes programme board notes and final consultant report	[withheld - s31]	Director of Regulatory Futures and Innovation	1 document library	Yes	No	Enterprise Members - Contribute Enterprise Owners - Full Control Enterprise Visitors - Read	No	Outlook email files, PDFs, MS Word, MS Excel	Last action - 6 years - review (Section 11.1.1 of ICO Retention and Disposal Policy, v8.5)	No	2	1	2
DE asset	Misc to support [withheld - s31]	[withheld - s31]	Director of Regulatory Futures and Innovation	1 document library	Yes	No	Enterprise Members - Contribute Enterprise Owners - Full Control Enterprise Visitors - Read	No	Outlook email files, PDFs, MS Word, MS Excel	Last action - 6 years - review (Section 11.1.1 of ICO Retention and Disposal Policy, v8.5)	No	2	1	2

Facilities

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Help Desk Records	Records of all completed jobs on FM Helpdesk	[withheld - s31]	Director Of Finance	One Document Library	No	No	Restricted to FM team	No	Digital	Last action - 3 years - Review	No	1	1	1
Procedures and Guidance	Procedures for all FM tasks	[withheld - s31]	Director Of Finance	One Document Library	No	No	Open to all ICO staff (read only)	No	Digital	Last action - 3 years - Review	No	1	1	1
Staff Lists	Lists of staff and car registrations	[withheld - s31]	Director Of Finance	One Document Library	Yes	No	Restricted to FM team	No	Digital	Last action - 12 months- Review	No	1	1	1
Team Administration	Various useful documents,lists,instructions etc	[withheld - s31]	Director Of Finance	One Document Library	No	No	Open to all ICO staff (read only)	No	Digital	Creation-3 years-Review	No	1	1	1
Templates	Master copies of useful forms etc	[withheld - s31]	Director Of Finance	One Document Library	No	No	Open to all ICO staff (read only)	No	Digital	Last action - 3 years -Review	No	1	1	1
Estate Management	Accommodation/Estates information inc Compliance Records & Security/Cleaning/Vending Contractors	[withheld - s31]	Director Of Finance	Ten Document Libraries	No	No	Open to all ICO staff (read only) except Compliance Records & Contractors - Restricted to FM team	No	Digital	Last action-6 years-review	No	1	1	1
Health and Safety	Fire, first aid & DSE information. Risk Assessments	[withheld - s31]	Director Of Finance	Two Document Libraries	No	No	Open to all ICO staff (read only)	No	Digital	Last action-6 years-review	No	1	1	1
Health and Safety Committee Meetings	Minutes of Meetings	[withheld - s31]	Director Of Finance	One Document Library	No	No	Open to all ICO staff (read only)	No	Digital	Last action - 6 years - review	No	1	1	1
Reception Sign In Book	Details Of Visitors To Office	[withheld - s31]	Director Of Finance	One File	Yes	No	Restricted to FM team	No	Physical	End of year-2 years-destroy	No	1	1	1
Other Reception Records	Details of courier deliveries,contractor reports, shredding,lost passes etc	[withheld - s31]	Director Of Finance	Several Files	No	No	Restricted to FM team	No	Physical	Last action-12 months-review	No	1	1	1
Post Room Records	Details of incoming/outgoing special/recorded delivery items etc	[withheld - s31]	Director Of Finance	Several Files	No	No	Restricted to FM team	No	Physical	Last action-12 months-review	No	1	1	1

Document Control	
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Version	Changes Made	Date	Made By
v1.0	Completed and published	Jul-21	Facilities / IM service
v2.0	Annual Review - (New [withheld - s31] libraries added)		
		Nov-22	[personal data]
v2.1	New [withheld - s31] libraries added & access updated		
		Jan-23	[personal data]

Finance

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
ICE 360	Registration system	[withheld - s31]	Director of Resources	1 system	Yes	Yes	Shared CMS	Access is limited to those who need it on the system. Access limited to Finance colleagues.	Software system			3	1	3
Shared' folder	Finance folders - working papers. Day to day work. ENCs. Training material.	[withheld - s31]	Director of Resources	1 folder	Yes	Yes	Finance Team	Info is not shared with any third parties	Word docs & s/sheets	End of financial year - 6 years - Destroy	No	3	1	3
Published information' folder	Finance policies and forms	[withheld - s31]	Director of Resources	1 folder	No	Yes	Finance Team	Info is not shared with any third parties	Word docs & s/sheets	Last Action - 3 Years - Review	No	3	1	3
Systems Administration' folder	Procedures, manuals & training	[withheld - s31]	Director of Resources	1 folder	Yes	Yes	Finance Team	Info is not shared with any third parties	Word docs & s/sheets	Superseded - 6 Years - Destroy	No	3	1	3
Working papers' folder	Annual working papers	[withheld - s31]	Director of Resources	1 folder	No	Yes	Finance Team	Info is not shared with any third parties	Word docs & s/sheets	End of financial year - 6 years - Destroy	No	3	1	3
GP Dynamics' folder	BACs matters	[withheld - s31]	Director of Resources	1 folder	No	Yes	Finance Team	Info is not shared with any third parties	Word docs & s/sheets	End of financial year - 6 years - destroy	No	3	1	3
Cash flow' folder	Cash flow workings	[withheld - s31]	Director of Resources	1 folder	No	Yes	Finance Team	Info is not shared with any third parties	Word docs & s/sheets	End of financial year - 6 Years - Destroy	No	3	1	3
FOI Requests' folder	FOI matters	[withheld - s31]	Director of Resources	1 folder	No	Yes	Finance Team	Info is not shared with any third parties	Word docs & s/sheets	Case closed - 2 years - Destroy	Business need	3	1	3
Management account workings' folder	Management account workings	[withheld - s31]	Director of Resources	1 folder	No	Yes	Snr Finance Team	Info is not shared with any third parties	Word docs & s/sheets	End of financial year - 6 Years - Review	Yes	3	1	3
Year end' folder	Year end workings	[withheld - s31]	Director of Resources	1 folder	No	Yes	Snr Finance Team	Info is not shared with any third parties	Word docs & s/sheets	End of financial year - 6 years - Review	Yes	3	1	3
Fixed Assets' folder	Fixed Assets workings	[withheld - s31]	Director of Resources	1 folder	No	Yes	Snr Finance Team	Info is not shared with any third parties	Word docs & s/sheets	End of Financial Year - 6 years - Destroy	No	3	1	3
GP Dynamics	Accounting system	[withheld - s31]	Director of Resources	1 system	Yes	Yes	Finance Team	Info is not shared with any third parties	Software system			3	1	3

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v1.0	Completed and published	Jul-21	Finance / IM Service
v2.0	Working papers 21-22 to 22-23	23/02/2023	Ian Greatorrex GFM

Freedom of Information complaints

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Casework records	The majority of casework records are held on the casework management system	[withheld - s31]	Director of FOI	[withheld - s31]	Yes	Yes	Open to all ICO staff with access permission for [withheld - s31]	No	Digital	Case closed - 2 years - destroy	Some (very small amount)	3	1	3
Casework records (restricted access)	A very small amount of casework records - related to restricted access cases - are held in a library (restricted access) on [withheld - s31]	[withheld - s31]	Director of FOI	[withheld - s31]	Yes	Yes	Restricted to departmental managers and specific SCOs	No	Digital	Case closed - 2 years - destroy	No	3	1	3
Casework records (hardcopy assets)	A very small amount of casework records - that are too large/voluminous to store electronically on [withheld - s31] - are held in hardcopy form	[withheld - s31]	Director of FOI	Approx 1 box per departmental Group (currently 7)	Yes	Yes	Physical access is limited to departmental staff (held in locked cupboards, keys held in safe)	No	Physical	Last action - 3 years - review	No	3	1	3
Policies and procedures	Policies and procedures by which the department operates	[withheld - s31]	Director of FOI	[withheld - s31]	No	No	Open to all ICO staff (read only)	No	Digital	Last action - 3 years - review	No	1	1	1
Template documents	Template documents used by the department for casework	[withheld - s31]	Director of FOI	[withheld - s31]	No	No	Open to all ICO staff (read only)	No	Digital	Last action - 3 years - review	No	1	1	1
Training material	Training material used by the department for staff training	[withheld - s31]	Director of FOI	[withheld - s31]	No	No	Open to all ICO staff (read only)	No	Digital	Superseded - 6 years - Destroy	No	1	1	1
Asset Registers	Information asset register, Homeworking asset register	[withheld - s31]	Director of FOI	[withheld - s31]	Yes	No	Open to all ICO staff (read only)	No	Digital	Superseded - 3 years - Review	No	3	1	3
FOI Policy development	Internal documents relating to the development of FOI policy, and correspondence with external bodies for consultation	[withheld - s31]	Director of FOI	[withheld - s31]	Yes	No	Open to all ICO staff (read only)	No	Digital	Last action - 6 years - review	No	2	1	2
Group/Team resources	The records of meetings, and specific Group resources (e.g. based by sector)	[withheld - s31]	Director of FOI	[withheld - s31]	Yes	No	Open to all ICO staff (read only)	No	Digital	Last Action - 3 years - review	No	2	1	2

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Version Control			
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v1.0	Completed and published	Oct-21	FOI complaints / IM Service
v2.0	No changes	Dec-22	FOI complaints / IM Service

Freedom of Information Policy

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Foi and EIR guidance	Guidance aimed at public authorities on how to comply with FOIA and the EIR.	[withheld - s31]	Director of FOI	220 documents + 15 document sets currently stored on [withheld - s31]	Yes	No	Open access	Yes - shared with the public, published on ICO website	Digital	Superseded - 6 years - review	N/A	2	1	2
Review and development of FOI and EIR guidance	Documentation covering decision-making and any significant changes to, and development of, current and new guidance aimed at public authorities on how to comply with FOIA and the EIR.	[withheld - s31]	Director of FOI	75 documents	Yes	No	Restricted to FOI Policy staff	No	Digital	Last Action - 6 years - Review	Yes	3	1	3
Internal lines to take and policy positions	Internally published lines to take and policy positions to assist internal decision making	[withheld - s31]	Director of FOI	57 documents	No	No	Open to all ICO staff	No but disclosed in the past in response to FOI requests	Digital	Date withdrawn - 6 years - Destroy	Yes	2	1	2
Reviews of Tribunal decisions	Policy reviews of Tribunal's decisions to identify policy position affecting the ICO and assist internal decision making	[withheld - s31]	Director of FOI	1427 documents	Yes	No	Open to all ICO staff	No	Digital	Last action - 6 years - Review	No	2	1	2
Foi Policy Advice	Internal policy advice to ICO staff to assist internal decision making	[withheld - s31]	Director of FOI	156 documents	Yes	No	Open to all ICO staff	No	Digital	Last action - 6 years - Review	Yes	2	1	2
Project Management	Project documents including tracking progress and recording lessons learned etc.	[withheld - s31]	Director of FOI	22 documents	Yes	No	Open to all ICO staff	No	Digital	Last action - 3 years - review	No	3	1	3
Policy and research papers	Policy papers, reports, analyses and background papers to assist internal decision making	[withheld - s31]	Director of FOI	15 documents	Yes	No	Open to all ICO staff	No	Digital	Last action - 6 years - Review	Yes	3	1	3
Stakeholder engagement (external)	presentations, consultations, meetings minutes.	[withheld - s31]	Director of FOI	149 documents	Yes	No	Open to all ICO staff	Yes - some are shared with the stakeholder	Digital	Last action - 6 years - Review	Yes	2	1	2
Legal advice	Copy of legal advice to support internal decision making	[withheld - s31]	Director of FOI	5 documents	Yes	No	Restricted - marked LPP	No	Digital	Last Action - 6 years - review	Yes	2	1	2
Team resources	Team documentation e.g. templates	[withheld - s31]	Director of FOI	28 documents	No	No	Open to all ICO staff	No	Digital	Creation - 3 years - review	No	1	1	1
Team logs and registers	Logs and registers e.g Information Asset register and policy advice log	[withheld - s31]	Director of FOI	5 documents	No	No	Open to all ICO staff	No	Digital	Last action - 12 months - review	No	1	1	1

Governance Transition

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
External legal advice	Advice from external legal expert on public law matters relating to transitional and constitutional matters	[withheld - s31]	Director of Governance Transition	5	Y	N	Access is restricted to members of Governance Transition	Yes, subject to LPP	Digital	Last communication - 6 years - review	Yes	2	1	2
DCMS ICO transition	Records of ICO-DCMS interactions via email and in meetings on outstanding issues of concern with regard to transition and reform of the ICO	[withheld - s31]	Director of Governance Transition	3	Y	N	Access is restricted to members of Governance Transition	Yes, with DCMS at regular intervals	Digital	Last communication - 6 years - review	Yes	2	1	2
Processes and procedures	Process and procedure documents e.g NED onboarding process outlining steps to successfully onboard new non-executive directors	[withheld - s31]	Director of Governance Transition	1	N	N	Access is restricted to members of Governance Transition	Information is not shared with any third parties	Digital	Superseded - 3 years - review	No	1	1	1

Document Control	
Version Number	v1.0
Status	Published Governance Transition
Author/Owner	Directorate
Date of Sign off	09/01/2023
Review By	31/01/2024
Security Classification	Official

Version Control			
Version	Changes Made	Date	Made By
v0.1	Initial draft	21/10/2022	John Kavanagh
v0.2	Suggested amendments from Information Mangement	24/10/2022	Simon Lochery
v1.0	Final version published	09/01/2023	IM

High Priority Investigations

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
HPI Administrative Files	Meeting notes, operating model, policies & procedures and templates/training documents	[withheld - s31]	Director of High Priority Investigations & Intelligence	9 document libraries in 1 subsite 1 document library	Yes	No	HPI Members HPI Visitors HPI Owners	No	Digital	Training Materials: Superseded - 6 years - review All Others: Last action - 3 years - review	No	1	1	1 - Low
HPI Investigative Files - ongoing	Investigative documents including internal reviews and recommendations, external engagement, some material may have LPP	[withheld - s31]	Director of High Priority Investigations & Intelligence	9 subsites	Yes	Yes	Separate [withheld - s31] for each investigation subsite. Please see Access spreadsheet for further details.	No	Digital	Inquiry closed - 6 years - review	Yes	3	1	3 - Low
HPI Investigative Files - closed where regulatory action was taken	Investigative documents including internal reviews and recommendations, external engagement, prep for formal regulatory action, some material will have LPP	[withheld - s31]	Director of High Priority Investigations & Intelligence	3 subsites	Yes	Yes	Separate [withheld - s31]s for each investigation subsite. For example, [withheld - s31] Please see Access spreadsheet for further details.	No	Digital	Inquiry closed - 6 years - review	Yes	3	1	3 - Low
HPI Investigative Files - closed where regulatory action was not taken	Investigative documents including internal reviews and recommendations, external engagement, some material may have LPP	[withheld - s31]	Director of High Priority Investigations & Intelligence	2 subsites	Yes	Yes	HPI Members HPI Visitors HPI Owners	No	Digital	Inquiry closed - 6 years - review	Yes	3	1	3 - Low
HPI Requests Files	Details of requests received by HPI, internal briefings, record of all requests received	[withheld - s31]	Director of High Priority Investigations & Intelligence	1 subsite	Yes	No	HPI Members HPI Visitors HPI Owners	No	Digital	Last action - 3 years - review	No	2	1	2 - Low
HPI Scoping	Scoping activity including decision log, research reviews, recommendation reports, meeting notes	[withheld - s31]	Director of High Priority Investigations & Intelligence	1 document library	Yes	Yes	HPI Members HPI Visitors HPI Owners	No	Digital	Scoping activity ceased - 2 years - destroy NB: Legal Hold - Covid-19 inquiry (all information relating to Covid to be preserved until further guidance issued)	No	2	1	2 - Low
HPI Risk Register	Risk register, risk assessments	[withheld - s31]	Director of High Priority Investigations & Intelligence	1 document library	Yes	No	HPI Members HPI Visitors HPI Owners	No	Digital	Last action - 3 years - review	No	2	1	2 - Low
HPI General Action Management	General actions log, document log, tactical assessments, internal briefings	[withheld - s31]	Director of High Priority Investigations & Intelligence	4 document libraries in [withheld - s31]	Yes	No	HPI Members HPI Visitors HPI Owners	No	Digital	Case closed - 6 years - review	No	2	1	2 - Low
HPI Internal Comms to ICO	Presentation, briefing	[withheld - s31]	Director of High Priority Investigations & Intelligence	1 document library	Yes	No	All ICO staff	No	Digital	Last action - 3 years - review	No	1	1	1 - Low
HPI Internal Audit Files	Internal audit of HPI, including report by Mazars	[withheld - s31]	Director of High Priority Investigations & Intelligence	1 document library	Yes	Yes	HPI Members HPI Visitors HPI Owners	No	Digital	Creation - 3 years - destroy	No	2	1	2 - Low
HPI SLT Meetings	SLT meeting notes, emails	[withheld - s31]	Director of High Priority Investigations & Intelligence	1 document library	Yes	Yes	HPI Members HPI Visitors HPI Owners	No	Digital	Last action - 3 years - review	No	2	1	2 - Low
HPI Updates	HPI investigation updates to Intel, HPI monthly update meeting notes, Intel updates to HPI (dashboard and tracker)	[withheld - s31]	Director of High Priority Investigations & Intelligence	1 document library	Yes	Yes	HPI Members HPI Visitors HPI Owners	No	Digital	Last action - 3 years - review	No	1	1	1 - Low

IAR Quarterly Reviews				
Quarter	Date of review	Reviewed by	Changes made (Yes/No)	Details of changes
2021-22 Q3	11/10/2021	Hannah Forrester	Yes	The following retention periods were amended in line with updated ICO retention schedule: HPI Investigative Files - closed where regulatory action was not taken amended from "Case Closed - 2 years - Destroy" to "Inquiry closed - 6 years - Review". HPI Scoping amended from "Last Action - 3 years - Review" to "Scoping activity ceased - 2 years - Destroy".
2021-22 Q4	n/a	n/a	n/a	n/a
2022-23 Q1	16/05/2022	Hannah Forrester	Yes	Volumes of "HPI Investigative Files - ongoing" updated. Volumes of "HPI Investigative Files - closed where regulatory action was taken" updated. Volumes of "HPI Investigative Files - closed where no regulatory action was taken" updated. Volumes of "HPIPP Projects - ongoing" updated. Volumes of "HPIPP Projects - completed" updated. Volumes of "HPIPP Non-project Work" updated.
2022-23 Q2	11/07/2022	Maisie Talman	Yes	Volumes of "HPIPP Projects - ongoing" updated. Volumes of "HPIPP Non-project Work" updated. Removed reference to HPIPP 'triage to ten'. Volumes of "HPIPP Resources" updated.
2022-23 Q3	13/12/2022	Hannah Forrester	Yes	See version control tab for details.
2022-23 Q4				
2023-24 Q1				
2023-24 Q2				
2023-24 Q3				
2023-24 Q4				
2024-25 Q1				
2024-25 Q2				
2024-25 Q3				
2024-25 Q4				
2025-26 Q1				
2025-26 Q2				
2025-26 Q3				
2025-26 Q4				

Document Control	
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Version Control			
Version	Changes Made	Date	Made By
v1.0	Completed and published	Jul-21	HPI / IM service
v2.0	Annual review - All HPIPP assets removed. Retention of "HPI Scoping" updated to include Legal Hold - Covid 19 inquiry. Access of "HPI Investigative Files - ongoing" updated to remove reference to Edessa. Permanent Preservation of "HPI Investigative Files - ongoing" and "HPI Investigative Files - closed where regulatory action was not taken" updated.	Dec-22	Hannah Forrester

