

Data Protection and Information Governance Policy

Version: July 2026

Review Date: July 2028

Document Control

Document Information	Details
Policy Title	Data Protection and Information Governance Policy
Policy Owner	Viv Durham – Director
Data Protection Officer	Ash Obhrai
Approved By	Laura Adams – Director & Designated Safeguarding Lead (DSL) Viv Durham – Director & Deputy Designated Safeguarding Lead (DDSL)
Applies To	Directors, employees, self-employed tutors, contractors and volunteers
Review Cycle	Every two years or following significant legislative or organisational change
Version	July 2026

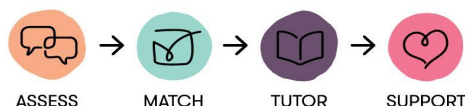
Version History

Version	Date	Summary
1.0	June 2025	Initial policy issued
2.0	July 2026	Comprehensive review aligned with UK GDPR, Data Protection Act 2018, KCSIE 2025 and Tutor Doctor Essex governance framework

Related Policies

This policy should be read alongside:

- Safeguarding and Child Protection Policy
- Online Safety Policy
- Equality, Diversity and Inclusion Policy
- SEND Policy
- Recruitment and Safer Recruitment Policy
- Staff Code of Conduct
- Tutor Code of Conduct
- Complaints Policy



- Acceptable Use of IT Policy
- Privacy Notices

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1. Policy Statement

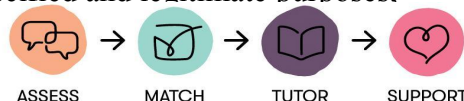
Tutor Doctor Essex is committed to protecting the privacy, confidentiality and security of all personal information processed in connection with its educational services.

As an organisation delivering one-to-one tuition in homes, online, community venues and Alternative Provision settings, we routinely process information relating to students, parents and carers, tutors, employees, schools, commissioners and partner agencies. We recognise that this information is fundamental to delivering safe, effective and high-quality services and must be managed responsibly throughout its lifecycle.

The organisation is committed to complying with the requirements of the UK General Data Protection Regulation (UK GDPR), the Data Protection Act 2018 and other relevant legislation while supporting its wider safeguarding responsibilities. Information governance is viewed as an essential part of protecting children and vulnerable individuals, maintaining public confidence and ensuring effective service delivery.

Tutor Doctor Essex will ensure that personal information is:

- processed lawfully, fairly and transparently;
- collected only for specified and legitimate purposes:



- kept accurate and up to date;
- retained only for as long as required;
- protected through appropriate technical and organisational security measures; and
- managed in accordance with the principles of accountability and continuous improvement.

Every individual working on behalf of Tutor Doctor Essex shares responsibility for protecting personal information and maintaining confidentiality.

2. Purpose and Scope

Purpose

This policy establishes the framework through which Tutor Doctor Essex manages personal information lawfully, securely and consistently across all aspects of its operations.

The objectives of the policy are to:

- comply with UK data protection legislation;
- protect the rights and freedoms of individuals;
- support effective safeguarding and lawful information sharing;
- minimise the risk of data breaches and cyber security incidents;
- establish clear responsibilities for information governance; and
- promote confidence in the services provided by Tutor Doctor Essex.

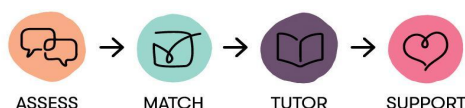
Information governance supports not only legal compliance but also safeguarding, professional standards and organisational accountability.

Scope

This policy applies to all personal information processed by Tutor Doctor Essex, regardless of format or location.

It applies to information processed during:

- tutor recruitment;
- student referrals and admissions;
- tuition delivery;
- safeguarding activities;
- SEND and Alternative Provision;
- quality assurance;
- complaints;
- finance and administration;
- business management.



The policy applies equally to information processed during:

- home tuition;
- online tuition;
- community-based tuition;
- school-based tuition;
- commissioned Alternative Provision.

It applies to all Directors, employees, self-employed tutors, contractors and volunteers acting on behalf of Tutor Doctor Essex.

