



## ***Data Protection Policy and Toolkit***

***This document may require further changes when new rules covering data protection come into force in 2018.***

*Schools handle increasing amounts of personal information and have a statutory requirement to comply with The Data Protection Act 1998 (“DPA”). Schools should have clear policies and procedures for dealing with personal information, and be registered with the Information Commissioner’s Office (“ICO”). Schools should have systems in place to reduce the chances of a loss of personal information, otherwise known as a data breach which could occur as a result of theft, loss, accidental disclosure, equipment failure or hacking.*

### ***Contents***

#### ***Introduction***

##### ***1. Aims & Objectives:***

*The aim of this policy is to provide a framework to enable staff, parents and pupils to understand:*

- *The law regarding personal data*
- *How personal data should be processed, stored, archived and deleted/destroyed*
- *How staff, parents and pupils can access personal data*

##### ***1.1. It is a statutory requirement for all schools to have a Data Protection Policy:***

*(<http://www.education.gov.uk/schools/toolsandinitiatives/cuttingburdens/a00201669/statutory-policies-for-schools> )*

##### ***1.2. Data Protection Principles***

*The Data Protection Act 1998 establishes eight principles that must be adhered to at all times:*

- 1. Personal data shall be processed fairly and lawfully;*
- 2. Personal data shall be obtained only for one or more specified and lawful purposes;*
- 3. Personal data shall be adequate, relevant and not excessive;*
- 4. Personal data shall be accurate and where necessary, kept up to date;*
- 5. Personal data processed for any purpose shall not be kept for longer than is necessary for that purpose or those purposes;*
- 6. Personal data shall be processed in accordance with the rights of data subjects under the Data Protection Act 1998;*
- 7. Personal data shall be kept secure i.e. protected by an appropriate degree of security;*
- 8. Personal data shall not be transferred to a country or territory outside the European Economic Area, unless that country or territory ensures an adequate level of data protection.*

## **2. Data Types**

*Not all data needs to be protected to the same standards, the more sensitive or potentially damaging the data is, the better it needs to be secured. There is inevitably a compromise between usability of systems and working with data. In a school environment staff are used to managing risk, for instance during a PE or swimming lesson where risks are assessed, controlled and managed. A similar process should take place with managing school data. The DPA defines different types of data and prescribes how it should be treated.*

*The loss or theft of any Personal Data is a “ Potential Data Breach ” which could result in legal action against the school. The loss of sensitive personal data is considered much more seriously and the sanctions may well be more punitive.*

### **2.1. Personal data**

*The school will have access to a wide range of personal information and data. The data may be held in a digital format or on paper records. Personal data is defined as any combination of data items that identifies an individual and provides specific information about them, their families or circumstances. This will include:-*

- *Personal information about members of the school community – including pupils / students, members of staff and parents / carers e.g. names, addresses, contact details, legal guardianship contact details, disciplinary records.*
- *Curricular / academic data e.g. class lists, pupil / student progress records, reports, references*
- *Professional records e.g. employment history, taxation and national insurance records, appraisal records, disciplinary records and references*
- *Any other information that might be disclosed by parents / carers or by other agencies working with families or staff members.*

### **2.2. Sensitive Personal data**

*Sensitive personal data is defined by the Act as information that relates to the following 8 categories: race and ethnicity, political opinions, religious beliefs, membership of trade unions, physical or mental health, sexual life and criminal offences, criminal proceedings. It requires a greater degree of protection and in a school would include:*

- *Staff Trade Union details*
- *Information on the racial or ethnic origin of a child or member of staff*
- *Information about the sexuality of a child, his or her family or a member of staff*
- *Medical information about a child or member of staff*
- *Information relating to any criminal offence of a child, family member or member of staff.*

*Note – On some occasions it is important that medical information should be shared more widely to protect a child - for instance if a child had a nut allergy how it should be treated. Where appropriate written permission should be sought from the parents / carers before posting information more widely, for instance in the staff room.*

### **2.3. Other types of Data not covered by the act.**

*This is data that does not identify a living individual and therefore is not covered by the remit of the DPA this may fall under other access to information procedures. This would include Lesson Plans (where no individual pupil is named), Teaching Resources, and other information about the school which does not relate to an individual. Some of this data would be available publically (for instance the diary for the forthcoming year), and some of this may need to be protected by the school (If the school has written a detailed scheme of work that it wishes to sell to other schools). Schools may choose to protect some data in this category but there is no legal requirement to do so.*