HR

Name of asset	Description	Location	Information Asset Owner	Volume	Personal Data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score (Passes and 'Risk Assessment' tab for further guidance)	Retention schedule - NB remove EDI line from Ret Sch
Current Employment Files and Personal Development Records	Clearance documents, employment contracts, pay and pension documents, absence documents, historical PDR prior to mto, secondary employment interest declaration	[withheld - s31]	Director of People and Workforce Planning	[withheld - s31]	Yes	Yes	Physical documents and [withheld - s31] restricted to HR staff	Information Access Team by request for SAR	Physical and Digital	End of employment - 6 years - destroy	No	2	1	2	correct
Disciplinary and Grievance	Documents relating disciplinary and grievances eg meeting notes	[withheld - s31]	Director of People and Workforce Planning	[withheld - s31]	Yes	Yes	Physical documents and [withheld - s31] restricted to HR staff	Information Access Team by request for SAR	Physical and Digital	Last action - 6 years - destroy	No	2	1	2	correct
Recruitment Examination and Testing	Examples of test questions used at interview stage of recruitment	[withheld - s31]	Director of People and Workforce Planning	[withheld - s31]	No	No	Physical documents and [withheld - s31] restricted to HR staff	Information Access Team by request for SAR	Physical and Digital	until updated	No	1	1	1	add to retention schedule
Workplace accident records	Forms, medical notes, correspondence relating to industrial injury	[withheld - s31]	Director of People and Workforce Planning	Central file held by First Aid Co-ordinator. Copies of document on staff file.	Yes	No	Physical documents and [withheld - s31] restricted to HR staff	Information Access Team by request for SAR	Physical and Digital	Last action - 6 years - destroy	No	2	1	2	add to retention schedule
Return to Work	Completed form when staff have returned from illness absence	[withheld - s31]	Director of People and Workforce Planning	All staff as appropriate. One document per absence in staff file on [withheld - s31]	Yes	Yes	Physical documents and [withheld - s31] restricted to HR staff	Information Access Team by request for SAR	Physical and Digital	End of financial year - 4 years - destroy	No	2	1	2	add to retention schedule
Occupational Health	Reports relating to Occupational Health assessment for staff	[withheld - s31]	Director of People and Workforce Planning	Approx 200 records kept on staff file in [withheld - s31]	Yes	Yes	Physical documents and [withheld - s31] restricted to HR staff	Information Access Team by request for SAR	Physical and Digital	PERIOD OF EMPLOYMENT AS MINIMUM. POTENTIALLY UP TO 40 YEARS DEPENDS ON INFORMATION HELD	No	2	1	2	change on retention schedule under Health Surveillance
Generic Job Descriptions and Terms & Conditions	Current and historical Job Description documents and Conditions of Employment	[withheld - s31]	Director of People and Workforce Planning	330 stored [withheld - s31]	Yes	No	Physical documents and [withheld - s31] restricted to HR staff	Information Access Team by request for SAR	DIGITAL	Last action - 6 years - destroy	No	1	1	1	correct
Training Material R&S, Career banding, Mgrs induction, starter induction, You and the ICO	Documents used by HR staff for training (CO starter induction, You and the ICO)	[withheld - s31]	Director of People and Workforce Planning	under 10 courses, stored in [withheld - s31]	No	No	Physical documents and [withheld - s31] restricted to HR staff. L&D access R&S Shared area.	Information Access Team by request for SAR	DIGITAL	Superseded - 6 years - destroy	No	1	1	1	correct
Political Declarations	Form declaring political association	[withheld - s31]	Director of People and Workforce Planning	under 30, stored on staff file in [withheld - s31]	Yes	Yes	Physical documents and [withheld - s31] restricted to HR staff.	Information Access Team by request for SAR. Line manager for approval but not retention of the record	DIGITAL AND PHYSICAL	Superseded or end of employment - 6 years - destroy	No	2	1	2	add to retention schedule
Industrial Relations	Correspondence relating to Industrial Relations	[withheld - s31]	Director of People and Workforce Planning	Unlimited, stored on [withheld - s31]	Yes	Yes	Physical documents and [withheld - s31] restricted to HR staff.	Information Access Team by request for SAR. Trade Union, Executive Team, all staff	DIGITAL AND PHYSICAL	Last action - 6 years - destroy	No	2	1	2	correct
Payroll documents	Forms, monthly pay workbook and reports relating to salary payments including pension, bank details, HMRC, deductions etc	[withheld - s31]	Director of People and Workforce Planning	5,000+ stored in staff file in [withheld - s31] (approx 25 shelves) or [withheld - s31]	Yes	Yes	Physical documents and [withheld - s31] restricted to HR staff.	Information Access Team by request for SAR. Capita, mycap, HMPS, CSP, payroll, auditors	DIGITAL AND PHYSICAL	End of financial year - 6 years - destroy	No	2	1	2	correct
General Annual Leave Information	Annual leave request from staff.	[withheld - s31]	Director of People and Workforce Planning	All staff. Stored on [withheld - s31] and banked leave form stored on [withheld - s31]	Yes	No	Physical documents and [withheld - s31] restricted to HR staff.	no	Physical and Digital	End of financial year - 3 years - destroy Minto records currently retained - no auto delete. Banked leave needs to be retained.	No	1	1	1	correct - do we need to add bank leave as ongoing?
Maternity, Paternity, Adoption	Correspondence and forms relating to maternity, paternity and adoption	[withheld - s31]	Director of People and Workforce Planning	All staff. Stored on staff file in [withheld - s31] and 1 record on [withheld - s31]	Yes	Yes	Physical documents and [withheld - s31] restricted to HR staff.	Information Access Team by request for SAR, sharepoint staff, capita, mycap, health management	Physical and Digital	End of financial year - 4 years - destroy	No	2	1	2	Amend to remove Sick leave
Sick leave	Correspondence relating to sickness absence including medical certificate	[withheld - s31]	Director of People and Workforce Planning	All staff. Stored in staff file on [withheld - s31]	Yes	Yes	Physical documents and [withheld - s31] restricted to HR staff.	Information Access Team by request for SAR.	Physical and Digital	End of financial year - 4 years - destroy	No	2	1	2	change on retention schedule from Mat/Pat/Adoption
Successful Recruitment Candidate Information (including third party referee details provided by the applicant)	Application form and clearance documents	[withheld - s31]	Director of People and Workforce Planning	All staff. Stored in [withheld - s31]	Yes	Yes	Physical documents and [withheld - s31] restricted to HR staff.	Information Access Team by request for SAR.	Physical and Digital	End of employment - 6 months - destroy	No	2	1	2	correct
Unsuccessful Recruitment Candidate Information	Application form and shortlist scores	[withheld - s31]	Director of People and Workforce Planning	All applicants for all campaigns. 1 record per applicant stored on [withheld - s31] or scoring matrix on [withheld - s31]	Yes	Yes	Physical documents and [withheld - s31] restricted to HR staff.	Information Access Team by request for SAR.	Physical and Digital	Last action - 6 months - destroy	No	2	1	2	correct
Staff Pension Pay History	Forms and reports relating to staff pension and pay	[withheld - s31]	Director of People and Workforce Planning	All staff. Documents per staff member stored in [withheld - s31]	Yes	Yes	Physical documents and [withheld - s31] restricted to HR staff.	Information Access Team by request for SAR, Vetting, Capita, sharepoint staff.	Physical and Digital	Date of birth - 100 years - destroy	No	2	1	2	correct
Termination Reasons - Contract Offer letter	End of employment letter, resignation letter	[withheld - s31]	Director of People and Workforce Planning	c 900-1,000 live employee files plus c1,000-2,000 leavers, secondaries, temps, TAP, CAP, Board members, contractors. Approx 25 shelves in [withheld - s31]	Yes	Yes	Physical documents and [withheld - s31] restricted to HR staff.	Information Access Team by request for SAR.	Physical and Digital	From DOB plus 100 years	2	2	1	2	add to retention schedule
Third party emergency contact details provided by the staff member	Form detailing staff emergency contact details.	[withheld - s31]	Director of People and Workforce Planning	All staff including agency and secondaries. Hard copy form in staff file in [withheld - s31]. 1 record per staff on [withheld - s31]	Yes	No	Physical documents and [withheld - s31] restricted to HR staff.	Information Access Team by request for SAR.	Physical and Digital	End of employment - immediate	No	2	1	2	correct
Marriage Certificate and documents relating to Civil Registration	Official registry certificate of marriage or civil registration	[withheld - s31]	Director of People and Workforce Planning	All staff [withheld - s31]	Yes	No	Physical documents and [withheld - s31] restricted to HR staff.	Information Access Team by request for SAR.	Physical and Digital	From DOB - 100 years - destroy	No	2	1	2	correct
Security Clearance Correspondence (DBS)	ID documents and outcome email produced by Cabinet Office for Basic Disclosure check	[withheld - s31]	Director of People and Workforce Planning	all new staff since September 2019 (incl temp, secondees, Board members) plus staff who require new or updated SC clearance prior to September 2019. 1 DBS outcome email per candidate (25 shelves)	Yes	Yes	Physical documents and [withheld - s31] restricted to HR staff. The [withheld - s31] Help staff are able to navigate into the files.	Information Access Team by request for SAR, Vetting Authorities	Physical and Digital	End of security clearance - 8 years - destroy	No	2	1	2	correct
Enhanced Security Clearance	Log of staff who have applied and/or hold Enhanced Security Clearance	[withheld - s31]	Director of People and Workforce Planning	1 record per role on log (approx 200 in [withheld - s31])	Yes	No	Physical documents and [withheld - s31] restricted to HR staff.	Information Access Team by request for SAR, Vetting Authorities	Physical and Digital	End of security clearance - 8 years - destroy	No	2	1	2	correct
Career Banding assessment forms from applicants and log	Individual assessment forms from applicants and log	[withheld - s31]	Director of People and Workforce Planning	All eligible staff who apply. 1 form per applicant per CB window stored in staff file in [withheld - s31]. 1 record per applicant on summary spreadsheet log in [withheld - s31]	Yes	No	Physical documents and [withheld - s31] restricted to HR staff.	Information Access Team by request for SAR. PDR panel (upon appeal), line manager, coaching manager	Physical and Digital	6 years after CB window closes	No	2	1	2	add to retention schedule
SAR log	Log recording interview feedback requests	[withheld - s31]	Director of People and Workforce Planning	All Applicants for all campaigns. 1 line on spreadsheet per request	Yes	No	[withheld - s31] restricted to Head of HR and Senior Information Access Officer.	Information Access Team by request for SAR.	Digital	12 months after campaign date	No	2	1	2	add to retention schedule
Trade Union Information Requests	Correspondence relating to the request, internal consults, response to TU, file notes	[withheld - s31]	Director of People and Workforce Planning	All Staff. One folder per request	Yes	Yes	Physical documents and [withheld - s31] restricted to HR staff.	Information Access Team by request for SAR	Digital	2 years after final response	No	2	1	2	add to retention schedule
Recruitment folders	Files relating to vacancy campaign eg request to recruit, advert information, Job Description, tests, applications, question matrix, schedule, final score matrix	[withheld - s31]	Director of People and Workforce Planning	All campaigns. 1 folder per campaign on [withheld - s31]	Yes	Yes	Physical documents and [withheld - s31] restricted to HR staff.	Information Access Team by request for SAR	Digital	Business Need	No	1	1	1	add to retention schedule
Bupa log	Log of requests for Bupa medicals	[withheld - s31]	Director of People and Workforce Planning	All staff. 1 record per request on spreadsheet	Yes	Yes	Physical documents and [withheld - s31] restricted to HR staff.	Information Access Team by request for SAR	Digital	5 years since last action	No	2	1	1	add to retention schedule
Responses to recruitment process feedback surveys	Survey feedback	[withheld - s31]	Director of People and Workforce Planning	0 files	Yes	Yes	[withheld - s31]	HR Team	Digital	Business Need	No	1	1	1	add to retention schedule

- Accident and Ill Health (Last Mod +6yrs)
- Career Banding (Career Banding window +6yrs)
- Contract (DOB = 100th Birthday)
- Disciplinary and Grievance (Last Mod +6yrs)
- Emergency Contact Details: 3rd Party (End of Employ DESTROY IMMEDIATELY)
- Equality and Diversity: Published (Last Mod +6yrs)
- Examination and Testing (Last Mod +6yrs)
- Flexi Spreadsheet (End of Employment +6yrs)
- Health Surveillance / Occupational Health (Last Mod + 40yrs)
- Industrial Actions (Last Mod +6yrs)
- Interview Feedback (End of Employ +6yrs)
- Job Description (Last Mod +6yrs)
- Leave – Annual, Special, Flexi (End of Fin Yr + 3 yrs)
- Marriage Cert/Docs relating to Civil Registration (DOB = 100th Birthday)
- Maternity, Paternity, Adoption or Sick Leave (End of Fin Yr after return + 3yrs)
- Medical/Self Cert unrelated to industrial injury (End of absence + 4yrs)
- Offer Letter (DOB = 100th Birthday)
- Pay History (DOB = 100th Birthday)
- Pension (DOB = 100th Birthday)
- Personal Development (End of Employ +6yrs)
- Political Declaration (Superseded or End of Employ +6yrs)
- Recruitment: Successful Candidate (End of Employ +6months)
- Recruitment: Unsuccessful Candidate (Last Mod +6months)
- Secondary Employment and Outside Interests Declaration (Superseded or End of Employ +6yrs)
- Security Declaration (DOB = 100th Birthday)
- Security Clearance Correspondence (End of Security Clearance +6yrs)
- Termination Reasons (DOB = 100th Birthday)
- Terms and Conditions (Last Mod +6yrs)
- Work History (DOB = 100th Birthday)

Document Control	
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v1.0	Completed and published	Oct-21	HR / IM service

ICO Regional Offices (ICOR)

Document Control	
Version Number	v2.0
Status	Published
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Security Classification	Official

Version Control			
Version	Changes Made	Date	Made By
v1.0	Completed and published	Jan-22	ICOR / IM Service
v2.0	No changes made	Dec-22	Dave Teague

Information Access

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
IA routine casework	Information collated in the course of handling information requests under FOI, GDPR etc.	[withheld - s31]	Director of Corporate Planning, Risk and Governance	More than 6200 files in [withheld - s31], one document library in [withheld - s31], [withheld - s31]	Yes	Yes	Open to all ICO staff with access to [withheld - s31]	Yes - with data subjects or other bodies where a legal basis to share	Digital	Case closed - 2 years - destroy	Unlikely	2	1	2
IA sensitive case casework	Information collated in the course of handling sensitive information and data sharing requests	[withheld - s31]	Director of Corporate Planning, Risk and Governance	218 files in [withheld - s31]	Yes	Yes	Restricted to staff in Information Access at level F, E and C	Yes - with data subjects	Digital	Case closed - 2 years - destroy	Unlikely	2	1	2
TCA physical	Record cards seized from The Consulting Association	[withheld - s31]	Director of Corporate Planning, Risk and Governance	One cupboard	Yes	Yes	Information Access staff	Yes - with data subjects	Physical	Preserved	Yes	2	1	2
The National Archive Transfer - physical	Information relating to the transfer of ICO documents to the National Archives. This also includes information which has past retention and is awaiting transfer	[withheld - s31]	Director of Corporate Planning, Risk and Governance	One cupboard	Yes	Yes	Information Access staff	Yes - with TNA	Physical	Permanent once transferred to the National Archives	Yes	2	1	2
IA operational information	Administrative information supporting the day-to-day functioning of information access work	[withheld - s31]	Director of Corporate Planning, Risk and Governance	4 subsites/document libraries	Yes	Yes	Open to all ICO staff with [withheld - s31] access (unless restricted access subsite/folder)	Some - 'Disclosure Log' subsite - published on ICO website	Digital	Creation - 3 years - review	No	1	1	1
IA management information	Management information supporting the day-to-day functioning of information access work	[withheld - s31]	Director of Corporate Planning, Risk and Governance	8 subsites/document libraries	Yes	Yes	Open to all ICO staff with [withheld - s31] access (unless restricted access subsite/folder)	Some - 'Proactive disclosures - datasets' folder - published on ICO website	Digital	End of financial year - 6 years - review	No	2 (Restricted access folders only)	1	2

Document Control	
Version Number	2
Status	Published
Author/Owner	Corporate Planning, Risk and Governance Directorate
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Security Classification	Official

Version Control			
Version	Changes Made	Date	Made By
v1.0	Completed and published	Jul-21	Information Access Service / IM Service
v2.0	Annual review - changes made are: IA Routine casework - volume updated, access permission updated; IA Sensitive casework - description and volume updated; TCA Physical - location updated; The National Archives transfer - name of asset and location updated, Personal data and Special category data both changed to Yes; IA Operational information - Personal data and Special category data both changed to Yes, Access update, Shared? changed to Some; IA Management information - Volume updated, Personal data and Special category data changed to Yes, Access updated, Shared? updated to Some, Impact score changed to 2, Risk score changed to 2.	Dec-22	Antonia Swann, Information Access Team

Information Management

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Off-Site Storage Administrative Files	Collection and delivery sheets, records of destruction, correspondence with Restores and Exels and other administrative files associated with managing physical records held off-site	[withheld - s31]	Director of Digital, IT and Business Services	One subsite	Yes	No	Open to all ICO staff (read only)	No	Digital	Last action - 3 years - Review	No	2	1	2
IM Policies and Guidance	Internal policies and guidance produced by the IM team on topics such as storage, retention and version control	[withheld - s31]	Director of Digital, IT and Business Services	One document library	No	No	Open to all ICO staff (read only)	No	Digital	Superseded - 3 years - Review	No	1	1	1
Training Material	Training and guidance on information management and [withheld - s31]	[withheld - s31]	Director of Digital, IT and Business Services	One document library	No	No	Open to all ICO staff (read only)	No	Digital	Superseded - 6 years - Destroy	No	1	1	1
TNA and Public Inquiries	Correspondence with TNA, records of records previously sent/not sent to TNA, administrative documents relating to public inquiries.	[withheld - s31]	Director of Digital, IT and Business Services	One subsite	Yes	Yes	Open to all ICO staff (read only)	No	Digital	Last action - 6 years - Review	No	2	1	2
Physical files to be transferred to TNA	Records over 20 years old in scope for transfer to TNA	[withheld - s31]	Director of Digital, IT and Business Services	< 5000 files	Yes	Yes	Access on request via IM team	No	Physical	20 years - Review	Yes	2	1	2
Internal governance and accountability records	Storage asset register, information asset registers and ROPA, Internal accountability framework and privacy notice	[withheld - s31]	Director of Digital, IT and Business Services	1 Document Library One subsite	No	No	Open to all ICO staff (read only)	No	Digital	Last action - 3 years - Review	No	2	1	1
IM Risk Management Framework and records of cross office engagement	List of roles within framework, correspondence with framework, IM Community minutes, records of cross office engagement and advice provided	[withheld - s31]	Director of Digital, IT and Business Services	One subsite	Yes	No	Open to all ICO staff (read only)	No	Digital	Last action - 3 years - Review	No	1	1	1
DPIAs	Internal ICO DPIAs	[withheld - s31]	Director of Digital, IT and Business Services	Two document libraries	Yes	Yes	Open to all ICO staff (read only), except those in the restricted library - restricted to IM team	No	Digital	Superseded - 3 years - Review	No	2	1	2
IMC Service team administration records and resources	Records relating to the administration of the IMC service and useful resources for team members	[withheld - s31]	Director of Digital, IT and Business Services	One subsite	Yes	Yes	Open to all ICO staff (read only), except those in the restricted library - restricted to IM team	No	Digital	Last action- 3 years - Review	No	1	1	1

