6. **Providing Information**

This chapter details the roles and responsibilities of governing bodies, head teachers, LAs and other educational establishments in providing information to each other, parents and the WAG. The main types of information covered include:

- children and young people’s plans (CYPP);
- careers guidance;
- Information from the governing body to the LA;
- Information from the governing body to parents;
- pupils’ educational records and pupil reports;
- information covered by the Data Protection Act 1998;
- information from the governing body to the WAG;
- information from the head teacher to the governing body; and

**Background**

1. School governors will receive information from the LA, the head teacher and from the WAG. Some will be background information which they receive when they first join the governing body. Other material will be sent to the whole governing body from time to time to help them carry out their duties.

2. The governing body must provide certain information; some to parents or pupils, some to the LA, some to the head teacher and some to the WAG.

**Information supplied by the LA**

3. When a governor is appointed, he or she should receive background information from the LA, including:

   - a copy of the instrument of government for the school, which sets out the composition of the governing body; and
   - access to a copy of the Local Authorities Children and Young People’s Plan (CYPP) which sets out the authority’s strategy for discharging their functions in relation to children and relevant young people.
4. Once a draft CYPP is completed, it must be issued for consultation in accordance with the Children and Young People’s Plan (Wales) Regulations 2007. Consultation copies must be provided to, amongst others, the head teacher and governing body of each school maintained by the authority and the appropriate diocesan authority for any foundation or voluntary school in their area.

5. The LA must supply the governing body and the head teacher with financial information concerning the school.

**Children and Young People’s Plans (CYPPs)**

6. The Children Act 2004 placed upon local authorities and partner agencies a duty to co-operate to improve the well being of children and young people in each LA area in Wales, which is taken forward through 22 statutory Children and Young People’s Partnerships.

7. Partnerships are required to work together to produce a single Children and Young People’s Plan, setting out the Partnership’s strategic vision, priorities and targets, and providing a basis for joint commissioning of services. The Plan is the key statement of planning intent for children and young people to which all other local plans must have regard.

8. The purpose of the Plan is to make sure that all providers share responsibility and resources effectively to meet their agreed local and national priorities, including for the most vulnerable. The Plan has a basis in the UN Convention on the Rights of the Child, as expressed in the WAG’s 7 Core Aims for Children and Young People. Core Aim 2 requires that every child and young person has access to a comprehensive range of education, training and learning opportunities.

9. The first Plan covers 2008-11 and Partnerships will be publishing a review of progress by October 2009.

**Information to Provider of Statutory Careers Services**

10. Schools are required to provide pupils with access to guidance materials and a wide range of up-to-date reference materials relating to careers education and careers opportunities. Where possible, this information should be provided in a dedicated careers library with computer based resources. Access should be provided for all secondary pupils.

11. The school and careers service should review the effectiveness of current careers information provision in meeting their pupils’ needs - including information on post-16 education and training options. Advice and any support for the careers library should form part of an annual Partnership Agreement between the school and the careers service.
12. Schools must provide the local careers service with a copy of their prospectus (containing information about the achievements and destinations of pupils who have completed their studies that year), to assist them in their work with young people (especially with year 10 and 11 pupils).

13. Careers advisers or other relevant staff of the local provider of careers services for the WAG shall be provided, on request, with the name and address of every relevant pupil in the institution, and any information held by the school about a pupil (including academic achievement) which the careers adviser needs in order to provide the pupil with advice and guidance on decisions about careers or with other information relevant to such decisions. The requirement to release name and home address is subject to veto by the parent or guardian of a pupil (if under 18) or the pupil (if 18 or older) if they have indicated that any information should not be provided.

Information from the Governing Body to the LA

14. Regulations made under Section 537 of the Education Act 1996 require a governing body to provide specific information to the LA in relation to the school and the work of the governing body as the LA so requires.

15. The governing body must make available to the LA details of the arrangements made for pupils with special educational needs (SEN).