*The ICO provide additional information on their website See*

*[http://ico.org.uk/for\\_organisations/data\\_protection/the\\_guide/key\\_definitions](http://ico.org.uk/for_organisations/data_protection/the_guide/key_definitions)*

## **3. Responsibilities**

*The Headteacher and Governing Body are responsible for Data Protection, they may appoint a SIRO to manage data.*

### **3.1. Risk Management - Roles**

*The school's Senior Information Risk Officer (SIRO) is (Gaynor Davison or Helen Walters if she is absent). This individual will keep up to date with current legislation and guidance and will:*

- determine and take responsibility for the school's information risk policy and risk assessment*
- appoint the Information Asset Owners (IAOs) In a small school these roles may be combined*

*The school will identify Information Asset Owners (IAOs) (the school may wish to identify these staff by name or title in this section) for the various types of data being held (e.g. pupil / student information / staff information / assessment data etc.). The IAOs will manage and address risks to the information and will understand :*

- what information is held, for how long and for what purpose,*
- how information as been amended or added to over time, and*
- who has access to protected data and why.*

### **3.2. Risk management - Staff and Governors Responsibilities**

- Everyone in the school has the responsibility of handling personal information in a safe and secure manner.*
- Governors are required to comply fully with this policy in the event that they have access to personal data, when engaged in their role as a Governor.*

## **4. Legal Requirements**

### **4.1. Registration**

*The school must be registered as a Data Controller on the Data Protection Register held by the Information Commissioner and each school is responsible for their own registration):*

*[http://ico.org.uk/for\\_organisations/data\\_protection/registration](http://ico.org.uk/for_organisations/data_protection/registration)*

### **4.2. Information for Data Subjects (Parents, Staff)**

*In order to comply with the fair processing requirements of the DPA, the school will inform parents / carers of all pupils / students and staff of the data they collect, process and hold on the pupils / students, the purposes for which the data is held and the third parties (eg LA, DfE, etc) to whom it may be passed. This privacy notice will be passed to parents / carers through a letter. More information about the suggested wording of privacy notices can be found on the DfE website:*

*<http://www.education.gov.uk/researchandstatistics/datatdatam/a0064374/pn>*

*See Appendix 2*

## **5. Transporting, Storing and Deleting personal Data**

- *The policy and processes of the school will comply with the guidance issued by the ICO [here](#)*

### **5.1. Information security - Storage and Access to Data**

#### **5.1.1. Technical Requirements**

- *The school will ensure that ICT systems are set up so that the existence of protected files is hidden from unauthorised users and that users will be assigned a clearance that will determine which files are accessible to them. Access to protected data will be controlled according to the role of the user. Members of staff will not, as a matter of course, be granted access to the whole management information system.*
- *Personal data may only be accessed on machines that are securely password protected. Any device that can be used to access data must be locked if left (even for very short periods) and set to auto lock if not used for five minutes.*
- *All storage media must be stored in an appropriately secure and safe environment that avoids physical risk, loss or electronic degradation.*
- *Personal data can only be stored on school equipment (this includes computers and portable storage media (where allowed). Private equipment (i.e. owned by the users) must not be used for the storage of personal data.*
- *The school has a clear policy and procedures for the automatic backing up, accessing and restoring all data held on school systems, including off-site backups.*

### **5.1.2. Portable Devices**

***When personal data is stored on any portable computer system, USB stick or any other removable media:***

- *the data must be encrypted and password protected,*
- *the device must be password protected (many memory sticks / cards and other mobile devices cannot be password protected),*
- *the data must be securely deleted from the device, in line with school policy (below) once it has been transferred or its use is complete.*

### **5.1.3. Passwords**

- *All users will use strong passwords which must be changed regularly. User passwords must never be shared. It is advisable NOT to record complete passwords, but prompts could be recorded.*

### **5.1.4. Images**

- *Images of pupils will only be processed and transported by use of encrypted devices and permission for this will be obtained in the privacy agreement.*
- *Images will be protected and stored in a secure area.*

