

Bord Oideachais agus Oiliúna Mhaigh Eo, Shligigh agus Liatroma Mayo, Sligo and Leitrim Education and Training Board

Mayo, Sligo and Leitrim Education and Training Board

Access Request Policy

Policy for responding to Requests for Records

Administrative Access, Data Protection Acts & Freedom of Information Act

MSLETB, Corporate Services Department, Newtown, Castlebar, Co. Mayo F23 DV78



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1. Introduction

This policy sets out how Mayo Sligo and Leitrim Education & Training Board (MSLETB) will manage requests for access to records held or created by MSLETB in the course of the performance of their functions.

Under Administrative Access all appropriate information will be made available to the requester having regard to privacy, confidentiality and the public interest. As a matter of policy MSLETB supports an individual's right to see what information is held about them within its service. Generally, access to a person's own information should be provided administratively (subject to certain exceptions).

MSLETB will comply fully with their legal obligations under the *Data Protection Acts, 1988 - 2018* and also under the *Freedom of Information Act, 2014*.

2. Purpose of Policy

The purpose of this policy is to set out how MSLETB will respond to requests for access to records. There are a number of ways in which individuals may seek access to records held by MSLETB and these include:-

- Under MSLETB's Administrative Access Policy
- Under the Data Protection Acts 1988 2018 (referred to as DP Act)
- Under the Freedom of Information Act 2014 (referred to as FOI Act)
- Under an Order for Discovery from the Courts
- By Court Order

MSLETB will also consider requests from third parties in appropriate circumstances including but not limited to the following:-

- Requests from solicitors acting on behalf of an individual
- Requests from An Garda Síochána
- Requests for access to children's records or an incapacitated person's records by a parent or guardian
- Requests for a deceased person's records.



1. Definitions

Word or Phrase	Meaning for the purpose of this policy	
Administrative Access	Routine access provided to certain records in appropriate	
	circumstances as defined by this Policy	
Decision Maker	Staff member(s) delegated the function of processing requests	
	for access to MSLETB records	
DP Act	Refers to the Data Protection Acts 1988 - 2018	
Employee	A person who is a staff member in MSLETB, e.g. a Teacher,	
	Special Needs Assistant, Administrative Officer. A person who	
	is or was contracted to work for MSLETB	
FOI Act	Refers to the Freedom of Information Act 2014	
Personal information	Information about an identifiable individual (living or	
	deceased) that would normally only be known to the	
	individual, members of their family and/or close friends and is	
	held by MSLETB on the understanding that it would be treated	
	as confidential. Examples of personal information held by	
	MSLETB include name, address, date of birth, educational	
	history, etc. For staff members of MSLETB this may include	
	their employment history, bank account details, pay details,	
	employee performance details, etc.	
Research Officer	Staff member(s) working with the Decision Maker to prepare	
	the files that are the subject of an access request	
Schedule of records	This is a detailed list of the contents of a file which provides a	
	description of each page and the decision as to whether to	
	release, part-release or withhold	
Special Category Data	Information relating to the physical or mental health of an	
	individual, religious beliefs, trade union membership, Garda	
	Vetting information, etc. (also referred to as sensitive data).	
Third party requests	This is when a request for access to personal records is	
	received from somebody who is not the subject of the records,	
	e.g. a Solicitor acting on behalf of the person; a family	
	member, next of kin or advocate of the person; An Garda	
	Síochána; a parent seeking access to their child's records; a	
	request for access to a deceased person's records	



1. Applying for Access to Records

1.1 Personal Information

Applications to access records must be received in writing and the requester should provide sufficient information to assist in locating files, including date of birth, current and previous addresses, and details of the contacts with MSLETB, for example if it is a student, the school attended and approximate dates.

If the requester is not known to you it will be necessary to request proof of identity, for example providing a copy of current passport or driver's licence.

1.2 Non-Personal Information

MSLETB will routinely publish details of the policies and procedures under which it operates on our website¹. Any records which are not available from the website may also be released to individuals on request.

1.3 Exceptions

Where access to a record or information cannot be provided directly under Administrative Access, the requester will be informed of this and advised of the option of making the most appropriate application under the DP Acts or FOI Act.

