

UNCLASSIFIED



Department
for Education

The National Pupil Database

**NPD Data Request Application Pack
July 2012**

UNCLASSIFIED

1. Introduction

- 1.1. The NPD Data Request Application Pack is to be used for requesting extracts and tabulations of NPD data. You can find additional copies of this document, and other documents relating to the Data Request Service, on the [NPD Online](#) website.
- 1.2. Before making an application, please make sure that you have read all the accompanying information on the [NPD Online](#) website including the NPD User Guide and Protocol.
- 1.3. This form should be filled in electronically and emailed back to the NPD Data Request team (NPD.REQUESTS@education.gsi.gov.uk).

2. Who can request access to the data?

- 2.1. The law allows us to share pupil data from the National Pupil Database with named bodies and third parties including schools, local authorities, other government departments and agencies under the Education (Individual Pupil Information) (Prescribed Persons) (England) Regulations 2009.
- 2.2. These regulations also allow the Department to disclose individual pupil information, subject to the Data Protection Act 1998, to named bodies and third parties who require access to the data to undertake research into the educational achievements of pupils. Access is subject to requestors complying with terms and conditions imposed under contractual arrangements and a rigorous request approval process.
- 2.3. Any person requesting access to the data will have to demonstrate that they will comply with all relevant requirements of the Data Protection Act 1998. They will need to demonstrate that:
 - they have appropriate security arrangements in place to process the data;
 - they intend to use the data only for the specified purpose;
 - they will keep the data only for the specified length of time;
 - they will not try to further disclose the data.
- 2.4. Applicants will be expected to sign an agreement to confirm this. Anyone requesting access to the most sensitive data will also be required to submit a business case and provide additional information about their security arrangements.
- 2.5. Please keep a copy of all the documents, including completed forms, for your own records.

Please select the suitable Tier which will cover all the information you are applying for.			
Information Tier	Information Type	Description	Tier Requested
1	Individual pupil level data - Identifying and / or Identifiable and Highly Sensitive	<p>Individual pupil level extracts that include identifying and highly sensitive information about pupils and their characteristics including items described as 'sensitive personal data' within the UK Data Protection Act 1998.</p> <p>Examples of identifying data items include Names, Address and Date of Birth.</p> <p>Examples of highly sensitive data items include Looked After Status, In Need Status, Full Ethnicity, Full Language and Primary and Secondary SEN Type, reasons for exclusions and absence.</p>	<input type="checkbox"/>
2	Individual pupil level data – Identifiable and Sensitive	<p>Individual pupil level extracts that include sensitive information about pupils and their characteristics including items described as 'sensitive personal data' within the UK Data Protection Act 1998 which have been recoded to become less sensitive.</p> <p>Examples of sensitive data items include ethnic group major, ethnic group minor, language group major, language group minor, Special Educational Needs and eligibility for Free School Meals.</p>	<input checked="" type="checkbox"/>
3	Aggregate School level data – Identifiable and Sensitive	<p>Aggregated extracts of school level data from the Department's School Level Database which include items described as 'sensitive personal data' within the Data Protection Act 1998 and could include small numbers and single counts.</p> <p>For example, there is 1 white boy eligible for Free School Meals in school x that did not achieve level 4 in English and maths at Key Stage 2.</p>	<input type="checkbox"/>
4	Individual pupil level data – Identifiable	<p>Individual pupil level extracts that do not contain information about pupils and their characteristics which is considered to be identifying or described as sensitive personal data within the Data Protection Act 1998.</p> <p>For example, the extracts may include information about pupil attainment, prior attainment, progression and pupil absences but do not include any trivially identifying data items like names and addresses and any information about pupil characteristics other than gender.</p>	<input type="checkbox"/>

2.6. Further guidance about this form and how to request an extract from NPD can be found on the [NPD Online](#) website.

3. Data Request Form

Date: 06 September 2013

3.1. Details of the applicant

Contact details	
Name:	[REDACTED]
Organisation name:	Cabinet Office
Organisation Type (e.g. Academic Institution, Research Organisation, Media, Individual Citizen, etc):	Government Department
Address:	1 Horse Guards Road, London
Postcode:	SW1A 2HQ
Telephone:	[REDACTED]
Email address:	[REDACTED]

Other Users – Please give names of all those who will have access to the data, why they need access and what they will be accessing it for. (Each user will be required to complete Appendix C: Individual Declaration)		
Name	Job Title	Reason for Access
[REDACTED]	[REDACTED]	Project assurance
[REDACTED]	[REDACTED]	Project assurance

3.2. Details of Data Required

3.2.1. There are a range of data sources in the National Pupil Database providing detailed information about children's education at different stages (pre-school, primary and secondary education and further education). The data includes detailed information about pupils' test and exam results, prior attainment and progression at different Key Stages for all schools in the state sector in England. Attainment data is also held for pupils and students in non-maintained special schools, sixth form and Further Education (FE) colleges and (where available) independent schools.

3.2.2. The National Pupil Database also includes information about the characteristics of pupils in the state sector and non-maintained special schools such as gender, ethnicity, first language, eligibility for free school meals, information about Special Educational Needs (SEN) and detailed information about pupil absence and exclusions.