### **5.1.5. Cloud Based Storage**

- *The school / academy has clear policy and procedures for the use of “Cloud Based Storage Systems” (for example dropbox, google apps and google docs) and is aware that data held in remote and cloud storage is still required to be protected in line with the Data Protection Act. The school will ensure that it is satisfied with controls put in place by remote / cloud based data services providers to protect the data.*  
[http://www.ico.org.uk/for\\_organisations/guidance\\_index/~media/documents/library/Data\\_Protection/Practical\\_application/cloud\\_computing\\_guidance\\_for\\_organisations.ashx](http://www.ico.org.uk/for_organisations/guidance_index/~media/documents/library/Data_Protection/Practical_application/cloud_computing_guidance_for_organisations.ashx)

## **5.2. Third Party data transfers**

- *As a Data Controller, the school is responsible for the security of any data passed to a “third party”. Data Protection clauses will be included in all contracts where data is likely to be passed to a third party.*  
[http://ico.org.uk/for\\_organisations/data\\_protection/topic\\_guides/data\\_sharing](http://ico.org.uk/for_organisations/data_protection/topic_guides/data_sharing)

## **5.3. Retention of Data**

- *The guidance given by the Information and Records Management Society – [Schools records management toolkit](#) will be used to determine how long data is retained.*
- *Personal data that is no longer required will be destroyed and this process will be recorded.*

## **5.4. Systems to protect data**

### **5.4.1. Paper Based Systems**

- *All paper based OFFICIAL or OFFICIAL – SENSITIVE (or higher) material must be held in lockable storage, whether on or off site.*
- *Paper based personal information sent to parents will be checked by a member of the senior management team before the envelope is sealed.*

### **5.4.2. School Websites**

- *Uploads to the school website will be checked prior to publication ensure that personal data will not be accidentally disclosed and that images uploaded only show pupils where prior permission has been obtained*

### **5.4.3. E-mail**

*E-mail cannot be regarded on its own as a secure means of transferring personal data.*

- *E-mails containing sensitive information should be encrypted, for example by attaching the sensitive information as a password protected word document. The recipient will then need to contact the school for access to a one-off password*

#### *Data Breach – Procedures*

*On occasion, personal data may be lost, stolen or compromised. The data breach includes both electronic media and paper records, and it can also mean inappropriate access to information.*

- *In the event of a data breach the SIRO will inform the head teacher and chair of governors*
- *The school will follow the procedures set out in Appendix 7*

*Signed: G Davison*

*Headteacher*

*Date: October 2016*

*Signed: C Linfoot*

*Chair of Community and SMSC Committee*

*Date: October 2016*

*Review: October 2019*

## **Appendix 1 Links to resources and guidance**

### **ICO Guidance for schools**

[http://ico.org.uk/for\\_organisations/sector\\_guides/~media/documents/library/Data\\_Protection/Research\\_and\\_reports/report\\_dp\\_guidance\\_for\\_schools.ashx](http://ico.org.uk/for_organisations/sector_guides/~media/documents/library/Data_Protection/Research_and_reports/report_dp_guidance_for_schools.ashx)

*A downloadable guide for schools*

*Specific information for schools is available here*

[http://ico.org.uk/for\\_organisations/sector\\_guides/education](http://ico.org.uk/for_organisations/sector_guides/education)

*Specific information about use of Cloud Based technology*

[http://ico.org.uk/for\\_organisations/data\\_protection/topic\\_guides/online/cloud\\_computing](http://ico.org.uk/for_organisations/data_protection/topic_guides/online/cloud_computing)

*Specific Information about CCTV*

[http://ico.org.uk/for\\_organisations/data\\_protection/topic\\_guides/cctv](http://ico.org.uk/for_organisations/data_protection/topic_guides/cctv)

### **Information and Records Management Society – Schools records management toolkit**

<http://www.irms.org.uk/resources/information-guides/199-rm-toolkit-for-school>

*A downloadable schedule for all records management in schools*

### **Disclosure and Barring Service (DBS)**

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/143669/handling-dbs-cert.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/143669/handling-dbs-cert.pdf) *Details of storage and access to DBS certificate information.*

### **DFE Privacy Notices**

<https://www.gov.uk/government/publications/data-protection-and-privacy-privacy-notices>

### **DFE Use of Biometric Data**

<https://www.gov.uk/government/publications/protection-of-biometric-information-of-children-in-schools>

