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**Access to student records**

Guidelines for
staff

# Contents

[1. OVERVIEW 1](#_Toc499545378)

[2. COMMON DISCLOSURES UNDER PRIVACY LEGISLATION 1](#_Toc499545379)

[3. COMMON USES UNDER PRIVACY LEGISLATION 2](#_Toc499545380)

[4. CHECKLIST FLOWCHART FOR RESPONDING TO EXTERNAL REQUESTS FOR PERSONAL INFORMATION 4](#_Toc499545381)

[5. MATRIX 1: DISCLOSURE OF (ROUTINE) PERSONAL INFORMATION RELATING TO STUDENTS BY CONSENT of individual or person with parental responsibility – COMMON EXAMPLES 5](#_Toc499545382)

[6. MATRIX 2: DISCLOSURE OF PERSONAL INFORMATION RELATING TO STUDENTS AUTHORISED OR REQUIRED BY LAW – COMMON EXAMPLES 8](#_Toc499545383)

[7. MATRIX 3: ACCESS TO STUDENT RECORDS - USE OF INFORMATION BY DIRECTORATE STAFF 10](#_Toc499545384)

**These guidelines must be read in conjunction with the *Access to Student Records* policy and procedures, and supporting information referenced in these Guidelines.**

# ****1.**** OVERVIEW

* 1. Access to student records is governed by legislation relating to:
* the management of personal and personal health information
* legislation that requires or allows disclosure of personal information
* legislation relating to child protection and law enforcement
* court orders such as subpoenas and notices for non-party production
* orders that may restrict access to student information such as family court orders or personal protection orders.

1.2. Access is also governed by Directorate policy and internal guidelines including

* *Sensitive Information Handling* <https://index.ed.act.edu.au/governance/policies/files-policies/pdf/Sensitive-Information-Handling-Policy.pdf>,
* [*Family Law Policy* and related *Guidelines*](https://www.education.act.gov.au/publications_and_policies/implementation-documents/school-and-corporate-policies/wellbeing/child-protection/family-law-policy-fl201410/family-law-guidelines-dealing-with-family-law-related-issues-in-schools-guidelines-for-s) <http://www.det.act.gov.au/publications_and_policies/policy_a-z>; and,
* the *School Legal Information Manual* <https://index.ed.act.edu.au/handbooks/school-legal-information.html>.

Staff should be familiar with relevant information in these documents.

# ****2. COMMON DISCLOSURES UNDER PRIVACY LEGISLATION****

2.1. Disclosure of personal information with the consent of the individual concerned (or if a student, by a parent or carer), or as authorised or required by law or court order, is allowed by privacy legislation, including the [*Information Privacy Act 2014*](http://www.legislation.act.gov.au/a/2014-24/current/pdf/2014-24.pdf) (ACT). In most circumstances the Directorate will have made it clear when collecting personal information what disclosures are normally made. In these cases it may be possible to rely on the exemption that the individual would reasonably expect the disclosure to be made. These are probably the most common situations in which personal information is requested and can be disclosed by the Directorate. Other exemptions are provided under privacy law but usually involve more complex situations.

2.2. Some privacy provisions differ when personal health information is concerned. For example, providing access to health records, including some counselling records needs special handling.

2.3. Three matrices have been developed to provide guidance on which areas of the Directorate are authorised to manage and respond to requests for student records in various contexts. Each matrix is supported by procedures.

2.4. Requests for the disclosure of routine personal information requested by a current student or parent, by a past student or by a third party may be handled by the nominated areas in *Matrix 1 - Disclosure of (Routine) Personal Information Relating to Students by Consent* of the individual concerned or a person with parental responsibility.

*Note: Routine information and records are generally those that would have already been provided to the student and parents during the normal course of the student’s education at a school. These can be academic records or individual student absences (not including class rolls). Records that identify or provide information about third parties, or Student Accident/Incident Reports, are not considered routine information.*

*2.5.* Requests for the disclosure of student personal information that are authorised or required by law may be handled by the nominated areas in *Matrix 2 – Disclosure of Personal Information Relating to Students Authorised or Required by Law* using the steps set out below the tables.