Dataset (Unamended Data is available for the most recent years data only)	Academic year available from
Early Years Foundation Stage Profile (EYFSP) (Reception – Age 4) (Unamended, Final)	2002/03
Key Stage 1 (Year 2 – Age 7) (Unamended, Final)	1997/98
Key Stage 2 (Year 6 – Age 11) (Unamended, Amended, Final)	1995/96
Year 7 Progress Tests (Year 7 – Age 12)	2000/01-2006/07
Key Stage 3 (Year 9 – Age 14) (Unamended, Amended, Final)	1997/98-2007/08
Key Stage 3 Teacher Assessment only	2008/09
Key Stage 4 (Year 11 – Age 16) (Unamended, Amended, Final)	2001/02
Key Stage 5 (Years 12-13 – Ages 16-18) (Unamended, Amended, Final)	2001/02
Pupil Level Annual School Census (PLASC) (Ages 3-18)	2001/02-2004/05 (secondary schools) 2001/02-2005/06 (nursery, primary, special schools)
School Census (formerly PLASC) (Ages 3-18) Spring census data is used within DfE as the main reference data, and provides the closest comparison to PLASC	Termly January 2006 (secondary schools) Termly January 2007 (nursery, primary and special schools)
School Census Post-16 Learning Aims (PLAMS) (Ages 16-18)	2006/07
School Census Absence (2 terms, 3 terms)	2006/07
School Census Exclusions (exclusion, enrolment, pupil level)	2006/07
Early Years Census (Ages 3-4) (Annual)	2007/08
Alternative Provision Census (Annual)	2007/08
Pupil Referral Unit (PRU) Census (Annual)	2009/10
Children Looked After (Ages 0-18)	2006
Children in Need Census	2008/09

UNCLASSIFIED

Data available in Tier 3	Academic year available from
Key Stage 1 – School Level (Year 2 – Age 7) (Final)	2005/06
Key Stage 2 – School Level (Year 6 – Age 11) (Amended, Final)	2005/06
Key Stage 4 – School Level (Year 11 – Age 16) (Amended, Final)	2005/06
Key Stage 5 – School Level (Years 12-13 – Ages 16-18) (Amended, Final)	2005/06
Key Stage 1 – NPD (Year 2 – Age 7) (Final)	2005/06
Key Stage 2 – NPD (Year 6 – Age 11) (Amended, Final)	2005/06
Key Stage 3 – NPD (Year 9 – Age 14) (Amended, Final)	2005/06
Key Stage 4 – NPD (Year 11 – Age 16) (Amended, Final)	2005/06
School Census (formerly PLASC) (Ages 3-18) – School Level Spring census data is used within DfE as the main reference data, and provides the closest comparison to PLASC	2005/06
School Census Absence – School Level	2005/06
School Capacity – School Level	2009/10
Geographic Information	2005/06
Institution History – School Level	2005/06
Institution Link – School Level	2005/06

Full details of the NPD information required			
Dataset (e.g. KS4, School Census)	Version (e.g. unamended, amended, final)	Linkage e.g. unmatched dataset or dataset matched to School Census and/or prior attainment	Academic year (for required dataset and any linked School Census)
Key Stage 4	Unamended	Unmatched	2012/13
Key Stage 4	Unamended	Unmatched	2011/12
Key Stage 5	Unamended	Unmatched	2011/12

Data Use Statement	
Is this request:	New <input checked="" type="checkbox"/> Request to re-use data <input type="checkbox"/> Previous Data Request Number issued by DfE:
What will the data be used for? Full information about your project including aims, audience and how it will be presented (giving details of the products/outputs that will be produced from your use of the data e.g. analysis, reports, tables, books and expected usage of these products)	
Project Aims: <p>National Citizen Service (NCS) is the Government's flagship programme for youth.</p> <p>NCS aims to develop more confident, engaged and responsible young people (between the ages of 16 and 17), through a programme of personal development and social action. Programme phases include a week of 'outward bound' like physical and team building challenges, and implementation of a social action project in the young person's local community.</p> <p>NCS is growing at great speed, providing up to 90,000 places in 2014 compared to 10,000 in 2011. The government announced in the recent spending review that National Citizen Service will continue to grow, with a target of 120,000 places set for 2015 and 150,000 places in 2016.</p> <p>This data matching project aims to evaluate impact and value for money of National Citizen Service by matching NCS participant data with information held in the NPD, in order to track longer term outcomes of participation. NCS is currently evaluated by comparing participant responses to surveys completed before and immediately after the programme, and at longer-term follow up. The independent evaluation of the 2012 programme is very encouraging: 92% of participants thought NCS gave them useful skills for the future; 98% would recommend the programme to a friend; and return on investment is now estimated at up to 2.8 times the cost of delivery.</p> <p>While this method robustly evaluates the impact of the project, it is limited by attrition over time, and it is difficult to impartially measure tangible outcomes such as educational attainment, employment and anti-social behaviour. Linking NCS participants to objective</p>	

datasets (e.g. records of A-level results) is a cost-effective enhancement to the current model of evaluation and builds on instructive data matching work in Cabinet Office (for the Electoral Registration Transformation project).

Cabinet Office proposes a matching process (see attached .ppt) which securely restricts the ability to identify individual participants in the matched data file.

Intended audience: Cabinet Office

Expected outputs:

In order to carry out matching of NCS participants to NPD, their personal data (first name, surname, date of birth, gender, and postcode) will be used to identify corresponding records in the NPD.

The suggested data flow is as follows: Cabinet Office will supply DfE with a list of data matching information (first name, middle name, surname, date of birth, gender and postcode) and an anonymized identifier. DfE will use this information to identify NCS participants in the NPD. DfE will return the identifier and NPD data to Cabinet Office – identifying information will be removed from this file.

The data returned to Cabinet Office will not be used to facilitate identification of individual pupils, but will allow Cabinet Office to measure the aggregate level impact of NCS on programme participants.

Any other details? e.g. have you previously worked with any other Government Departments?

CO has previously accessed NPD data including name, address and date of birth of 16-18 year olds for the purposes of piloting an approach aimed at improving the completeness and accuracy of the electoral register. Data was shared as part of the "Cabinet Office Data Matching Pilot Schemes" firstly in June 2011 and subsequently in March 2013.

How long will you need access to the data for as part of this agreement?

This application proposes a one-time data exchange as a 'proof of concept'.

Data storage, retention and destruction

Storage



Data will be stored on a secure system (in line with the relevant controls within ISO 27001 and/or the HMG Security Policy Framework) which is password protected, and encrypted where appropriate, so that access to the NPD data is restricted to only those who are named within this agreement.

The data will be stored at the address stated in the contact details.