All FOI requests, on receipt, must be sent to:- freedomofinformation@msletb.ie

FOI Officer: Celina Leonard

FOI Research Officer: Stephen Fahy

1.4 Other Mechanisms for Access to Records

There are a number of other ways for individuals to access records including but not limited to:-

- Court Subpoena
- Search Warrant
- Court Orders
- Investigations by An Garda Síochána
- Request and/or Investigation by the Information Commissioner or Ombudsman
- By an Officer authorised in writing by the Minister.

¹ <u>http://mayosligoleitrim.etb.ie/</u>



1. Procedures for handling requests under Administrative Access Policy

This section of the policy should be used when the record is being **released in full** to the requester.

Stage of Process	Action required	Time frame
Step 1	Request received	
Step 2	Date stamp request	Immediately
Step 3	Forward to Decision Maker	As soon as possible
Step 4	Check validity of request	As soon as possible
Step 5	Acknowledge request	Within 3 to 5 days of receipt of valid request
Step 6	Gather records	As soon as possible
Step 7	Determine records to be released	Within 15 days of receipt of valid request
Step 8	Issue decision	Within 15 days of receipt of valid request

Step 1: Request received to access records

Requests may be received in writing, by telephone, by presenting to any MSLETB office or location, email, fax or any other form. For requests received by telephone or in person, the requester should be asked to confirm their request in writing and to provide copy of identification where appropriate. Details such as name, address and contact details should be included along with details of the records sought.



Step 2: Date stamp requests

Requests for access to records must be date stamped by the department or office who receives the request; this can be any department or office in MSLETB.

Step 3: Forward request to the appropriate Decision Maker for processing

Each School and Training Facility should have a nominated person for dealing with routine access requests. This can be the same person who processes Data Protection Access Decisions.

Step 4: Check validity of request

If the requester is not known to you, seek a copy of some form of identification, e.g. copy of driving licence or passport. The requester must provide sufficient information to enable the Decision Maker identify the records sought. If the information provided is insufficient, contact requester immediately to clarify request. Advise requester that the response deadline only applies once request is valid, i.e. once ID and clarification of records sought is received.

Step 5: Acknowledge receipt of the request and advise date response due

Requests should be acknowledged within 3 to 5 working days and responses must be issued within 15 working days of receipt of request. If additional time is required, the Decision Maker must write to the requester and inform them of the expected response date. The letter of acknowledgement must detail the contact details of the Decision Maker and the date by which the requester can expect to receive the response.

Step 6: Gather records that fall within the scope of the request

The records should be numbered (on the original file) or printed out and numbered so that the sequence of the records is clear.

Step 7: Determine whether records fall to be released in full

The Decision Maker will read each page/entry in the records and make a decision as to whether it is appropriate to release or not. Where the requester is the subject of the records every effort should be made to provide full access to the requester records. See also "When Administrative Access is not appropriate" for further details.

Step 8: If records are for full release, copy records and release the copy to requester

Each request requires a formal decision letter to issue along with a copy of the records. The decision letter must include the contact details of the Decision Maker should the requester have any further queries in relation to their request.

The requester should be offered an opportunity to collect the records. If this is not possible or practical then the records should be put in a sealed envelope, clearly addressed with "return to sender" information on the outside of the envelope and a cover note confirming full release. Where a requester seeks access to an electronic copy of the record, please ask the requester to confirm they are happy to receive their records by email. Once such confirmation is received, the records may be released electronically.



Ensure that no personal data / names are included on the subject line of the emails. Ensure also that all attachments or any personal data is encrypted / password protected before being sent by email.

If some or all of the records are not being released refer to other Sections of this policy as appropriate.

SECTION 5

1. When administrative access is not appropriate

The Decision Maker must not process a request under Administrative Access if the records contain the following types of information:-

- Information that may be prejudicial to the physical or mental well-being or emotional condition of the requester
- Information obtained in confidence from a third party
- If the requester is not the subject of the record, i.e. third party requests (except in certain circumstances)
- The request is for access to the records of a person who is deceased
- Documents about suspected or actual child abuse
- If release would endanger the life or health of an individual (including a staff member)
- Legal professional privilege
- Records that are the subject of an ongoing Garda investigation
- Records that are the subject of a Court Order or Order for Discovery
- And certain other circumstances that may arise from time to time.