A checklist flowchart for responding to external requests for personal information is provided at section 4 of these guidelines.

2.6. Where a staff member is unsure of the validity of a request, where there may be sensitive issues involved, or where it is not clear that the request is allowed by the exemptions of consent, reasonable expectation, or authorised or required by law or where disclosure of non-routine information is sought, the Governance and Legal Liaison section should be contacted for advice: EDULegalLiaison@act.gov.au.

2.7. Where a person asserts he or she is the parent or carer of a child at the school but is not known to school staff, then the principal is entitled to ask the person to provide evidence of their identity (such as a driver’s licence) and evidence they are the parent or carer and entitled to receive the requested information (e.g. child’s birth certificate, court order) before releasing any information, including confirmation of enrolment of the student. If a request for information about a student is received and the school is not certain that person has parental responsibility for the child, no details about the child should be provided, including whether they are enrolled at the school. The person requesting the information should be advised that no information can be provided, and any request should be made in writing to the Directorate’s Governance and Legal Liaison section at the following address:

Senior Manager

Governance and Legal Liaison

ACT Education Directorate

GPO Box 158

CANBERRA ACT 2601

Email to EDULegalLiaison@act.gov.au

# ****3. COMMON USES UNDER PRIVACY LEGISLATION****

3.1. The [*Information Privacy Act 2014*](http://www.legislation.act.gov.au/a/2014-24/current/pdf/2014-24.pdf) (ACT) provides that a record keeper should not allow personal information to be used other than for the purpose for which the information is collected, unless the purpose of disclosure directly relates to the primary purpose of collection. Use for another purpose is allowed in circumstances such as with the consent of the individual concerned (or if a student, by a parent or carer), or as authorised or required by law. Other exemptions are provided under privacy law but usually involve more complex situations.

3.2. Some privacy provisions differ when personal health information is concerned. For example the [*Health Records (Privacy and Access) Act 1997*](http://www.legislation.act.gov.au/a/1997-125/current/pdf/1997-125.pdf) includes special provisions that relate to health information where staff are identified as part of a treating team. Using personal health information, including counselling records, needs special consideration.

3.3. *Matrix 3 – Use of Information by Directorate staff* and associated protocols relate to circumstances where different areas of the Directorate may seek access to personal information held by another area.

3.4. Where staff require assistance, Governance and Legal Liaison section should be contacted for advice either by email to EDULegalLiaison@act.gov.au or by telephone to (02) 6205 9159 or (02) 6205 8510.

# 4. CHECKLIST FLOWCHART ****FOR RESPONDING TO EXTERNAL REQUESTS FOR PERSONAL INFORMATION****

**ARE WE THE RIGHT AREA TO ACTION REQUEST?**

**REQUEST FOR PERSONAL INFORMATION** **RECEIVED**

***REFER TO***

***NOMINATED AREA***

**CHECK MATRIX 1 and MATRIX 2 TO IDENTIFY:**

1. **TYPE OF REQUEST**
2. **TYPE OF RECORD**
3. **RESPONSIBLE AREA**

**NO**

***DO YOU NEED FURTHER INFORMATION?***

* ***POLICIES***

[***https://www.education.act.gov.au/publications\_and\_policies/policies/A-Z***](https://www.education.act.gov.au/publications_and_policies/policies/A-Z)

* ***SCHOOL LEGAL INFORMATION MANUAL (SLIM)***

<https://index.ed.act.edu.au/handbooks/school-legal-information.html>

***Governance and Legal Liaison Section –*** ***EDULegalLiaison@act.gov.au***

***YE*S**

**YES**

**PROCESS ACCORDING TO STEPS 2, 3 and 4**

**CHECK STEP 1 & 2 PROCEDURES**

* **IS REQUEST VALID?**
* **HAVE ALL RELEVANT MATTERS BEEN CONSIDERED?**

***REFER TO MATRICES and***

 ***MEET STEPS to:***

* ***ACCEPT***
* ***REVIEW***
* ***RESPOND***

**NO**

# 5. MATRIX 1: DISCLOSURE OF (ROUTINE) PERSONAL INFORMATION RELATING TO STUDENTS BY CONSENT of individual or person with parental responsibility – **COMMON EXAMPLES**