Document Control	
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Security Classification	Official

Version Control			
Version	Changes Made	Date	Made By
v1.0	Completed and published	Jul-21	IM Service
v2.0	Annual review - Change of IAO for all assets from Director of Corporate Governance to Director of Digital, IT and Business Services. - Change of asset name on row 3 from "standards" to "Guidance" and retention trigger on IM Policies and Guidance Asset from last action to superseded. - Change of volume data for assets on rows 2, 5, 6, 7 & 8. - renamed asset on row 5 to be TNA <i>and Public Inquiries</i> . - Changed retention period for DPIAs from last communication - 6 years - review to Superseded - 3 Years - review. - Renamed row 8 asset to IM Risk Management Framework <i>and records of cross office engagement</i> . - Addition of row 10 asset "IMC Service team administration records and resources" - Minor ammendments to some asset descriptions	09/01/2023	Steven Johnston, IMC Service Manager

Innovation Dept - Innovation Hub, DPIA, Emerging Tech, Sandbox

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Cross-Regulator Groups	Correspondence re cross-regulator project	[withheld - s31]	Director of Technology, Innovation & Enterprise Service	4 document libraries	Yes	No	IH members - contribute permission IH Owners - full control IH visitors - read	No	Email	Last action - 6 years - review	No	1	1	1
Engagement	External stakeholder proposals, correspondence, administration files, advice/guidance to stakeholders	[withheld - s31]	Director of Technology, Innovation & Enterprise Service	31 document libraries	Yes	No	IH members - contribute permission IH Owners - full control IH visitors - read	No	Email, word documents, PDFs, powerpoints, excel spreadsheets	Significant stakeholders - Last action - 6 years - review Less significant - last action - 3 years - review	No	2	1	2
FCA Sandbox & Direct Support	External stakeholder proposals, project documentation, correspondence, admin files, advice/guidance to stakeholders	[withheld - s31]	Director of Technology, Innovation & Enterprise Service	8 document libraries	Yes	No	IH members - contribute permission IH Owners - full control IH visitors - read	No	Email, word documents, PDFs, powerpoints, excel spreadsheets	Significant stakeholders - Last action - 6 years - review Less significant - last action - 3 years - review	No	2	1	2
NESTA Legal Access Challenge	External stakeholder proposals, project documentation, correspondence, admin files, advice/guidance to stakeholders	[withheld - s31]	Director of Technology, Innovation & Enterprise Service	10 document libraries	Yes	No	IH members - contribute permission IH Owners - full control IH visitors - read	No	Email, word documents, PDFs, powerpoints, excel spreadsheets	Significant stakeholders - Last action - 6 years - review Less significant - last action - 3 years - review	No	2	1	2
Team resources	Templates, procedures, team info and team meeting records	[withheld - s31]	Director of Technology, Innovation & Enterprise Service	5 document libraries	Yes	No	IH members - contribute permission IH Owners - full control IH visitors - read	No	Microsoft office files, PDFs	Last action - 3 years - review	No	2	1	2
Metrics	Engagement statistics	[withheld - s31]	Director of Technology, Innovation & Enterprise Service	1 MS Teams channel	Yes	No	IH members, Innovation Head of Dept, Innovation project managers	No	Excel spreadsheet & word doc	Creation - 3 years - review	No	2	1	2

Please note - although some of the descriptions above include guidance I've not included the retention period for 'guidance for external use' because the guidance provided to stakeholders is one off in nature and isn't external guidance that will be reviewed periodically and updated e.g. like the guidance team may produce for the ICO website. Therefore, I felt the retention periods for engagement with significant and less significant stakeholders fitted better.

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Team resources	Project documentation, templates, DPIAs, correspondence, admin files	[withheld - s31]	Director of Technology & Innovation & Enterprise Service	3 document libraries	Yes	No	DPIA members - Contribute permission DPIA owners - full control DPIA visitors - read Note - some restricted access cases exist which only limited individuals can access.	No	Microsoft Office files	Last action - 6 years - review	No	2	1	2
T&I PMO	Project documentation e.g. terms of reference, reports, meeting agendas	[withheld - s31]	Director of Technology & Innovation & Enterprise Service	4 document libraries	Yes	No	DPIA members - Contribute permission DPIA owners - full control DPIA visitors - read Note - some restricted access cases exist which only limited individuals can access.	No	PDFs	Creation - 3 years - review	No	2	1	2
DPIAs	DPIAs and responses 2018-2023 (subsites for each financial year)	[withheld - s31]	Director of Technology & Innovation & Enterprise Service	6 document libraries	Yes	No	DPIA members - Contribute permission DPIA owners - full control DPIA visitors - read Note - some restricted access cases exist which only limited individuals can access.	No	Emails, Microsoft Office files, PDFs	Data privacy impact assessments - Last communication - 6 years - review	No	2	1	2
Legislative consultations	Legislative consultations 2018 - 2023 (subsites for each financial year)	[withheld - s31]	Director of Technology & Innovation & Enterprise Service	6 document libraries	Yes	No	DPIA members - Contribute permission DPIA owners - full control DPIA visitors - read Note - some restricted access cases exist which only limited individuals can access.	No	Emails, Microsoft Office files, PDFs	Interactions with key stakeholders - last action - 6 years - review	Yes - interactions with key stakeholders	2	1	2
General Correspondence	Internal/external correspondence 2018 - 2023	[withheld - s31]	Director of Technology & Innovation & Enterprise Service	1 document libraries	Yes	No	DPIA members - Contribute permission DPIA owners - full control DPIA visitors - read Note - some restricted access cases exist which only limited individuals can access.	No	Emails, Microsoft Office files, PDFs	Interactions with key stakeholders - last action - 6 years - review	Yes - interactions with key stakeholders	2	1	2
Administration files	Administration files 2018 - 2023	[withheld - s31]	Director of Technology & Innovation & Enterprise Service	5 document libraries	Yes	No	DPIA members - Contribute permission DPIA owners - full control DPIA visitors - read Note - some restricted access cases exist which only limited individuals can access.	No	Emails, Microsoft Office files, PDFs	Interactions with key stakeholders - last action - 6 years - review Data privacy impact assessments - Last communication - 6 years - review	Yes - interactions with key stakeholders	2	1	2

Should DPIAs also be a 'yes' in the permanent preservation column. Some fall into engagement with key stakeholders? Are interactions with key stakeholders to be kept for permanent preservation - retention schedule says 6 years?

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Beta Phase Participants	Applications Admin, Participants	[withheld - s31]	Director of Technology, Innovation & Enterprise	10 Folders relating to each beta phase participant. Several hundred records.	No	No	Sandbox team only	Yes	Digital	Last action - 6 years - review (key documents) Last action -1 year - review (non key documents)	No	2	1	2
Beta Phase Engagement and oversight	Applications, Engagement, Evaluation, Governance, Legal, Team Planning	[withheld - s31]	Director of Technology, Innovation & Enterprise	6 libraries, several hundred records	No	No	Sandbox team only	Yes	Digital	Last action - 7 years - review (Sandbox - key documents) Last action - 1 year - review (Sandbox - supporting documents)	No	2	1	2
Sandbox 1.0 Participants	Applications Admin, Participants	[withheld - s31]	Director of Technology, Innovation & Enterprise	14 folders relating to each Sandbox 1.0 participant. Several hundred records	No	No	Sandbox team only	Yes	Digital	Last action - 6 year - review (key documents) Last action - 1 years - review (non key documents)	No	3	1	3
Sandbox 1.0 Engagement and Oversight	Applications, Engagement, Evaluation, Governance, Legal, Team Planning	[withheld - s31]	Director of Technology, Innovation & Enterprise	6 libraries, several hundred records	No	No	Sandbox team only	Yes	Digital	Last action - 7 years - review (Sandbox - key documents) Last action - 1 year - review (Sandbox - supporting documents)	No	3	1	3

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Innovation Department Admin	Department admin files e.g. meeting notes, useful resources, templates etc	[withheld - s31]	No specific information asset owner as per organisation wide section of retention schedule.	6 document libraries	Yes	No	Digital Economy, Innovation Hub, Emerging Tech (former SPP), DPIA & Technology Policy members - contribute Digital Economy, Innovation Hub, Strategic Policy Projects & Technology Policy owners - full control Digital Economy, Innovation Hub, Strategic Policy Projects & Technology Policy visitors - read Excel services viewers - view	No	Microsoft office files, PDFs	Last action - 3 years - review	No	1	1	1

DET separate department. May still need access as members and owners for historical information

Document Control	
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Version Control			
Version	Changes Made	Date	Made By
v1.0	Completed and published.	Oct-21	Innovation / IM Service
v2.0	Changes Made (Minor changes to title of IAO, Department names and number of libraries). Regulatory Sandbox Information has been added following it's move from Assurance earlier this year. DET is to be removed as now a Department with separate LIMO	Dec-22	Elaine Stewart

Insight

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Ad-hoc insight work	Collection of ad hoc insight work.	[withheld - s31]	Director of high Priority Inquiries, Insight, Intelligence and Relationship Management Directorate	Four document libraries	Yes	No	Open to all ICO staff (read only)	No	Digital	Last action - 6 years - Review	No	2	1	2
Monitoring	Documents about monitoring work. (Police, London Boroughs and Central Government DP and FOI monitoring work)	[withheld - s31]	Director of high Priority Inquiries, Insight, Intelligence and Relationship Management Directorate	Seven document libraries	Yes	No	Open to all ICO staff (read only)	No	Digital	Last action - 6 years - Review	No	2	1	2
Thematic reports	Documents about current thematic reports. (Reports based on specific information rights issues, for example publication schemes)	[withheld - s31]	Director of high Priority Inquiries, Insight, Intelligence and Relationship Management Directorate	Seven document libraries. Two folders [withheld - s31]	Yes	No	Open to all ICO staff (read only)	No	Digital	Last action - 6 years - Review. Folders in Teams to be moved to [withheld - s31] on completion of the project.	No	3	1	3
Thematic report archive	Documents about previous thematic reports or proposals (Reports or proposals based on specific information rights issues)	[withheld - s31]	Director of high Priority Inquiries, Insight, Intelligence and Relationship Management Directorate	Five document libraries	Yes	No	Open to all ICO staff (read only)	No	Digital	Last action - 6 years - Review	No	2	1	2
Training planning and admin	Documents about training, planning and general administration repository.	[withheld - s31]	Director of high Priority Inquiries, Insight, Intelligence and Relationship Management Directorate	Five document libraries. One folder [withheld - s31]	Yes	No	Open to all ICO staff (read only)	No	Digital	Last action - 6 years - Review. [withheld - s31] to be moved to [withheld - s31] when requirement for collaboration is no longer required.	No	2	1	2

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Version Control			
Version	Changes Made	Date	Made By
v1.0	Completed and published	Oct-21	Insight / IM service
v2.0	Deleted DCU related assets. These have been removed and this was confirmed by [personal data]	Dec-22	Tiffany Higgins

Intelligence

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Inbox Correspondence - BI inbox	Emails received and sent by the BI inbox	[withheld - s31]	Director of High Priority Investigations & Intelligence	17,926 items (correct as of 25/9/2023 15:30)	Yes	Yes	Restricted to Intelligence Department staff Certain files are accessible to required ICO staff	Information is only shared externally (partner agencies/law enforcement) as required for regulatory purposes, and is done in accordance with legislation and/or sharing agreements and logged accordingly	Digital - Primarily emails, but also Microsoft Word, Excel and PDF	6 years from last action - review	No	2	1	2
COVID-19 Operations	Subsite for supporting intelligence documents for the dedicated COVID-19 Ops (KEPLER, TCHO, CLANUS, FORESIGHT)	[withheld - s31]	Director of High Priority Investigations & Intelligence	300+ documents	No	No	Restricted to Intelligence Department staff	Information is only shared externally as required for regulatory purposes and is done in accordance with legislation and/or sharing agreements and logged accordingly	Digital - Microsoft Word, Excel, PowerPoint, emails, PDFs	6 years from last action - review	No	3	1	3
International	Dedicated subsite for work and engagement conducted internationally by the Intelligence Department	[withheld - s31]	Director of High Priority Investigations & Intelligence	1,900+ documents	Yes	No	Restricted to Intelligence Department staff and site 'visitors'	This library is for internal use only however information saved has come from external agencies. Any information that is shared with international regulators is done in accordance with legislation and sharing agreements, and is recorded accordingly	Digital - Microsoft Word, Excel, PowerPoint, emails, PDFs	6 years from last action - review	No	2	1	2
Operations	Dedicated subsite for ICO operations containing intelligence, supporting documents and correspondence from Intel and Enforcement	[withheld - s31]	Director of High Priority Investigations & Intelligence	3,200+ documents	Yes	Yes	Restricted to Intelligence Department staff and site 'visitors' Certain libraries are shared with relevant Investigations staff members	Information is only shared externally as required for regulatory purposes and is done in accordance with legislation and/or sharing agreements and logged accordingly	Digital - Microsoft Word, Excel, PowerPoint, emails, PDFs	6 years from last action - review	No	3	1	3
Products subsite (inc. Reports/Appraisals, MFA, TA, STA, Cyber Reports, Intel Admin, Logs, OSR Resources)	Supporting documents received and logged by the Intelligence Department.	[withheld - s31]	Director of High Priority Investigations & Intelligence	2,600+ documents	Yes	No	Access for Intelligence Department and internal colleagues as required	Information is only shared externally (partner agencies/law enforcement) as required for regulatory purposes, and is done in accordance with legislation and/or sharing agreements and logged accordingly	Digital - Microsoft Word, Excel, PowerPoint, emails, PDFs	6 years from last action - review	No	2	1	2
Intelligence Reports and Appraisals	All Intelligence Products 2018 - present, and Appraisal forms	[withheld - s31]	Director of High Priority Investigations & Intelligence	1,160+ documents	Yes	No	Access for Intelligence Department and internal colleagues as required	Certain reports in this folder are specifically for external dissemination to law enforcement or partner agencies. This is done in accordance with legislation, sharing agreements and/or MOUs and logged accordingly	Digital - Microsoft Word, PDF, i2 charts	6 years from last action - review	No	3	1	3
Tactical Assessment	Folders dedicated to the Tactical Assessment, including final products, appraisals and background/supporting information	[withheld - s31]	Director of High Priority Investigations & Intelligence	33 documents	No	No	Access for Intelligence Department and internal colleagues as required	This is an internal product and no documents in this library are shared externally	Digital - Microsoft Word, Excel, PDFs	6 years from last action - review	No	2	1	2
Monthly PECR Threat Assessment	Folders dedicated to the Monthly Threat Assessment, including final products and background/supporting information and figures	[withheld - s31]	Director of High Priority Investigations & Intelligence	1000+ documents	No	No	Access for Intelligence Department and internal colleagues as required	Documents in this library are for both internal and external dissemination and are shared in accordance with legislation and sharing agreements and logged accordingly	Digital - Microsoft Word, Excel, emails, PDFs	6 years from last action - review	No	2	1	2
Monthly Cyber Trends Report	Folder dedicated to the Monthly Cyber Trends Report	[withheld - s31]	Director of High Priority Investigations & Intelligence	100+ documents	Yes	No	Access for Intelligence Department and internal colleagues as required	Documents in this library are for both internal and external dissemination and are shared in accordance with legislation and sharing agreements and logged accordingly	Digital - Microsoft Word, Excel, emails, PDFs	6 years from last action - review	No	2	1	2
Intelligence Admin	Background documents for the day-to-day execution of Intel work, such as logs and rotas	[withheld - s31]	Director of High Priority Investigations & Intelligence	1,140 documents	Yes	No	Access for Intelligence Department and internal colleagues as required	This library is for internal use only	Digital - Microsoft Word, Excel, PowerPoint, emails, PDFs	6 years from last action - review	No	1	1	1
Intelligence Logs	Folder dedicated to the core intelligence logs	[withheld - s31]	Director of High Priority Investigations & Intelligence	12 documents	Yes	Yes	Access for Intelligence Department and internal colleagues as required	This library is for internal use only	Digital - Microsoft Word, Excel	6 years from last action - review	No	3	1	3
Open Source Research Admin	Background information and documentation for OSR declaration	[withheld - s31]	Director of High Priority Investigations & Intelligence	170+ documents	Yes	No	Access for Intelligence Department and internal colleagues as required	This library is for internal use only	Digital - Microsoft Word, Excel, PDFs	6 years from last action - review	No	1	1	1
Resources: Open to all	A folder with open access for documents to be accessible to the whole office	[withheld - s31]	Director of High Priority Investigations & Intelligence	720+ documents	Yes	No	Access is open as read-only to the whole organisation	This library is for internal use only	Digital - Microsoft Word, Excel, PowerPoint, emails, PDFs	6 years from last action - review	No	2	2	4
Strategic Threat Assessment 2019-20	Information, resources and supporting documents for the STA 2019-20	[withheld - s31]	Director of High Priority Investigations & Intelligence	19 documents	No	No	Restricted to Intelligence Department staff and site 'visitors'	This library is for internal use only	Digital - Microsoft Word, Excel, PowerPoint, emails, PDFs	6 years from last action - review	No	2	1	2
Strategic Assessment	Subsite dedicated to the SA 2020-21, background research, resources and products	[withheld - s31]	Director of High Priority Investigations & Intelligence	300+ documents	Yes	No	Restricted to Intelligence Department staff	This library is for internal use only	Digital - Microsoft Word, Excel, PowerPoint, emails, PDFs	6 years from last action - review	No	2	1	2
MoRLE Risk Assessment	Supporting documents, templates and scoring documents of MoRLE risk assessment	[withheld - s31]	Director of High Priority Investigations & Intelligence	100+ documents	No	No	Access for Intelligence and a number of groups as required	This library is for internal use only	Digital - Microsoft Word, Excel, PowerPoint, emails, PDFs	6 years from last action - review	No	2	1	2
Regulatory Priorities (20-21 & 19-20) (inc. Other TCGs)	Documents relating to the Regulatory Priorities projects from 2019-2021, including all information from RP and other TCGs	[withheld - s31]	Director of High Priority Investigations & Intelligence	1,140+ documents	Yes	No	Access for Intelligence staff and TCG members across the office	This library is for internal use only	Digital - Microsoft Word, Excel, emails, PDFs	6 years from last action - review	No	3	1	3
Tactical TCGs	Supporting documents for Tactical TCGs	[withheld - s31]	Director of High Priority Investigations & Intelligence	39 documents	Yes	No	Access is restricted to Intelligence staff and members of each TCG respectively	This library is for internal use only	Digital - Microsoft Word, emails, PDFs	6 years from last action - review	No	3	1	3
Restricted subsite (exc. Whistleblowing)	Subsite for information requests, PNC requests and sensitive/secret information	[withheld - s31]	Director of High Priority Investigations & Intelligence	79 documents	Yes	Yes	Restricted to Intelligence Department staff	Documents in this library are external requests and correspondence with partner agencies and law enforcement	Digital - Microsoft Word, emails, PDFs	6 years from last action - review	No	3	1	3
Whistleblowing	Locked down library for complaints received from whistleblowers	[withheld - s31]	Director of High Priority Investigations & Intelligence	3,800+ documents	Yes	Yes	Restricted to Intelligence Department staff	This library is for internal use only	Digital - Emails	6 years from last action - review	No	3	1	3
Working Papers	Subsite for intelligence staff to save their background documents and research	[withheld - s31]	Director of High Priority Investigations & Intelligence	2,500+ documents	Yes	Yes	Restricted to Intelligence Department staff and site 'visitors'	This library is for internal use only	Digital - Microsoft Word, Excel, PowerPoint, emails, PDFs	6 years from last action - review	No	1	1	1
Team Resources	Subsite for team resources and training information	[withheld - s31]	Director of High Priority Investigations & Intelligence	1,950+ documents	Yes	No	Restricted to Intelligence Department staff and site 'visitors'	This library is for internal use only	Digital - Microsoft Word, Excel, PowerPoint, emails, PDFs	6 years from last action - review	No	1	1	1
Governance (exc. NAFN and Information Management)	Literatures relating to governance, including policies, work plans, templates and contacts	[withheld - s31]	Director of High Priority Investigations & Intelligence	51 documents	Yes	No	Access for Intelligence and a number of groups as required	Documents in this library are external requests and correspondence with partner agencies and law enforcement	Digital - Microsoft Word, Excel, PowerPoint, emails, PDFs	6 years from last action - review	No	1	2	2
NAFN	Requests made to NAFN, NAFN log and background information about the process	[withheld - s31]	Director of High Priority Investigations & Intelligence	250+ documents	Yes	Yes	Access for Intelligence and a number of groups as required	This library is for internal use only	Digital - Microsoft Word, Excel, emails, PDFs	6 years from last action - review	No	2	1	2
Information Management	Resources for the LMD and products for Intel's information management	[withheld - s31]	Director of High Priority Investigations & Intelligence	27 documents	No	No	Access for Intelligence and a number of groups as required	This library is for internal use only	Digital - Microsoft Word, emails	6 years from last action - review	No	1	1	1
National Security Certificate	Holds information on this procedure, the NSC log and the certificates sent to the ICO	[withheld - s31]	Director of High Priority Investigations & Intelligence	8 documents	Yes	No	Access restricted to Intelligence and PDMIT staff	This library is for internal use only however information saved has come from external agencies	Digital - Microsoft Word, Excel, PDFs	6 years from last action - review	No	3	1	3
MOUs	Subsite for national and international MOUs, background information and MOU admin	[withheld - s31]	Director of High Priority Investigations & Intelligence	17 documents	No	No	Restricted to Intelligence Department staff, site 'visitors' and selected staff members as required	Documents in this library are external agreements and correspondence with partner regulators and agencies	Digital - Microsoft Word, Excel, emails, PDFs	6 years from last action - review	No	2	1	2
MOUs and Information Sharing	Subsite for national and international MOUs, background information and MOU admin	[withheld - s31]	Director of High Priority Investigations & Intelligence	140+ documents	No	No	Restricted to Intelligence Department staff, site 'visitors' and selected staff members as required	Documents in this library are external agreements and correspondence with partner regulators and agencies	Digital - Microsoft Word, Excel, emails, PDFs	6 years from last action - review	No	2	1	2
Intelligence Managers' subsite	Subsite for Intel Manager resources and filing	[withheld - s31]	Director of High Priority Investigations & Intelligence	220+ documents	Yes	Yes	Restricted to Intelligence Managers only	This library is for internal use only	Digital - Microsoft Word, Excel, PowerPoint, emails, PDFs	6 years from last action - review	No	1	1	1
Physical assets	Physical documents, resources and IT assets which are held in [withheld - s31] - managed via Intel's Register and to be reviewed on return to the office	[withheld - s31]	Director of High Priority Investigations & Intelligence	Not known	Yes	Yes	Access restricted to Intelligence staff	Internal only, unless specifically requested for investigations	Not known	6 years from last action - review	No	2	1	2
Open Source Research devices	Laptops, iPads and IT assets used for open source research - currently held securely [withheld - s31] - logged and managed by Intel's Register	[withheld - s31]	Director of High Priority Investigations & Intelligence	19+ assets	No	No	Access restricted to Intelligence staff	Internal use only	Physical - Laptops, iPads, 4G dongle	N/A	N/A	1	1	1