Information from the Governing Body to Parents

School Prospectus

16. Each year, the governing body must publish a school prospectus for parents and prospective parents. The prospectus must set out the following:

- the school’s name, address and telephone number;
- the name of the head teacher and chair of the governing body;
- a brief statement describing the ethos and values of the school;
- a curriculum statement to include a summary of its content, an explanation of how it is organised in relation to different year groups and key stages and a description of the teaching methods used;
- details of the school's admission policy;
- a summary of the governing body's policy for pupils with special educational needs, both with and without statements;
- details of the religious education provided, a reminder that parents can withdraw their children from all or part of religious education or religious worship and particulars of any arrangements for parents to exercise these rights;
- the affiliations the school has with a particular religion or religious denomination;
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- pupil absence rates (including details of authorised and unauthorised absence);
- information about the school’s National Curriculum assessment results;
- national information about National Curriculum assessment results;
- the arrangements for dealing with complaints;
- the overall approach to sex education;
- a statement on the school’s sporting aims and provision of sport;
- the charging and remissions policy;
- term dates and session times;
- the extent to which Welsh is used in the school both as a teaching medium and as the day-to-day language of communication; and
- details of any school open days or visits.

Secondary schools must publish other information as well:

- details of the number of school places available in the current school year and the number of applications and parents interested in those places;
- information on the school’s external examination results for 15 and 17 year olds;
- local and national average figures for external examinations for 15 and 17 year olds;
- a summary of the destination of school leavers in the preceding school year; and
- particulars of any career education provided and arrangements for work experience.

17. The prospectus could also explain how parents and others may see (and get) the documents that the head teacher must keep for anyone to inspect at the school.

18. Full details about the content of school prospectuses are in the Education (School Information) (Wales) Regulations 1999.

Governors' Annual Report

19. The governing body must also prepare an annual report for discussion at the annual parents' meeting. This will explain how the governing body has put into practice its plans for the school since the last report. Schools may distribute a summary of the report, rather than the full report, containing certain information (marked * below), to all parents; the summary must include details of how a parent may request a copy of the full report. The full report must include the following:
Providing Information

- details of the annual parents’ meeting to include time, date, venue, agenda and an indication of the purpose of the meeting;*

- a report on consideration given to any resolutions passed at the last meeting;*

- names and status (parent, teacher, foundation governor or otherwise) of the members of the governing body and their terms of office, and the name and address of the chair and clerk (school address may be used);*

- any information available to the governing body about the future election of parent governors;

- performance and target information to include results of end of key stage assessments and external examination for the school and Nationally;*

- details of targets set by the governing body for the coming three years and progress against the most recent targets;*

- a financial statement giving a summary of the school budget; how the governing body spent the funds given in the past year; details of any school gifts and governors' travelling, accommodation and meal expenses in the period covered by the report;

- information as to the success in implementing the governing body’s policy for pupils with special educational needs and any significant changes to the policy;

- the results of consultation with the LA to co-ordinate SEN provision (this applies to community, voluntary and foundation schools);

- how resources are allocated to and amongst SEN pupils since last report;

- progress in meeting sporting aims and any notable achievements during the reporting school year;

- pupil absence rates (including details of authorised and unauthorised absence);

- action taken to develop or strengthen links with the community;

- action taken to review school policies and to implement and review specific school strategies;

- information about the destination of pupils who were 16 or over during the previous school year; and

- term dates and session times.

20. The governing body may want to include other information as well, such as details of the curriculum, standards of behaviour and how to make complaints.
21. It is likely that the governing body will require the head teacher to arrange for the report to be available for inspection at all reasonable times and free of charge at the school.

Pupil Educational Records

22. A curricular record is a formal record of academic achievements, other skills and abilities and progress in school.

23. A teacher’s record is any record kept by the teacher at the school which is not intended to be kept solely for that teacher’s own use.

24. An educational record consists of a pupil’s curricular record and teacher’s records.

25. The head teacher of every maintained school and every special school not maintained by a local education authority must keep a curricular record of each pupil registered at that school, which must be updated at least once a year.

26. Before the Data Protection Act 1998 came into force, parents had a general right to see their child’s educational record so long as the child was aged under 18; and pupils themselves had a right to see manual records so long as they were aged 16 or over.

27. With the coming into force of the Data Protection Act 1998:

- the right of parents to see their child’s records remains essentially the same; and
- the right of the pupil to see the record is different; it is no longer related to the age of the child. Instead, children who submit written requests to see their records should be allowed to do so unless it is obvious that they do not understand what they are asking for.