| **Request:** (Person or area that has requested the information) | **Status of student** | **Academic Records****e.g. school reports** | **Other School records**e.g. names, DOB, attendance  |  | **Counsellor Records** | **Health Records**  | **Incidents Records** | **Year 10 Certificate** | **Year 12 Certificate** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Student****Parent/carer** | **Current** | **School** | **School** |  | **SW** | **G&LL** | **G&LL** | **P&A** | **BSSS** |
| **Past student**  | **RMU** | **RMU** |  | **SW** | **G&LL** | **G&LL** | **P&A** | **BSSS** |
| **External** e.g. P&C Assocs, School photographer | **Current** | N/A | **School** |  | N/A | N/A | N/A | N/A | N/A |
| **ACT Health****Health professionals** | **Current** | **School** | **School** |  | **SW** | **SW** | N/A | N/A | N/A |
| **Past student** | **G&LL** | **G&LL** |  | **SW** | **G&LL** | N/A | N/A | N/A |
| **External** e.g. Employment Agencies | **Current** | **School** | **School** |  | N/A | N/A | N/A | N/A | **BSSS** |
| **Past student** | **G&LL** | **G&LL** |  | N/A | N/A | N/A | **P&A** | **BSSS** |
| **Solicitor** | **Current** | **G&LL** | **G&LL** |  | **G&LL** | **G&LL** | **G&LL** | **P&A** | **BSSS** |
| **Past student** | **G&LL** | **G&LL** |  | **G&LL** | **G&LL** | **G&LL** | **P&A** | **BSSS** |
| **Gov’t agencies** e.g. NSW Transport | **Current** | N/A | **School** |  | N/A | N/A | N/A | N/A | N/A |
| **Gov’t agencies** e.g. NSW **Corrective Services** | **Current** | **School** | **School** |  | **SW** | **G&LL** | N/A | **P&A** | **BSSS** |
| **Past student** | **G&LL** | **G&LL** |  | **SW** | **G&LL** | N/A | **P&A** | **BSSS** |
| **Interstate Schools** | **Current** | **School** | **School** |  | N/A | **G&LL** | **G&LL** | **P&A** | N/A |
| **Past student** | **G&LL** | **G&LL** |  | N/A | **G&LL** | **G&LL** | **P&A** | N/A |
| **Non ACT** **Health Professionals** | **Current** | **School** | **School** |  | **SW** | **SW** | N/A | N/A | N/A |
| **Past student** | **G&LL** | **G&LL** |  | **SW** | **G&LL** | N/A | N/A | N/A |
|  | **Area processes & authorises release** | **Area processes & authorises release** | **Area processes & authorises release** |  | **Area processes & authorises release** | **Area processes & authorises release** | **Area processes & authorises release** | **Area processes & authorises release** |

|  |  |  |
| --- | --- | --- |
| BSSS Board of Senior Secondary Studies | G&LL – Governance and Legal Liaison | School – Relevant School |
| P&A – Planning and Analytics | RMU – Records Management Unit | SW – Student Wellbeing |