Document Control	
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Version Control			
Version	Changes Made	Date	Made By
v1.0	Completed and published	Jul-21	Intelligence and IM Service
v2.0	Annual review - volume of all assets changed, one asset added 'MoUs and Information Sharing'	25/01/2023	[personal data]

International Regulatory Co-operation

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Adequacy - To be updated in January 2023 when moved across from Assurance.	All resources on Adequacy, Law Enforcement DCMS and Home Office	[withheld - s31]	Director of International Regulatory Cooperation	One Document Library	The names and contact details of stakeholders we have corresponded with, such as within archived emails.	Yes	Open to all ICO staff (read only)	No	Digital	Last action - 6 years - review	Yes	2	1	2
Bilateral Engagements	All bilateral affairs with other DPAs	[withheld - s31]	Director of International Regulatory Cooperation	3 Document Libraries; [withheld - s31]	The names and contact details of stakeholders we have corresponded with, such as within archived emails, as well as contact lists.	No	Open to all ICO staff (read only)	No	Digital	Last action - 6 years - review	No	1	1	1
Multilateral Engagements	All affairs with ie, CTN, ICIC, GPEN, BIDPA	[withheld - s31]	Director of International Regulatory Cooperation	One Document Library	The names and contact details of stakeholders we have corresponded with, such as within archived emails, as well as contact lists.	No	Open to all ICO staff (read only)	No	Digital	Last action - 6 years - review	No	1	1	1
Strategy and Business Planning	This contains our approaches to stakeholder engagement, studies of other DPA's strategies, and meetings of the ICO's International Strategy Organisation Group.	[withheld - s31]	Director of International Regulatory Cooperation	One Document Library	The names and contact details of stakeholders we have corresponded with.	No	Open to all ICO staff (read only)	No	Digital	Last action - 3 years - Review	No	1	1	1
Law Enforcement and PNR past work with Home Office	Our work on biometric data, criminal records, extradition and police records, also PNR data transfers.	[withheld - s31]	Director of International Regulatory Cooperation	One Document Library. Two paper folders.	No	No	Open to all ICO staff (read only)	No	Digital and paper folders	Last action - 6 years - review	No	1	1	1
Team Resources	All Team Resources	[withheld - s31]	Director of International Regulatory Cooperation	One Document Library [withheld - s31]	No	No	Open to all ICO staff (read only)	No	Digital	Last action - 3 years - Review	No	2	1	2
Legislative Development	ISOG docs etc	[withheld - s31]	Director of International Regulatory Cooperation	One Document Library	No	No	Open to all ICO staff (read only)	No	Digital	Last action - 6 years - review	No	1	1	1
ICDPPC/GPA materials	Past conference and GPA Secretariat/ExCo materials - lever arch folders	[withheld - s31]	Director of International Regulatory Cooperation	5 lever arch folders	Names and contact details of stakeholders we have engaged with at GPA	No	Open to all ICO staff (read only)	No	Paper record	Last action - 6 years - review	No	01, possibly isolated 02	1	1
Business planning strategy and delivery	Business delivery, ISOG, workplans, international strategy (inc. ISOG)	[withheld - s31]	Director of International Regulatory Cooperation	One document library	Names of team members	No	Open to all ICO staff (read only)	No	Digital	Last action - 6 years - review	No	1	1	1
International Event Horizon Scanning Pilot Project	Project delivery plans/documents, IEHS Calendar Grid	[withheld - s31]	Director of International Regulatory Cooperation	One Document Library. One Teams Channel	Names of team members	No	Open to all ICO staff (read only)	No	Digital	Last action - 6 years - review	No	01, possibly isolated 02	1	1

Document Control	
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Version	Changes Made	Date	Made By
v1.0	Completed and published	Jul-21	IRC / IM Service
v2.0	Completed and published - additional sections added on Row 8 and Row 10.	Dec-22	IRCD LIMO Annabelle McGuinness / IM Service

Investigations - Financial Recovery Unit

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Casework - civil cases	Reports, briefings, internal and external correspondence, legal advice, Court Orders, Tribunal Decisions, Official Sensitive Intelligence	[withheld - s31]	Director of Investigations	Multiple documents libraries and [withheld - s31]; average 40-50 cases per year	Yes	Yes, if investigation case involves breach relating to special category data	[withheld - s31] restricted to FRU staff and relevant line management [withheld - s31] open to all staff with [withheld - s31] passwords. [withheld - s31] is open to all staff except sensitive cases.	Yes, information relating to cases is shared externally with relevant enforcement agencies, externally instructed lawyers and Insolvency Practitioners. All such information is shared in line with s.132, DPA2018 and logged	Digital	Case closed - 6 years - review	Yes, for Civil Monetary Penalty cases	3	1	3 - Low
Casework - criminal cases (POCA)	Reports, briefings, internal and external correspondence, legal advice, Court Orders, Official Sensitive Intelligence, MOUs with organisations undertaking financial investigations	[withheld - s31]	Director of Investigations	Multiple document libraries - 1 for each case	Yes	No	Restricted to FRU & Criminal Investigation staff	Yes, information relating to cases is shared externally with relevant enforcement agencies and appointed Counsel	Digital	Case closed - 6 years - review	Yes	3	1	3 - Low
National Anti-Fraud Network (NAFN) documents	Requests, internal approvals, reports and results obtained via NAFN intelligence or financial database checks	[withheld - s31]	Director of Investigations	Four document libraries ordered by Requests/Report and Corporate/Personal categories; and financial year	Yes	No	Access is restricted to FRU staff and relevant line management.	Reports and results not directly shared. However, information may be extracted and shared externally for the purposes of progressing recovery or further enforcement action	Digital	Case closed - 6 years - review	Yes, for Civil Monetary Penalty cases	3	1	3 - Low
Payment Plan records	Documents relating to payment plan agreements for Civil Monetary Penalties	[withheld - s31]	Director of Investigations	One document library ordered by financial year. Following introduction of [withheld - s31], only payment plan breakdowns are saved to this library from 2019-20 onwards	Yes	No	Access is restricted to FRU staff and relevant line management.	No	Digital	Case closed - 6 years - review	No	2	1	2 - Low
Internal Decisions and Instructions (Archived)	Records of authority to proceed and external nominations / instructions, mainly relating to [withheld - s31] investigation cases. Also includes quarterly case updates provided by Insolvency Practitioners.	[withheld - s31]	Director of Investigations	One document library ordered by financial year.	Yes	No	Access is restricted to FRU staff and relevant line management.	Internal Decisions - No. Instructions - Yes, as involves external correspondence	Digital	Case closed - 6 years - review	No	2	1	2 - Low
Costs	Internal correspondence with Finance Department and Invoices received	[withheld - s31]	Director of Investigations	One document library ordered by financial year.	Yes	No	Access is restricted to FRU staff and relevant line management.	No	Digital	Case closed - 6 years - review	No	1	1	1 - Low
Asset Recovery Incentivisation Scheme (ARIS)	Allocation and receipt of ARIS funds under POCA	[withheld - s31]	Director of Investigations	One document library	No	No	Restricted to FRU & Criminal Investigation staff	No	Digital	Case closed - 6 years - review	No	2	1	2 - Low
General internal correspondence	Internal correspondence relating directly to FRU cases (pre [withheld - s31] cases) and enquiries / information received not directly related to current FRU cases	[withheld - s31]	Director of Investigations	One document library ordered by financial year.	Yes	No	Access is restricted to FRU staff and relevant line management.	No	Digital	Case closed - 6 years - review	No	2	1	2 - Low
General external correspondence	External correspondence relating directly to FRU cases (pre [withheld - s31] cases) and enquiries / information received not directly related to current FRU cases	[withheld - s31]	Director of Investigations	One document library ordered by financial year.	Yes	No	Access is restricted to FRU staff and relevant line management.	No	Digital	Case closed - 6 years - review	No	2	1	2 - Low
POCA Financial Investigation Powers	Documents relating to ICO application to Home Office and Proceeds of Crime Centre for powers via Statutory Instrument including public consultation	[withheld - s31]	Director of Investigations	One document library ordered by financial year	No	No	Restricted to FRU & Criminal Investigation staff	Yes, some documents shared with Home Office and Proceeds of Crime Centre	Digital	Date legislation passed - 6 years - destroy TBC	No	1	1	1 - Low
Meetings	Minutes and notes relating to external stakeholder engagement	[withheld - s31]	Director of Investigations	One document library	Yes	No	Access is restricted to FRU staff and relevant line management.	No	Digital	Last action - 6 years - review	No	2	1	2 - Low
FRU Management Information (Trackers and Logs)	Casework tracker (including dissemination logs (civil & POCA), KPI tracker, Companies House strike off objections and information requests log, Gazette monitoring log, Monitored companies log, FRU contacts log, Log of documents removed from office and management reports	[withheld - s31]	Director of Investigations	Two document libraries	Yes	No	Access is restricted to FRU staff and relevant line management within [withheld - s31]	No	Digital	Last action - 6 years - review	No	3	1	3 - Low
Policies and Procedures	Internal standards and processes integral to the activities of the FRU. Also includes copy DPIAs.	[withheld - s31]	FRU Team Manager, Director of Investigations, Director of Finance, Director of Corporate Affairs and Governance	Two document libraries - civil / criminal (POCA)	No	No	Access is restricted to FRU staff and relevant line management within [withheld - s31]	No	Digital	Last action - 3 years - Review	No	2	1	2 - Low
Training Materials & Presentations	Training and guidance on financial recovery, conducting investigations and relevant legislation	[withheld - s31]	Director of Investigations	One document library	No	No	Access is restricted to FRU staff and relevant line management within [withheld - s31]	No	Digital	Superseded - 6 years - Destroy	No	1	1	1 - Low
FRU Template Documents	Template documents for FRU investigations	[withheld - s31]	Director of Investigations	One document library	No	No	Access is restricted to FRU staff and relevant line management within [withheld - s31]	No	Digital	Last action - 3 years - Review	No	1	1	1 - Low
Insolvency Practitioner Procurement	Documents relating to the procurement of an ICO Insolvency Practitioner panel	[withheld - s31]	Director of Investigations	One sub-site containing 5 libraries	Yes	No	Access is restricted to 3 x Investigations Managers and 1 x Procurement Officer	No	Digital	Unsuccessful Tenders - 400 days - review. Contracts - 6 years - review	No	1	1	1 - Low
Legislation	Relevant Primary and Secondary Legislation	[withheld - s31]	Director of Investigations	One document library	No	No	Access is restricted to FRU staff and relevant line management within [withheld - s31]	No	Digital	Last action - 12 months - review	No	1	1	1 - Low
Reports & Working Files	Investigation and Intel Reports related to Investigations and Operations	[withheld - s31]	Director of Investigations	One document library	Yes	Yes, if investigation case involves breach relating to special category data	Access is restricted to FRU staff and relevant line management within [withheld - s31]	No	Digital	Case closed - 6 years - review	No	3	1	3 - Low

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Management Information	Management trackers including Confiscation Orders and ARIS receipts, POCA case tracker, POCA contacts, POCA Dissemination Log, LIMO Tracker, and POCA power	[withheld - s31]	Director of Investigations	Multiple spreadsheets (approx. 7)	Yes	No	[withheld - s31] site is highly restricted to a limited number of investigations staff with SC clearance or higher.	Yes, information relating to cases is shared externally with relevant enforcement agencies and instructed lawyers. All such information is shared in line with s.132, DPA2018 and logged	Digital	Last action - 6 years - review	No	3	1	3 - Low
ICO Policies and Procedures	Internal standards and processes integral to the activities of POCA investigations within FRU	[withheld - s31]	Director of Investigations	One document library	No	No	[withheld - s31] is highly restricted to a limited number of investigations staff with SC clearance or higher.	No	Digital	Last action - 3 years - review	No	2	1	2 - Low
Relevant Case Law	Copies of, or links to, relevant case law	[withheld - s31]	Director of Investigations	One document library	No	No	[withheld - s31] is highly restricted to a limited number of investigations staff with SC clearance or higher.	Yes, information relating to cases is shared externally with relevant enforcement agencies, externally instructed lawyers and Insolvency Practitioners. All such information is shared in line with s.132, DPA2018 and logged	Digital	Last action - 6 years - review	No	1	1	1 - Low
Presentations	Training and guidance on POCA and conducting relevant investigations within the ICO	[withheld - s31]	Director of Investigations	One document library	No	No	[withheld - s31] is highly restricted to a limited number of investigations staff with SC clearance or higher.	No	Digital	Superseded - 6 years - Destroy	No	1	1	1 - Low
Value of Data	Statements, briefings, spreadsheets and notes relating to value of data evidence and calculations	[withheld - s31]	Director of Investigations	One document library	No	No	[withheld - s31] is highly restricted to a limited number of investigations staff with SC clearance or higher.	No	Digital	Last action - 6 years - review	No	2	1	2 - Low
Templates	Template documents for POCA investigations	[withheld - s31]	Director of Investigations	Two document libraries ordered by source namely ICO/FISS	No	No	[withheld - s31] is highly restricted to a limited number of investigations staff with SC clearance or higher.	No	Digital	Superseded - 3 years - Review	No	1	1	1 - Low
NCA	Correspondence between departments of the NCA and the ICO, sections refer to the NCA departments. Includes internal correspondence relating to the NCA	[withheld - s31]	Director of Investigations	Three document libraries ordered by PoCC, UKFRU and JARD/ARIS; and financial year	Yes	No	[withheld - s31] site is highly restricted to a limited number of investigations staff with SC clearance or higher.	No	Digital	Last action - 6 years - review	No	3	1	3 - Low
POCA SPOC Material	Correspondence between POCA SPOC within ICO and relevant agencies, including NCA, relating to accreditation and access to systems	[withheld - s31]	Director of Investigations	One document library ordered by financial year	Yes	No	[withheld - s31] is highly restricted to a limited number of investigations staff with SC clearance or higher.	No	Digital	Last action - 6 years - review	No	3	1	3 - Low
POCA cases	Reports, briefings, internal and external correspondence, legal advice, Court Orders, Official Sensitive intelligence, details of financial enquiries under POCA	[withheld - s31]	Director of Investigations	Three document libraries ordered by FIO Enquiries, Confiscation/Restraint and Civil Recovery; and financial year	Yes	Yes, if investigation case involves breach relating to special category data	[withheld - s31] is highly restricted to a limited number of investigations staff with SC clearance or higher.	Yes, information relating to cases is shared externally with relevant enforcement agencies, externally instructed lawyers and Insolvency Practitioners. All such information is shared in line with s.132, DPA2018 and logged	Digital	Case closed - 6 years - review	Yes	3	1	3 - Low
National Anti-Fraud Network (NAFN) documents	Requests, internal approvals, reports and results obtained via NAFN intelligence or financial database checks	[withheld - s31]	Director of Investigations	Two document libraries ordered by FIO, AFI internal requests; and financial year	Yes	No	[withheld - s31] is highly restricted to a limited number of investigations staff with SC clearance or higher.	Reports and results not directly shared. However, information may be extracted and shared externally for the purposes of progressing recovery or further enforcement action	Digital	Case closed - 6 years - review	Yes	3	1	3 - Low
Training Materials	Training and guidance on the use of POCA	[withheld - s31]	Director of Investigations	Two document libraries ordered by accreditation pre-reads and general training material	No	No	[withheld - s31] is highly restricted to a limited number of investigations staff with SC clearance or higher.	No	Digital	Superseded - 6 years - Destroy	No	1	1	1 - Low