Where the records requested contain such information, the request should be processed under either the DP Acts or the FOI Act; please see appropriate sections below. It is the responsibility of the Decision Maker to ensure that a request is processed under the most appropriate access policy; the Decision Maker should advise the requester of the policy being used and the relevant timeframes and appeal rights. If the access regime being used is different from that originally requested, the Decision Maker should explain their decision to the requester and quote the relevant sections of this policy.



1. Procedure for handling third party access requests

This section of the policy should be used to process requests from third parties where the requester is not the subject of the records being sought.

1.1 Requests from a Solicitor acting on behalf of a client

Steps 1 to 3

(See Section 4 for Steps 1 to 3 on Page 7)

Step 4: Check validity of request

Ensure that the request contains the written consent of the client to release the records to the solicitor. If consent is not included, contact the solicitor and advise that written consent is required to process the request. Once written consent is received, proceed with the request.

Steps 5 to 8 as above

1.2 Requests from An Garda Síochána

Steps 1 to 3

(See Section 4 for Steps 1 to 3 on Page 7)

Step 4: Check validity of request

Ensure that the request contains the written consent of the individual to release the records to An Garda Síochána. If consent is not included, contact the Garda and advise that written consent is required to process the request. Once written consent is received, proceed with the request.

If An Garda Síochána advise that consent is not appropriate, then their request must be made under Section 41 (b) of the *Data Protection Act, 2018*. This requires An Garda Síochána, not below the rank of Chief Superintendent, to make their request in writing and stating why the records are required.

Step 5: Acknowledge receipt of the request and advise date response due

Requests should be acknowledged within 3 working days and responses must be issued within 15 working days of receipt of request. If additional time is required, the Decision Maker should write to the Gardaí and inform them of the expected response date. The letter of acknowledgement must detail the contact details of the Decision Maker and the date by which the Gardaí can expect to receive the response.



Step 6: Gather records that fall within the scope of the request

The records must be numbered (on the original file) or printed out and numbered so that the sequence of the records is clear. It may be appropriate at this stage to invite An Garda Síochána to view the records held on the individual and for them to identify the particular records required for their stated purpose(s).

Step 7: Release required records to An Garda Síochána

Ensure that a copy of the request along with a copy of the decision letter and a detailed schedule of records released is retained on the individual's file for future reference.

1.3 Requests for access to children's records or an incapacitated person's records by a parent or guardian

Requests for access to a child's record or that of an incapacitated adult by a parent or guardian should be carefully considered; decisions made to release such records must always be in the best interests of the child or incapacitated adult.

Consideration of such requests should be in accordance with the Guidance Notes issued under Section 37 of the FOI Act 2014.

Steps 1 to 6 as above

(See Section 4 for Steps 1 to 6 on Page 7)

Step 7: Determine whether records fall to be released in full

The Decision Maker will read each page/entry in the records and make a decision as to whether it is appropriate to release or not. Where the requester is a parent or guardian and the individual is a child or incapacitated person, every care must be taken to ensure that release is in the best interests of the individual.

This requires the Decision Maker to consider certain factors that may be relevant to their decision including but not limited to:-

- The age of the child the closer the age of the child to 18 years the more weight should be placed on their opinion of the release of their information
- The nature of the incapacity, i.e. is it short-term or enduring
- The capacity of the individual to give consent, i.e. will the child understand the implications of release of the records? If so, you should consult the child as appropriate
- The nature of the records, i.e. are they routine records? Do they contain very sensitive, personal information of the child/incapacitated adult? Can the records be part-released?
- The nature of the relationship between the requester and the individual, i.e. is the child living at home with the parent? Is the requester the primary carer for the incapacitated person?



• Any other relevant information.

Each decision must be considered on its own merits and the decision to release or not to release must be made in the best interests of the individual. If it is your decision that the records should be released in full to the requester then please proceed to do so.

If in any doubt or you have concerns about any parts of the records being released, treat such a request as a request either under the Data Protection Acts or Freedom of Information Act and contact Corporate Services immediately on 094 9024188 (see contact details on page 6).