## Appendix 2 Privacy Notices

### **Privacy Notice - Data Protection Act 1998**

*Laurel Avenue Community Primary School is a data controller for the purposes of the Data Protection Act. We collect information from you and may receive information about you from your previous school and the Learning Records Service. We hold this personal data and use it to:*

- ◆ *Support its pupils' teaching and learning;*
- ◆ *Monitor and report on their progress;*
- ◆ *Provide appropriate pastoral care, and*
- ◆ *Assess how well the school as a whole is doing.*

*This information includes contact details, national curriculum assessment results, attendance information and personal characteristics such as your ethnic group, any special educational needs and relevant medical information.*

***We will not give information about you to anyone outside the school without your consent unless the law and our rules allow us to.***

*We are required by law to pass some information about you to the Local Authority and the Department for Education (DfE) and to agencies that are prescribed by law, such as the Qualifications and Curriculum Authority (QCA), Ofsted, the Learning Skills Council (LSC), the Department of Health (DH) and Primary Care Trusts (PCT). All these are data controllers in respect of the data they receive and are subject to the same legal constraints in how they deal with the data.*

*If you want to see a copy of the information about you that we hold and/or share, please contact Mrs Lindsay or Mrs Ferguson Admin Officers.*

*If you require more information about how the Local Authority (LA) and/or DfE store and use your information, then please go to the following websites:*

[www.durham.gov.uk/dataprotection](http://www.durham.gov.uk/dataprotection) and

<http://www.education.gov.uk/researchandstatistics/datatdatam/b00212337/datause>

*If you are unable to access these websites please contact the LA or DfE as follows:*

*Data Protection, Durham County Council, room 4/140, County Hall Durham, DH1 5UF tel: 0300 026 8034 or email [dataprotection@durham.gov.uk](mailto:dataprotection@durham.gov.uk)*

*Public Communications Unit, Department for Education, Sanctuary Buildings Great, Smith Street, London, SW1P 3BT*

*Website: [www.education.gov.uk](http://www.education.gov.uk)*

*E-mail: <http://www.education.gov.uk/help/contactus>*



### Appendix 3 Glossary

**Data Protection Act 1998:** All personal data which is held must be processed and retained in accordance with the eight principles of the Act and with the rights of the individual. Personal data must not be kept longer than is necessary (this may be affected by the requirements of other Acts in relation to financial data or personal data disclosed to Government departments). Retention of personal data must take account of the Act, and personal data must be disposed of as confidential waste. Covers both personal data relating to employees and to members of the public.

**ICO** The Information Commissioner's office. This is a government body that regulates the Data Protection Act.

The ICO website is here <http://ico.org.uk/>

**Data Protection Act 1998: Compliance Advice. Subject access – Right of access to education records in England:** General information note from the Information Commissioner on access to education records. Includes timescale (15 days) and photocopy costs.

**Data Protection Act 1998: Compliance Advice. Disclosure of examination results by schools to the media:** General information note from the Information Commissioner on publication of examination results.

**Education Act 1996:** Section 509 covers retention of home to school transport appeal papers. (By LA)

**Education (Pupil Information) (England) Regulations 2005:** Retention of Pupil records

**Health and Safety at Work Act 1974 & Health and Safety at Work Act 1972:** Retention requirements for a range of health and safety documentation including accident books, H&S manuals etc.

**School Standards and Framework Act 1998:** Retention of school admission and exclusion appeal papers and other pupil records.

## Appendix 4 Check Sheet

*Schools may find it beneficial to use this to check their systems for handling data.*

- Training for staff on Data Protection, and how to comply with requirements*
- Data Protection Policy in place*
- All portable devices containing personal data are encrypted*
- Passwords – Staff use complex passwords*
- Passwords – Not shared between staff*
- Privacy notice sent to parents*
- Privacy notice given to staff*
- Images stored securely*
- School registered with the ICO as a data controller*
- Member of staff with overall responsibility for data identified (SIRO)*
- Risk assessments complete*
- Systems in place to ensure that data is retained securely for the required amount of time*
- Process in place to allow for subject access requests.*
- If school has CCTV appropriate policies are in place to cover use, storage and deletion of the data, and appropriate signage is displayed*
- Paper based documents secure*
- Electronic backup of data both working and secure*
- Systems in place to help reduce the risk of a data breach e.g. personal data sent out checked before the envelope sealed, uploads to websites checked etc.*