Document Control	
Version Number	v1.0
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Version Control			
Version	Changes Made	Date	Made By
v1.0	Completed and published.	Oct-21	FRU / IM Service
v2.0	Updated the existing tabs and added new tab to reflect changes in [withheld - s31]	Dec-22	FRU / IM Service

IT

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Change management Information	Internal and External requests for change to ICO IT Infrastructure	[withheld - s31]	Director of Digital, IT and Customer service	Two Document libraries	No	No	IT and Infosec	No	Digital	Last Action - 3 year - Review	No	2	1	2
IT Assets	IT asset information including serial numbers, procurement information	[withheld - s31]	Director of Digital, IT and Customer service	3 Document libraries	No	No	ITHelp	No	Digital	End of system life - 12 months - Review	No	2	1	2
CSI	Service reviews with 3rd parties	[withheld - s31]	Director of Digital, IT and Customer service	one Library	Yes	No	Digital and IT	No	Digital	End of System Life - 12 months - Review	No	2	1	2
Contractors & Suppliers	Contract info, reports , billing	[withheld - s31]	Director of Digital, IT and Customer service	one Library	Yes	No	Digital and IT	No	Digital	End of contract - 6 years - review	No	2	1	2
Design Authority	Software requests ,design documents	[withheld - s31]	Director of Digital, IT and Customer service	one Library	No	No	Digital and IT	No	Digital	Last Action - 3 year - Review	No	2	1	2
Incident Management	Major Incident reports from 3rd parties	[withheld - s31]	Director of Digital, IT and Customer service	one Library	No	No	Digital and IT	No	Digital	Last Action - 3 year - Review	No	2	1	2
IT Security	ACCsec info, credential info	[withheld - s31]	Director of Digital, IT and Customer service	one Library	No	No	ITHelp	No	Digital	Last Action - 6 years - Review - Business Need	No	2	1	2
IT User Guides	How to guides	[withheld - s31]	Director of Digital, IT and Customer service	one Library	No	No	ITHelp	No	Digital	Superseded - 6 years - Destroy	No	2	1	2
Knowledge Base	Technical Info for IT staff	[withheld - s31]	Director of Digital, IT and Customer service	One Library	No	No	ITHelp	No	Digital	Superseded - 6 years - Destroy	No	2	1	2
Problem Management	Reports	[withheld - s31]	Director of Digital, IT and Customer service	One Library	No	No	ITHelp	No	Digital	End of financial year - 6 years - review	No	2	1	2
Process&Procedure	Technical guides	[withheld - s31]	Director of Digital, IT and Customer service	One Library	No	No	ITHelp	No	Digital	Superseded - 6 years - Destroy	No	2	1	2
Reasonable Adjustments	Requests	[withheld - s31]	Director of Digital, IT and Customer service	One Library	No	No	ITHelp	No	Digital	Last Action - 3 year - Review	No	2	1	2
Service Definition	Technical handover documents	[withheld - s31]	Director of Digital, IT and Customer service	One Library	No	No	ITHelp	No	Digital	End of System Life - 12 months - Review	No	2	1	2
Strategy and planning	plans, HLD	[withheld - s31]	Director of Digital, IT and Customer service	One Library	No	No	Digital and IT	No	Digital	Last Action - 3 Years - Review	No	2	1	2
Supplier Management	Contracts	[withheld - s31]	Director of Digital, IT and Customer service	One Library	Yes	No	Digital and IT	No	Digital	End of contract - 6 years - review	No	2	1	2
IT Help Teams Site	Quick reference guides	[withheld - s31]	Director of Digital, IT and Customer service	OneSite	No	No	IT Help	No	Digital	Last Action - 6 years - Review - Business Need	No	2	1	2
Helpdesk Ticket system	incident reports, service requests, knowledge base	[withheld - s31]	Director of Digital, IT and Customer service	One Instance	Yes	No	Digital and IT, LittleFish	Yes	Digital	Last Action - 3 year - Review	No	3	2	6

Document Control	
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v1.0	Completed and published	Mar-22	IT / IM Service
v2.0	Completed and published	Jan-23	IT / IM Service

Knowledge Services

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Historic advice: advice requests (read only)	Subsite of document libraries containing archived and historic advice provided, old PDARFs and requests for instructions	[withheld - s31]	Director of Corporate Affairs and Governance	14 archived document libraries	Yes	No	Open to all ICO staff (read only)	No	Digital	Creation - 6 years - Destroy	No	2	1	2
Historic advice: Lines to take (read only)	subsite of document libraries containing archived, current and withdrawn ASK/EUDPR LTT	[withheld - s31]	Director of Corporate Affairs and Governance	14 archived document libraries	no	No	Open to all ICO staff (read only)	No	Digital	Creation - 6 years - Destroy	No	1	1	1
Planning	subsite of documents relating to the Guidance government project, and 'how to' guides for drafting	[withheld - s31]	Director of Corporate Affairs and Governance	2 document libraries	No	No	Open to all ICO staff (read only)	No	Digital	Creation - 6 years - Destroy	No	1	1	1
Team Administration	team meeting notes and ppts	[withheld - s31]	Director of Corporate Affairs and Governance	1 document library	No	No	Open to all ICO staff (read only)	No	Digital	Creation - 3 years - review	No	1	1	1
Administration	Work trackers, consultation logs and templates	[withheld - s31]	Director of Corporate Affairs and Governance	1 document library (>15 docs)	Yes	No	Open to all ICO staff (read only)	No	Digital	Creation - 3 years - review	No	1	1	1
Internal consultation	Internal consultation responses - provided and received - concerning advice requests	[withheld - s31]	Director of Corporate Affairs and Governance	1 document library (> 50 docs)	Yes	No	Open to all ICO staff (read only)	No	Digital	Creation - 6 years - Destroy	No	2	1	2
Policy Advice Alerts	Updates to policy position alert emails	[withheld - s31]	Director of Corporate Affairs and Governance	1 document library (> 10 docs)	No	No	Open to all ICO staff (read only)	No	Digital	Creation - 6 years - Destroy	No	1	1	1
Policy Advice responses	Responses to internal requests for advice	[withheld - s31]	Director of Corporate Affairs and Governance	1 document library (<1000 docs)	Yes	No	Open to all ICO staff (read only)	No	Digital	Creation - 6 years - Destroy	No	2	1	2
Policy Projects	PPA policy project responses and papers	[withheld - s31]	Director of Corporate Affairs and Governance	1 document library (>20 docs)	No	No	Open to all ICO staff (read only)	No	Digital	Creation - 6 years - Destroy	No	2	1	2
FOIA12 cupboard	Locked cupboard containing training materials and notes (for both trainers and delegates), and general staff notes made during course of business	[withheld - s31]	Director of Corporate Affairs and Governance	1 cupboard	Yes	No	Locked cupboard	No	Physical	Superseded - 6 years - Destroy	No	1	1	1
ICO knowledge builder	Searchable staff resource containing FAQs and ICO positions on a range of topics	[withheld - s31]	Director of Corporate Affairs and Governance	1 library containing >100 pages	No	No	Open to all ICO staff (read only)	No	Digital	Superseded - 6 years - Destroy	No	2	1	2
FOI knowledgebase	Searchable staff resource containing FAQs and ICO positions on a range of topics	[withheld - s31]	Director of Corporate Affairs and Governance	1 library containing >1000 pages	No	No	Open to all ICO staff (read only)	Yes - shared with FOI policy team. Saved on knowledge hub	Digital	Superseded - 6 years - Destroy	No	2	1	2
Physical books	Locked cupboard containing academic text books for staff use	[withheld - s31]	Director of Corporate Affairs and Governance	1 cupboard	No	No	Locked cupboard	No	Physical	Superseded - 6 years - Review	No	1	1	1
Training materials	Published training materials	[withheld - s31]	Director of Corporate Affairs and Governance	1 document library	No	No	Restricted access to network trainers/KS and L&D teams	Yes - material owned by KS, but housed in L&D SP site	Digital	Superseded - 6 years - Review	No	1	1	1
Training materials (draft and in development)	Draft and in development training materials	[withheld - s31]	Director of Corporate Affairs and Governance	1 document library	No	No	Restricted access to Knowledge Service and IM teams	No	Digital	Last action - 3 years - review	No	2	1	2
Knowledge Management SharePoint Leacacv	[withheld - s31] - historical advice and LTT	[withheld - s31]	Director of Corporate Affairs and Governance	1 document library and subsite	No	No	Restricted access to Knowledge Management and IM teams	No	Digital	Superseded - 6 years - review	No	1	1	1
Journals and Subscriptions library	[withheld - s31] hosted in knowledge hub containing current and previous issues of various journals and publications	[withheld - s31]	Director of Corporate Affairs and Governance	1 library containing >100 pages	No	No	Open to all ICO staff (read only)	Yes - saved in corporate resources [withheld - s31]	Digital	Superseded - 6 years - review	No	1	1	1
Outside views library	[withheld - s31] hosted in knowledge hub containing summaries of third party guidance	[withheld - s31]	Director of Corporate Affairs and Governance	1 library containing >100 pages	No	No	Open to all ICO staff (read only)	No	Digital	Superseded - 6 years - review	No	1	1	1
Knowledge and Information Packs library	[withheld - s31] hosted in knowledge hub containing current and previous issues of various journals and publications	[withheld - s31]	Director of Corporate Affairs and Governance	1 library containing >100 pages	No	No	Open to all ICO staff (read only)	No	Digital	Superseded - 6 years - review	No	2	1	1
Legal concepts library	Searchable staff resource containing FAQs and ICO positions on a range of topics	[withheld - s31]	Director of Corporate Affairs and Governance	1 library containing <10 pages	No	No	Open to all ICO staff (read only)	Yes - material owned by Legal but saved in Knowledge hub	Digital	Superseded - 6 years - review	No	2	1	1
Legal case summaries library	Searchable staff resource containing ICO summaries on a information rights legal cases.	[withheld - s31]	Director of Corporate Affairs and Governance	1 library containing <100 pages	No	No	Open to all ICO staff (read only)	Yes - material owned by Legal but saved in Knowledge hub	Digital	Superseded - 6 years - review	No	2	1	1
Knowabout recordings	Stream library containing recordings of previous knowabouts	[withheld - s31]	Director of Corporate Affairs and Governance	1 library containing <100 videos	No	No	Open to all ICO staff (read only)	Yes - owned by WFD but embedded on knowledge hub	Digital	Superseded - 6 years - review	No	2	1	1
Interactive tools library	[withheld - s31] library containing flowchart guidance on Microsoft Forms	[withheld - s31]	Director of Corporate Affairs and Governance	1 library containing <10 pages	No	No	Open to all ICO staff (read only)	No	Digital	Superseded - 6 years - review	No	2	1	1
Snapshot on library	[withheld - s31] library containing guidance presented using Microsoft Sway	[withheld - s31]	Director of Corporate Affairs and Governance	1 library containing <10 pages	No	No	Open to all ICO staff (read only)	No	Digital	Superseded - 6 years - review	No	2	1	1

Document Control	
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Version Control			
Version	Changes Made	Date	Made By
v1.0	Completed and published.	Jul-21	Knowledge Services & IM service
v2.0	Annual review FOI knowledgebase, Legal concepts library, Legal case summaries library, knowabouts, Interactive tools and Snapshot on library added. Knowledge Packs and Journals entries amended ([withheld - s31])	Nov-22	Danny Barlow

Legal Enforcement FOIA

Document Control	
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Version Control			
Version	Changes Made	Date	Made By
v1.0	Completed and published	Oct-21	Legal Services / IM service
v2.0	Annual review - no changes made	24/11/2022	[personal data]

Legal Enforcement

Document Control	
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Version Control			
Version	Changes Made	Date	Made By
v1.0	Completed and published	Oct-21	Legal / IM Service
v2.0	Annual review - no changes made	24/11/2022	[personal data]

London Office

Document Control	
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Security Classification	Official

Version Control			
Version	Changes Made	Date	Made By
v1.0	Completed and Published	Oct-21	London Office / IM Service
V2.0	Annual Review Completed - Removed the rota as it's no longer being used, and likewise with the Visitor Booking Form which has now been replaced by the Desk Booking System	Jan-23	London Office

Operation Chandra

Category	Name of asset	Description	Access	Shared?	Format	Retention Trigger	Retention	Retention Action	Permanent Preservation?	Impact	Probability	Risk Score
Minutes	Regular meetings summary notes	Agendas, Summary notes and supporting documents relating to various policy areas for programme board, project delivery group, fortnightly programme catch-up	Access is restricted to members of operation Chandra	Yes - Programme Board and Project Delivery members	Emails, word documents and PP presentation	Last Action	3 years	Review	No	2	1	2
Briefing	Briefings	Briefing papers and supporting documents for Management Board, ET, NEDs, the Commissioner and other internal briefings	Access is restricted to members of operation Chandra	Yes - ET, Management Board, ICO Corporate Governance, Programme Board and NEDs	Emails and word documents	Last Action	6 Years	Review	Yes	2	1	2
Briefing	External engagement	Briefings in preparation for engagement meetings with external stakeholders, meeting notes and supporting documents	Access is restricted to members of operation Chandra	No	Word documents	Last Action	6 years	Review	Yes	1	1	1
Briefing	Internal engagement	Internal communications products and email correspondence with All Staff and Trade Unions	Some documents restricted to operation Chandra and some are open to all staff	Yes	Emails, power point presentations and Word documents	Date Withdrawn	6 years	Destroy	No	1	1	1
Research	Evidence and research	Papers, emails, evidence and other supplementary documents received from ICO staff from across office involved in Op Chandra workstreams	Access is restricted to members of operation Chandra	No	Emails, word documents and PP presentation	Last Action	6 years	Review	No	2	1	2
Governance	Reporting	Fortnightly report for ET Sponsor, Policy Board reports and reports for other ICO boards	Access is restricted to members of operation Chandra	Yes - ET Sponsor	Word documents	Last Action	6 years	Destroy	No	1	1	1
Governance	Governance trackers	RAID logs, ToR, information management tracker, DCMS trackers and other governance documents	Access is restricted to members of operation Chandra	Yes - SLT Sponsors and members of International Directorate	Word documents	Last Action	3 years	Destroy	Yes	1	1	1
Governance	Resourcing	Papers, evidence and email correspondence relating to resourcing the ICO	Access is restricted to members of operation Chandra	Yes	Word and excel documents, power point presentations	Last Action	6 years	TBC	Yes	2	1	2
Paper	Policy board papers	Policy position paper presented to policy board, including summary notes with decisions/conclusions	Access is restricted to members of operation Chandra	Yes - members of policy board and members of International Directorate	Word documents	Superseded	6 years	Review	No	2	1	2
Briefing	Spending Review bids	Templates, Innovation and additional ICO baseline spend bids, email correspondence, papers and annexes with supporting narrative and evidence	Access is restricted to members of operation Chandra	Yes - DCMS and policy leads for Innovation and Baseline bids	Word documents	Last Action	6 years	Review	Yes	1	1	1
Briefing	DCMS engagement	Summary notes from data reform workshops, Steering group and Oversight Group	Access is restricted to members of operation Chandra	Yes - ad-hoc with working groups and DCMS data reform team	Word documents	Last Action	6 years	Review	No	1	1	1
Paper	DCMS engagement	DCMS papers and ICO responses	Access is restricted to members of operation Chandra	Yes - shared with DCMS Data Reform team and ad-hoc with working groups	Word documents	Last Action	National Archive	Review	Yes	3	1	3
Paper	Data prospects legal input	Legal advice about data reform proposals	Access is restricted to members of operation Chandra	No	Word and excel document	Last Action	6 years	Review	Yes	3	1	3
Paper	Specification packs	Series of slide packs summarising policy areas	Access is restricted to members of operation Chandra	Yes - internally with relevant service area leads	PowerPoint	Last Action	6 years	Review	No	2	1	2

Column1	Column2
Document Name	Operation Chandra Information Asset Register
Author/Owner	[Personal Data]
Department/Team	Operation Chandra / Legislative Reform
Status	Live' document
Version number	1.2
Release Date	TBC
Approver (if applicable)	Information Asset Owner/Information Asset Managers
Review date by	08-Feb-23
Distribution	Internal (restricted access to Op Chandra core team)

Version	Details	Date	Made by	Changes made
0.1	First draft	22-Jan-21	[Personal Data]	
0.2	Second draft	03-Feb-22	[Personal Data]	Updated to reflect new Chandra/Leg Reform records structure and changes to roles
1.0	Final for IM	08-Feb-22	[Personal Data]	Reviewed
1.1	Amended	09-Feb-22	[Personal Data]	Records added and amended to reflect special category data
1.2	Amended	21-Mar-22	[Personal Data]	Specification packs added
1.3	Amended	14-Apr-22	[Personal Data]	Incorporated feedback from Information Management: condensed entries, amended retention period and documents for permanent preservation
1.4	Amended	30-Apr-22	[Personal Data]	amended retention period and documents for permanent preservation
1.5	Amended	12-Jul-22	[Personal Data]	amended DCMS papers to separate formal responses. Adjust risk scoring after review.