<u>Retention</u>	<input checked="" type="checkbox"/>
Data will only be retained as long as is stated in paragraph 5.1.3 of the NPD User Guide and Protocol document. If the data is required longer then approval from DMAP, via the NPD Data Request team, will be obtained.	
<u>Destruction</u>	<input checked="" type="checkbox"/>
Data will be securely destroyed using file shredding software. Similarly, physical media will be destroyed using a high specification shredder with the functionality to irreversibly destroy the disk. The data will also be removed from any back up tapes that contain it. Confirmation that this has occurred will be given in writing (via email) to the NPD Data Request team.	

Details of DfE project sponsor (if applicable)	
Title (Mr, Mrs, Ms, Dr, etc):	
Name:	
Job Title:	
Division/team:	
Contact Address:	
Telephone:	
Email:	
Declaration	
I, the DfE project sponsor named above confirm that I have read and understood the conditions of supply and conditions for processing of personal data set out in the Non-Disclosure Agreement Form, and will ensure that those conditions are complied with.	
Name/signature:	Date:

3.3. Requests for sensitive data items

3.3.1. There are two types of sensitive data items in the NPD: those that can be made less sensitive) by mapping; and those that cannot be made sufficiently less sensitive by mapping. The data items included in each section are outlined in the table below.

Type of sensitive data items	Data items	What the data items are mapped to
Data items that <u>can</u> be made less sensitive by mapping	Date of birth	Age of pupil at the start of the academic year Year and month of birth of pupil
	Ethnic code (extended ethnic codes)	Ethnic group (based on the 20 main ethnic codes)
	Language code (extended language codes)	Language group
	Home address including Postcode	Super Output Area (SOA) and other geographical areas
	Output Area (OA)	

UNCLASSIFIED

	Pupil Matching Reference (PMR)	Anonymous Pupil Matching Reference
	Unique Pupil Numbers (UPN)	Anonymous Pupil Matching Reference
	Unique Learner Numbers (ULN)	Anonymous Pupil Matching Reference
Data items that <u>cannot</u> be made less sensitive.	Exam Candidate Number	
	Candidate ID	
	Names	
	Primary and Secondary special educational need (SEN) type, e.g. specific learning difficulty, hearing impairment etc.	
	Special Educational Needs	
	Service children in education indicator	
	Pupil's type of disability	
	Children in Need	
	Children Looked After (CLA)	
	Pupil Premium	
	Free School Meals (FSM)	
	Reasons for Absence	
	Reasons for Exclusions	
	Free School Meals (FSM)	

Business Case for sensitive data items	
Please define the sensitive data item(s) that you require. e.g. Date of birth, Postcode etc.	N/A
What will you be using the sensitive data item(s) for?	
If you require Date of birth, Ethnic code or Home address (including Postcode), why are the mapped data item(s) not adequate for your needs? e.g. Why is year and month of birth of pupil not sufficient for Date of birth?	N/A - not required.

NPD Data Request Application Pack

Appendix A: NPD Non-Disclosure Agreement Form

Appendix A: NPD Non-Disclosure Agreement Form – extracts of individual level data and tabulations

This form needs to be completed for all requests for data from the NPD.

Organisation: Cabinet Office

Responsible lead contact:

Data custodian (senior officer):

NPD reference (for NPD Team use):

Sensitivities: (tick as appropriate to the data required)

Pupil Matching Reference (PMR)	<input type="checkbox"/>
Exam Candidate Number	<input type="checkbox"/>
Candidate ID	<input type="checkbox"/>
Names	<input type="checkbox"/>
Address	<input type="checkbox"/>
Postcode	<input type="checkbox"/>
Output Area	<input type="checkbox"/>
Date of Birth/Age	<input type="checkbox"/>
Unique Pupil Number (UPN)	<input type="checkbox"/>
Unique Learner Number (ULN)	<input type="checkbox"/>
Language	<input type="checkbox"/>
Ethnicity	<input type="checkbox"/>
Children Looked After (CLA)	<input type="checkbox"/>
Children in Need (CIN)	<input type="checkbox"/>
Pupil Premium	<input type="checkbox"/>
Free School Meals (FSM)	<input type="checkbox"/>
Special Educational Needs (SEN)	<input type="checkbox"/>
Service Child	<input type="checkbox"/>
Pupil's type of disability	<input type="checkbox"/>
Absences	<input type="checkbox"/>
Exclusions	<input type="checkbox"/>

Conditions of Supply

1. The data will only be used for the purposes set out in this document and agreed with the Department. For example, the purpose is to conduct research into the Educational Achievements of Pupils.
2. Where the data is being used to support work on behalf of the Department the parties agree that the Department is the Data Controller and that the 3rd party data user is the Data Processor. (Please tick if applicable to your request type) ☐

3. Where the data is being used to support independent work the parties agree that the 3rd party data user is the Data Controller. (Please tick if applicable to your request type) ☐
4. The terms "Data Controller", "Data Processor", "Data Subject", "Personal Data" and "Sensitive Personal Data" shall have the meaning prescribed under the Data Protection Act 1998.

Conditions for processing of personal data

5. The information will be processed in accordance with the principles and conditions set out in the Data Protection Act 1998 and with proper safeguards to ensure confidentiality. Any identifiable and sensitive data will be held in a secure environment where any access can be traced. The Department will have the right to inspect and audit the security arrangements in place.
6. To comply with section 7 of the Data Protection Act 1998 with regards to rights of access to personal data.
7. No contact will be made with any individual(s) who could be identified from the data supplied unless agreed in advance by the Department via the NPD Requests team.
8. Non-identifiable Pupil data from the NPD must not be used to identify (or recognise) individual pupils and must be handled with proper regard to the confidentiality of individuals.
9. No attempt will be made to link the information supplied to any other data relating to identifiable individuals without the prior approval of the Department, via the NPD requests team. The prior agreement of the Department will also be required for any extension of this work using (or derived from) the data supplied by the Department, beyond that which was originally notified.
10. To employ appropriate organisational, operational and technical processes and procedures to keep any personal data safe from unauthorised use or access, loss, destruction, theft or disclosure. These measures shall be appropriate with regard to the nature of the Personal Data which is to be protected. More stringent security measures will be adopted in relation to sensitive data (and/or sensitive personal data) where harm or distress to individual pupils is likely to result from their identification as a result of any unauthorised or unlawful processing, inappropriate publication or dissemination or as a result of accidental loss, destruction or damage.
11. To take reasonable steps to ensure that any persons who have access to personal data will not process it other than on accordance with this agreement. Also to ensure that no individual or organisation, other than those specifically mentioned within this agreement will be allowed access to the data (except in the form of non-disclosive statistical tables or conclusions) without the written permission of the Department and where such permission is given to take reasonable steps to ensure that the other person(s) comply with the obligations set out in this Agreement.
12. To ensure that all specified persons accessing personal data are informed of the confidential nature of the data and comply with the conditions set out in this Agreement.