28. In the case of:

- **Pupils aged 17 and under**, both the pupil and parents may request to see the school record.
- **Pupils aged 18 or over**, only the pupil may request to see their school record or where appropriate the parent – for example in cases of pupils with special educational need.

29. Within 15 school days of receiving a written request by a parent for disclosure of a pupil’s educational record the head teacher must make it available for inspection free of charge.

30. Within 15 school days of receiving a written request by a parent for a copy of a pupil’s educational records the head teacher must give the parent a copy. The governing body may prescribe a fee for provision of a copy of the educational record; such fee cannot exceed the actual cost of supply.
31. Where the pupil is under consideration for admission to another school (including an independent school) or to a further education institution or any other place of education or training the head teacher must transfer the pupil’s educational record to the responsible person free of charge within 15 school days of receiving the request. The record supplied must not include the results of any assessment of the pupil’s achievement.

32. The regulations do not cover advice or information about pupils with special education needs. Access to that information is governed by the Code of Practice on Identifying and Assessing Special Educational Needs and the Education (Special Educational Needs) Regulations 1994.

33. Further advice and guidance on the keeping, disposal, disclosure and transfer of a pupil’s educational record can be found in guidance circular 18/2006 on ‘Educational Records, School Reports and the Common Transfer System’.


34. There are some circumstances where certain pupil information is not required to be disclosed:

- information, the disclosure of which, in the opinion of the head teacher, would be likely to cause serious harm to the physical or mental health or condition of the child or someone else;
- information as to whether the child, in the opinion of the head teacher, is or has been subject to or may be at risk of child abuse, where the disclosure of that information would not be in the best interests of the child;
- information concerning the child that also relates to another person who can be identified from that information, or which identifies another person as the source of that information, unless the person has consented to the disclosure, or it is reasonable in all the circumstances to disclose the information without his or her consent, or the person is an employee of the LA or of the school; and
- information to disclose the levels of attainment and any other results in any other attainment target or subject of any other identified pupil.

Data Protection Act 1998

35. All public and private organisations are legally obliged to protect any personal information they hold.

36. In the collection, storage and processing of personal information regarding pupils the school is acting as ‘Data Controller’. This means that the school must satisfy certain obligations in order to comply with the Data Protection Act 1998.
37. All schools MUST:

- complete a notification to be added to the register of data processors and update their notification annually. An application for notification can be made either via the Information Commissioner’s website, or by telephoning the Notification Department on 01625 545740;
- issue a Fair Processing Notice to every new pupil who joins the school;
- ensure the security of data and the systems used to store and access it. It is important to choose security measures that suit the school’s own circumstances. It is wise to consider the risks, threats and vulnerabilities that apply to your school and choose appropriate security measures to counter them;
- provide further information on data protection and security, including a template. Fair Processing Notices can be found in the ‘Information Management Strategy (IMS) - Support Materials for Schools’ binders sent to all head teachers, LAs and governing bodies in 2008.

38. Further information can also be found at: http://www.ico.gov.uk/
http://new.wales.gov.uk/topics/educationandskills/policy_strategy_and planning/schools/ims/?lang=en

Dealing with Complaints

39. Complaints relating to certain issues such as admissions and the curriculum are dealt with under specific statutory procedures. Governing bodies of all maintained schools and maintained nursery schools are also required to have in place a procedure to deal with all complaints relating to the school and to any community facilities or services that the school provides. This procedure should also be published (see Chapter 12 entitled Complaints and Whistleblowing).

In General

40. The head teacher must arrange for parents and others to have access to a range of documents, which should be made available on request at all reasonable times. These include schemes of work; syllabuses; the school prospectus and circulars.

41. The head teacher may charge for providing personal copies of certain documents, though the price must not exceed the cost of production. Some material is protected by government copyright but may be copied, provided it is for personal use.
Pupil Reports

42. At least once a year the head teacher must also provide parents of registered school pupils under the age of 18 with a written report on their child’s educational achievements. Where a registered pupil is over the age of 18 the report should be provided to the pupils themselves, but may also be provided to the parent if the head teacher considers there are special circumstances. The report must show the child’s results in, as the case may be, Foundation Phase, Key Stage 1, 2 or 3, compared with such information about other pupils at the school and at other schools throughout Wales. The report must also state the arrangements under which the report may be discussed with the pupil’s teacher.

