

SUBJECT ACCESS REQUEST POLICY

This policy is reviewed every two years

History of Document

Issue No	Author/Owner	Date Written	Approved by Trust Board	Comments
1	DPO	June 2018	12 July 2018	1 st formal issue
2	DPO	Dec 2018	13 December 2018	Removal 4.4 Minor amendment to 5.3
3	DPO	February 2019	14 February 2019	Minor amendments from ICO audit
4	DPO	December 2019	12 December 2019	Minor amendment 10.1

1. INTRODUCTION

- 1.1 The Active Learning Trust (“Trust”) collects, uses, shares, reports, retains, processes and deletes/destroys personal information about students, staff, parents or carers, and other individuals who come into contact with the Trust. This information is gathered to enable the Trust to provide education and other associated functions in relation to its employment of staff and duty of care to young people. In addition, there may be a legal requirement to collect and use information to ensure that the Trust complies with its statutory obligations.
- 1.2 Data protection legislation gives individuals (“data subjects”) rights to their personal data including the right to access personal data that an organisation holds about them. When an individual makes a request to view their information it is known as a Subject Access Request (“SAR”).
- 1.3 It is important that all members of staff are able to recognise that any request made by a person for their own information or that of a different person, the data subject, is likely to be a valid subject access request, even if the individual doesn’t specifically use this phrase in their request or refer to the GDPR. In some cases an individual may mistakenly refer to the “Freedom of Information Act” but this should not prevent a school from identifying the request as being made under the GDPR if appropriate. Some requests may be a combination of a subject access request for personal data under the GDPR and a request for information under the Freedom of Information Act.

2. PURPOSE OF THE POLICY

- 2.1 The purpose of the Trust’s Subject Access Request Policy (“Policy”) is to outline the framework for receiving and responding to a SAR.
- 2.2 This Policy is based on the Information Commissioner’s Office (ICO) statutory code of practice – “Subject Access Code of Practice – Dealing with requests from individuals for personal information” available at [Code of Practice](#). Such Code has not yet been updated to reflect the GDPR. The ICO is intending to revise this guidance in due course.

3. SCOPE

- 3.1 This Policy is intended for anyone who submits SARs to the Trust or responds to SARs on behalf of the Trust.
- 3.2 Personal data is information that identifies an individual and includes information that would identify an individual to the person to whom it is disclosed because of any special knowledge that they have or can obtain¹ such as a name, date of birth, address, NI number, medical information, exam results and an online identifier, such as an IP address. A sub-set of personal data is known as special category personal data. This special category data is information that reveals:

3.2.1 race or ethnic origin;

¹ For example, if asked for the number of female employees, and you only have one female employee, this would be personal data if it was possible to obtain a list of employees from the website.

- 3.2.2 political opinions;
- 3.2.3 religious or philosophical beliefs;
- 3.2.4 trade union membership;
- 3.2.5 physical or mental health;
- 3.2.6 an individual's sex life or sexual orientation;
- 3.2.7 genetic or biometric data for the purpose of uniquely identifying a natural person

4. RESPONSIBILITIES

- 4.1 The Trust Board has ultimate responsibility for setting this Policy.
- 4.2 A Headteacher is responsible for ensuring that the requirements relating to this Policy are adopted and adhered to and is responsible for the day to day management of SAR arrangements. Where the term Headteacher is used this incorporates Executive Headteacher roles where these exist and the Chief Executive Officer of the Active Learning Trust when the statement refers to the central Trust.
- 4.3 If employees e.g. teachers are contacted directly by a parent/carer/child e.g. in the playground at the end of the school day, for their personal data or that of their child held by the school, they should advise the individual to contact the school's Headteacher or Business Manager directly on such matter. They must not provide personal data outside the Trust's agreed policy for processing subject access requests. All subject access requests must be processed by a school's Headteacher or Business Manager in accordance with this Policy and the Trust's written procedures.
- 4.4 The Trust's Data Protection Officer ("DPO") submits a report on the effectiveness of the Policy to the Trust Board as a minimum on an annual basis.
- 4.5 Everyone who processes subject access requests must comply with this Policy.

5. FORMAT OF REQUESTS

- 5.1 Individuals are requested to complete a SAR form, a copy of which is held on both the Trust's and individual schools' websites. The SAR form is also available in hard copy format from a school's reception. Requests will be accepted in other formats (e.g. verbal) however completion of the SAR form is the Trust's preferred method.
- 5.2 Guidance has been produced how to complete the SAR form (refer Appendix I).
- 5.3 All requests should be sent to a school's Headteacher.