13. All information supplied by the Department (and any copies or potentially identifying tables produced from it) will be stored securely and securely destroyed (the Department can supply you with details on how to do this) when no longer required for the purposes for which it was supplied, or after one year whichever is the earlier. The Department reserves the right to check that this has been done. Should the data be required for longer than one year, approval must be sought *in advance* from the Department via the NPD Requests team.
14. To acknowledge that the Department is subject to the requirements of the Freedom of Information Act 2000 and the Environmental Information Regulations 2004 and, if required, to cooperate with the Department to enable the Department to comply with its information disclosure obligations by providing all necessary assistance as reasonably requested by the Department to enable the Department to respond to a Request for Information within the time for compliance set out in section 10 of the Freedom of Information Act 2000 or regulation 5 of the Environmental Information Regulations 2004.
15. Any reports, papers or statistical tables published or released to other organisations/individuals will fully protect the identity of individuals in accordance with the current guidance stated in Section 3.4 of the NPD User Guide and Protocol. Where there is doubt about the release of data/information, the advice of the NPD Requests Team will be sought. If, subsequent to release it appears that there is a risk of disclosure, the NPD Requests team will be informed immediately.
16. Any published NPD figure(s) at a local level must be based on no fewer than 3 cases or else suppressed (e.g. replaced with an asterisk, with a note "*" in this table means a figure less than 3". Zero is allowed). Low-level analyses might facilitate the identification of individual pupils, especially with local knowledge. Care will be taken to ensure that values may not be more closely calculated by differencing from sub-totals.
17. Any published NPD figure(s) at a school level must be based on no fewer than 6 cases or else suppressed (e.g. replaced with an asterisk, with a note "*" in this table means a figure less than 6". Zero is allowed). School-level analyses might facilitate the identification of individual pupils, especially with local knowledge. Care will be taken to ensure that values may not be more closely calculated by differencing from sub-totals.
18. I agree:
 - to comply with all of the conditions for processing of personal data as set out in the paragraphs above.
 - that there is a legitimate need for this work which requires data containing the sensitivities indicated above.
 - to comply with the conditions for the fair processing of personal data set out in the Data Protection Act 1998.
 - that the data will be stored with the appropriate safeguards to prevent unauthorised access.

UNCLASSIFIED

- to site inspections being conducted by The Department for Education and to co-operate fully in allowing the DfE staff access to premises, documents and equipment to enable them to ensure that security measures and arrangements for storage and processing comply with the conditions of this agreement.
- that the data will not be used for any other purpose other than that for which it has been requested without the written permission of the Department.
- that the data will not be copied, published or transferred to any third party without the written consent of the Department. Note: output based on the data may be shared provided it abides by the conditions above.
- to give prior notice of intention to publish NPD data to the NPD Request Team and where feasible provide a copy of the published work.
- to ensure that any published work containing NPD data acknowledges the source: "National Pupil Database, Department for Education".
- to inform the Department immediately if custodianship of the data should change.

19.1, by having signed this form, take responsibility on behalf of _____ for ensuring the conditions of this agreement are fully complied with. I will ensure that the Department is informed of the name of any person who has access to the NPD data supplied by the Department and that the named individuals have signed a Declaration. I will inform the Department immediately should I no longer be responsible for the data [within this organisation] and will ensure that a substitute Declaration is signed. I understand that the Department has the right to check on the custodianship of the data.

Signed
Name
Date

NPD Data Request Team:

NPD.REQUESTS@education.gsi.gov.uk

Please complete and return this form to the address above. The NPD data can only be sent once the signed agreement is received.

NPD Data Request Application Pack

Appendix B: Customer Declaration

Appendix B: Customer declaration of use and non-disclosure

This form is a declaration that the conditions for use of the NPD data requested will be adhered to. It should be completed by a senior person within the organisation with responsibility for data protection and security issues. This person will be responsible for safeguarding the NPD data and for ensuring that all users of the data will abide by the conditions of supply. When complete please return to the Department via the NPD Requests Team. NPD data will not be supplied until the completed form has been received. Access for each user is dependent on receipt of their signed Declaration.

When complete, this form should be returned (as part of the completed application pack) to: NPD.REQUESTS@education.gsi.gov.uk

1. Data requested [Please outline here the data required]

2. Responsible Person Declaration and User List

I understand and agree to abide by the terms and conditions under which the NPD data tabulation/extract requested is to be supplied to me by the Department.

Signed:

Name:

Organisation:

Position in organisation:

Signature:

Date:

The following people will have access to the NPD data supplied. A signed Declaration for each person is attached. I will keep a copy of this list and notify the Department of any changes. I will forward a signed Declaration for any new users added.



Department
for Education

© Crown copyright 2012

You may re-use this information (excluding logos) free of charge in any format or medium, under the terms of the Open Government Licence. To view this licence, visit <http://www.nationalarchives.gov.uk/doc/open-government-licence/> or e-mail: psi@nationalarchives.gsi.gov.uk.

Where we have identified any third party copyright information you will need to obtain permission from the copyright holders concerned.

Any enquiries regarding this publication should be sent to us at NPD.REQUESTS@education.gsi.gov.uk.

This document is also available from our website at [NPD Online](#).