Step 8: Prepare a decision letter and schedule of records

The requester should be offered an opportunity to collect the records (ensuring you are satisfied as of their identity). If this is not possible or practical then the records should be put in a sealed envelope, clearly addressed with "return to sender" information on the outside of the envelope and a cover note confirming full release. If the records contain personal data of a sensitive nature, delivery must be made by registered post. Where a requester seeks access to an electronic copy of the record, please ask the requester to confirm they are happy to receive their records by email. Once such confirmation is received, the records may be released electronically. Ensure that no personal data / names are included on the subject line of the emails. Ensure also that all attachments or any personal data is encrypted / password protected before being sent by email.



1. Data Access Requests under the *Data Protection Acts 1988 - 2018*

An individual has the right to access the information that an organisation holds about them. Accessing personal data in this way is known as making a Data Access Request (DAR).

The *Data Protection Acts 1988 – 2018* (DP Acts) provide for a right of access to personal data relating to living individuals. In general, the DP Acts confer a right on each individual to access their own records subject to certain limitations.

The DP Acts should be relied on when Administrative Access is not appropriate thereby giving MSLETB the legal mechanisms to withhold information in certain circumstances whilst at the same time providing appeal rights to the requester.

When this mechanism is being considered it will mean there is concern about the release of the full record to the requester. The DP Acts allow for the withholding of certain data in certain circumstances under Section 60 of the DP Act, 2018, such as:

Section of DP Acts	Provision
60 (3)	Subject to <i>subsection (4),</i> the rights and obligations referred to in <i>subsection (1)</i> are restricted to the extent that –
	(a) the restrictions are necessary and proportionate—
	 (i) to safeguard cabinet confidentiality, parliamentary privilege, national security, defence and the international relations of the State, (ii) for the prevention, detection, investigation and prosecution of criminal offences and the execution of criminal penalties, (iii) for the administration of any tax, duty or other money due or owing to the State or a local authority in any case in which the non-application of the restrictions concerned would be likely to prejudice the aforementioned administration, (iv) in contemplation of or for the establishment, exercise or defence of, a legal claim, prospective legal claim, legal proceedings or prospective legal proceedings whether before a court, statutory tribunal, statutory body or an administrative or out-of-court procedure, (v) for the enforcement of civil law claims, including matters relating to any liability of a controller or processor in respect of damages, compensation or other liabilities or debts related to the claim, or (vi) for the purposes of estimating the amount of the liability of a controller on foot of a claim for the payment of a sum of money, whether in respect of damages or compensation, in any case in which the application of those
	offences and the execution of criminal penalties, (iii) for the administration of any tax, duty or other money due or owing the State or a local authority in any case in which the non-application of restrictions concerned would be likely to prejudice the aforementioned administration, (iv) in contemplation of or for the establishment, exercise or defence of, legal claim, prospective legal claim, legal proceedings or prospective leg proceedings whether before a court, statutory tribunal, statutory body of an administrative or out-of-court procedure, (v) for the enforcement of civil law claims, including matters relating to a liability of a controller or processor in respect of damages, compensatio other liabilities or debts related to the claim, or (vi) for the purposes of estimating the amount of the liability of a control on foot of a claim for the payment of a sum of money, whether in respect



the controller in relation to the claim,
(b) the personal data relating to the data subject consist of an expression of
opinion about the data subject by another person given in confidence or on
the understanding that it would be treated as confidential to a person who
has a legitimate interest in receiving the information, or
(c) the personal data concerned are kept—
(i) by the Commission for the performance of its functions,
(ii) by the Information Commissioner for the performance of his or her
functions, or
(iii) by the Comptroller and Auditor General for the performance of his or
her functions.

DARs must be responded to within one month (30 days) of receipt of the request. Where a request for access to personal data is either being partially granted or refused, the decision letter must include the following details:

- Statement of reasons for the refusal
- Relevant section of the Acts
- Date of decision
- Appeal rights
- Full schedule of records



1. Access requests under the *Freedom of Information Act 2014*

Since the 14th April 2015, MSLETB is an "FOI body" in accordance with the definition of a "public body" in Section 6 of the FOI Act 2014. This Act brings significant legal obligations and MSLETB undertakes to comply fully with both the spirit and provisions of the Act.

Records covered by the FOI Act:-

All records "in the possession of" MSLETB are covered by the FOI Act. This means all electronic and paper records, in any form, are covered including but not limited to:-

- Student files
- Personnel files
- Minutes of meetings
- Staff expense claims
- Emails
- Any other record in "the possession of" MSLETB.