- 5.4 An acknowledgement email or letter (if such is required / requested) will be sent to an individual.
- 5.5 Upon receipt of a SAR, a copy will be sent securely to the Trust's DPO who will arrange for it to be recorded in the Trust's SAR Log and a reference number issued.

6. IDENTIFICATION

- 6.1 Two forms of identification may be requested to check that personal information is being provided to the correct individual at the correct address. This however isn't always necessary as a staff member may be able to verify the identity of the data subject/requestor. If there is uncertainty about the identity of the individual making the SAR, then additional information may be requested to confirm the individual's identity.
- 6.2 Any individual, including a child or young person with ownership of their own information rights, may appoint another person to request access to their personal data. In such circumstances the Trust must have written evidence that the individual has authorised the person to make the application and the School Headteacher must be confident of the identity of the individual making the request and of the authorisation of the individual to whom the request relates.

7. REQUESTS FOR LARGE AMOUNTS OF PERSONAL DATA

- 7.1 Individuals may be asked to clarify the information that a request relates to, if a large quantity of information is processed about an individual, so that the information supplied, is relevant.

8. FEES

- 8.1 No fee will be charged for responding to SARs. However, if many requests are received for the same personal data from the same individual, data protection legislation allows the Trust to charge a reasonable fee based on the administrative cost of providing the information. Individuals will be informed of such charge prior to the personal data being obtained.

9. REFUSING TO RESPOND TO A SAR

- 9.1 Per GDPR Article 12 (5) (b) a school can refuse to comply with a SAR if the request is manifestly unfounded or excessive, taking into account whether the request is repetitive in nature. If a request is found to be manifestly unfounded or excessive the school can:
- request a "reasonable fee" to deal with the request; or
 - refuse to deal with the request.

- 9.2 In either case a school needs to justify the decision and inform the requestor about the decision. The reasonable fee should be based on the administrative costs of complying with the request. If deciding to charge a fee, the school should contact the individual promptly and inform them. The school does not need to comply with the request until the fee has been received.

10. RESPONSE TIMEFRAME

- 10.1 Responses to SARs will be provided without delay and in any event within one calendar month with the day of receipt counting as 'day one' e.g. a SAR received on 3 September should be responded to by 3 October.
- 10.2 The timeframe to respond to a SAR can be extended by a further two months if the request is complex (e.g. those that require a high volume of material or require additional steps to process, such as the need to search for records in multiple locations) or a school has received numerous requests from the same individual. The Trust's DPO must always be consulted in determining whether a request is sufficiently complex as to extend the response period. If this is the case, an individual must be informed within one month of the receipt of the request with an explanation why the extension is necessary. Where an extension is required, information will be provided within three months of the request.
- 10.3 It is the ICO's view that it is unlikely to be reasonable to extend the time limit if:
- it is manifestly unfounded or excessive;
 - an exemption applies; or
 - a school is requesting proof of identity before considering the request.
- 10.4 Individuals will be made aware that it may be harder to access personal information and respond during summer holidays. Where possible SARs should be sent to the Trust's Data Protection Officer at dataprotection@activelearningtrust.org during the summer holidays so their receipt can be acknowledged.
- 10.5 The one month time limit can't be extended on the basis that a school has to rely on a processor to provide the information that is needed in a response.
- 10.6 Where the issue of a response requires to be extended from one month to three, the DPO will escalate such issue to the Director of Finance and Operations and comment on any delays in the DPO's Compliance Report to the Trust Board.

11. SHARING PERSONAL DATA WITH THIRD PARTIES

- 11.1 A data subject can ask a school to share his/her personal information with another person such as an appointed representative. In such cases a school should request written authorisation signed by the data subject, confirming which of his/her personal data they would like a school to share with the other person.
- 11.2 If a request is made by a third party seeking the personal data of the data subject (e.g. a solicitor acting on behalf of a client), a school needs to be satisfied that the third party making the request is entitled to act on behalf of the individual. It is the third party's responsibility to provide evidence of this entitlement. This might be a written authority

to make the request or it might be a more general power of attorney. The school should not contact the data subject directly for such evidence.

