



# **Serlby Park Academy**

## **Guidance to Access on Pupil Records Policy**

*Setting Standards for Success*

Date of Last Review/Update	December 2016
Reviewed by	MC
Date of Next Review	December 2017

## CONTENTS

1.0	Roles and responsibilities .....	3
2.0	Suggested Audience.....	3
3.0	Related policies .....	3
4.0	Academy Mission Statement .....	3
5.0	Introduction.....	3
6.0	Classification of information .....	4
7.0	Requesting information .....	4
8.0	Pupil's access to their own information .....	5
9.0	Parental/carer access .....	5
10.0	Information about other individuals .....	6
11.0	Withholding information .....	6
12.0	Timescales for dealing with requests .....	7
13.0	Charges.....	7
14.0	Monitoring and Review .....	8
15.0	Approval by Education Advisory Board (EAB) and Review Date.....	8
	Appendix A: Further information .....	8

## 1.0 Roles and responsibilities

The responsibility for the implementation of this policy and provision rests with the Principal. On an operational basis, the management, responsibility and evaluation of this policy is undertaken by the **Associate Assistant Principal**.

## 2.0 Suggested Audience

**All administration, teaching and support staff.** As part of their Academy induction or professional development, all relevant staff will participate in training which enables them to correctly apply the knowledge, principles and procedures outlined in this policy.

## 3.0 Related policies

This policy is part of a suite of policies which should also be referred to:

- Assessment, Recording, Reporting Policy

## 4.0 Academy Mission Statement

### *Setting Standards for Success*

## 5.0 Introduction

This Academy is a member of the Delta Academies Trust. It will work closely with Delta personnel and other Delta Academies to fully implement this guidance in line with best and emerging practice. This guidance sets out the Academy's responsibilities under the Data Protection Act 1998 (the Act) regarding requests for access to pupils' information. The guidance also covers the separate right of access that parents and carers have to access the official educational records of their child. It is drawn from the Data Protection Technical Guidance Note issued by the Information Commissioner's Office (ICO).

In a spirit of openness and collaboration, the sponsor Delta Academies Trust and the Academy works closely with Nottinghamshire County Council and share relevant data with the Council, on the understanding that this information will not be shared without permission with other organisations or personnel. The Academy expects that Nottinghamshire County Council will reciprocate and share information with the Academy which may be of benefit to the pupils and staff.

Fundamental to the effective and confidential collation and sharing of information is the Academy's Management Information System (MIS). The Academy has a robust, secure ICT system which enables information regarding pupils to be easily recorded, collated and communicated, with relevant and appropriate safeguards and checks.

## 6.0 Classification of information

There are two distinct rights to information held by schools about pupils.

- 6.1 **The subject access right** – under the Act, a pupil (the subject) has the right to a copy of information held about them and can make a Subject Access Request (SAR). In certain circumstances requests may be made by a parent/carer on behalf of their child. Subject access is broader than the educational record below (See 6.2)
- 6.2 **Rights to the educational record** – under the Education (Pupil Information) (England) Regulations 2005, referred to here as the Regulations, a parent/carer has the right to access their child's educational record. Under the subject access right parents will only be able to see all the information about their child when the child is unable to act on their own behalf or gives their consent.
- 6.3 **What is an educational record?**
- 6.3.1 The Regulations provide a legal definition of an 'educational record', (mirrored in Schedule 11 of the Act, with the addition of any statement of special educational needs and any personal educational plan). The definition is wide and includes, regardless of its form, any information about current and past pupils that is processed by or for an Academy's EAB or teacher. It includes a 'curricular record', defined as a formal record of a pupil's academic achievements, other skills and abilities and progress in the Academy.
- 6.3.2 The educational record is confined to information that comes from a teacher or other employee of a local authority or school, the pupil or their parents. Communications about a particular child from principals and teachers at an Academy and other employees at an education authority will therefore form part of that child's official educational record, as will correspondence from an educational psychologist engaged by the EAB under a contract of services. It may also include information from the child and their parents, such as information about the health of the child. Information kept by a teacher solely for their own use does not form part of the official educational record.

## 7.0 Requesting information

- 7.1 Under the Regulations, requests from parents/carers to view their child's educational record should be dealt with by the EAB. All other requests for personal information from the pupil, or someone acting on their behalf, should be dealt with by the Academy. In practical terms, this will make little difference in dealing with requests. However, it is important that requests for personal information are passed to the appropriate person as soon as possible after the request is received.
- 7.2 **The subject access right**
- 7.3 Under the Act, a pupil, or someone acting on their behalf, has the right to access their personal information held by the Academy. This includes:
- Information held on computer (or other automated means);

- Information held in structured files;
- Information in the educational record regardless of the form in which it is held; and
- Unstructured information, for example, held in loose correspondence.

7.4 It is likely that most pupils' personal information will be held by the Academy as part of pupils' educational records. These are described in more detail in section 6.3 'What is an educational record?' However, there is a possibility that some pupil information could fall outside this, for example, information provided by the parent of another child. Requests should be made in writing and the Academy is entitled to ask for any further clarification reasonably required to locate the information and satisfy itself about the identity of the person making the request.

7.5 A pupil is also entitled to be told whether or not the personal information they want is held by the Academy and to ask what that information is. They will also be entitled to a description of the information, the purposes it is used for, who it is released to, and any information available about the source of the information. The information must be supplied in an intelligible form (so any codes should be explained) and should be in hard copy unless it is not possible to do this or would involve a disproportionate effort, or if the pupil or parent agrees to access the information in another form.