3. Definitions

Term	Definition
Personal Data	Information relating to an identified or identifiable individual.
Special Category Data	Sensitive personal information requiring additional protection, including health, ethnicity, disability and biometric information.
Processing	Collecting, recording, storing, using, sharing or deleting personal information.
Data Controller	The organisation responsible for determining how personal information is processed.
Data Processor	An organisation or individual processing information on behalf of the Data Controller.
Personal Data Breach	A security incident resulting in the accidental or unlawful loss, alteration, disclosure or access to personal information.

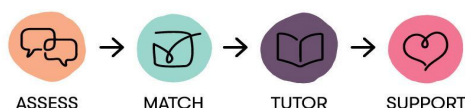
Further definitions are available within the UK GDPR and Data Protection Act 2018 where required.

4. Legislative Framework

Tutor Doctor Essex processes personal information in accordance with applicable legislation and recognised good practice.

Key legislation includes:

- UK General Data Protection Regulation (UK GDPR)
- Data Protection Act 2018
- Privacy and Electronic Communications Regulations (where applicable)
- Human Rights Act 1998
- Equality Act 2010
- Children Act 1989
- Children Act 2004



The organisation also follows relevant statutory guidance including:

- Keeping Children Safe in Education (KCSIE)
- Working Together to Safeguard Children
- SEND Code of Practice
- Information Commissioner's Office (ICO) guidance

Where safeguarding responsibilities require information to be shared to protect a child or vulnerable person, decisions will be made in accordance with both safeguarding legislation and data protection law, ensuring information sharing is lawful, necessary and proportionate.

5. Data Protection Principles

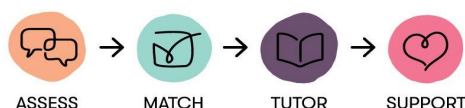
Tutor Doctor Essex applies the seven principles of the UK GDPR to all personal information it processes.

Principle	How Tutor Doctor Essex Applies It
Lawfulness, Fairness and Transparency	We process information only where there is a lawful basis and explain how it is used through Privacy Notices.
Purpose Limitation	Information is collected only for legitimate educational, safeguarding or business purposes.
Data Minimisation	Only information necessary to deliver our services is collected and retained.
Accuracy	Records are reviewed and updated to ensure they remain accurate.
Storage Limitation	Information is retained only for defined retention periods before secure disposal.
Integrity and Confidentiality	Appropriate physical, technical and organisational security measures protect information from unauthorised access, loss or disclosure.
Accountability	Tutor Doctor Essex maintains policies, procedures, training and oversight to demonstrate compliance with data protection legislation.

Every individual working on behalf of Tutor Doctor Essex is responsible for applying these principles in their day-to-day work.

Tutor Doctor Essex will only collect, use and share personal information where there is a lawful basis under the UK General Data Protection Regulation (UK GDPR). The lawful basis will be identified before processing begins and will be appropriate to the purpose for which the information is required.

Where Special Category Data or Criminal Offence Data is processed, an additional condition under the Data Protection Act 2018 and UK GDPR will also apply.



6.1 Lawful Bases

Lawful Basis	Typical Tutor Doctor Essex Activities
Contract	Delivering tuition, assessments, tutor agreements, invoicing and service administration.
Legal Obligation	Safeguarding referrals, DBS checks, Right to Work verification, HMRC requirements and employment law.
Legitimate Interests	Recruitment, quality assurance, tutor supervision, attendance monitoring, complaint investigations and business administration.
Consent	Marketing communications, testimonials, promotional photographs and optional surveys.
Vital Interests	Medical emergencies or situations where information sharing is necessary to protect life or prevent serious harm.
Public Task	Supporting Local Authorities, schools or statutory agencies where required by law or commissioning arrangements.

Tutor Doctor Essex will always select the most appropriate lawful basis and ensure processing remains necessary, proportionate and transparent.

