

Annex E.

E1. Summary - Records owner returns

Field	Response				
Business area/records source	NICSHR Occupational Health and Welfare	NICSHR 1.Employee electronic files 2.HRSMO local files	NICSHR Hard copy Personnel Files	NICSHR Employee Relations	TEO Content Manager records
System, repository, archive, file series or location searched	Government HR Services - OHS & Welfare Services - eMED Referrals - The Executive Office – {Name} – {National Insurance No}	1.HRConnect local drives 2.Content Manager	Archive files	Government HR Services – Employee Relations – Absence Management Casework – EO (Payroll No, Surname). Government HR Services – Employee Relations – Discipline Formal Casework – EO (Payroll No, Surname).	•RecordsNI_TEO on pr-ita-ivwk02.nigov.net •RecordsNI on workgroup2.nigov.net

				Government HR Services – Employee Relations – Discipline informal Casework – EO (Payroll No, Surname). Government HR Services – Employee Relations – Conduct – EO (Payroll No, Surname). Government HR Services – Employee Relations – Grievance and Uniform Appeals – EO (Payroll No, Surname).	
Outcome	Tier 1 records search completed. Nil return	Tier 1 records search completed. Nil return	Tier 1 records search completed. Nil return.	Tier 1 records search completed. Nil return	Tier 1 records search completed. Nil return

E.2 Summary Limitations log returns from Information Owners

ID	Source	Limitation	Evidence/status	Impact on assurance	Mitigation / next step	Owner	Material?
1	Payroll search criteria for ER , OHS and Welfare records	OHS & Welfare files are saved using name and Nat Insurance No Not all Employee Relations files at that time were saved using payroll numbers and some were saved by surname.	Owner/searcher confirmation	Accuracy of search.	Approval given to expand search criteria relevant to criteria used to save ER, OHS and Welfare records.	IAOs ER, OHS and Welfare	No
2	Network Share - \\PR-AL-OFMDFMFIL	Not searchable in terms of date range and record titles		Minimal - not expected to hold any in-scope records, and use would have been outwith records management policy in place at the time.	If searching these records is deemed necessary and proportionate they may be searchable by IT Assist if required.	TEO SIRO	No

3	Hard copy Personnel files held in storage by NICSHR.	Hard copy personnel files relating to 8 data subjects are not held by NICSHR.	Owner/searcher confirmation	Minimal - hard copy records are typically pay/sick leave, promotion, start dates, performance management.	Records searches undertaken in respect of ER, OHS and Welfare electronic records. This limitation is reflected in the report.	IAO Hard copy Personnel files	No
4	Standard HR/casework	Records have been lawfully destroyed under retention schedules.	Owner/searcher confirmation.	Absence of record cannot prove no issue existed.	This limitation is reflected in the report.	IAOs, TEO SIRO	No