What to do if you receive an FOI request:-

All FOI requests received in any school, centre, or office of MSLETB should, in the first instances, be copied immediately to:- <u>freedomofinformation@msletb.ie</u>

FOI Officer: Celina Leonard

FOI Research Officer: Stephen Fahy

Following discussion with the Decision Maker, it will be agreed as per the terms of this policy which Access regime is most appropriate for the specific request. If it is agreed that FOI is the most appropriate regime, the original copy of the files falling under the scope of the request should be forwarded immediately to the Research Officer.

Protocol for handling FOI request:-

In order to ensure that MSLETB meets its legal obligations, specific arrangements have been put in place and all MSLETB staff are expected to comply with these arrangements. Please refer to "Protocol for handling FOI requests" in Section 9.



2. Timelines for FOI Requests

The FOI Act details the specific obligations on FOI bodies in handling an FOI request including the timeframes for acknowledging receipt, responding and allowing an appeal; all timeframes are detailed below.

In order to ensure that MSLETB complies with these obligations, the Freedom of Information Unit in Corporate Services must respond to requests in the timeframe as set out below.

STAGE OF PROCESS	TIMEFRAME	SECTION OF FOI ACT
Acknowledge request	2 weeks from date of receipt of request	12(2)
Transfer request	2 weeks of date of receipt of request	12(3)
Advise of Search & Retrieval fees, seek deposit	2 weeks from date of receipt of request	27(4)
Issue decision letter	4 weeks from date of receipt of request	13(1)
Extension provision	Up to a maximum of 4 weeks additional	14(1)
Internal Review	Apply within 4 weeks of date of original decision	21(7)
Make internal review decision	3 weeks from date of receipt of internal review request	21(4)
Appeal to OIC	6 months from date of internal review decision	22(4)(b)
Appeal to OIC re S38	2 weeks from date of notification of decision	22(4)(a)
OIC issue decision	Within 4 months	22(3)



3. Steps in processing FOI Requests

1. Receiving an FOI Request

All FOI requests must be received in writing. If a requester contacts MSLETB and requires assistance to make their request, appropriate assistance will be provided by the FOI Unit to enable them exercise their rights under the FOI Act .

2. Requests that must be processed under FOI Act

- Requests for access to a deceased person's records
- Requests that are not appropriately dealt with under Administrative Access policy
- Requests for access to non-personal records that are not routinely published or available on request

3. On receipt of FOI Request

When an FOI request is received in MSLETB, in any office or location, it should be date stamped and copied immediately to the Research Officer (see contact details on page 6 and page 15).

4. Deciding the most appropriate route for the request

The Decision Maker will review the request and ensure it is valid. Validity is checked according to the list below:-

- Sufficient information about the identity of the requester
- Sufficient information to identify the records sought

In relation to both points above, it is up to the Decision Maker to satisfy him/herself as to the identity of the requester (section 37(2) of the FOI Act) and to also ensure that the request is clear enough to identify the records that fall within the scope of the request. The Decision Maker should work with the requester to assist them if sufficient information is not provided (section 11(2) & 12(2) of the FOI Act).

5. Consider best route for request

It will be the responsibility of the Decision Maker to advise the requester on the best access route for their request. Consideration will be given to release of records under the Administrative Access Policy, Data Protection Policy for personal records and this policy. The access route that will provide the requester with the greatest access to the requested records and, in cases where records are being withheld, the most appropriate appeal rights, should be recommended.

If it is decided that the request can be processed under Administrative Access, the Decision Maker should contact the requester to advise them of the reasons for this decision and the timeframes involved. The request should then be processed in accordance with the Administrative Access policy as set out above.



If the requester wishes to pursue their request under the FOI Act please forward it to the Research Officer immediately.

4. Roles and Responsibilities

The following personnel have been delegated the function of processing all FOI requests received by MSLETB:-

Title	Name & Contact Details	
Research Officer	Stephen Fahy (freedomofinformation@msletb.ie)	
	094 9024188	
Decision Maker	Celina Leonard (freedomofinformation@msletb.ie)	
	094 9024188	
Internal Reviewer	Orla Reilly (freedomofinformation@msletb.ie)	
	094 9024188	

Research Officer

All FOI requests received by MSLETB must be forwarded to the Research Officer immediately on receipt. Once it has been agreed that the request is to be processed under the FOI Act, the Research Officer will then process the request in accordance with this policy and the Act.