UNCLASSIFIED



Department
for Education

The National Pupil Database

**NPD Data Request Application Pack
July 2012**

UNCLASSIFIED

1. Introduction

- 1.1. The NPD Data Request Application Pack is to be used for requesting extracts and tabulations of NPD data. You can find additional copies of this document, and other documents relating to the Data Request Service, on the [NPD Online](#) website.
- 1.2. Before making an application, please make sure that you have read all the accompanying information on the [NPD Online](#) website including the NPD User Guide and Protocol.
- 1.3. This form should be filled in electronically and emailed back to the NPD Data Request team (NPD.REQUESTS@education.gsi.gov.uk).

2. Who can request access to the data?

- 2.1. The law allows us to share pupil data from the National Pupil Database with named bodies and third parties including schools, local authorities, other government departments and agencies under the Education (Individual Pupil Information) (Prescribed Persons) (England) Regulations 2009.
- 2.2. These regulations also allow the Department to disclose individual pupil information, subject to the Data Protection Act 1998, to named bodies and third parties who require access to the data to undertake research into the educational achievements of pupils. Access is subject to requestors complying with terms and conditions imposed under contractual arrangements and a rigorous request approval process.
- 2.3. Any person requesting access to the data will have to demonstrate that they will comply with all relevant requirements of the Data Protection Act 1998. They will need to demonstrate that:
 - they have appropriate security arrangements in place to process the data;
 - they intend to use the data only for the specified purpose;
 - they will keep the data only for the specified length of time;
 - they will not try to further disclose the data.
- 2.4. Applicants will be expected to sign an agreement to confirm this. Anyone requesting access to the most sensitive data will also be required to submit a business case and provide additional information about their security arrangements.
- 2.5. Please keep a copy of all the documents, including completed forms, for your own records.

Please select the suitable Tier which will cover all the information you are applying for.			
Information Tier	Information Type	Description	Tier Requested
1	Individual pupil level data - Identifying and / or Identifiable and Highly Sensitive	<p>Individual pupil level extracts that include identifying and highly sensitive information about pupils and their characteristics including items described as 'sensitive personal data' within the UK Data Protection Act 1998.</p> <p>Examples of identifying data items include Names, Address and Date of Birth.</p> <p>Examples of highly sensitive data items include Looked After Status, In Need Status, Full Ethnicity, Full Language and Primary and Secondary SEN Type, reasons for exclusions and absence.</p>	<input type="checkbox"/>
2	Individual pupil level data – Identifiable and Sensitive	<p>Individual pupil level extracts that include sensitive information about pupils and their characteristics including items described as 'sensitive personal data' within the UK Data Protection Act 1998 which have been recoded to become less sensitive.</p> <p>Examples of sensitive data items include ethnic group major, ethnic group minor, language group major, language group minor, Special Educational Needs and eligibility for Free School Meals.</p>	<input type="checkbox"/>
3	Aggregate School level data – Identifiable and Sensitive	<p>Aggregated extracts of school level data from the Department's School Level Database which include items described as 'sensitive personal data' within the Data Protection Act 1998 and could include small numbers and single counts.</p> <p>For example, there is 1 white boy eligible for Free School Meals in school x that did not achieve level 4 in English and maths at Key Stage 2.</p>	<input type="checkbox"/>
4	Individual pupil level data – Identifiable	<p>Individual pupil level extracts that do not contain information about pupils and their characteristics which is considered to be identifying or described as sensitive personal data within the Data Protection Act 1998.</p> <p>For example, the extracts may include information about pupil attainment, prior attainment, progression and pupil absences but do not include any trivially identifying data items like names and addresses and any information about pupil characteristics other than gender.</p>	<input checked="" type="checkbox"/>

2.6. Further guidance about this form and how to request an extract from NPD can be found on the [NPD Online](#) website.

3. Data Request Form

Date: 22 October 2013

3.1. Details of the applicant

Contact details	
Name:	[REDACTED]
Organisation name:	Cabinet Office
Organisation Type (e.g. Academic Institution, Research Organisation, Media, Individual Citizen, etc):	Government Department
Address:	1 Horse Guards Road, London
Postcode:	SW1A 2HQ
Telephone:	[REDACTED]
Email address:	[REDACTED]

Other Users – Please give names of all those who will have access to the data, why they need access and what they will be accessing it for. (Each user will be required to complete Appendix C: Individual Declaration)

Name	Job Title	Reason for Access
[REDACTED]	[REDACTED]	NCS contract management
		NCS contract management

3.2. Details of Data Required

3.2.1. There are a range of data sources in the National Pupil Database providing detailed information about children's education at different stages (pre-school, primary and secondary education and further education). The data includes detailed information about pupils' test and exam results, prior attainment and progression at different Key Stages for all schools in the state sector in England. Attainment data is also held for pupils and students in non-maintained special schools, sixth form and Further Education (FE) colleges and (where available) independent schools.

3.2.2. The National Pupil Database also includes information about the characteristics of pupils in the state sector and non-maintained special schools such as gender,

UNCLASSIFIED

ethnicity, first language, eligibility for free school meals, information about Special Educational Needs (SEN) and detailed information about pupil absence and exclusions.

Dataset (Unamended Data is available for the most recent years data only)	Academic year available from
Early Years Foundation Stage Profile (EYFSP) (Reception – Age 4) (Unamended, Final)	2002/03
Key Stage 1 (Year 2 – Age 7) (Unamended, Final)	1997/98
Key Stage 2 (Year 6 – Age 11) (Unamended, Amended, Final)	1995/96
Year 7 Progress Tests (Year 7 – Age 12)	2000/01-2006/07
Key Stage 3 (Year 9 – Age 14) (Unamended, Amended, Final)	1997/98-2007/08
Key Stage 3 Teacher Assessment only	2008/09
Key Stage 4 (Year 11 – Age 16) (Unamended, Amended, Final)	2001/02
Key Stage 5 (Years 12-13 – Ages 16-18) (Unamended, Amended, Final)	2001/02
Pupil Level Annual School Census (PLASC) (Ages 3-18)	2001/02-2004/05 (secondary schools) 2001/02-2005/06 (nursery, primary, special schools)
School Census (formerly PLASC) (Ages 3-18) Spring census data is used within DfE as the main reference data, and provides the closest comparison to PLASC	Termly January 2006 (secondary schools) Termly January 2007 (nursery, primary and special schools)
School Census Post-16 Learning Aims (PLAMS) (Ages 16-18)	2006/07
School Census Absence (2 terms, 3 terms)	2006/07
School Census Exclusions (exclusion, enrolment, pupil level)	2006/07
Early Years Census (Ages 3-4) (Annual)	2007/08
Alternative Provision Census (Annual)	2007/08
Pupil Referral Unit (PRU) Census (Annual)	2009/10
Children Looked After (Ages 0-18)	2006
Children in Need Census	2008/09

