



Department
for Education

The national pupil database

Data request application form

Introduction

National pupil database data

This application form should be used for requesting extracts of data from the National Pupil Database (NPD). Before making an application, please make sure that you have read all the accompanying information on the [GOV.UK NPD webpages](#) including the [NPD User Guide](#).

Please note that we will **NOT** consider applications for data more than three months in advance of the NPD data being required by the “Requester” or applications for the NPD data more than three months in advance of its release on the NPD (see ‘Timetables’ worksheet in [NPD Data Tables](#)). Additionally, only forms that are **completed in full** will be considered so please ensure every question is answered in full in order to avoid unnecessary delays.

This form and the [Information Security Questionnaire](#) should be filled in electronically and emailed back to the NPD Data Request team (NPD.REQUESTS@education.gsi.gov.uk).

Linked data

If you are applying for Linked data you need to apply using a different form which can be found on the [GOV.UK NPD webpages](#). Linked data is any combination of the following:

- NPD data linked to Individualised Learner Record (ILR) data;
- NPD data linked to Higher Education Statistics Agency (HESA) data;
- NPD data linked to ILR and HESA data; or
- ILR data linked to HESA data.

Who can request access to the data?

There is specific legislation which allows the Department for Education (DfE) to share individual pupil data with persons named in the [Education \(Individual Pupil Information\) \(Prescribed Persons\) \(England\) Regulations 2009](#). This includes schools, local authorities and some named agencies. These regulations also allow the department to disclose individual pupil data to persons who, for the purpose of promoting the education or well-being of children in England are conducting research or analysis, producing statistics, or providing information, advice or guidance.

To be granted access to extracts of the NPD requesters must comply with strict terms and conditions covering the confidentiality and handling of data, security arrangements, and retention and use of the data. They will have to demonstrate that they comply with all relevant requirements of the [Data Protection Act 1998](#), including that they:

- Are registered with the Information Commissioner’s Office to process personal data or fall within an exemption;
- Have appropriate security arrangements in place to process the data (by completing the Information Security Questionnaire);

- Intend to use the data only for the specified purpose in their request;
- Will keep the data only for the specified length of time;
- Will not further disclose, publish or pass on the data without the prior written approval of the Department for Education.

Requesters will need to sign an agreement to confirm this.

Any reports, papers, statistical tables, or other products published or released, must fully protect the identity of individuals.

Processing of NPD data request applications

When you make a request for NPD data it will be considered for approval by the Data Requests team with the exception of tier 1 data requests which will be assessed by the department's Data Management Advisory Panel. The Data Requests team will inform you of the outcome of the decision.

Where it is agreed to provide you with data, you will be provided with a [Schedule to the agreement for the supply of NPD data](#), which you will be required to sign and return. By signing this you will be agreeing to the terms and conditions set out in the [Agreement for the supply of NPD data](#). Alongside this, an [NPD individual declaration form](#) will need to be signed and returned for each permitted user.

Please keep a copy of all the documents, including completed forms, for your own records.

Publication of details of requests

DfE has a policy of publishing details of all requests it receives for NPD data on the [GOV.UK NPD webpages](#). The information published will include the following:

- Name of the requesting organisation;
- A summary of the aims of the project or research being carried out;
- Tier of data requested (recorded from 1 August 2012 onwards)
- Whether or not it is a Linked Data request; and
- Details of the outcome of the application.

For the avoidance of doubt, no personal data will be published by the DfE.

Application Form

| | |
|---|------------------------|
| 1 | Contact details |
| Contact Name (only one contact name to be provided) | |
| [REDACTED] | |
| E-mail Address | |
| [REDACTED] | |
| Please tick here if you do not want your E-mail Address to be shared with the Pupil Level User Group (PLUG) or carefully selected third parties (for the purposes of promoting research relating to education and child wellbeing). | |
| <input type="checkbox"/> | |
| Telephone | |
| [REDACTED] | |
| Name of organisation (including Department) | |
| MIME Consulting Ltd | |
| Position in organisation | |
| [REDACTED] | |
| If you are a student, please specify your supervising tutor and their telephone number and e-mail address | |
| n/a | |
| Name of organisation (or person) who will be entering into the Agreement for the supply of NPD data (the "Requester") | |
| The "Requester" will be the organisation (or person) who will be entering into the Agreement for the supply of data and to whom it will be agreed to supply the NPD data under this agreement. | |
| MIME Consulting Ltd | |
| Address of Requester (including postcode) | |
| MIME Consulting Office 13 64 Wingate Square London SW4 0AF | |
| Name of organisation (or person) who will be responsible for processing the data (the "Processor") (only required if different from "Requester" organisation (or person) above) | |
| The "Processor" will be any organisation (or person) other than an employee of the "Requester" who will be processing the data on behalf of the "Requester". | |
| [REDACTED] | |
| Address at which the data will be processed (only required if different from "Requester" address above) | |
| [REDACTED] | |