**INFORMATION MAY BE PROVIDED TO THE PERSON MAKING THE REQUEST BY AN OFFICER AUTHORISED TO DO SO, IF:**

|  |  |
| --- | --- |
| **Step 1** |  |
| [ ]  | * The request is in writing by the individual concerned or by a person with parental responsibility.
 |
| [ ]  | * The request is in writing and if records are sought by a person other than the individual concerned (a third party), a signed consent by the individual concerned or a person with parental authority is provided.
 |
| [ ]  | * Evidence of identity of the person with parental responsibility and (where relevant) the third party authorised to receive the requested records, together with evidence of relationship to the child should be sighted and a note made of this. (A current driver’s license or passport and the child’s birth certificate will meet these requirements). A copy of any current court orders should also be provided. If there are no orders, the parent should provide written confirmation there are no court orders in place that would preclude the requested information being provided to them.
 |
| [ ]  | * Where the person is known to the school as a current parent or carer of a student at the school, the principal has the discretion not to require evidence of identity.
 |
| [ ]  | * If there is any doubt about the authenticity of the request INCLUDING whether the person has parental responsibility for the child, DO NOT provide information. Seek advice from the Governance and Legal Liaison section.
 |
| **Step 2** |  |
| [ ]  | * Locate the relevant student file and/or related documents. If files are located at the Records Management Unit use the student retrieval form at <https://index.ed.act.edu.au/corporate-support/records-management.html>.
 |
| [ ]  | * The record’s status as personal information or a personal health record has been established.
 |
| [ ]  | * Where a record is a health record, requests for access should be made to the Governance and Legal Liaison section. Refer to health privacy information at <https://index.ed.act.edu.au/handbooks/school-legal-information/health-privacy.html>.
 |
| [ ]  | * The *School Legal Information Manual* <https://index.ed.act.edu.au/handbooks/school-legal-information/privacy.html> has been checked to ensure relevant matters are considered for all records other than Year 10 and Year 12 Certificates. Applications for replacement Year 10 and Year 12 Certificates require a certified copy of proof of identity documents.
 |
| [ ]  | * Relevant policies including *Access to Student Records* (<http://www.det.act.gov.au/publications_and_policies/policy_a-z>) and *Sensitive Information Handling* <https://index.ed.act.edu.au/governance/information-governance/sensitive-information-handling.html> have been referenced and criteria met.
 |
| [ ]  | * There are no Family Court or other court orders that would PROHIBIT the requestor receiving the record. Refer Family Law Guidelines <https://index.ed.act.edu.au/sites/default/files/FamilyLawGuidelinesETD-040613.pdf>.
 |
| [ ]  | * The student has not advised that they DO NOT wish their records to be provided to parents/carers (SLIM FAQ 18 <https://index.ed.act.edu.au/handbooks/school-legal-information/privacy.html>).
 |
| [ ]  | * If there is information relating to another person (other than the student) included in the requested information, the information MUST NOT be provided. Contact the Governance and Legal Liaison section for advice.
 |
| **Step 3** |  |
| [ ]  | * Ensure that the information is accurate, up to date, complete, and relevant having regard to the purpose for which the information is proposed to be used or disclosed.
 |
| [ ]  | * NO originals of documents may be released to an individual, an external agency, a non-government or interstate school or to a home schooling family.
 |
| [ ]  | * The officer to release information should be at a senior level.
 |
| [ ]  | * A response providing requested records should be forwarded by registered post where identification is required from the recipient, OR if the information is collected, photographic evidence of identity e.g. a driver’s licence should be sighted. Where the person is a current parent or carer of a student at the school, the principal has the discretion not to require evidence of identity. Where the individual has asked to receive records electronically and provided an email address they consider to be private and secure, the documents may be sent electronically to that address. Care should be taken to ensure documents sent electronically are sent to the correct recipient.
 |
| **Step 4** |  |
| [ ]  | * Ensure a copy of the response letter and copies of any documents provided are appropriately filed together with all related correspondence.
 |