## **8.0 Pupil's access to their own information**

8.1 The Act does not specify an age at which a child can make their own request for access to their information. When a request is received from a child for access to their own information, those responsible for responding should take into account whether:

- The child wants their parent (or someone with parental responsibility for them) to be involved in the request; and
- The child properly understands what is involved in making the request and the type of information they will receive.

8.2 As a general guide, a child of 12 or older is expected to be mature enough to understand the request they are making. A child may, of course, be mature enough at an earlier age or may lack sufficient maturity until a later age, and so requests should be considered on a case-by-case basis.

## **9.0 Parental/carer access**

### **9.1 What access do parents/carers have?**

If the child cannot understand the nature of the request, someone with parental responsibility can ask for the information on the child's behalf and receive the response. A child who understands the nature of an access request may ask an adult to act on their behalf. Anyone can appoint an agent in this way and those responsible for responding should treat the agent's request as though it came from the child. If it is not clear whether an adult has parental responsibility for the child or is acting as their agent, then this should be clarified before responding to the request.

## 9.2 How should a request be made?

A parent/carer should make the request in writing to the EAB.

## 9.3 Can any of the information in the educational record be withheld from the parent?

Generally, any information that could not be disclosed to the child under the Act or to which the child would not have a right of access under the Act should not be disclosed to a parent exercising their independent right of access under the Regulations. (See section 11 for further detail)

## 10.0 Information about other individuals

Where the response includes information about another individual, the request should be considered carefully. There is a duty to consider the rights of the individual making the request and the privacy of any other individuals who may be identified. For advice on how to deal with general subject access requests containing information about another individual, please see ICO guidance '[Subject access requests involving other people's information](#)'.

## 11.0 Withholding information

11.1 There are two situations when information may be withheld. The first is when the information is covered by an exemption in the Act (see (a) below). The second is when the cost of supplying information held in an unstructured way would exceed the set limits (see (b) below).

(a) The main exemptions when information may be withheld relate to:

- Information which might cause serious harm to the physical or mental health of the pupil or another individual;
- Cases where the disclosure would reveal a child is at risk of abuse;
- Information contained in adoption and parental order records
- Information given to a court in proceedings under the Magistrates' Courts (Children and Young persons) Rules 1992;
- Copies of examination scripts; and
- Providing examination marks before they are officially announced.

If the information relates to exam marks and scripts, please see IOC guidance on '[Individuals' rights of access to examination records](#)'. Please contact the IOC office if you need detailed advice about how an exemption applies. (Contact details at the end of this policy)

(b) Unstructured personal information

The Act limits the action the Academy must take to respond to a request from a child, or parent acting for them, for personal information held manually and in a completely unstructured way. This needs to be distinguished from personal information held in highly or partly structured files, such as a teacher's own records with sections for different classes and pupils, to which the normal rules of subject access apply. Where the request is for unstructured personal information, academies are entitled to

ask for a description of the information to help them find it. They do not have to supply the information, or confirm whether or not it exists, if it would cost more than £450 to do either of these things. This cost structure is in The Freedom of Information and Data Protection (Appropriate Limit and Fees) Regulations 2004.

Guidance on this is available from the Department for Constitutional Affairs website at [www.foi.gov.uk/practitioner/feesguidance.htm](http://www.foi.gov.uk/practitioner/feesguidance.htm)

## 12.0 Timescales for dealing with requests

Requests for information from pupils, or parents/carers, for information that contains, wholly or partly, an educational record must receive a response within 15 school days. Unless a parent/carer simply asks to see the official educational record under the Regulations, schools and authorities are entitled to receive any fee first (see below). Most requests for information are likely to ask for at least some information in the educational record. However, should a subject access request be made just for personal information outside the educational record, a response must be made promptly and at most within 40 calendar days. However, the 40 days does not begin until after the fee (see below) and any further information about identity or the location of the information is received.

## 13.0 Charges

- 13.1 If a pupil or parent/carer acting on their behalf requests makes a subject access request for personal information containing, in whole or part, the 'educational record', the amount that can be charged depends on the number of pages provided. The fees work on a scale basis as shown below.

Number of pages	Maximum fee
1-19	£1
20-29	£2
30-39	£3
40-49	£4
50-59	£5
60-69	£6
70-79	£7
80-89	£8
90-99	£9
100-149	£10
150-199	£15
200-249	£20
250-299	£25
300-349	£30
350-399	£35
400-449	£40
450-499	£45
500+	£50

- 13.2 If a pupil or parent acting on the pupil's behalf makes a subject access request which does not include any information from the educational record, the maximum fee which can be charged is £10.
- 13.3 If a parent/carer exercises their independent right under the Regulations simply to view the educational record, then this should be free of charge. If a copy of the educational records is supplied under the Regulations, a fee can be charged by the EAB. This fee must not exceed the cost of supplying the information.

## 14.0 Monitoring and Review

The Associate Assistant Principal will monitor the implementation of these guidelines and will make a written report to the EAB on an annual basis, detailing any changes and summarising requests for information received over the last year.

## 15.0 Approval by EAB and Review Date

This policy and plan has been formally approved and adopted by the EAB at a formally convened meeting.

Policy approved: \_\_\_\_\_  
(Chair of EAB)

Date: \_\_\_\_\_

Date of Policy review: \_\_\_\_\_

## Appendix A: Further information

If you need any more information about this or any other aspect of data protection, please contact the Information Commissioner's Office