Translation of Information & Documents

43. Where requisite to do so the head teacher must translate the information being requested in relation to a pupil’s educational record or school report into English, Welsh or another language and no charge should be made for this service.

“Parents” and “Parental Responsibility”

44. The definition of a “parent” includes:

- all natural parents, whether married or not;
- any person who, although not a natural parent, has parental responsibility for a child or young person; and
- any person who, although neither a natural parent nor a person with parental responsibility, has care of a child or young person. This could include for example a step-parent or relative.

45. However, in the context of a parent governor election and annual parents meetings, “parent” is defined so as to exclude a parent who is not an individual e.g. Looked After Children (LAC) where an LA has parental responsibility. For further information regarding parent governor elections, see Chapter 3 entitled Governing Body Constitution.

46. As a general rule, everyone who is a “parent”, as defined above, has a right to participate in decisions about a child’s education, although this may not be the person with whom the school liaises on a day-to-day basis.

47. All parents should be treated equally by schools unless there is a court order limiting the individual’s exercise of parental responsibility or setting out a decision on a specific matter.

Transfer of Information when a Pupil Changes School

49. When a pupil transfers to a new school, the head teacher must pass on specific information in electronic format (known as a Common Transfer File) using the secure transfer service provided by the WAG as soon as possible once the head teacher learns that the pupil has registered at a new school and in any event no later than within 15 school days after the pupil ceased to be registered at the school.


51. If a pupil leaves a school and, after all reasonable efforts have been made, a head teacher has been unable to ascertain the location of the pupil’s destination school or knows that the pupil has transferred to a non-maintained school or overseas the electronic record should be transferred to a designated area of the transfer site.

The Home–School Agreement

52. The governing body is required to have a written home-school agreement in place, drawn up in consultation with parents. The agreement should explain the school’s aims and values and the respective responsibilities of the school and of parents, and what the school expects of its pupils. The governing body must invite parents to sign a declaration in support of the agreement. They can also invite pupils to sign where they consider that the pupils are sufficiently mature to do so. Guidance on home-school agreements can be found in the Welsh Office Circular 27/99 ‘Home-School Agreements Guidance for Schools’ issued in May 1999.

Information from the Governing Body to the WAG

53. The governing body must give the WAG details of individual pupil results of National Curriculum assessments, for the preparation of the national analyses that the WAG publishes.

Information from the Head Teacher to the Governing Body

54. The head teacher must give the governing body any information requested by it for the purpose of the exercise of any of its functions.
Translating Documents

55. The governing body should consider whether any documents which have to be published or made available for inspection at the school should be translated into other languages. Examples might be the prospectus or details of the LA’s arrangements for considering complaints about the curriculum. If they think there is a need, they should arrange translation.

Freedom of Information Act 2000

56. Under the Freedom of Information Act 2000 (FOIA), it is a legal right for any person to ask a school for access to information that it holds. The aim of the FOIA is to promote a culture of openness and accountability among public sector bodies, and therefore improve public understanding of how public authorities (which include governing bodies of maintained schools) carry out their duties, make decisions and spend public money.

57. The FOIA is overseen by the Information Commissioner (IC), whose Freedom of Information (FOI) duties are to:

- promote good practice;
- give advice and guidance;
- enforce compliance and investigate complaints;
- report to Parliament on compliance;
- approve publication schemes; and
- publicise the Act.

58. Both the IC and the Ministry of Justice (MoJ), formerly the Department of Constitutional Affairs (DCA), have produced guidance on the FOIA, including two Codes of Practice providing guidance to public authorities generally on the implementation of the Act and on records management.

59. The Lord Chancellor’s Code of Practice on the Discharge of Functions of Public Authorities under Part 1 of the FOI Act (Section 45) provides guidance to public authorities on good practice when handling requests for information. For more information visit the Ministry of Justice website.

60. The IC also has responsibility for the Data Protection Act 1998 (DPA) and the Environmental Information Regulations 2004 (EIRs). The DPA 1998 enables individuals to access information about themselves. The EIRs enable people to access environmental information.