Public Advice and Data Protection Complaints

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Casework Files (Standard)	Our case management system which contains complaint and enquiry submissions, including customer data, ICO casework and information provided by external organisations some of which is confidential.	[withheld - s31]	Director of Public Advice & Data Protection Complaints	One Case Management System	Y	Y	Open to all staff with permissions (any staff who use the system as part of day to day role).	Yes (FOI)	Digital	Case Closed & Last Action - 2 Years - Automatic	No	1	2	Low
Casework Files (Restricted)	Limited number of case files which are restricted access due to their sensitive content.	[withheld - s31]	Director of Public Advice & Data Protection Complaints	Three RA Subsites	Y	Y	Access restricted to those involved on the case.	No	Digital	Case Closed & Last Action - 2 Years - Manual Review	No	2	1	Low
Physical Information Asset Register	Collection of physical assets, including CDs, printouts, relating to casework.	[withheld - s31]	Director of Public Advice & Data Protection Complaints	Four Cupboards	Y	Y	Open to all staff but with audit procedures in place.	No	Physical	Case Closed - 6 Months - Manual Review	No	1	2	Low
Records of Engagement with Stakeholders	Meeting minutes and significant correspondence stored on any complaints engagement with significant stakeholders.	[withheld - s31]	Director of Public Advice & Data Protection Complaints	Six Subsites with Folders	Y	Y	Open to PADPCs Staff	No	Digital	6/3 Years - Manual Review	No	2	1	Low
Training Material/Templates	Training material on live service and casework procedures, largely for use by PADPCS staff but occasionally cross office or external use.	[withheld - s31]	Director of Public Advice & Data Protection Complaints	Five + Document Libraries	N	N	Open to PADPCs Staff including editing	No	Digital	Superseded - 6 years - Destroy	No	1	1	Low
Management RA Folder	Management Reports & Information	[withheld - s31]	Director of Public Advice & Data Protection Complaints	One Subsite, with multiple subsites	Y	N	Restricted to TMs, GMs, HoD within PADPCS	No	Digital	End of financial year - 6 years - Review - Business need	No	2	1	Low
PADPC/BA Shared Area	Collection of documents used by both services in relation to casework and live services. Guidance documents/Policies and Procedures for shared services, Managers RA with Reports & Terminated Call Logs including customer and staff PD.	[withheld - s31]	Director of Public Advice & Data Protection Complaints and Director of Digital, IT and Customer Services	One Subsite, with multiple subsites	Y	Y	Open to PADPCs and BA staff	Yes	Digital	Last Action - 12 months - review - Business need	No	1	1	Low
LCO Documents RA Folder	Reports/Log carried out by LCOs within the department - including training needs/concerns for Cos	[withheld - s31]	Director of Public Advice & Data Protection Complaints	One Subsite	Y	Y	Restricted to LCOs, TMs, GMs, HoD within PADPCS	No	Digital	Superseded - 6 years - Destroy	No	2	1	Low
Rota & Elected Representatives Subsites	Collection of current rota/reports on Elected Repts function & Rota. Spreadsheets containing ER cases/reports/updates and rotas including Helpline and specific function rotas.	[withheld - s31]	Director of Public Advice & Data Protection Complaints	Two Subsites	Y	N	Open to PADPCs and BA staff	Yes	Digital	Automatically replaced over time & None - superseded	No	1	1	Low
Staff Repts	Record of meetings with the staff reps forum in PADPCS	[withheld - s31]	Director of Public Advice & Data Protection Complaints	One Subsite	N	N	Open to PADPCS staff	No	Digital	Last Action - 3 years - Review - Business need	No	1	1	Low
Scanning Function	Correspondence & other items on casework and other business areas	[withheld - s31]	Director of Public Advice & Data Protection Complaints	One Scanning/Postal Function	Y	Y	Function run by limited staff, assets in locked cupboards with audit procedures.	Yes	Physical & Digital	6 Months - Destroy Original	No	1	2	Low
PADPCS Intel - MS Forms Data & Analysis	Reports and statistics relating to casework	[withheld - s31]	Director of Public Advice & Data Protection Complaints	One subsite	N	N	Open to all PADPCS staff	No	Digital	Last action - 2 years - Destroy	No	1	1	Low
PADPCS Intel - MS Forms Data & Analysis	Reports and statistics relating to live services	[withheld - s31]	Director of Public Advice & Data Protection Complaints	One subsite	N	N	Open to all PADPCS staff	No	Digital	Last action - 2 years - Destroy	No	1	1	Low
Live Service Resources	Guidance material for the live services	[withheld - s31]	Director of Public Advice & Data Protection Complaints	One subsite	Y	Y	Open to all PADPCS staff & BAS	Yes	Digital	Date withdrawn - 6 years - Destroy	No	2	1	Low
ICS	Information relating to ICS accreditation process	[withheld - s31]	Director of Public Advice & Data Protection Complaints	One subsite	Y	N	Open to all PADPCS staff & BAS	Yes	Digital	Last action - 3 years - Review	No	1	1	Low
Teams Files	Training documents, management information, meeting agendas	[withheld - s31]	Director of Public Advice & Data Protection Complaints	Unknown	Y	N	Individual files - individuals. Group files - those with access to the group (limited)	No	Digital	End of financial year - 6 years - Review - Business need	No	1	1	Low
Service Adjustments	Record of customers who have a service adjustment	[withheld - s31]	Director of Public Advice & Data Protection Complaints	Four subsites	Y	Y	Open to all PADPCS staff	No	Digital	Last Contact - 2 years - Destroy	No	2	1	Low

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v1.0	Completed and published.	Oct-21	PADPCS & IM Service
v2.0	Annual review - changed made [addition of [withheld - s31] files, Business Plan, Live Service Resources, PADPCS Intel, ICS & Service Adjustments]	Dec-22	Hannah Brewster & Melissa Wilde

PDMIT

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Crimson Investigation Management	Incident/Investigation cases	[withheld - s31]	Director of Investigations	Unknown	Yes	Possible	Investigations Department, IM (read only)	No	Digital	Enforcement Action taken - Case Closed - 6 Years - Review - Limitation Act 1980 Enforcement Action not taken - Case Closed - 2 Years - Destroy - Business Need	No	2	1	2 - Low Risk
Crimson Cases	Incident/Investigation case papers	[withheld - s31]	Director of Investigations	1 x Subsite	Yes	Possible	PDMIT, FRU, Assurance (read only), Comms (read only)	No	Digital	Enforcement Action taken - Case Closed - 6 Years - Review - Limitation Act 1980 Enforcement Action not taken - Case Closed - 2 Years - Destroy - Business Need	No	2	1	2 - Low Risk
Email Management	Complaints data	[withheld - s31]	Director of Investigations	1 x Subsite	Yes	Possible	Investigations Department, Intelligence Hub (read only)	No	Digital	Enforcement Action taken - Case Closed - 6 Years - Review Enforcement Action not taken - Case Closed - 2 Years - Destroy	No	2	1	2 - Low Risk
Complaints database & Intel Reports	External complaints data and Intelligence Reports	[withheld - s31]	Director of Investigations	1 x Subsite	Yes	No	PDMIT	No	Digital	Enforcement Action taken - Case Closed - 6 Years - Review - Limitation Act 1980 Enforcement Action not taken - Case Closed - 2 Years - Destroy - Business Need	No	1	1	1 - Low Risk
Legislation	Guidance, Resources, Tribunal Decisions	[withheld - s31]	Director of Investigations	1 x Subsite	Yes	No	Investigations Department, Intelligence Hub (read only)	No	Digital	Not on Retention Schedule but propose creation - 6 Years - Review - Business Need	No	1	1	1 - Low Risk
Operations	Documentation relating to investigations conducted under an operation name.	[withheld - s31]	Director of Investigations	1 x Subsite	Yes	Possible	PDMIT, FRU, Intelligence Hub (read only)	No	Digital	Enforcement Action taken - Case Closed - 6 Years - Review - Limitation Act 1980 Enforcement Action not taken - Case Closed - 2 Years - Destroy - Business Need	No	2	1	2 - Low Risk
TPS Management	Various documentation relating to management of TPS.	[withheld - s31]	Director of Investigations	1 x Subsite	Yes	No	Investigations Department Managers	No	Digital	Not on Retention schedule but propose: creation - 6 Years - Review - Business Need	No	2	1	1 - Low Risk
3PIN Management	Applications and documentation relating to 3PINs to CSPs	[withheld - s31]	Director of Investigations	1 x Subsite	Yes	No	PDMIT, Intelligence Hub (read only)	No	Digital	Not on Retention schedule but should be creation - 6 Years - Review	No	2	1	2 - Low Risk
SA Breach Reporting (Archived)	Breach notifications, breach log, rota and background/resources	[withheld - s31]	Director of Investigations	1 x Subsite	Yes	Possible	PDMIT, FRU, Intelligence Hub	No	Digital	Enforcement Action taken - Case Closed - 6 Years - Review - Limitation Act 1980 Enforcement Action not taken - Case Closed - 2 Years - Destroy - Business Need	No	2	1	2 - Low Risk
Compliance Management	Meeting Minutes, Action Plans, Letters to CSPs	[withheld - s31]	Director of Investigations	1 x Document Library	Yes	Yes	Investigations Department, Intelligence Hub (read only)	No	Digital	Engagement with less significant stakeholders: Advice provided to smaller organisations - 3 Years - Last Action - Review - Business Need.	No	2	1	2 - Low Risk
Management Information	Spreadsheets of records of various areas of investigation work	[withheld - s31]	Director of Investigations	1 x Document Library	Yes	Possible	Investigations Department, Intelligence Hub (read only)	No	Digital	6 Years - End of Financial Year - Review - Business Need.	No	2	1	2 - Low Risk
NICC Management	Applications, Requests and Response from CSPs re NICC Traces	[withheld - s31]	Director of Investigations	1 x Document Library	Yes	No	Investigations Department, Intelligence Hub (read only)	No	Digital	Not on Retention schedule but should be creation - 6 Years - Review - Business Need	No	2	1	2 - Low Risk
PDMIT Meetings	Records of meetings with various Stakeholders	[withheld - s31]	Director of Investigations	1 x Document Library	Yes	Unlikely	Investigations Department, Intelligence Hub (read only)	No	Digital	Engagement with significant stakeholders: This will include government departments, large companies and charities as well as international work. 6 years Review - Last Action - Business Need	No	1	1	1 - Low Risk
Policies & Procedures	Documentation outlining process and procedure for different aspects of conducting an investigation	[withheld - s31]	Director of Investigations	1 x Document Library	Yes	No	Investigations Department, Intelligence Hub (read only)	No	Digital	Creation - 6 years - Destroy - Business Need	No	2	1	2 - Low Risk
Team Management (RA)	Management information	[withheld - s31]	Director of Investigations	1 x Document Library	No	Possible	Investigations Department Managers	No	Digital	End of Financial Year - 6 years - Review - Business Need	No	1	1	1 - Low Risk
Training	Training material/guidance relation to PDMIT	[withheld - s31]	Director of Investigations	1 x Document Library	Yes	No	Investigations Department, Intelligence Hub (read only)	No	Digital	6 Years Superseded - Destroy - Limitation Act 1980	No	1	1	1 - Low Risk
Templates	Letter and report templates used by PDMIT	[withheld - s31]	Director of Investigations	1 x Document Library	No	No	Investigations Department, Intelligence Hub (read only)	No	Digital	Last Action - 3 years - Review - Business Need	No	1	1	1 - Low Risk
Email Management Area (Archived)	Older complaints data	[withheld - s31]	Director of Investigations	1 x Document Library	Yes	Possible	Investigations Department, Intelligence Hub (read only)	No	Digital	Enforcement Action taken - Case Closed - 6 Years - Review - Limitation Act 1980 Enforcement Action not taken - Case Closed - 2 Years - Destroy - Business Need	No	2	1	2 - Low Risk
Property Information	Details of items/documentation seized by PDMIT during investigations	[withheld - s31]	Director of Investigations	1 x Subsite	Yes	Possible	Investigations Department, Intelligence Hub (read only)	No	Digital	Enforcement Action taken - Case Closed - 6 Years - Review - Limitation Act 1980 Enforcement Action not taken - Case Closed - 2 Years - Destroy - Business Need	No	2	1	2 - Low Risk
Property	Copy of items/documentation seized by PDMIT during investigations	[withheld - s31]	Director of Investigations	Unknown	Yes	Possible	Nominated CRIT/PDMIT personnel	No	Physical	Enforcement Action taken - Case Closed - 6 Years - Review - Limitation Act 1980 Enforcement Action not taken - Case Closed - 2 Years - Destroy - Business Need	No	2	1	2 - Low Risk

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v1.0	Completed and Published	Jul-21	PDMIT / IM Service
v2.0	PECR 5a changed to archived	Jan-23	PDMIT / IM Service

Parliamentary and Government Affairs

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Briefings (Non-Select Committee)	These are a mixture of briefings on people and/or subject matters provided to various senior management for meetings or events. It can also include briefings for external bodies, such as POSTnotes for the HoC/HoL libraries which are briefings on subject matters and do not hold personal data apart from work email addresses for people involved.	[withheld - s31]	Director of Strategic Policy	1 document library	Yes	No	All Staff are able to view these docs but only PGA can edit them.	Information is not shared with any third parties.	Digital	Last Action - 6 years Review	Interactions with key stakeholders in relation to interpreting Data Protection and Freedom of Information Act, Code of Practice relating to acts, legislative development, and significant internal advice - Yes Other Communications - No	2	1	2 - Low
Stakeholder Engagement	Key stakeholder engagement. Contains meeting notes, slides for presentations, email correspondence, etc.	[withheld - s31]	Director of Strategic Policy	129 document libraries	Yes	No	All Staff are able to view these docs but only PGA can edit them.	Information is not shared with any third parties.	Digital	Last Action - 6 years Review	Interactions with key stakeholders in relation to interpreting Data Protection and Freedom of Information Act, Code of Practice relating to acts, legislative development, and significant internal advice - Yes Other Communications - No	2	1	2 - Low
Article 36(4) work	Key stakeholder engagement relating to GDPR Article 36(4) submissions.	[withheld - s31]	Director of Strategic Policy	1 document library	Yes	No	All staff are able to view these docs but only the PGA department and the DPIA team can edit them. There may be some document sets that have restricted access, these will be noted in the RA register when created. Currently there are no RA documents sets in this library.	Information is not shared with any third parties.	Digital	Last Action - 6 years Review	Interaction with key stakeholders in relation to their Article 36(4) consultation requirements.	2	1	2 - Low
Internal and external Enquiries	Internal enquiries related to policy development and issues.	[withheld - s31]	Director of Strategic Policy	2 document libraries	Yes	No	Restricted Access - PGA Department only	Information is not shared with any third parties.	Digital	Last Action - 6 years Review	Interactions with key stakeholders in relation to interpreting Data Protection and Freedom of Information Act, Code of Practice relating to acts, legislative development, and significant internal advice - Yes Other Communications - No	2	1	2 - Low
Major DP related Legislation projects such as the National Data Strategy	Communications and documents about the NDS.	[withheld - s31]	Director of Strategic Policy	4 document libraries	Yes	No	All Staff are able to view these docs but only PGA can edit them.	Information is not shared with any third parties.	Digital	Last Action - 6 years Review	Interactions with key stakeholders in relation to interpreting Data Protection and Freedom of Information Act, Code of Practice relating to acts, legislative development, and significant internal advice - Yes Other Communications - No	2	1	2 - Low
ICO Consultations responses	Communications about, drafts of and final versions of non-PGA lead ICO responses to consultations.	[withheld - s31]	Director of Strategic Policy	1 document library	Yes	No	All Staff are able to view these docs but only PGA can edit them.	Information is not shared with any third parties.	Digital	Last Action - 6 years Review	Interactions with key stakeholders in relation to interpreting Data Protection and Freedom of Information Act, Code of Practice relating to acts, legislative development, and significant internal advice - Yes Other Communications - No	2	1	2 - Low
PGA work on Operations	Meeting information in relation to this Operation.	[withheld - s31]	Director of Strategic Policy	1 document library	Yes	No	PGA (editing access), Adrian Price and Jacob Ohrvik-Scott in Regulatory Futures (viewing access)	Information is not shared with any third parties.	Digital	Last Action - 6 years Review	Interactions with key stakeholders in relation to interpreting Data Protection and Freedom of Information Act, Code of Practice relating to acts, legislative development, and significant internal advice - Yes Other Communications - No	2	1	2 - Low
Conferences	Contact with organisers, arrangements, presentations, etc	[withheld - s31]	Director of Strategic Policy	1 document library	Yes	No	All Staff are able to view these docs but only PGA can edit them.	Information is not shared with any third parties.	Digital	Last Action - 6 years Review	Interactions with key stakeholders in relation to interpreting Data Protection and Freedom of Information Act, Code of Practice relating to acts, legislative development, and significant internal advice - Yes Other Communications - No	2	1	2 - Low
Codes of Practice work	Stakeholder engagement, webinar docs, workshop docs, contact reports, communications.	[withheld - s31]	Director of Strategic Policy	21 document libraries	Yes	No	All Staff are able to view these docs but only PGA can edit them.	Information is not shared with any third parties.	Digital	Last Action - 6 years Review	Interactions with key stakeholders in relation to interpreting Data Protection and Freedom of Information Act, Code of Practice relating to acts, legislative development, and significant internal advice - Yes Other Communications - No	2	1	2 - Low
Political Monitoring	Dods emails relating to what is happening in parliament/civil society/news to do with information rights.	[withheld - s31]	Director of Strategic Policy	7 document libraries	Yes	No	All Staff are able to view these docs but only PGA can edit them.	Information is not shared with any third parties.	Digital	Last Action - 12 Months - Destroy	No	1	1	1 - Low
Legislation Tracking	Tracker re Legislation going through Parliament.	[withheld - s31]	Director of Strategic Policy	12 document libraries	Yes	No	All Staff are able to view these docs but only PGA can edit them. Except one which has restricted access to the team and senior management.	Information is not shared with any third parties.	Digital	Last Action - 6 years Review	No	2	1	2 - Low
Team Administration	PGA Stakeholder lists, consultation tracker, Organogram, HMG DPOs list, PGA policy work decision flowchart, business plans, quarterly reports, admin processes, team/Departmental meeting notes, SP Migration plan, etc	[withheld - s31]	Director of Strategic Policy	10 document libraries	Yes	No	All Staff are able to view these docs but only PGA can edit them.	Information is not shared with any third parties.	Digital	Last Action - 3 Years - Review	No	1	1	1 - Low
Cupboards/Storage assets	Parliament and Central Government Physical Assets filing cabinets.	[withheld - s31]	Director of Strategic Policy	1 cupboard	Yes	No	[withheld - s31]	Information is not shared with any third parties.	Physical	Last Action - 6 years Review	Legal Advice to Commissioner (where it is directly relevant to information rights policy) - Yes Interactions with key stakeholders in relation to interpreting Data Protection and Freedom of Information Act, Code of Practice relating to acts, legislative development, and significant internal advice - Yes Other Communications - No	2	1	2 - Low

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v1.0	Completed and published	Oct-21	PGA / IM Service
V2.0	Annual review - change Director title, increase doc library number for Stakeholder engagement by 12, 1 library in legislation tracking by made restricted access. Decrease number of Major DP related Legislation projects libraries by 4 (moved to legislation tracking and CoP work), increase CoP work libraries by 12. Adding a new category for the Art 36 (4) work we have taken over from the DPIA team. Removal of cabinets [withheld - s31] cabinets from list as now empty and no longer assigned to us. Added[withheld - s31]	14/12/2022	Catherine Wheeler