Data available in Tier 3	Academic year available from
---------------------------------	-------------------------------------

UNCLASSIFIED

Key Stage 1 – School Level (Year 2 – Age 7) (Final)	2005/06
Key Stage 2 – School Level (Year 6 – Age 11) (Amended, Final)	2005/06
Key Stage 4 – School Level (Year 11 – Age 16) (Amended, Final)	2005/06
Key Stage 5 – School Level (Years 12-13 – Ages 16-18) (Amended, Final)	2005/06
Key Stage 1 – NPD (Year 2 – Age 7) (Final)	2005/06
Key Stage 2 – NPD (Year 6 – Age 11) (Amended, Final)	2005/06
Key Stage 3 – NPD (Year 9 – Age 14) (Amended, Final)	2005/06
Key Stage 4 – NPD (Year 11 – Age 16) (Amended, Final)	2005/06
School Census (formerly PLASC) (Ages 3-18) – School Level Spring census data is used within DfE as the main reference data, and provides the closest comparison to PLASC	2005/06
School Census Absence – School Level	2005/06
School Capacity – School Level	2009/10
Geographic Information	2005/06
Institution History – School Level	2005/06
Institution Link – School Level	2005/06

UNCLASSIFIED

Full details of the NPD information required			
Dataset (e.g. KS4, School Census)	Version (e.g. unamended, amended, final)	Linkage e.g. unmatched dataset or dataset matched to School Census and/or prior attainment	Academic year (for required dataset and any linked School Census)
Spring Census 2013			
Other 2013 Census			
If not found in 2013, please go back to 2006 for Ethnicity; 2004 for disability; and 2010 for FSM.			
For CLA_31_MARCH, please also use 2012 data, if not found in 2013.			
Also see s.3.3 below.			

Data Use Statement

Is this request:

New

Request to re-use data ☐

Previous Data Request Number issued by DfE:

What will the data be used for? Full information about your project including aims, audience and how it will be presented (giving details of the products/outputs that will be produced from your use of the data e.g. analysis, reports, tables, books and expected usage of these products)

Project Aims:

National Citizen Service (NCS) is the Government's flagship programme for youth. NCS aims to develop more confident, engaged and responsible young people (between the ages of 16 and 17), through a programme of personal development and social action. Programme phases include a week of 'outward bound' like physical and team building challenges, and implementation of a social action project in the young person's local community.

NCS is growing at great speed, providing up to 90,000 places in 2014 compared to 10,000 in 2011. The government announced in the recent spending review that National Citizen Service will continue to grow, with a target of 120,000 places set for 2015 and 150,000 places in 2016.

The independent evaluation of the 2012 NCS pilot is very encouraging: 92% of participants thought NCS gave them useful skills for the future; 98% would recommend the programme to a friend; and return on investment is now estimated at up to 2.8 times the

cost of delivery.

In order to evaluate programme accessibility to young people from harder to reach groups (and achievement of a social mixing goals), Cabinet Office aims to evaluate the recruitment by parties contracted to deliver NCS, using demographic data contained in the National Pupil Database:

- maintained or independent school
- ethnicity
- receipt of free school meals
- in care (or recently left care)
- with a statement of special educational needs
- disability type

Intended audience: Cabinet Office

Expected outputs:

The suggested data flow is as follows: Cabinet Office will supply DfE with a list of data matching information (first name, middle name, surname, date of birth, gender and postcode). DfE will use this information to identify NCS participants in the NPD. DfE will return matched data to Cabinet Office, with personal/identifying data removed from this file (see attachment). The data returned to Cabinet Office cannot facilitate identification of individual pupils, but will allow Cabinet Office to measure and improve, where necessary, NCS provider compliance with social mix minimum requirements.

Where not met, additional actions may be agreed to target Service Users from underrepresented groups to ensure that NCS is accessible and that Service Users participating in NCS have the opportunity to experience working with a social mix of their peers.

Any other details? e.g. have you previously worked with any other Government Departments?

NCS was jointly commissioned/managed by Cabinet Office and DfE during pilot phases in 2011 and 2012.

Cabinet Office has also undertaken recent data matching work with DfE for the Electoral Registration Transformation Project.

How long will you need access to the data for as part of this agreement?

This application proposes a one-time data exchange in order to evaluate the NPD as a tool to measure and improve NCS provider compliance with social mix requirements.

Data storage, retention and destruction

Storage

Data will be stored on a secure system (in line with the relevant controls within ISO 27001 and/or the HMG Security Policy Framework) which is password protected, and encrypted where appropriate, so that access to the NPD data is restricted to only those who are named within this agreement.