61. In principle, the FOIA enables people to access all information, including the reasoning behind decisions and policies, which do not fall under the DPA or EIRs. Although FOI presumes openness, it recognises the need to protect sensitive information in certain circumstances and provides for exemptions.
62. Any request for information made in writing to a school since 1 January 2005 and which is considered non-routine is a request under the FOIA, EIRs, the DPA or a combination of any of them.

**Right to Request Information**

63. Since 1 January 2005 there has been a legal right for any person to make a request to a school for access to information held by that school. Schools are under a duty to provide advice and assistance to anyone requesting information and must respond to the enquiry promptly, and in any event, within 20 working days of receipt (not including school holidays). See the [Freedom of Information (Time for Compliance with Request) Regulations 2004](http://www.ico.gov.uk/what_we_cover/freedom_of_information.aspx) which exclude days that are not school days from the 20 working day period.

64. Enquirers do not have to say why they want the information, and the request does not have to mention the FOIA. The request must be in writing, which includes fax or email. All requests for information that are non-routine and not covered by the DPA 1998 (i.e. from individuals to see their own personal information) or EIRs are covered by the FOIA.

65. The enquirer is entitled to be told whether the school holds the information (this is known as the duty to confirm or deny), and if so, to have access to it. Access can include providing extracts of a document or a summary of the information sought, or access to the original document. However, the Act recognises the need to preserve confidentiality of sensitive information in some circumstances and sets out a number of exemptions.

66. From 1 January 2005 there are four reasons for not complying with a valid request for information under FOI. These include situations where:

- the information is not held;
- the £450 cost threshold is reached;
- the request is considered vexatious or repeated; or
- one or more of the exemptions apply (see below).

67. The FOIA provides a series of exemptions. Some of the exemptions are absolute and some are qualified, in that they can be overridden by the public interest test. More information on these can be found on the Information Commissioners Website at [http://www.ico.gov.uk/what_we_cover/freedom_of_information.aspx](http://www.ico.gov.uk/what_we_cover/freedom_of_information.aspx).

68. Many of the exemptions are intended to protect sensitive or confidential information. However, some of the exemptions are there simply to avoid the legal position where two pieces of law cover the same information requested or where the information is already available by some other means. The exemptions most likely to be used by schools include:
• information accessible by other means, for example information available from a publication scheme or information that other legislation requires a school to give;

• a request for personal information covered by the DPA (individuals may continue to make a “subject access request” under the DPA – these are where the enquirer asks to see what personal information the school holds about him or her); and

• environmental information: EIRs enquiries are those that relate to: air; water; land; natural sites; built environment; flora and fauna; health; and any decisions and activities affecting any of these. These could therefore include enquiries about recycling, phone masts, school playing fields, car parking and so on. For more guidance on EIRs, visit the ICO or DEFRA websites.

69. Expressions of dissatisfaction should be handled through the school’s existing complaints procedure. After these are exhausted, the case can be raised with the ICO, which has a duty to investigate complaints.

What Action Does The Governing Body Need To Take?

70. School governing bodies are responsible for ensuring a school complies with the FOIA. The new legal presumption of openness since January 2005 makes it more important than ever that a school decides its policies and conducts its day-to-day operations on a basis that stands up to public scrutiny.

71. It should be noted that wilfully concealing, damaging or destroying information in order to avoid answering an enquiry is an offence and so a governing body, or any person who is employed by, or is an officer of, or is subject to the direction of the governing body (as the public authority) may be at risk of criminal proceedings where such unlawful concealment, damage or destruction occurs. Therefore it is important that no action is taken to delete or amend records that are subject to a request for information.

72. Since requests for information can be directed to the school through anyone who works there, the governing body should ask itself whether all members of staff are aware of the FOIA and how the school handles requests for information. Governing bodies may choose to charge a fee, which must be calculated according to the Freedom of Information and Data Protection (Appropriate Limits and Fees) Regulations 2004. Guidance on charging can be found in the FOI area of the Information Commission (ICO) website and on Ministry of Justice website.