The duties of the Research Officer include the following:-

- Acknowledging receipt of the request
- Gathering the files that fall within the scope of the request
- Copying and Scheduling the records
- Consulting with relevant parties
- Preparing a decision letter for the FOI Decision Maker
- Collating Statistics on Access Requests
- Liaising with Access Officers in the various locations

Decision Maker

The Decision Maker will make a final decision on the records to be released. Their role will include:-

- Consulting with relevant parties prior to and following release as appropriate
- Make a final decision on what records are to be released
- Ensuring the broader implications of the release of records is considered and escalated as appropriate
- Be the nominated Liaison Officer with the Office of the Information Commissioner (OIC) and work with OIC on any appeals
- Take a lead role on the implementation of and compliance with the FOI Act.



Internal Reviewer

The Internal Reviewer will review any decision appropriately appealed by the requester; their role will include:-

- A complete review of the original decision
- Consulting with relevant parties prior to and following release as appropriate
- Make a final decision at internal review stage, i.e. affirm, vary or annul the original decision.

5. Processing an FOI Request

1. Acknowledgement

Once a valid FOI request is received the Research Officer will issue a formal acknowledgement letter.

2. Gather records that fall within the scope of the request

The records that fall within the scope of the request must be gathered, each page of the original file numbered and a schedule of records prepared. If records are being printed from computer, these must also be numbered and scheduled. Care should be taken to ensure that all records are included, i.e. emails, incident report forms, handwritten notes, etc.

3. Review records

Each page of the records should be read and sections highlighted where there is a concern about the release of particular sections or records. Examples of information that should not be released include:-

- Information about other people
- Information obtained in confidence
- Commercially sensitive information
- Legal professional privilege
- Information about an ongoing investigation or audit.

Please note, requests for access to a deceased person's records or access by parent/guardian to a child's records or those of an incapacitated person should be dealt with in accordance with the FOI Guidance Notes on the FOI Central Policy Unit website² and the Administrative Access policy.

4. Consultation

Where necessary, the Research Officer and the Decision Maker will consult with parties who may be affected by the release of records. The final decision on release will be made by the Decision Maker.

² <u>https://foi.gov.ie/</u>



5. Making the FOI decision

Care should be taken to ensure that information that should not be released (i.e. exempt information) is removed from the record prior to release. A full and clear copy of the records released to the requester must be retained in the case of future appeals.

6. Preparing the Decision

Complete the schedule of documents and prepare the decision letter based on the schedule. The decision letter must include the following:-

- Date of the decision
- Details of any exemption section being relied upon including the reasons why the exemption is being used
- Public interest factors considered (where appropriate)
- Appeal rights.

7. Releasing the records

The requester should be offered an opportunity to collect the response. If this is not feasible, the response must be sent to the requester by post in a properly addressed envelope with clear "return to sender" details on the front. If the records contain personal data of a sensitive nature, delivery must be made by registered post. Where a requester seeks access to an electronic copy of the record, please ask the requester to confirm they are happy to receive their records by email. Once such confirmation is received, the records may be released electronically. Ensure that no personal data / names are included on the subject line of the emails. Ensure also that all attachments or any personal data is encrypted / password protected before being sent by email.

6. Protocol for handling FOI Requests

Step	Action	Person responsible
1	On receipt of an FOI request, date stamp or	Decision Maker in
	write the date received on it	department, school or
		facility where FOI request is
		received
2	Scan or copy FOI request to Research Officer	As above
	immediately	
3	Discuss content of request with Research	As above
	Officer and agree how it will be handled	
4	If for full release, process under Administrative	As above
	Access policy as per above	
5	If concern about release or it necessitates	As above
	processing under FOI request, transfer to	
	Research Officer	
6	All original files that fall within the scope of the	As above
	request forwarded immediately to Research	
	Officer	



7	Research Officers processes request in	Research Officer
	accordance with policy as set out above	
8	Consultation will take place between relevant Service Manager and Research Officer/Decision Maker prior to release	Research Officer
9	Decision Maker has final decision on release of records and decision will issue from MSLETB	Decision Maker