- 11.3 If a school is in any doubt or has any concerns as to providing the personal data of the data subject to the third party, then it should provide the information requested directly to the data subject. It is then a matter for the data subject to decide whether to share this information with any third party.
- 11.4 Consent to disclose a data subject's personal data to a third party is only valid if such consent is freely given so if a school considers that a person has been coerced to provide consent for their personal data to be disclosed to the requestor, then it is not valid consent. If there is no valid consent then there is no SAR and in such situation a school will have to consider what information it could voluntarily provide to the requestor in the absence of any consent from the data subject.
- 11.5 If a requestor has sought and obtained consent from the data subject for the release of a data subject's personal data but not their own, then any personal data relating purely to the requestor may be removed as falling outside the scope of the request. However, schools may find that the requestor comes back at a later date and makes a subject access request for their own personal data.
- 11.6 Where a school has personal data relating to both the requestor and data subject then a school will need to apply the rule about third party data. An example of where a school may have mixed personal data is that between a parent and student where the parent passes an opinion about the student. This is the parent's opinion which is the parent's personal data but it is information which relates to the student so it is also the student's personal data.
- 11.7 The application of the third party data rule means that a school can only disclose the parent's personal data if it is reasonable to do so or if a school has the parent's consent. It is important to remember that the request is treated as the student's subject access request, if the student has provided consent to disclosure and the law assumes that the student will see the disclosure.
- 11.8 As far as the third party data rule goes it is the same for any third party so it does not take into account that the material is actually being disclosed to the parent. If a school does not think it is reasonable to disclose a parent's personal data to their child (and a school does not have the parent's consent to the disclosure) then it can be removed. In deciding what is reasonable, a school must by law have regard to all the relevant circumstances including the following matters:
- the type and nature of information that a school would disclose;
 - any duty of confidentiality the school owes to the requestor and/or child;
 - any steps the school has taken to seek consent from the requestor;
 - whether the requestor is capable of giving consent; and
 - any express refusal of consent by the requestor
 - where possible the child's level of maturity and their ability to make decisions like this
 - any court orders relating to parental access or responsibility that may apply
 - any consequences of allowing those with parental responsibility access to the child's information. This is particularly important if there have been allegations of abuse or ill treatment
 - any detriment to the child if individuals with parental responsibility can't access this information

- any views the pupil has on whether their parents or carers should have access to information about them

11.9 The decision to disclose personal data will therefore involve balancing the data subject's right of access against the other individual's rights.

12. REQUESTS MADE ON BEHALF OF CHILDREN

12.1 A child's personal data belongs to a child irrespective of their age. The rights in relation to that personal data are theirs and not those of their parents/carers.

12.2 Primary Schools – Children below the age of 12 are not generally considered mature enough to understand their rights and implications of a SAR. Therefore most SARs from parents or carers of primary school aged children may be granted without the express permission of the pupil.

12.3 Secondary Schools - Children aged 12 and above are generally considered mature enough to understand their rights and implications of a SAR. Therefore most SARs from parents or carers may not be granted without the express permission of the pupil. This is not a rule and a pupil's ability to understand their rights will always be judged on a case by case basis.

12.4 When considering subject access requests, the points outlined in 11.8 above should be taken into account:

13. REQUESTS IN RESPECT OF CRIME AND TAXATION (e.g. POLICE or HMRC) – SCHEDULE 2 PART 1 PARA 2 DPA 2018

13.1 Requests for personal information may be made by the above authorities for the following purposes:

- The prevention or detection of crime
- The capture or prosecution of offenders
- The assessment or collection of tax or duty

13.2 A formal documented request signed by a senior officer from the relevant authority is required before proceeding with the SAR. The SAR must make it clear that one of the above purposes is being investigated and that not receiving the information would prejudice the investigation. These types of requests must be considered by the Trust's DPO.

13.3 Schools are not legally obliged to provide the information.

13.4 The data subject must not be informed of the request as to do so is likely to prejudice the matters raised in the request.

14. COURT ORDERS

14.1 Any Court Order requiring the supply of personal information must be complied with.

15. REDACTION OF INFORMATION

- 15.1 An individual only has the automatic right to access information about themselves, and care needs to be taken not to disclose the personal data of third parties where consent has not been given, or where seeking consent would not be reasonable, and it would not be appropriate to release the information. Particular care must be taken in the case of any complaint or dispute to ensure confidentiality is protected.
- 15.2 If documents with personal data includes information about someone else, such information will be redacted (information blacked out/removed) before supplying the personal data to the requestor or the Trust may decline to provide it, if disclosing it would 'adversely affect the rights and freedoms of others.' The Trust has issued "How to Redact/Blank Out Guidance" to assist with this task. The Trust will also refer to the ICO's guidance "How to disclose information safely - removing personal data from information requests and datasets - [Guidance](#)
- 15.3 Where redaction has taken place then a full copy of the information provided should be retained in order to establish, if a complaint is made, what information was redacted and why.
- 15.4 Where all the data in a document cannot be disclosed, a permanent copy should be made, and the data obscured or retyped if this is more sensible. A copy of the full document and the altered document should be retained, with the reason why the document was altered.
- 15.5 Before disclosing third party information i.e. that which has been provided by another, such as the Police, Local Authority, Health Care professional or another school, consent should normally be obtained.
- 15.6 A second person authorised by a Headteacher is required to check that all necessary redactions have been made before disclosure in cases where the DPO has not undertaken the redaction.
- 15.7 All draft SAR responses and redacted documentation must be sent securely to the Trust's DPO for review prior to their issue by a school to a requestor, unless the DPO has undertaken the redaction and determined whether any exemptions are to be applied.