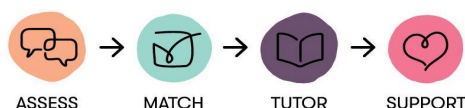
6.2 Special Category and Criminal Offence Data

The organisation occasionally processes information requiring additional protection.

Examples include:

- SEND information
- Education, Health and Care Plans (EHCPs)
- medical information
- mental health information
- safeguarding records
- disability information
- DBS information
- safer recruitment documentation

Access to this information is restricted to authorised individuals who require it to perform their duties. Additional technical and organisational safeguards are applied to reduce the risk of unauthorised access or disclosure.



7. Information Collection, Sharing and Privacy

Tutor Doctor Essex only collects personal information that is necessary to deliver educational services, fulfil safeguarding responsibilities or meet legal and contractual obligations.

Information is obtained directly from individuals wherever possible. It may also be received from schools, parents or carers, Local Authorities, commissioners or other authorised organisations where appropriate.

7.1 Information Processed

Individual	Typical Information Held
Students	Contact details, educational records, attendance, assessments, SEND information, EHCPs, safeguarding information and progress reports.
Parents and Carers	Contact details, communication records, emergency contacts, billing information and consent records.
Tutors	Recruitment documentation, DBS checks, qualifications, references, Right to Work evidence, training records and professional information.
Employees	Recruitment, payroll, HR records, training and occupational health information where appropriate.

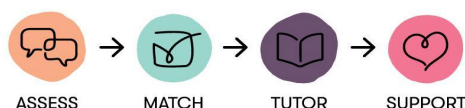
Tutor Doctor Essex will regularly review the information it holds to ensure it remains accurate, relevant and limited to what is necessary.

7.2 Privacy Notices

Privacy Notices explain:

- what information is collected;
- why it is processed;
- the lawful basis for processing;
- who information may be shared with;
- how long information is retained;
- individuals' rights; and
- how to contact the Data Protection Officer.

Separate Privacy Notices may be provided for students, parents and carers, tutors, employees, applicants and website users.



7.3 Information Sharing

Information will only be shared where there is:

- a lawful basis;
- a legitimate business or safeguarding purpose;
- a need to know; and
- an appropriate level of security.

Information may be shared with:

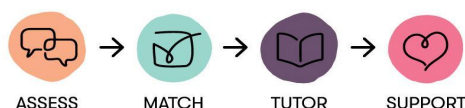
- schools;
- Local Authorities;
- Alternative Provision commissioners;
- Children's Social Care;
- Social Workers;
- health professionals;
- examination boards;
- Disclosure and Barring Service (DBS);
- insurers;
- approved IT providers;
- legal advisers.

Where safeguarding concerns exist, information may be shared without consent where this is necessary to protect a child or vulnerable individual and is permitted by law.

7.4 International Transfers

Tutor Doctor Essex primarily stores and processes information within the United Kingdom.

Where personal information is transferred outside the UK, appropriate safeguards will be implemented in accordance with UK GDPR, including adequacy regulations or approved international transfer agreements where required.



8. Roles and Responsibilities

Effective information governance relies upon everyone understanding their responsibilities.

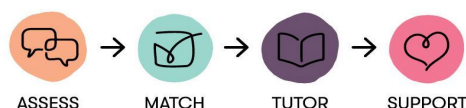
Role	Responsibilities
Directors	Provide strategic oversight, approve policies, allocate resources and promote compliance.
Designated Safeguarding Lead (DSL)	Ensure safeguarding information is managed, recorded and shared appropriately.
Deputy Designated Safeguarding Lead (DDSL)	Support implementation of this policy and monitor operational compliance.
Data Protection Officer (Ash Obhrai)	Advise on UK GDPR compliance, monitor information governance arrangements and act as liaison with the Information Commissioner's Office.
Tutors and Employees	Protect confidentiality, follow organisational procedures, complete mandatory training and report suspected breaches immediately.
Third Parties	Comply with contractual data protection and confidentiality requirements when processing information on behalf of Tutor Doctor Essex.

Failure to comply with this policy may result in disciplinary action, termination of contractual arrangements or referral to relevant professional or regulatory bodies where appropriate.