# 6. MATRIX 2: DISCLOSURE OF PERSONAL INFORMATION RELATING TO STUDENTS AUTHORISED OR REQUIRED BY LAW **– COMMON EXAMPLES**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Request:** (Person or area that has requested the information) | **Status of student** | **Academic Records****e.g. school reports** | **Other School Records** e.g. names, DOB, attendance record | **Counsellor Records**  | **Health Records** | **Sensitive information e.g. incidents or including third parties** | **Year 10 Certificate** | **Year 12 Certificate** |
| **Australian Federal Police** | **Current** | **G&LL** | **G&LL** | **G&LL** | N/A | **G&LL** | **G&LL** | **BSSS** |
| **Past student** | **G&LL** | **G&LL** | **G&LL** | N/A | **G&LL** | **G&LL** | **BSSS** |
| **Centrelink** | **Current****Past student** | N/A | **School** | N/A | N/A | N/A | N/A | N/A |
| **FOI Request****Health records request** | **Current** | **GLL** | **G&LL** | **G&LL** | **G&LL** | **G&LL** | **G&LL** | **G&LL** |
| **Past student** | **G&LL** | **G&LL** | **G&LL** | **G&LL** | **G&LL** | **G&LL** | **G&LL** |
| **Juvenile Justice** | **Current****Past student** | **School** | **School** | **SW** | **G&LL** | N/A | **P&A** | **BSSS** |
| **Office for Children, Youth & Family Support** | **Current** | **School** | **School** | **SW** | **G&LL** | **School** | **P&A** | N/A |
| **Office of Regulatory Services e.g. Liquor Licensing** | **Current** | N/A | **School** | N/A | N/A | N/A | N/A | N/A |
| **Subpoena or Notice for non party production** | **Current** | **G&LL** | **G&LL** | **G&LL** | **G&LL** | **G&LL** | **G&LL** | **G&LL** |
| **Past student** | **G&LL** | **G&LL** | **G&LL** | **G&LL** | **G&LL** | **G&LL** | **G&LL** |
|  |  | **Area processes & authorises request** | **Area processes & authorises request** | **Area processes & authorises request** | **Area processes & authorises request** | **Area processes & authorises request** | **Area processes & authorises request** | **Area processes & authorises request** |

|  |  |  |
| --- | --- | --- |
| BSSS - Board of Senior Secondary Studies | G&LL – Governance and Legal Liaison | School – Relevant School |
| P&A – Planning and Analytics | RMU – Records Management Unit | SW – Student Wellbeing |

**INFORMATION MAY BE PROVIDED TO THE PERSON MAKING THE REQUEST BY AN OFFICER AUTHORISED TO DO SO, IF:**

|  |  |
| --- | --- |
| **Step 1** |  |
| [ ]  | * The request is in writing on agency letterhead by a person authorised by the agency to request the information and is in a format appropriate to the relevant legislation AND clearly sets out the information required.
 |
| [ ]  | * If there is any doubt about the authenticity of the request DO NOT provide information. Seek advice from the Governance and Legal Liaison section.
 |
| [ ]  | * If the request is in the form of a subpoena or a notice for non-party production it should be referred IMMEDIATELY to the Governance and Legal Liaison section as strict timeframes apply. Refer <https://index.ed.act.edu.au/handbooks/school-legal-information/court-processes-and-procedure.html>.
 |
| [ ]  | * If the request is in the form of an application under the *Freedom of Information Act* *2016* or under the *Health Records (Privacy and Access) Act* 1997 it should be referred IMMEDIATELY to the Governance and Legal Liaison section as strict timeframes apply.
 |
| [ ]  | * Locate the relevant student file and/or related documents. If files are located at the Records Management Unit, use the student retrieval form at <https://index.ed.act.edu.au/corporate-support/records-management.html>.
 |
| **Step 2** |  |
| [ ]  | * The record’s status as personal information or a personal health record has been established <https://index.ed.act.edu.au/handbooks/school-legal-information.html>.
 |
| [ ]  | * The *School Legal Information Manual* (<https://index.ed.act.edu.au/handbooks/school-legal-information/privacy.html>) has been checked to ensure relevant matters are considered for all records other than Year 10 and Year 12 Certificates.
 |
| [ ]  | * Relevant policies including *Access to Student Records* (<http://www.det.act.gov.au/publications_and_policies/policy_a-z>), *Sensitive Information Handling* <https://index.ed.act.edu.au/governance/information-governance/sensitive-information-handling.html>, *Child Abuse and Neglect Guidelines* <http://www.det.act.gov.au/__data/assets/pdf_file/0006/17619/childabp.pdf> have been referenced and criteria met.
 |
| **Step 3** |  |
| [ ]  | * Ensure that the information is accurate, up to date, complete, and relevant having regard to the purpose for which the information is proposed to be used or disclosed.
 |
| [ ]  | * NO originals of documents should be provided.
 |
| [ ]  | * The officer to release information should be at a senior level and should satisfy him/herself that the information requested is authorised or required by law.
 |
| [ ]  | * Documents should be forwarded by secure means such as by registered post, secure hand or courier. If collected, proof of identity and authority should be sighted. Where the individual has asked to receive records electronically and provided an email address they consider to be private and secure, the documents may be sent electronically to that address. Care should be taken to ensure documents sent electronically are sent to the correct recipient.
 |
| **Step 4** |  |
| [ ]  | * Where information is provided for the purposes of enforcement of the criminal law, the *Information* *Privacy Act 2014* ACT requires that a note of this should be included with the record containing the information disclosed. This may be done by including the correspondence related to the request. (No personal health information can be provided unless a warrant or subpoena is issued.)
 |
| [ ]  | * Ensure a copy of the response letter and copies of any documents provided are appropriately filed together with all related correspondence.
 |