UNCLASSIFIED

The data will be stored at the address stated in the contact details.	
<u>Retention</u> Data will only be retained as long as is stated in paragraph 5.1.3 of the NPD User Guide and Protocol document. If the data is required longer then approval from DMAP, via the NPD Data Request team, will be obtained.	<input checked="" type="checkbox"/>
<u>Destruction</u> Data will be securely destroyed using file shredding software. Similarly, physical media will be destroyed using a high specification shredder with the functionality to irreversibly destroy the disk. The data will also be removed from any back up tapes that contain it. Confirmation that this has occurred will be given in writing (via email) to the NPD Data Request team.	<input checked="" type="checkbox"/>

Details of DfE project sponsor (if applicable)	
Title (Mr, Mrs, Ms, Dr, etc):	
Name:	
Job Title:	
Division/team:	
Contact Address:	
Telephone:	
Email:	
Declaration	
I, the DfE project sponsor named above confirm that I have read and understood the conditions of supply and conditions for processing of personal data set out in the Non-Disclosure Agreement Form, and will ensure that those conditions are complied with.	
Name/signature:	Date:

3.3. Requests for sensitive data items

3.3.1. There are two types of sensitive data items in the NPD: those that can be made less sensitive) by mapping; and those that cannot be made sufficiently less sensitive by mapping. The data items included in each section are outlined in the table below.

Type of sensitive data items	Data items	What the data items are mapped to
Data items that <u>can</u> be made less sensitive by mapping	Date of birth	Age of pupil at the start of the academic year Year and month of birth of pupil
	Ethnic code (extended ethnic codes)	Ethnic group (based on the 20 main ethnic codes)
	Language code (extended language codes)	Language group
	Home address including Postcode	Super Output Area (SOA) and other geographical areas
	Output Area (OA)	
	Pupil Matching Reference (PMR)	Anonymous Pupil Matching Reference
	Unique Pupil Numbers (UPN)	Anonymous Pupil Matching Reference
Data items that <u>cannot</u> be made less sensitive.	Unique Learner Numbers (ULN)	Anonymous Pupil Matching Reference
	Exam Candidate Number	
	Candidate ID	
	Names	
	Primary and Secondary special educational need (SEN) type, e.g. specific learning difficulty, hearing impairment etc.	
	Special Educational Needs	
	Service children in education indicator	
	Pupil's type of disability	
	Children in Need	
	Children Looked After (CLA)	
	Pupil Premium	
	Free School Meals (FSM)	
	Reasons for Absence	
	Reasons for Exclusions	
	Free School Meals (FSM)	

UNCLASSIFIED

Business Case for sensitive data items	
Please define the sensitive data item(s) that you require. e.g. Date of birth, Postcode etc.	Ethnic code SEN Pupil's type of disability Children Looked After CLA_31_MARCH 2013 and 2012 (in care or recently left care) Free School Meals 2012/13 Spring Census and 2011/12 and 2010/11 (recent receipt of FSM may also be a good indicator of deprivation).
What will you be using the sensitive data item(s) for?	Evaluating programme effectiveness; ensuring social mix requirements are met; developing strategies to improve social mix and programme accessibility to harder to reach groups of young people.
If you require Date of birth, Ethnic code or Home address (including Postcode), why are the mapped data item(s) not adequate for your needs? e.g. Why is year and month of birth of pupil not sufficient for Date of birth?	N/A - not required.

UNCLASSIFIED

NPD Data Request Application Pack

Appendix A: NPD Non-Disclosure Agreement Form

Appendix A: NPD Non-Disclosure Agreement Form – extracts of individual level data and tabulations

This form needs to be completed for all requests for data from the NPD.

Organisation: Cabinet Office

Responsible lead contact: [REDACTED]

Data custodian (senior officer): [REDACTED] (IAO)

NPD reference (for NPD Team use):

Sensitivities: (tick as appropriate to the data required)

Pupil Matching Reference (PMR)	<input type="checkbox"/>
Exam Candidate Number	<input type="checkbox"/>
Candidate ID	<input type="checkbox"/>
Names	<input type="checkbox"/>
Address	<input type="checkbox"/>
Postcode	<input type="checkbox"/>
Output Area	<input type="checkbox"/>
Date of Birth/Age	<input type="checkbox"/>
Unique Pupil Number (UPN)	<input type="checkbox"/>
Unique Learner Number (ULN)	<input type="checkbox"/>
Language	<input type="checkbox"/>
Ethnicity	<input checked="" type="checkbox"/>
Children Looked After (CLA)	<input checked="" type="checkbox"/>
Children in Need (CIN)	<input type="checkbox"/>
Pupil Premium	<input type="checkbox"/>
Free School Meals (FSM)	<input checked="" type="checkbox"/>
Special Educational Needs (SEN)	<input checked="" type="checkbox"/>
Service Child	<input type="checkbox"/>
Pupil's type of disability	<input checked="" type="checkbox"/>
Absences	<input type="checkbox"/>
Exclusions	<input type="checkbox"/>

Conditions of Supply

1. The data will only be used for the purposes set out in this document and agreed with the Department. For example, the purpose is to conduct research into the Educational Achievements of Pupils.
2. Where the data is being used to support work on behalf of the Department the parties agree that the Department is the Data Controller and that the 3rd party data user is the Data Processor. (Please tick if applicable to your request type) ☐

UNCLASSIFIED

3. Where the data is being used to support independent work the parties agree that the 3rd party data user is the Data Controller. (Please tick if applicable to your request type) ☒
4. The terms "Data Controller", "Data Processor", "Data Subject", "Personal Data" and "Sensitive Personal Data" shall have the meaning prescribed under the Data Protection Act 1998.

Conditions for processing of personal data

5. The information will be processed in accordance with the principles and conditions set out in the Data Protection Act 1998 and with proper safeguards to ensure confidentiality. Any identifiable and sensitive data will be held in a secure environment where any access can be traced. The Department will have the right to inspect and audit the security arrangements in place.
6. To comply with section 7 of the Data Protection Act 1998 with regards to rights of access to personal data.
7. No contact will be made with any individual(s) who could be identified from the data supplied unless agreed in advance by the Department via the NPD Requests team.
8. Non-identifiable Pupil data from the NPD must not be used to identify (or recognise) individual pupils and must be handled with proper regard to the confidentiality of individuals.
9. No attempt will be made to link the information supplied to any other data relating to identifiable individuals without the prior approval of the Department, via the NPD requests team. The prior agreement of the Department will also be required for any extension of this work using (or derived from) the data supplied by the Department, beyond that which was originally notified.
10. To employ appropriate organisational, operational and technical processes and procedures to keep any personal data safe from unauthorised use or access, loss, destruction, theft or disclosure. These measures shall be appropriate with regard to the nature of the Personal Data which is to be protected. More stringent security measures will be adopted in relation to sensitive data (and/or sensitive personal data) where harm or distress to individual pupils is likely to result from their identification as a result of any unauthorised or unlawful processing, inappropriate publication or dissemination or as a result of accidental loss, destruction or damage.
11. To take reasonable steps to ensure that any persons who have access to personal data will not process it other than on accordance with this agreement. Also to ensure that no individual or organisation, other than those specifically mentioned within this agreement will be allowed access to the data (except in the form of non-disclosive statistical tables or conclusions) without the written permission of the Department and where such permission is given to take reasonable steps to ensure that the other person(s) comply with the obligations set out in this Agreement.
12. To ensure that all specified persons accessing personal data are informed of the confidential nature of the data and comply with the conditions set out in this Agreement.