73. The governing body should:

• agree the FOI publication scheme and access policy if it has not already done so. The policy will need to set out how the school proposes to deal with requests and state that all staff should be aware of the process;
• agree a charging policy for complying with requests. The WAG recommends that schools respond to straightforward requests for free, and charge where the costs are significant;

• delegate to the head teacher the day-to-day responsibility for FOI policy and the provision of advice, guidance, publicity and interpretation of the school’s policy;

• consider designating an individual with responsibility for FOI to provide a single point of reference; co-ordinate FOIA and related policies and procedures; take a view on possible sensitive areas; and consider what information and training staff may need. For a generic PowerPoint presentation, visit the FOI area of the ICO website;

• consider arrangements for overseeing access to information and delegation to the appropriate governing body committee;

• ensure that a well-organised records management and information system exists in order to comply with requests within 20 days, excluding school holidays;

• keep a record of refusals and reasons for refusals as well as appeals, allowing the governing body to review its access policy on an annual basis; and

• consider publishing a disclosure log on the school’s website, setting out responses to requests that have been made to which the school can refer in responding to future requests for the same information.

74. Publishing a disclosure log is considered good practice and, over time, can be useful in steering the school’s publication strategy by highlighting areas of interest that the school may wish to consider for future publication. However, it is recognised that for small schools with few requests under the FOIA, a disclosure log may be inappropriate.

75. On receipt of a request for information the school should:

• decide whether the request falls under the DPA, EIRs or the FOIA;

• decide whether the school holds the information or whether it should be transferred to another body;

• provide the information if it has already been made public;

• inform the enquirer if the information is not held;

• consider whether a third party’s interests might be affected by disclosure, and if so consult them;

• consider whether any exemptions apply and whether they are absolute or qualified;

• carry out a public-interest test to decide if applying the qualified exemption outweighs the public interest in disclosing the information;
Providing Information

- ensure that the personal information is removed as set out in the guidance for schools if a request is made for a document that contains exempt personal information;
- decide whether the estimated cost of complying with the request will exceed the appropriate limit; and
- consider whether the request is vexatious or repeated.

In Brief

The Governing Body:

- must give the LA and the WAG any relevant information;
- must publish certain information for parents in the school prospectus;
- must produce an annual report for parents;
- must maintain pupils' educational records;
- must send a copy of the school prospectus to local careers services who will use it, along with other materials, in their work with Years 10 and 11;
- must draw up a home-school agreement, in consultation with parents, and invite parents to sign it; and
- must hold a FOI publication scheme and access policy.

The Head Teacher:

- must give the governing body any relevant information they ask for;
- must allow access at the school to documents about the school and its arrangements;
- must give parents a written report on their child's achievements at least once a year;
- must provide a report for school-leavers containing information about their achievements by 30th September following the end of the school year in which the pupil left as detailed in section 3 of Educational Records, School Reports and the Common Transfer System - the Keeping, Disposal, Disclosure and Transfer of Pupil Information, Circular reference 18/2006; and
- must send to a pupil's new school a report containing certain information about the pupil's achievements.

The Law

Employment and Training Act 1973
Data Protection Act 1998
Freedom of Information Act 2000
Providing Information

Disability Discrimination Act 1995
Education Act 1996
Education Act 1997
School Standards and Framework Act 1998
Education Act 2002

The Education (School Performance Information) (Wales) Regulations 2004/1025
The Education (Pupil Information) (Wales) Regulations 2004/1026
The Education (School Information) (Wales) Regulations 1999/1812
The School Governors’ Annual Reports (Wales) Regulations 2001
Education (Information About Individual Pupils) (Wales) Regulations 2007/3562
The Education (Special Educational Needs) (Information) (Wales) Regulations 1999/1442
The Children and Young People’s Plan (Wales) Regulations 2007/2316
The Freedom of Information (Time for Compliance with Request) Regulations 2004

Guidance

National Assembly for Wales Circular 12/2007: “Parents” and “Parental Responsibility”
National Assembly for Wales Circular 31/2007: Shared Planning for Better Outcomes
National Assembly for Wales Circular 18/2006: Educational Records, School Reports and the Common Transfer System
National Assembly for Wales Circular 14/01; School Prospectuses
National Assembly for Wales Circular 15/01: Governors’ Annual Reports


The IC is the independent authority responsible for administering and enforcing the Freedom of Information Act. For more information, visit www.ico.gov.uk.