9. Information Governance and Security

Tutor Doctor Essex is committed to maintaining the confidentiality, integrity and availability of all personal information. Appropriate technical and organisational measures are implemented to protect information against accidental loss, unauthorised access, misuse, alteration or disclosure.

All individuals working on behalf of Tutor Doctor Essex are responsible for handling information securely and following the organisation's information governance procedures.



9.1 Information Classification

Information processed by Tutor Doctor Essex should be handled according to its sensitivity.

Classification Examples

Public

Published policies, recruitment information, website content

Internal

Operational procedures, staff communications, meeting notes

Confidential

Student records, tutor personnel files, safeguarding information, financial records

Handling Requirements

May be shared publicly following approval.

Shared only with authorised staff and tutors.

Access restricted to authorised individuals with a legitimate business need.

Confidential information must not be discussed in public places or disclosed to unauthorised individuals.

9.2 Access Control

Access to information is granted on a **need-to-know** basis.

Tutor Doctor Essex will:

- provide users with the minimum level of access required for their role;
- regularly review user permissions;
- remove access promptly when employment or contractual arrangements end;
- restrict access to safeguarding records and sensitive personal information; and
- monitor access where appropriate to protect organisational information.

Passwords and login credentials must never be shared.

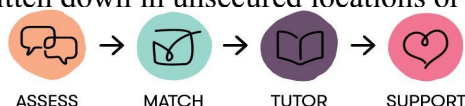
9.3 Password and Account Security

All users are responsible for protecting their accounts.

Users must:

- create strong passwords;
- use unique passwords for organisational systems;
- enable multi-factor authentication (MFA) where available;
- lock devices when unattended;
- report suspected account compromise immediately.

Passwords must never be written down in unsecured locations or shared with another person.



9.4 Devices and Remote Working

Personal information may only be accessed using authorised devices and secure internet connections.

When working remotely, tutors and staff must:

- ensure devices are password protected;
- keep operating systems and software up to date;
- avoid using public Wi-Fi unless protected by a secure VPN;
- position screens to prevent unauthorised viewing;
- securely store paper records; and
- report lost or stolen devices immediately.

Where personal devices are used for work purposes, they must provide an equivalent level of security to organisation-owned equipment.

9.5 Email and Electronic Communication

Email remains one of the most common causes of data breaches.

Before sending personal information, staff and tutors must:

- verify recipient details;
- check attachments carefully;
- use secure methods where sensitive information is shared;
- avoid forwarding confidential information unnecessarily; and
- report any accidental disclosure immediately.

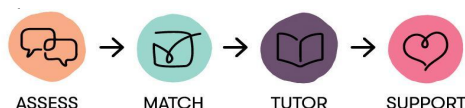
Sensitive safeguarding information should only be shared through approved secure methods.

9.6 Cyber Security

Tutor Doctor Essex adopts proportionate cyber security measures to reduce the risk of data loss and cyber attack.

These include:

- anti-virus and malware protection;
- software updates and security patching;
- secure cloud storage;
- encrypted connections where appropriate;
- regular backups;



- cyber security awareness training.

All suspected phishing emails, ransomware attempts or other cyber incidents must be reported immediately.

9.7 Approved Systems and Artificial Intelligence

Only approved systems may be used to process or store organisational information.

Staff and tutors must not upload confidential or identifiable personal information into unauthorised online services or artificial intelligence (AI) platforms.

Where AI-assisted tools are used to support administrative tasks, users remain responsible for ensuring:

- personal information is protected;
- confidential information is not disclosed without appropriate safeguards;
- outputs are checked for accuracy;
- decisions affecting individuals are not based solely on AI-generated content; and
- organisational policies and UK GDPR requirements continue to be met.

The use of AI must always support, and never replace, professional judgement.

10. Records Management

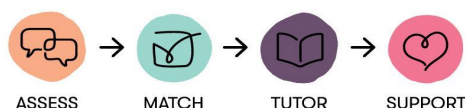
Tutor Doctor Essex maintains accurate records to support educational provision, safeguarding responsibilities and organisational accountability.