13. All information supplied by the Department (and any copies or potentially identifying tables produced from it) will be stored securely and securely destroyed (the Department can supply you with details on how to do this) when no longer required for the purposes for which it was supplied, or after one year whichever is the earlier. The Department reserves the right to check that this has been done. Should the data be required for longer than one year, approval must be sought *in advance* from the Department via the NPD Requests team.
14. To acknowledge that the Department is subject to the requirements of the Freedom of Information Act 2000 and the Environmental Information Regulations 2004 and, if required, to cooperate with the Department to enable the Department to comply with its information disclosure obligations by providing all necessary assistance as reasonably requested by the Department to enable the Department to respond to a Request for Information within the time for compliance set out in section 10 of the Freedom of Information Act 2000 or regulation 5 of the Environmental Information Regulations 2004.
15. Any reports, papers or statistical tables published or released to other organisations/individuals will fully protect the identity of individuals in accordance with the current guidance stated in Section 3.4 of the NPD User Guide and Protocol. Where there is doubt about the release of data/information, the advice of the NPD Requests Team will be sought. If, subsequent to release it appears that there is a risk of disclosure, the NPD Requests team will be informed immediately.
16. Any published NPD figure(s) at a local level must be based on no fewer than 3 cases or else suppressed (e.g. replaced with an asterisk, with a note "** in this table means a figure less than 3". Zero is allowed). Low-level analyses might facilitate the identification of individual pupils, especially with local knowledge. Care will be taken to ensure that values may not be more closely calculated by differencing from sub-totals.
17. Any published NPD figure(s) at a school level must be based on no fewer than 6 cases or else suppressed (e.g. replaced with an asterisk, with a note "** in this table means a figure less than 6". Zero is allowed). School-level analyses might facilitate the identification of individual pupils, especially with local knowledge. Care will be taken to ensure that values may not be more closely calculated by differencing from sub-totals.
18. I agree:
- to comply with all of the conditions for processing of personal data as set out in the paragraphs above.
 - that there is a legitimate need for this work which requires data containing the sensitivities indicated above.
 - to comply with the conditions for the fair processing of personal data set out in the Data Protection Act 1998.
 - that the data will be stored with the appropriate safeguards to prevent unauthorised access.

UNCLASSIFIED

- to site inspections being conducted by The Department for Education and to co-operate fully in allowing the DfE staff access to premises, documents and equipment to enable them to ensure that security measures and arrangements for storage and processing comply with the conditions of this agreement.
- that the data will not be used for any other purpose other than that for which it has been requested without the written permission of the Department.
- that the data will not be copied, published or transferred to any third party without the written consent of the Department. Note: output based on the data may be shared provided it abides by the conditions above.
- to give prior notice of intention to publish NPD data to the NPD Request Team and where feasible provide a copy of the published work.
- to ensure that any published work containing NPD data acknowledges the source: "National Pupil Database, Department for Education".
- to inform the Department immediately if custodianship of the data should change.

19. I, by having signed this form, take responsibility on behalf of **Cabinet Office** for ensuring the conditions of this agreement are fully complied with. I will ensure that the Department is informed of the name of any person who has access to the NPD data supplied by the Department and that the named individuals have signed a Declaration. I will inform the Department immediately should I no longer be responsible for the data [within this organisation] and will ensure that a substitute Declaration is signed. I understand that the Department has the right to check on the custodianship of the data.

Signed 
Name 
Date 22 Oct 2013

NPD Data Request Team:

NPD.REQUESTS@education.gsi.gov.uk

Please complete and return this form to the address above. The NPD data can only be sent once the signed agreement is received.

UNCLASSIFIED

NPD Data Request Application Pack

Appendix B: Customer Declaration

Appendix B: Customer declaration of use and non-disclosure

This form is a declaration that the conditions for use of the NPD data requested will be adhered to. It should be completed by a senior person within the organisation with responsibility for data protection and security issues. This person will be responsible for safeguarding the NPD data and for ensuring that all users of the data will abide by the conditions of supply. When complete please return to the Department via the NPD Requests Team. NPD data will not be supplied until the completed form has been received. Access for each user is dependent on receipt of their signed Declaration.

When complete, this form should be returned (as part of the completed application pack) to: NPD.REQUESTS@education.gsi.gov.uk

1. Data requested [Please outline here the data required]

Ethnic code

SEN

Pupil's type of disability

Children Looked After CLA_31_MARCH 2013 and 2012 (in care or recently left care)

Free School Meals 2012/13 Spring Census and 2011/12 and 2010/11 (recent receipt of FSM may also be a good indicator of deprivation).

2. Responsible Person Declaration and User List

I understand and agree to abide by the terms and conditions under which the NPD data tabulation/extract requested is to be supplied to me by the Department.

Signed:

Name: [REDACTED]

Organisation: Cabinet Office

Position in organisation: Deputy Director

Signature: [REDACTED]

Date: 28 Oct 2013

The following people will have access to the NPD data supplied. A signed Declaration for each person is attached. I will keep a copy of this list and notify the Department of any changes. I will forward a signed Declaration for any new users added.

[REDACTED]