Personal Data Breach

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Training Materials	Training and guidance on personal data breaches	[withheld - s31]	Director of Digital, IT and Customer Services	Two document libraries One cupboard in the office.	No	No	Open to all ICO staff (read only)	No	Digital and physical	Superseded - 6 years - destroy	No	1	1	1
PDB processes and Procedures	Internal processes used by the PDB team when assessing breach reports.	[withheld - s31]	Director of Digital, IT and Customer Services	One document library	No	No	Open to business services staff	No	Digital	Last action - 3 years - review	No	1	1	1
Performance files	Statistics and figures relating to PDB and the wider department (these are generated from reports sent by business development) along with some staff performance information.	[withheld - s31]	Director of Digital, IT and Customer Services	Three document libraries	Yes	No	Open to business services staff. Quality assurance library and inappropriate disclosure library restricted to PDB managers Shared area restricted to BS managers	No	Digital	Last action - 2 years - destroy	No	1	1	1
General administration documents	Records of ad hoc administration tasks and projects completed within PDB.	[withheld - s31]	Director of Digital, IT and Customer Services	Three document libraries	Yes	No	Open to business services staff	No	Digital	Creation - 3 years - review	No	1	1	1
Management Information	Records of staff information such as overtime pledges, skills matrices and training records	[withheld - s31]	Director of Digital, IT and Customer Services	Two document libraries	Yes	No	Open to all ICO staff (read only) PDB Managers library restricted to PDB managers (3 persons)	No	Digital	End of financial year - 6 years - review	No	1	1	1
Intelligence	Data gathered from various sources and compiled into reports to inform of any patterns and trends	[withheld - s31]	Director of Digital, IT and Customer Services	One document library	No	No	Open to business services staff	No	Digital	TBC	No	1	1	1
External Engagement	Records of engagement PDB have carried out with external stakeholders, will also include details of joint engagements with other ICO departments e.g policy	[withheld - s31]	Director of Digital, IT and Customer Services	Two document libraries	Yes (some contact details of stakeholder employees)	No	Open to business services development staff	No	Digital	Last action - 3 years - review (less significant stakeholders) Last action - 6 years - review (significant stakeholders)	No	2	1	2
Casework	Record of breach reports received including any correspondence between ICO and reporting organisation	[withheld - s31]	Director of Digital, IT and Customer Services	20 000 plus	Yes	No	Open to business services development staff	No	Digital	Case closed - 2 years - destroy (no action taken) Case closed - 6 years - review (action taken)	Some cases	3	1	3
Restricted/sensitive cases	Record of sensitive/restricted breach reports received	[withheld - s31]	Director of Digital, IT and Customer Services	One document library - 0 cases to date	Yes	Potentially	Restricted to PDB Managers	No	Digital	Case closed - 2 years - destroy	Some cases	3	1	3
Live services material	Transcripts of live chats Performance of agents Multimedia templates	[withheld - s31]	Director of Digital, IT and Customer Services	Two document libraries Two [withheld - s31]	Yes	No	Multimedia templates - Open to all ICO staff (read only) Transcripts and performance of agents - Restricted to PDB managers	No	Digital	Live Chat Transcripts Creation - 100 days - destroy Performance of agents - Last action - 2 years - destroy	No	1	1	1
Sector specialist documents	Sector Specialist analysis and documents including Forms data and trends	[withheld - s31]	Director of Digital, IT and Customer Services	Three document libraries	No	No	Open to all ICO staff (read only)	No	Digital	Last action 3 years - Review business need	No	1	1	1
Personal Data Breach mailbox	[withheld - s31]	[withheld - s31]	Director of Digital, IT and Customer Services	1 mailbox with multiple folders	No	No	Restricted to PDB team	No	Digital	Creation - 12 months - destroy	No	1	1	1

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v1.0	Completed and published	Jul-21	PDB / IM Service
v.2.0	Annual review - updated [withheld - s31] document libraries and reviewed retention	Dec-22	PDB

Planning and Performance

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v1.0	Completed and published	Oct-21	Planning and Performance / IM Service
v2.0	Minor date related change	25-Nov-22	Planning and Performance - P Bloomfield

Policy Legal

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Case Summaries	Summaries of leading court cases, incl. where ICO intervened	[withheld - s31]	Director of the Legal Services (Regulatory Advice & Commercial)	490 files	Yes	Possibly	Restricted to Legal Services or on 'need to know' basis	No	Digital	Last action - 6 years - Review	Yes	2	1	2-Low
Legal Advice	Internal advice on specific legal matters	[withheld - s31]	Director of the Legal Services (Regulatory Advice & Commercial)	20 subsites	Yes	Yes	Restricted to Legal Services or on 'need to know' basis	No	Digital	Last action - 6 years - Review	Yes	2	1	2-Low
Team Resources	Work lists, staff leave tracker, templates, index of significant cases.	[withheld - s31]	Director of the Legal Services (Regulatory Advice & Commercial)	24 files	Yes	Possibly	Restricted to Legal Services or on 'need to know' basis	No	Digital	Last action - 3 years - Review	No	2	1	2-Low
Archive	Legal Papers, Advice, Research	[withheld - s31]	Director of the Legal Services (Regulatory Advice & Commercial)	Unknown	Yes	Possibly	Restricted to Legal Services or on 'need to know' basis	No	Physical	Last action - 6 years - Review	No	1	1	1-Low

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v1.0	Completed and Published	Jul-21	Legal / IM Service
V2.0	Annual Review - no changes to be ma	13-Dec-22	Legal / S Bolger

Policy Projects

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Operation Kepler	COVID-19 response - stakeholder engagement, meeting notes, policy positions, advice	[withheld - s31]	Director of High Priority Investigations & Intelligence	9 document libraries in 1 subsite 1 [withheld - s31] 4 document libraries in 1 subsite	Yes	Yes	Operation Kepler Members Operation Kepler Owners Operation Kepler Visitors	No	Digital	From decision on COVID inquiry - 6 or 3 years - review	Yes	3	1	3 - Low
Policy Projects - ongoing	Stakeholder engagement, meeting notes, policy positions, advice	[withheld - s31]	Director of Regulatory Policy Projects	23 document libraries/subsites	Yes	Yes	Policy Project Members Policy Project Owners Policy Project Visitors	No	Digital	Last Action - 3 or 6 years - review	No	3	1	3 - Low
Policy Projects - completed	Stakeholder engagement, meeting notes, policy positions, advice	[withheld - s31]	Director of Regulatory Policy Projects	17 document libraries/subsites	Yes	Yes	Policy Project Members Policy Project Owners Policy Project Visitors	No	Digital	Last Action - 3 or 6 years - review	Yes	3	1	3 - Low
Non-project Work	Stakeholder engagement, meeting notes, policy positions, advice	[withheld - s31]	Director of Regulatory Policy Projects	17 document libraries	Yes	Yes	Policy Project Members Policy Project Owners Policy Project Visitors	No	Digital	Last Action - 3 or 6 years - review	Yes	3	1	3 - Low
Other Resources	Admin, Templates, Guidance	[withheld - s31]	Director of Regulatory Policy Projects	14 document libraries in 1 subsite	Yes	No	Policy Project Members Policy Project Owners Policy Project Visitors	No	Digital	Last Action - 3 years - review	No	1	1	1 - Low

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Version Control			
Version	Changes Made	Date	Made By
v1.0	HIPP information assets separated from substantive HPI IAR to create new version	Dec-22	Policy Projects

IAR Quarterly Reviews				
Quarter	Date of review	Reviewed by	Changes made (Yes/No)	Details of changes
2021-22 Q3	11/10/2021	Hannah Forrester	Yes	The following retention periods were amended in line with updated ICO retention schedule: HPI Investigative Files - closed where regulatory action was not taken amended from "Case Closed - 2 years - Destroy" to "Inquiry closed - 6 years - Review". HPI Scoping amended from "Last Action - 3 years - Review" to "Scoping activity ceased - 2 years - Destroy".
2021-22 Q4	n/a	n/a	n/a	n/a
2022-23 Q1	16/05/2022	Hannah Forrester	Yes	Volumes of "HPI Investigative Files - ongoing" updated. Volumes of "HPI Investigative Files - closed where regulatory action was taken" updated. Volumes of "HPI Investigative Files - closed where no regulatory action was taken" updated. Volumes of "HPIPP Projects - ongoing" updated. Volumes of "HPIPP Projects - completed" updated. Volumes of "HPIPP Non-project Work" updated.
2022-23 Q2	11/07/2022	Maisie Talman	Yes	Volumes of "HPIPP Projects - ongoing" updated. Volumes of "HPIPP Non-project Work" updated. Removed reference to HPIPP 'triage to ten'. Volumes of "HPIPP Resources" updated.
2022-23 Q3	10/11/2022	Hannah Forrester	Yes	HPI assets removed
2022-23 Q4				
2023-24 Q1				
2023-24 Q2				
2023-24 Q3				
2023-24 Q4				
2024-25 Q1				
2024-25 Q2				
2024-25 Q3				
2024-25 Q4				
2025-26 Q1				
2025-26 Q2				
2025-26 Q3				
2025-26 Q4				

Private Office

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Private Office Admin	Administrative logs - various PO procedures and EA guidance/archive records. Organigrams, welcome pack/induction itinerary, visitor info pack, supplier info (catering/tax)	[withheld - s31]	Director of Corporate Affairs and Governance	Document libraries for each PO team.	Yes	No	PO staff, some files restricted to specific support staff	No	Digital	Last action - 3 years - review	No	2	1	2
Commissioner and DC/IC Team Travel Information	Summary of passport information and connected ESTA expiry date.	[withheld - s31]	Director of Corporate Affairs and Governance	One document library for each ED / DC.	Yes	No	Private Office staff and custom access for Project Manager to ED RF&I	No	Digital	No longer required - Destroy (to be added to the schedule)	No	2	1	2
Commissioner and DC/IC Team Expenses records	Expenses records Manual expenses receipts CCC receipts	[withheld - s31]	Director of Corporate Affairs and Governance	One document library each Commissioner/DC/ED Paper records held [withheld - s31]	Yes	No	Private Office staff and custom access for Project Manager to ED RF&I	No	Digital and Physical	End of financial year - 6 years - Destroy	No	2	1	2
DC/IC Team Meetings, Engagements and Presentations.	Meeting logs live and historic detailing scheduling record of internal and external stakeholder meetings. Internal meeting Minutes, Agendas, Membership lists. Stakeholder meeting readouts / meeting notes. Record of domestic and international events: conferences, speaking events, logistics and contacts. Record of domestic and international Speeches and Presentations. Briefings, Engagements preparation.	[withheld - s31]	Directors of Regulatory Strategy Service, Director of Technology and Innovation Service, Director of Investigations, Director of HPII	One document library for each ED / DC.	Yes	No	Private Office staff and custom access for Project Manager to ED RF&I	No	Digital	Last action - 6 years - Review	Yes	3	1	3
DC/IC Team Gifts and Hospitality	Gifts and Hospitality register forms	[withheld - s31]	Director of Corporate Affairs and Governance	One document for each ED / DC	No	No	Private Office staff and custom access for Project Manager to ED RF&I	No	Digital	TBC	No	1	1	1
DC/IC Team Briefings	Record of Briefings	[withheld - s31]	Director of Corporate Affairs and Governance	One document for each ED / DC	Yes	No	DC CRO staff / PO staff	No	Digital	Last action - 3 years - review	No	3	1	3
DC/IC Team Correspondence Log	Record of incoming and outgoing correspondence	[withheld - s31]	Director of Corporate Affairs and Governance	One document for each ED / DC	Yes	Yes, but very limited	DC CRO staff / PO staff	No	Digital	Last action - 3 years - review	No	2	1	2
[John Edwards] Correspondence	Saved incoming and outgoing formal correspondence to/from the Information Commissioner. Correspondence log - record of incoming and outgoing correspondence.	[withheld - s31]	Director of Corporate Affairs and Governance	One document library and one live document (multiple lines of data)	Yes	Yes, but very limited	Private Office staff	No	Digital	General Correspondence - TBC	Yes	2	1	2
[John Edwards] correspondence, decisions and engagements - historic	Historical documents (briefings, decisions, meeting notes and correspondence) prior to the POC rationalisation process	[withheld - s31]	Director of Corporate Affairs and Governance	3 document libraries	Yes	Yes, but very limited	Private Office Commissioner staff	No	Digital	End of commissioner's term - 6 years - Review	Yes	2	1	2
[John Edwards] Commissioner Box	Documents (correspondence, briefings, decisions) sent to the Commissioner, and subsequent commissioner review or sign-off comments	[withheld - s31]	Director of Corporate Affairs and Governance	4 document libraries	Yes	Yes, but very limited	Private Office Commissioner staff	No	Digital	TBC	Yes	3	1	3
[John Edwards] Commissioner Decisions, Briefings, Delegated Authorities	Signed off versions of corporate, policy and investigatory decisions taken by the Commissioner when presented to her formally. Briefings commissioned. Signed off versions of decisions of the Commissioner to delegate her functions to one of her staff. This is a DUPLICATE record of DAs that will be primarily recorded in the relevant business area.	[withheld - s31]	Director of Corporate Affairs and Governance	One document library	Yes	No	Private Office Commissioner staff	No	Digital	End of commissioner's term - 6 years - Review	Yes	2	1	2
James Dipple Johnstone DC CRO - Decisions	Record of Decisions	[withheld - s31]	Director of HPII	One document library	Yes	Yes	DC CRO staff	No	Digital	Case closed - 6 years - Review	Yes	2	1	2
James Dipple Johnstone DC CRO - Strategy	Strategy record	[withheld - s31]	Director of HPII	One document library	Yes	Yes	DC CRO staff	No	Digital	Case closed - 6 years - Review	Yes	3	1	3
Op Hida	Files for HPII to file away	[withheld - s31]	Director of HPII	One document library	No	No	Restricted access to HPII	No	Digital	Case closed - 6 years - Review	TBC	3	3	3
James Moss - Box Items	Box items - attachments, tables, email correspondence	[withheld - s31]	Director of Corporate Affairs and Governance	Live document with multiple data	No	No	Restricted access to DCEO staff	No	Digital	Last action - 3 Years - review	No	3	1	3
DCEO Admin	Record of decisions/actions for new ways of working. Record of 2019 Business Plans. Sensitive Projects. Management Board Info. Virtual Box.	[withheld - s31]	Director of Corporate Affairs and Governance	Multiple document libraries	Yes	No	Restricted access to DCEO Private Office	No	Digital	Last action - 3 Years - review	Yes	3	1	3
Paul Arnold - DCMS Communications	DCMS Meeting readouts; record of communication from DCMS relating to CSP	[withheld - s31]	Director of Corporate Affairs and Governance	One document library	Yes	No	Restricted access to DCEO Private Office	Yes - letters/readouts with members	Digital	Last action - 6 years - Review	Yes	2	1	2
Regulators and AI Working Group	Membership lists Agendas Meeting Minutes	[withheld - s31]	Director of Technology and Innovation Service	One document library	Yes	No	Private Office staff, custom access for Project Manager and AP from AI Team	Yes - agendas and minutes with membership	Digital	Last action - 6 years - Review	No	2	1	2
TAP	Membership list Agendas Meeting Minutes ToR	[withheld - s31]	Director of Technology and Innovation Service	One document library and [withheld - s31]	Yes	No	Private Office staff and custom access for Project Manager to ED RF&I	Yes - agendas and minutes with membership	Digital	Last action - 6 years - Review	No	2	1	2
AI and Data Science	Membership list Agendas Meeting Minutes	[withheld - s31]	Director of Technology and Innovation Service	One document library	Yes	No	Private Office staff and custom access for Project Manager to ED RF&I	Yes - agendas and minutes with membership	Digital	Last action - 6 years - Review	No	2	1	2

Policy Management

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Change and Transformation Project Folders	A digital folder for each Change and Transformation project containing all documents and records created during the lifecycle of the project.	[withheld - s31]	Executive Director for Strategic Change and Transformation	~150 Folders	No	No	Access is open read-only to all	HLDs / Design documents may be shared eg where with third parties are contracted to work on ICO system development	Emails, Excel, Word, PDF, Visio, PPT	Last action - 3 years - Review	No	2	1	2
Change and Transformation Project Folders - RESTRICTED ACCESS	A digital folder for each Change and Transformation project containing all documents and records created during the lifecycle of the project.	[withheld - s31]	Executive Director for Strategic Change and Transformation	<5 Libraries	Yes	Yes	Restricted access to select user group	No	Emails, Excel, Word, PDF, Visio, PPT	Last action - 3 years - Review	No	3	1	3
PMO Templates	Templates for use in projects carried out by PMO	[withheld - s31]	Executive Director for Strategic Change and Transformation	75 Files	No	No	Access is open read-only to all	No	Word, Excel, PPT, Docx, PDF, JPG	Last action - 3 years - Review	No	1	1	1
PMO Project Guidance	PMO guides and useful resources relating to project and change management tools, techniques and practices	[withheld - s31]	Executive Director for Strategic Change and Transformation	20 Files	No	No	Access is open read-only to all	No	Word, Excel, PPT, Docx, PDF, JPG, Links	Date withdrawn - 6 years - destroy	No	1	1	1
PMO Schedules	Programme and project schedules used to track project status, progress and spend	[withheld - s31]	Executive Director for Strategic Change and Transformation	4 Files	No	No	Access is open read-only to all	No	Excel	TBC	No	1	1	1
PMO Project and BAU Spend	PMO Project-related POs, estimates, quotes, invoices, renewals, subscriptions	[withheld - s31]	Executive Director for Strategic Change and Transformation	775 Files	No	No	Access is open read-only to all	No	Word, Excel, PPT, Docx, PDF, JPG, RTF	End of financial year - 6 years - destroy	No	2	1	2
PMO Governance and Reporting	SC&T governance and reporting documents. Project status reports including RAG ratings, escalated risks, milestones. Portfolio level monthly performance PowerPoint dashboards.	[withheld - s31]	Executive Director for Strategic Change and Transformation	300 Files	No	No	Access is open read-only to all	Yes, ET and Portfolio Board	Excel, PowerPoint, PDF	Last action - 3 years - Review	No	1	1	1

Document Control	
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Version Control			
Version	Changes Made	Date	Made By
v1.0	Completed and published.	Jul-21	PMO / IM Service
v2.0	Annual review - added row 3 restricted access libraries and row 8 governance and reporting document libraries	16-Dec	Melanie Carter / Emma Deen

Regulatory Futures

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Team administration	Business plans, budget plans, work plans, internal meeting agendas and minutes, events calendar, stakeholder lists, risk assessment, KPIs, progress reports	[withheld - s31]	Director of Regulatory Futures	4 document libraries	Y	N	Regulatory Futures team	N	Digital	Last action - 3 years - Review	No	2	1	2
Consultations and responses	Consultation documents, responses, analysis, reports, legacy documentation (AADC development)	[withheld - s31]	Director of Regulatory Futures	3 document libraries	Y	N	Regulatory Futures team	N	Digital	Last action - 6 years - Review	Yes - interactions with key stakeholders	2	1	2
Stakeholder engagement and correspondence	External meeting agendas and minutes, presentations, parliamentary, government and cross-regulatory communications and reporting	[withheld - s31]	Director of Regulatory Futures	3 document libraries	Y	N	Regulatory Futures team	N	Digital	Last action - 6 years - Review	Yes - interactions with key stakeholders	2	1	2
Policy legal advice	Internal communications and meeting notes	[withheld - s31]	Director of Regulatory Futures	2 document libraries	Y	N	Regulatory Futures team	N	Digital	Last action - 6 years - Review	No	2	1	2
Procurement	Procurement specifications, bids, scoring outputs, contracts, information management information	[withheld - s31]	Director of Regulatory Futures	4 document libraries	Y	N	Regulatory Futures team	N	Digital	End of contract - 6 years - Review	No	2	1	2
Research function planning and delivery	Briefings, methodologies, policies	[withheld - s31]	Director of Regulatory Futures	2 document libraries	Y	N	Regulatory Futures team	N	Digital	Last action - 3 years - Review	Yes - interactions with key stakeholders	2	1	2
Policy profession planning and delivery	Briefings, methodologies, policies	[withheld - s31]	Director of Regulatory Futures	2 document libraries	Y	N	Regulatory Futures team	N	Digital	Last action - 3 years - Review	Yes - interactions with key stakeholders	2	1	2
Futures planning and delivery	Briefings, methodologies, policies	[withheld - s31]	Director of Regulatory Futures	2 document libraries	Y	N	Regulatory Futures team	N	Digital	Last action - 3 years - Review	Yes - interactions with key stakeholders	2	1	2
Children's code planning and delivery	Guidance development, benchmarking and research outputs, comms plans, legacy documentation (AADC development)	[withheld - s31]	Director of Regulatory Futures	2 document libraries	Y	N	Regulatory Futures team and wider Op Lander team members	N	Digital	Last action - 3 years - Review	Yes - interactions with key stakeholders	2	1	2

Document Control	
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Version	Changes Made	Date	Made By
v1.0	Completed and published	Oct-21	Regulatory Futures / IM Service
v2.0	Reviewed with no amends. Moved to RPP folder to reflect restructure	Jan-23	Regulatory Futures