Records are managed throughout their lifecycle, from creation to secure disposal. Tutor single central record (SCR) is used for ensuring compliance of all active tutors, once inactive, they are removed from the SCR and records are retained on the CRM until disposal.

10.1 Record Keeping

Information should be:

- accurate;
- factual;
- clear and objective;
- dated where appropriate;
- stored securely; and
- retained in accordance with the organisation's retention schedule.



Safeguarding records must be maintained separately where appropriate and handled in accordance with the Safeguarding and Child Protection Policy.

10.2 Retention and Disposal

Personal information will only be retained for as long as necessary to fulfil its purpose or meet legal and regulatory requirements.

When information is no longer required it will be disposed of securely by:

- confidential shredding;
- secure deletion of electronic records;
- destruction of storage media where appropriate; or
- approved confidential waste disposal services.

A detailed Data Retention Schedule is included in **Appendix A**.

11. Individual Rights

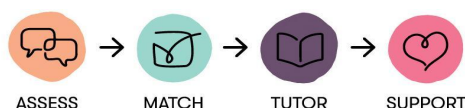
Tutor Doctor Essex respects the rights of individuals under the UK General Data Protection Regulation.

Requests will be handled promptly, fairly and within the statutory timescales.

11.1 Individual Rights

Individuals may have the right to:

Right	Summary
Access	Request a copy of personal information held about them.
Rectification	Request inaccurate information is corrected.
Erase	Request information is deleted where the legal conditions are met.
Restriction	Request limited processing in certain circumstances.
Data Portability	Receive personal information in a structured electronic format where applicable.
Object	Object to certain types of processing.
Automated Decision-Making	Request human review where solely automated decisions have been made.



11.2 Subject Access Requests (SARs)

Individuals wishing to access their personal information should submit a Subject Access Request to Tutor Doctor Essex.

The organisation will:

- verify the identity of the requester;
- locate relevant information;
- consider any applicable exemptions;
- respond within one calendar month unless an extension is permitted by law; and
- provide information securely.

No fee will normally be charged unless a request is manifestly unfounded or excessive.

Detailed procedures are provided in **Appendix C**.

12. Personal Data Breaches

Tutor Doctor Essex takes all actual and suspected personal data breaches seriously. Prompt reporting and effective management are essential to minimise risk to individuals, protect organisational information and comply with legal obligations.

A personal data breach may include, but is not limited to:

- loss or theft of paper or electronic records;
- sending information to the wrong recipient;
- unauthorised access to confidential information;
- accidental disclosure of personal information;
- cyber security incidents, including phishing or ransomware attacks; or
- loss or theft of devices containing organisational data.

All staff, tutors, contractors and volunteers must report suspected breaches immediately to the Director or Data Protection Officer.

12.1 Responding to a Breach

When a breach is identified, Tutor Doctor Essex will:

1. Contain the incident to prevent further loss or disclosure.
2. Assess the nature and scope of the breach.
3. Identify the information and individuals affected.
4. Evaluate the potential risks to those individuals.
5. Record all actions taken.
6. Notify the Information Commissioner's Office (ICO) where required.
7. Notify affected individuals where there is a high risk to their rights and freedoms.
8. Review the incident and implement improvements to reduce the likelihood of recurrence.

Every breach, regardless of severity, will be reviewed to identify opportunities for improving organisational practice.

12.2 Reporting to the Information Commissioner's Office (ICO)

Where a personal data breach is likely to result in a risk to the rights and freedoms of individuals, Tutor Doctor Essex will notify the Information Commissioner's Office without undue delay and, where feasible, within **72 hours** of becoming aware of the breach.

Where notification is not required, the decision and rationale will be documented as part of the breach record.

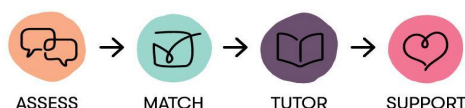
13. Training, Monitoring and Compliance

Effective information governance depends upon knowledgeable staff and consistent organisational oversight.