16. PROTECTION OF THIRD PARTIES – EXEMPTIONS TO THE RIGHT OF SUBJECT ACCESS

- 16.1 The GDPR and the Data Protection Act 2018 set out exemptions from some of the rights and obligations in some circumstances. Exemptions should not routinely relied upon and should be considered on a case-by-case basis. The main ones which are detailed in the Trust's SAR guidance and apply to schools are:

- Confidential references

- Negotiations between Employer and Employee - the release of the data would prejudice the negotiations
- Management Forecasting/planning - and its release to an individual would prejudice the Trust's business or activities
- Complaints
- Legal professional privilege
- Exam Scripts and Marks – this excludes an examiner's comments
- Preventing and Detecting crime – the release of the data would jeopardise the prevention or detection of crime, or the apprehension or prosecution of offenders
- Health Data - Serious Harm Test - safeguarding concerns may contain information about multiple children including siblings and estranged parents; files containing advice from doctors, police or probation services
- Education Data – Serious Harm
- Child Abuse Data - safeguarding concerns may contain information about multiple children including siblings and estranged parents; files containing advice from doctors, police or probation services.

16.2 Where personal data is not to be provided due to application of an exemption, a school should ensure it internally documents its reasoning for withholding this data. The personal data withheld and exemption applied should also be recorded in the Trust's SAR Log.

17. SAR RESPONSE

17.1 In addition to a copy of the personal data, the requestor must be provided with the following supplemental information much of which may already be supplied in a school's privacy notice:

- the purposes of the school's processing;
- the categories of personal data concerned;
- the recipients or categories of recipient that the school discloses the personal data to;
- the school's retention period for storing the personal data or, where this is not possible, the school's criteria for determining how long it will store it
- the existence of their right to request rectification, erasure or restriction or to object to such processing;
- the right to lodge a complaint with the ICO or another supervisory authority;
- information about the source of the data, where it was not obtained directly from the individual;
- whether the school undertakes any automated decision-making (including profiling); and

- the safeguards the school provides if it transfers personal data to a third country or international organisation.

17.2 SAR responses and redacted documentation may be provided to the requestor at school with a member of staff on hand to help and explain matters if requested, sent by secure email or sent by recorded post.

17.3 Schools may require the requestor to sign and return a copy of the covering letter issued with the documents by way of confirming receipt of the documentation.

18. AFTER RECEIPT OF PERSONAL DATA

18.1 If after an individual has received the information requested and they believe any of the following, they will be asked to notify the Trust's Data Protection Officer:

- the information is inaccurate or out of date; or
- the Trust should no longer be holding that information; or
- the Trust is using an individual's personal information for a purpose of which they were unaware; or
- the Trust may have passed inaccurate information about the individual to someone else.

19. RETENTION

19.1 SARs and responses will be retained in accordance with the Trust's Records Retention Policy.

19.2 The DPO will advise schools when the SAR documentation can be securely destroyed.

19.3 The bulk deletion log must record that the copy SAR information has been destroyed and such be authorised by a Headteacher.

20. MONITORING AND REPORTING

20.1 The Trust's DPO will monitor the effectiveness of this Policy and relevant procedures as part of a Data Protection Annual Monitoring Programme.

20.2 All draft SAR responses and redacted documentation must be sent securely to the Trust's DPO for review prior to their issue by a school to a requestor.

20.3 Actual performance against SAR key performance indicators will be monitored by the Trust Board.

20.4 Formal cold case process for quality assessments and to check redactions are appropriate and exemptions are consistently applied, will be introduced when the DPO is not the person undertaking the redactions and applying the exemptions.