Relationship Management Service

RPO

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Retain For Reference	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
RPO Programmes/Project Folders	A digital folder for each Regulatory Portfolio Office project containing all documents and records created during the lifecycle of the project.	[withheld - s31]	Executive Director, Strategic Change and Transformation	~36 Library/Folders	Yes	No	Access is open read-only to all	No	Digital	'Last action - 3 years - review'	3.8	No	2	1	2
RPO Project library [PACE]	Internal governance documents: Detailing high level correspondence. May include more sensitive documentation and correspondence from other parts of the ICO.	[withheld - s31]	Executive Director, Strategic Change and Transformation	17 documents	Yes	No	Access is restricted	No	Digital: Excel, PowerPoint, Word	Last action - 6 years - review	11.1	No	2	1	2
RPO Programme library [DPDI Bil]	Internal governance documents: Detailing high level correspondence. May include more sensitive documentation and correspondence from other parts of the ICO.	[withheld - s31]	Executive Director, Strategic Change and Transformation	15 documents	Yes	No	Access is restricted	No	Digital: Excel, PowerPoint, Word	Last action - 6 years - review	11.1	No	2	1	2
Team Resources	Team administration and documentation Internal procedures e.g Inbox management document, etc	[withheld - s31]	Director of Regulatory Design	12 documents	Y	N	Access is open read-only to all	N	Digital: Email, Word	Procedures	3.8	No	1	1	1
RPO Business Planning Documents	A folder to include business planning documents for 22/23	[withheld - s31]	Executive Director, Strategic Change and Transformation	1 Document	Yes	No	Access is open read-only to all	No	Digital	'Last action - 3 years - review'	3.8	No	2	1	2
RPO Framework	How the RPO approaches work as a team	[withheld - s31]	Executive Director, Strategic Change and Transformation	11 Documents	Yes	No	Access is open read-only to all	No	Digital	'Last action - 3 years - review'	3.8	No	1	1	1
RPO Project Templates	Templates for use in projects carried out by RPO	[withheld - s31]	Executive Director, Strategic Change and Transformation	148 docs	No	No	Access is restricted	No	Digital	'Last action - 3 years - review'	3.8	No	1	1	1
RPO Reporting	Documents including fortnightly status reports/portfolio level summary reports	[withheld - s31]	Executive Director, Strategic Change and Transformation	31 Documents	Yes	No	Access is open read-only to all	No	Digital	Last action - 3 years - review	3.8	No	2	1	2
RPO Programme Templates	Templates for use in programmes carried out by RPO	[withheld - s31]	Executive Director, Strategic Change and Transformation	21 documents	No	No	Access is restricted	No	Digital	Last action - 3 years - review	3.8	No	1	1	1
Programme and Project Proposals	Legacy programme and project proposals	[withheld - s31]	Executive Director, Strategic Change and Transformation	4 documents	No	No	Access is open read-only to all	No	Digital	Last action - 3 years - review	3.8	No	1	1	1
Portfolio Management	Documents related to portfolio management in RPO	[withheld - s31]	Executive Director, Strategic Change and Transformation	3 documents	No	No	Access is open read-only to all	No	Digital	Last action - 3 years - review	3.8	No	1	1	1

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Version Control			
Version	Changes Made	Date	Made By
v1.0	Completed and published	Oct-21	RPO / IM Service
V2.0	Annual review - updated to include additional [withheld - s31] and update number of docs within each	Jan-23	Lauren Gibbins
V2.1	Updated IAO information	12/01/2023	Lauren Gibbins
V2.2	Inclusion of Regulatory Design programme/projects transferred to Strategic Change & Transformation + inclusion of 'Last Action Retention' column to aid Retention/Disposal Policy Annex B reference numbers.		[personal data]

SME Service Hub

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Management documents	Budget and training reports. Staff personal records eg RTW	[withheld - s31]	Director of Digital, IT and Customer Services	One document library [withheld - s31]	Yes	No Yes	Restricted to SME Hub Managers Access Group Manager only	No	Digital	End of financial year - 6 years - Review - Business Need	No	2	1	2
Staff participation documents	Including records of staff participation in projects.	[withheld - s31]	Director of Digital, IT and Customer Services	One document library	Yes	No	Business Services Members Level E and above.	No	Digital	Creation - 3 years - Review - Business Need	No	1	1	1
Engagement material	Documents and presentation material for engagement, online feedback and advisory visit requests with stakeholders	[withheld - s31]	Director of Digital, IT and Customer Services	Six document libraries	Yes	No	Business Services Members - amend Business Services visitors - Read only	No	Digital	Significant stakeholders - Last Action - 6 years - review - Business Need Less Significant Stakeholders - Last Action - 3 years - Review - Business Need	No	2	1	2
Email the Register documents	Records of emails to main contacts of DP Fees Register Email the Register - suppression list	[withheld - s31]	Director of Digital, IT and Customer Services	Two document libraries	Yes	No	SME Service Hub members - amend	No	Digital	Records of emails to main contacts of DP Fees Register creation - 18 months - Destroy - Business Need Email the Register - suppression list - completion - 12 months - Destroy - Business Need	No	2	1	2
SME Data Essentials pilot	Records of emails to main contacts of DP Fees Register and pilot participants	[withheld - s31]	Director of Digital, IT and Customer Services	One document library	Yes	No	SME Service Hub members - amend Economic evaluation team Helen Conlon - Market Research Manager	No	Digital	End of SME Data Essentials pilot - expected to be in January 2023	No	1	1	1
Training materials	Policies and procedures for training.	[withheld - s31]	Director of Digital, IT and Customer Services	One document library	No	No	Business Services Members - amend Business Services visitors - Read only	No	Digital	Superseded - 6 years - destroy	No	1	1	1
Internal Intelligence documents	Feedback and intelligence from live services and sector specialists on behalf of stakeholders. Market research and focus group findings.	[withheld - s31]	Director of Digital, IT and Customer Services	Two document libraries	No	No	Business Services Members - amend Business Services visitors - Read only	No	Digital	Significant stakeholders - Last Action - 6 years - review - Business Need Less Significant Stakeholders - Last Action - 3 years - Review - Business Need	No	1	1	1
Guidance material	Materials regarding process of website guidance and tasks	[withheld - s31]	Director of Digital, IT and Customer Services	Three document libraries	No	No	Business Services Members - amend Business Services visitors - Read only	No	Digital	Superseded - 6 years - review	No	1	1	1
Companies House letters	Materials and processes including letter templates	[withheld - s31]	Director of Digital, IT and Customer Services	One document library	No	No	Business Services Members - amend Business Services visitors - Read only	No	Digital	Superseded - 6 years - review	No	1	1	1

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Version Control			
Version	Changes Made	Date	Made By
v1.0	Completed and published	Jul-21	SME Service Hub / IM Service
v2.0	Changes made - reviewed in light of n	Jan-23	SME Service Hub - SG and MJ

Supervisory guidance

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Guidance products and associated documents	Completed guidance for organisations, published on the ICO website and internally. Separate folders contain all the drafts and a final version for each piece of guidance produced. Including legal discription.	[withheld - s31]	Director of Regulatory Assurance	23 Folders	No	No	Guidance Team only	Yes	Digital	Superseded - 6 years - review (Guidance for External Use) Last action - 3 years - review (Significant drafts)	Yes	3	1	3
Guidance Governance Group documentation	Project to provide cross office oversight of ownership and production of new guidance inc. processes). Currently information is present in [withheld - s31]. Guidance Governance now an ongoing process. Documents to be moved from [withheld - s31]	[withheld - s31]	Director of Regulatory Assurance	9 folders	No	No	Guidance Team only	No	Digital	Last action - 3 years - review (projects and corporate programmes)	No	2	1	2
End of Transition project	Copies of amended guidance documents, tracking and correspondence, and drafts. All information will be transferred to [withheld - s31] once project completed	[withheld - s31]	Director of Regulatory Assurance	12 folders	No	No	Guidance Team and Communications	No	Digital	Last action - 3 years - review (projects and corporate programmes)	No	2	1	1
Public Consultation responses	Responses from the public, stakeholders and interested parties in relation to a consultation request.	[withheld - s31]	Director of Regulatory Assurance	4 folders	Yes	Yes	Guidance Team only	No	Digital	Last action - 6 years - review (significant stakeholders) Last action - 3 years - review (less significant stakeholders and public consultations)	No	1	1	1
Guidance drafting process documents	Materials relating to and templates for creating new guidance products and project documents	[withheld - s31]	Director of Regulatory Assurance	1 folder containing less than 100 documents	No	No	Guidance Team only	No	Digital	Review 6 years after superseded	No	3	1	3
Business Planning & Reporting	Copies of business plans/objectives/team structures	[withheld - s31]	Director of Regulatory Assurance	1 folder containing less than 100 documents	No	No	Guidance Team only	No	Digital	Delete after superseded for 6 years	No	2	1	2

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v1.0	Completed and published	Oct-21	Regulatory Assurance / IM Service
v2.0	Annual review - minor change to Guidance Governance Group description on Supervisory Guidance tab	Dec-22	Julie Quinn - LIMO

Technology

Name of asset	Description	Location	Information Asset Owner	Volume	Personal data?	Special Category Data?	Access	Shared?	Format	Retention	Permanent Preservation?	Impact	Probability	Risk Score. Please see 'Risk Assessment' tab for further guidance
Adtech investigation documentation	All documents relating to our ongoing adtech investigation	[withheld - s31]	Director of Technology & Innovation Service	One document library	Yes	No	All ICO staff	No	Digital	Last Action - 6 Years - Review	No	3	1	3 - Low
Advice requests	Responses to advice requests received from within the ICO	[withheld - s31]	Director of Technology & Innovation Service	One document library	Yes	No	All ICO staff	No	Digital	Date Withdrawn - 6 Years - Destroy	No	3	1	3 - Low
BAU documentation	Any documentation that covers usual work that is not part of a priority area and/or project	[withheld - s31]	Director of Technology & Innovation Service	One document library, One Teams channel	Yes	No	Restricted to Technology members	No	Digital	Last Action - 6 Years - Review	No	2	1	2 - Low
Governance	Business plans, budget requests, team costings and structures	[withheld - s31]	Director of Technology & Innovation Service	One document library	Yes	No	Restricted to Technology members	No	Digital	Last Action - 3 Years - Review	No	2	1	2 - Low
Guidance development	Guidance drafts prior to publication	[withheld - s31]	Director of Technology & Innovation Service	One document library, One Teams channel	Yes	No	Restricted to Technology members	No	Digital	Last Action - 6 Years - Review	No	2	1	2 - Low
Management information	Any documentation that managers may need to keep private	[withheld - s31]	Director of Technology & Innovation Service	One document library	Yes	No	Restricted to Technology Managers	No	Digital	End of Financial Year - 6 Years - Review	No	3	1	3 - Low
Priority areas	All documentation relating to any of the Technology team's Priority Areas	[withheld - s31]	Director of Technology & Innovation Service	One document library, Two [withheld - s31]	Yes	No	All ICO staff	No	Digital	Last Action - 6 Years - Review	No	2	1	2 - Low
Recruitment	All documentation relating to recruitment for the Technology team - JD's, adverts and so on.	[withheld - s31]	Director of Technology & Innovation Service	One document library	Yes	No	Restricted to Technology Managers	No	Digital	Creation - 3 Years - Review	No	1	1	1 - Low
Tech resources for staff	Presentations and briefings on a range of technology issues	[withheld - s31]	Director of Technology & Innovation Service	One document library	Yes	No	All ICO staff	No	Digital	Last Action - 6 Years - Review	No	2	1	2 - Low
TechLab	Collection of documentation pertaining to the creation and use of the TechLab capability	[withheld - s31]	Director of Technology & Innovation Service	One document library, One [withheld - s31]	Yes	No	Restricted to Technology members	No	Digital	Last Action - 12 Months - Review	No	3	1	3 - Low
Technology Advisory Panel	Meeting planning, notes and correspondence with member of the TAP	[withheld - s31]	Director of Technology & Innovation Service	One document library	Yes	No	All ICO staff	No	Digital	Last Action - 3 Years - Review	No	2	1	2 - Low
Thinking Space	Draft documents for Technology staff to formulate positions and opinions	[withheld - s31]	Director of Technology & Innovation Service	One document library	Yes	No	Restricted to Technology members	No	Digital	Last Action - 3 Years - Review	No	3	1	3 - Low
Training	Training plans and resources for Technology delivered training for the rest of the ICO	[withheld - s31]	Director of Technology & Innovation Service	One document library	Yes	No	Restricted to Technology members	No	Digital	Last Action - 6 Years - Review	No	1	1	1 - Low
Vault 101	Migrated documents from the previous [withheld - s31]	[withheld - s31]	Director of Technology & Innovation Service		Yes	No	All ICO staff	No	Digital	Last Action - 6 Years - Review	No	2	1	2 - Low
TechLab server	Ephemeral information assets generated from investigations or experiments into particular technology which will be transferred to [withheld - s31] once the investigation or experiment is completed.	[withheld - s31]	Director of Technology & Innovation Service	Multiple VMs all stored on a single RAID array	Yes	No	Restricted to Technology members with Techlab access	No	Digital	Last Action - 6 Years - Review	No	3	1	3 - Low
TechLab library	Paper reference documents (legislation, ICO publications, technical training materials)	[withheld - s31]	Director of Technology & Innovation Service	One high tumbour	No	No	Restricted to Technology members with Techlab access	No	Physical	Last Action - 6 Years - Review	No	2	1	2 - Low
DPIA requests	Documentation relating to and supporting DPIA requests produced by Technology	[withheld - s31]	Director of Technology & Innovation Service	One [withheld - s31]	Yes	No	Restricted to Technology members	No	Digital	Last Communication - 6 Years - Review	No	3	1	3 - Low
External Engagement	Documentation relating to and created through engagement with external stakeholders	[withheld - s31]	Director of Technology & Innovation Service	Two [withheld - s31]	Yes	No	Restricted to Technology members	No	Digital	Last Action - 6 Years - Review	Yes	3	1	3 - Low

Please note: the following assets are under construction and do not yet contain documentation. The Asset Register will be updated once the migration is to the new structure is complete.

Adtech	Documentation relating to Adtech workstream	[withheld - s31]	Director of Technology & Innovation Service	5 Document Libraries	N/A	N/A	Technology members - contribute permission Technology Owners - full control Visitors - read	No	Digital	Last Action - 6 Years - Review	No	1	1	1 - Low
Age Assurance	Documentation relating to Age Assurance workstream	[withheld - s31]	Director of Technology & Innovation Service	2 Document Libraries	N/A	N/A	Technology members - contribute permission Technology Owners - full control Visitors - read	No	Digital	Last Action - 6 Years - Review	No	1	1	1 - Low
AI	Documentation relating to AI workstream	[withheld - s31]	Director of Technology & Innovation Service	16 Document Libraries	N/A	N/A	Technology members - contribute permission Technology Owners - full control Visitors - read	No	Digital	Last Action - 6 Years - Review	No	1	1	1 - Low
Anonymisation, pseudonymisation & PETs	Documentation relating to Anonymisation, pseudonymisation & PETs workstream	[withheld - s31]	Director of Technology & Innovation Service	3 Document Libraries	N/A	N/A	Technology members - contribute permission Technology Owners - full control Visitors - read	No	Digital	Last Action - 6 Years - Review	No	1	1	1 - Low
Biometrics	Documentation relating to Biometrics workstream	[withheld - s31]	Director of Technology & Innovation Service	2 Document Libraries	N/A	N/A	Technology members - contribute permission Technology Owners - full control Visitors - read	No	Digital	Last Action - 6 Years - Review	No	1	1	1 - Low
Cloud Services	Documentation relating to Cloud Services workstream	[withheld - s31]	Director of Technology & Innovation Service	2 Document Libraries	N/A	N/A	Technology members - contribute permission Technology Owners - full control Visitors - read	No	Digital	Last Action - 6 Years - Review	No	1	1	1 - Low
Cyber Security	Documentation relating to Cyber Security workstream	[withheld - s31]	Director of Technology & Innovation Service	1 Document Library	N/A	N/A	Technology members - contribute permission Technology Owners - full control Visitors - read	No	Digital	Last Action - 6 Years - Review	No	1	1	1 - Low
Digital ID	Documentation relating to Digital ID workstream	[withheld - s31]	Director of Technology & Innovation Service	2 Document Libraries	N/A	N/A	Technology members - contribute permission Technology Owners - full control Visitors - read	No	Digital	Last Action - 6 Years - Review	No	1	1	1 - Low
DRCF	Documentation relating to DRCF workstream	[withheld - s31]	Director of Technology & Innovation Service	8 Document Libraries	N/A	N/A	Technology members - contribute permission Technology Owners - full control Visitors - read	No	Digital	Last Action - 6 Years - Review	No	1	1	1 - Low
Privacy-by-design	Documentation relating to Privacy-by-design workstream	[withheld - s31]	Director of Technology & Innovation Service	5 Document Libraries	N/A	N/A	Technology members - contribute permission Technology Owners - full control Visitors - read	No	Digital	Last Action - 6 Years - Review	No	1	1	1 - Low
Programme & Project Governance	Documentation relating to Technology Programme and Project governance	[withheld - s31]	Director of Technology & Innovation Service	5 Document Libraries	N/A	N/A	Technology members - contribute permission Technology Owners - full control Visitors - read	No	Digital	Last Action - 3 Years - Review	No	1	1	1 - Low
Tech Advice	Responses to advice requests received from within the ICO	[withheld - s31]	Director of Technology & Innovation Service	1 document library	N/A	N/A	Technology members - contribute permission Technology Owners - full control Visitors - read	No	Digital	Date Withdrawn - 6 Years - Destroy	No	3	1	3 - Low
Tech Briefings & Presentations	Documentation relating to Technology briefings and presentations	[withheld - s31]	Director of Technology & Innovation Service	2 document libraries	N/A	N/A	Technology members - contribute permission Technology Owners - full control Visitors - read	No	Digital	Last Action - 6 Years - Review	No	2	1	2 - Low
Tech Team Resources	Documentation relating to Technology team resources (Tech Lab, team policies, training materials)	[withheld - s31]	Director of Technology & Innovation Service	1 document library	N/A	N/A	Technology members - contribute permission Technology Owners - full control Visitors - read	No	Digital	Last Action - 6 Years - Review	No	2	1	2 - Low
Governance	Business plans, budget requests, team costings and structures, intranet content	[withheld - s31]	Director of Technology & Innovation Service	2 document libraries	N/A	N/A	Restricted to Technology members	No	Digital	Last Action - 3 Years - Review	No	2	1	2 - Low
Recruitment	All documentation relating to recruitment for the Technology team - JD's, adverts and so on.	[withheld - s31]	Director of Technology & Innovation Service	3 document libraries	N/A	N/A	Restricted to Technology Managers	No	Digital	Creation - 3 Years - Review	No	1	1	1 - Low

Document Control	
Version Number	v1.0
Status	Published
Author/Owner	Technology and Innovation Directorate
Date of Sign off	Oct-21
Review By	31-Jan-23
Security Classification	Official

Version Control			
Version	Changes Made	Date	Made By
v1.0	Completed and published	Oct-21	Technonolgy / IM Service
v2.0	Annual review - addition of new assets currently under construction and therefore not able to document if contain Personal Data or Special Category Data. However will be updated to reflect once set up and migration of existing data is completed.	Dec-22	Andrew Long (LIMO)

Workplace Development and Planning