Tutor Doctor Essex will ensure that all individuals handling personal information:

- receive appropriate induction;
- complete mandatory safeguarding and data protection training;
- understand their responsibilities under this policy;
- receive updates where legislation or organisational procedures change; and
- know how to report concerns or incidents promptly.

Managers will monitor compliance through routine supervision, quality assurance processes, record audits and policy reviews.



Where improvements are identified, appropriate action plans will be implemented.

Failure to comply with this policy may result in disciplinary action, termination of contractual arrangements or referral to relevant authorities where appropriate.

14. Policy Review

This policy will be reviewed every **two years**, or sooner where necessary following:

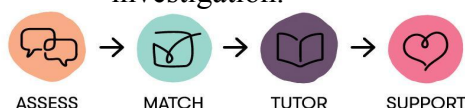
- changes to legislation or statutory guidance;
- recommendations from the Information Commissioner's Office;
- significant organisational changes;
- findings from audits or investigations;
- serious data breaches; or
- lessons learned from safeguarding reviews.

Minor administrative updates may be made between formal reviews where they do not materially alter the intent of the policy.

Appendices

Appendix A – Data Retention Schedule

Record Type	Recommended Retention Period
Student records	In accordance with statutory guidance and contractual requirements.
Safeguarding records	In accordance with safeguarding legislation and local authority guidance.
Tutor recruitment records	Six years after engagement ends, unless a longer period is required by law.
Employment records	Six years after employment ends, unless legislation requires otherwise.
Financial records	Minimum of six years in line with HMRC requirements.
Complaints records	Six years after resolution unless linked to safeguarding or legal proceedings.
CCTV or security recordings (where applicable)	Normally no longer than 30 days unless required for investigation.



Retention periods will be reviewed periodically to ensure continued compliance with legal and operational requirements.

Appendix B – Personal Data Breach Procedure

If a breach occurs:

1. **Identify** – Recognise and report the incident immediately.
2. **Contain** – Prevent further loss or unauthorised access.
3. **Assess** – Determine the information involved and potential impact.
4. **Report** – Notify the Director and Data Protection Officer without delay.
5. **Investigate** – Record findings and identify root causes.
6. **Notify** – Inform the ICO and affected individuals where legally required.
7. **Review** – Implement actions to reduce future risk.

Appendix C – Subject Access Request Procedure

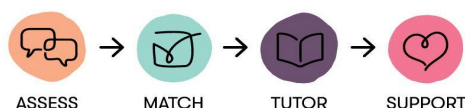
Upon receiving a Subject Access Request, Tutor Doctor Essex will:

- acknowledge receipt;
- verify the requester's identity;
- locate relevant information;
- consider applicable exemptions;
- prepare the response;
- provide the information securely within one calendar month unless an extension is permitted by law; and
- maintain a record of the request and response.

Appendix D – Information Sharing Checklist

Before sharing personal information, staff should consider the following questions:

Question	✓
Is there a lawful basis for sharing the information?	☐
Is the information necessary and proportionate?	☐
Does the recipient have a legitimate need to know?	☐
Can the information be shared securely?	☐
Have safeguarding considerations been taken into account?	☐
Has the decision been appropriately recorded?	☐



Appendix E – Information Security Standards

All staff, tutors and contractors are expected to:

- protect passwords and login credentials;
- enable multi-factor authentication where available;
- use approved systems only;
- keep devices updated and secure;
- lock unattended devices;
- avoid storing confidential information on personal devices unless authorised;
- report lost devices immediately;
- verify email recipients before sending personal information;
- complete mandatory cyber security and data protection training; and
- report suspected phishing or cyber incidents without delay.

Document Approval

Policy Title: Data Protection and Information Governance Policy

Organisation: Tutor Doctor Essex

Policy Owner: Viv Durham – Director

Data Protection Officer: Ash Obhrai

Approved By: Laura Adams – Director & Designated Safeguarding Lead (DSL)
Viv Durham – Director & Deputy Designated Safeguarding Lead (DDSL)

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