# 7. MATRIX 3: ACCESS TO STUDENT RECORDS **- USE OF INFORMATION BY DIRECTORATE STAFF**

Student records are created from information provided by parents, such as enrolment forms and medical history, and by information generated by schools, such as academic and assessment data and individual learning and support needs.

This information is used by staff for purposes such as administration, providing appropriate education opportunities and support for individual students, and meeting duty of care responsibilities towards students. Information is also used for the purpose of effectively managing the public school system, including contacting parents as part of surveys.

Information should only be created or accessed by staff where relevant to their duties and responsibilities.

“OWNERSHIP” OF STUDENT RECORDS i.e. record keepers

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Nature of record** | **Academic records**  | **Name, DOB, attendance** | **Counselling**  | **Special Needs** | **Incidents****(Claims)** | **Assessment Data** | **Year 10 Certificate** | **Year 12 Certificate** |
| Current | School | School | **SW** | **DE** | **G&LL** | **P&A** | **P&A** | **BSSS** |
| Past student | RMU | RMU | **SW** | **DE** |  **G&LL** | **P&A** | **P&A** | **BSSS** |

|  |  |  |
| --- | --- | --- |
| BSSS - Board of Senior Secondary Studies  | G&LL – Governance and Legal Liaison | School – Relevant School |
| P&A – Planning and Analytics | RMU – Records Management Unit | SW – Student Wellbeing  |
| DE – Disability Education |

Note: Education ICT holds information that may be provided to the appropriate area of EDU.

*PROTOCOLS*

The use of personal information and personal health information that is collected for a particular purpose must not be used for another purpose except in particular circumstances set out under privacy legislation. Such circumstances include where the information is used for a purpose directly related to the primary purpose for which the information was collected, where parents and/or students have provided consent, where it is required or authorised under law, and where use is reasonably necessary to lessen or prevent a serious a serious threat to the life, health or safety of an individual, or to public health or safety. It is important that this occurs in a considered and structured way. Some considerations in decision-making include:

|  |  |
| --- | --- |
| **1** | The principal or manager (or person authorised by the principal or manager) of the school or area that seeks the information should make a request in writing to the principal or manager who holds the record. The request should clearly state what information is required and for what purpose. If this is done on a regular basis, one request (for example annually) will be sufficient. |
| **2** | The principal or manager (or person authorised by the principal or manager) should consider whether there are any issues that should be clarified prior to responding, for example whether there are any difficulties in respect of privacy legislation or of legislation such as the *Children and Young People Act 2008.* |
| **3** | The person authorised to release the information must ensure that the information is accurate, up to date, complete and relevant, having regard to the purpose for which the information is proposed to be used. The officer to release information should be at a senior level and should ensure that obligations under privacy and other relevant legislation have been considered. |
| **4** | Documents should be forwarded by secure means having regard to relevant directorate policies. A file copy of relevant documents should be created to ensure there is a clear record of action and a record of the information provided. |
| **5** | Where a consultant or a service provider is to be used a formal agreement must be put in place in respect of the contracted work. This should contain appropriate contractual provisions requiring the contracted service provider, and any subcontractor for the contract, to comply with the Territory Privacy Principles contained in the *Information Privacy Act 2014* (ACT) or a corresponding law. The above steps will also apply. |
| **6** | Where a service level agreement is in place, the above steps will need to be reflected in appropriate arrangements for the flow of information. |