21. COMPLAINTS

- 21.1 If after a requestor has read the information a school has provided, they consider any of the following to be true, they should notify the Trust's Data Protection Officer at email: dataprotection@activelearningtrust.org
- the information is inaccurate or out of date;
 - the school should no longer be holding that information;
 - the school is using the personal information for a purpose of which the requester was not unaware;
 - the school may have passed inaccurate information about the data subject to someone else.
- 21.2 If the requester is not satisfied in any way about how their request has been answered they can complain using the Active Learning Trust's complaints procedure which can be found on its website (under policies) - www.activelearningtrust.org/about/Policies
- 21.3 If following the conclusion of the complaints procedure within the Active Learning Trust, the requester is still dissatisfied or the original decision is not reviewed, the requester can complain directly to the Information Commissioner's Office (ICO) at <https://ico.org.uk/concerns>
- 21.4 The DPO, once advised, will record any complaints and the nature of those complaints received by schools/Trust in relation to SARs and sent by requestors to the ICO, in the SAR Log and any subsequent action required. Complaints submitted to the ICO will be discussed with the Director of Operations and the Senior Leadership Team and response agreed. The DPO reports on a complaints key performance indicator in the compliance report to the Trust Board – number of complaints expected/Trust aware of those that have been sent to the ICO re SAR responses.
- 21.5 If a complaint results in a requirement to make a change to the SAR Policy, the changes will be put to the Trust Board for consideration and approval and the revised Policy will be provided to all schools immediately thereafter. Any lessons learnt will be shared with schools in the subsequent Information Governance newsletter issued by the DPO. Should there be any amendments required to the Trust's Complaints Policy and Process these will be undertaken by the Company Secretary.

22. REVIEW

- 22.1 This Policy will be reviewed every two years by the Trust Board.

The *Active Learning* Trust

SUBJECT ACCESS REQUEST (“SAR”) GUIDANCE

How do I make a Subject Access Request?

Complete the SAR form and hand or email it to the School Office marked “**Subject Access Request.**” We will accept requests in other formats however this is our preferred method.

We may ask you to provide two forms of identification to check we are providing personal information to the correct person. This however isn’t always necessary and you could simply ask a staff member to verify your identity. If we are uncertain about the identity of the person making the SAR, then we are entitled to request additional information to confirm your identity.

Requests for large amounts of personal data

We may ask you to specify the information the request relates to, if we process a large quantity of information about an individual, so that the information supplied, is relevant.

Will I be charged for the information?

No. However if we receive many requests for the same personal data from the same individual we can charge a reasonable fee based on the administrative cost of providing the information. We would notify you of such charge prior to obtaining the personal data.

What will I be advised?

We will write to you and confirm whether we hold any of your personal data and provide such copies.

We will also advise you of your rights for the personal data held which are recorded within a Privacy Notice.

How long will it take?

We will contact you within a month. We can extend this period by a further two months where requests are complex (e.g. those that require a high volume of material or require additional steps to process such as the need to search for records in multiple locations). If this is the case, we will inform you within one month of the receipt of the request and explain why the extension is necessary.

What action can the school take?

If the personal data includes information about someone else, we will redact that information before supplying the personal data to you or we may decline to provide it, if disclosing it would ‘adversely affect the rights and freedoms of others.’ Where a request is made by email, the information will also be provided via email unless otherwise requested.

SUBJECT ACCESS REQUEST FORM

PLEASE COMPLETE AND RETURN TO THE SCHOOL

Section 1 – About you

Title <i>(please tick)</i>	Mr		Mrs		Miss		Ms		Other	
Full Name										
Relationship with the School	Please select – parent/carers, pupil, employee, governor, volunteer, other (please specify)									
Current Address and Postcode										
Telephone Number										
Email Address										
Preferred method of response – email or hard copy (for collection from the school office)										

Section 2 – What information are you requesting?

Please describe the personal information you are requesting

Section 3 – Proof of Identity (IF REQUIRED)

Please provide copies of two pieces of identification, one from list A and one from list B below for yourself and indicate which ones you are supplying. These will be securely destroyed after the SAR has been responded to. If we are not satisfied you are who you claim to be, we reserve the right to refuse to grant your request.

Please DO NOT send any original documents

List A (photocopy of one from below)

List B (photocopy of one from below)

Passport	<input type="checkbox"/>	Utility bill showing current home address	<input type="checkbox"/>
Photo driving licence	<input type="checkbox"/>	Credit card statement (no more than 3 months old)	<input type="checkbox"/>
Foreign National Identity Card	<input type="checkbox"/>	Bank statement or Building Society Book	<input type="checkbox"/>
Birth Certificate	<input type="checkbox"/>	Local authority tax bill	<input type="checkbox"/>

Section 4– Signature

Signature		Date	
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If after you have received the information you have requested, you believe that:

- the information is inaccurate or out of date; or
- we should no longer be holding that information; or
- we are using your information for a purpose of which you were unaware; or
- we may have passed inaccurate information about you to someone else.

PLEASE notify the Trust’s Data Protection Officer – email dataprotection@activelearningtrust.org