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| 2 Details of DfE involvement | |
| a Have you discussed your request in advance with DfE? (Please insert X if 'No') | |
| Yes – provide details of the member(s) of staff who have assisted you. | Y – [REDACTED] is familiar with our original request for unvalidated data |
| No | |
| b Has the project or research been sponsored / commissioned by DfE? (Please insert X if 'No') | |
| Yes - provide details of the DfE project sponsor(s) and their involvement in the project or research. | |
| No | x |
| c Has the project or research been sponsored / commissioned by another organisation? (Please insert X if 'No') | |
| Yes - provide details of the project sponsor(s), their organisation and their involvement in the project or research. | We have been asked to provide analysis of this data by a number of Local Authorities including Lewisham, Wandsworth and Southwark. |
| No | |

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| 3 Information Commissioner's Office (ICO) Registration | |
| a ICO Registration Number or Exemption Ground It is mandatory to provide a registration number unless you have a valid exemption. | |
| Z1059351 | |
| b ICO Registration Expiry Date It is mandatory to provide this where an ICO Registration Number has been provided above. Where your ICO Registration is due to expire within the next 3 months, please give details of what plans you have to renew this. | |
| 24th September 2016 | |

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|--|---------------------|---------------------------|--|---|
| 4 Previous applications to use or access NPD data | | | | |
| a Do you (or your organisation) currently have access to NPD or Linked Data? (Please insert X if 'No') To add an additional row to the table below, click to the right of the bottom row in the table and press 'Enter'. | | | | |
| Yes - provide details (as shown) of previous applications. | DR Reference | NPD/Linked request | Name of contact (responsible for submitting request) | Summary of data provided |
| | DR150824.03 | NPD | [REDACTED] | KS4 and KS5 <u>unvalidated</u> results and PLAMS data matched to Census for 2010-2015 |

| | | | | |
|---|--|-----|------------|--|
| | DR150807.01 | NPD | ██████████ | FSP, KS1, KS2, KS4, KS5 and PLAMS data matched to Census for 2011-2014 |
| | DR150310.04 | NPD | ██████████ | KS4 and KS5 results data for 2014 |
| No | | | | |
| b | Are you requesting approval to reuse any of the NPD data you have previously been granted access to as part of this request? (Please insert X if 'No / Not applicable') | | | |
| No - provide full details of what NPD data you wish to re-use (including the DR Reference(s) under which you were granted access to the data). | | | | |
| No / Not applicable | | | | |
| c | Are you requesting any additional NPD data to that you currently have access to? (Please insert X where relevant) | | | |
| Yes – Please insert an X and go on to section 5 (Enquiry details) . | | | x | |
| No – Please insert an X and move straight onto section 6 (Intended use of NPD data) . | | | | |

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| 5 | Enquiry details | | | |
| a | Specify the level(s) of data you require (Please insert an X for any that apply) | | | |
| Pupil level data | | x | | |
| School level data | | | | |
| b | NPD - Specify which datasets, academic years and versions are required along with any specific requirements relating to data linking and coverage. Please refer to the NPD user guide and NPD data tables for what is available from NPD. | | | |
| Examples: | | | | |
| <ol style="list-style-type: none"> Autumn School Census 2013/14 for Year 7 pupils linked to their prior KS2 attainment KS4 Candidate, Indicators and Exam level files 2008/09-2012/13 linked to Spring Census for corresponding year For a list of pupils which we will provide (as outlined in section 5d below): KS4 Candidate/Indicators 2007/08 linked to Spring School Census 2007/08 | | | | |
| We require validated KS4 and KS5 performance table data for 2014/15, matched to school census and prior attainment. This will be candidate and indicator files. | | | | |
| c | Specify which Tier 1 and/or Tier 2 NPD fields are required, explaining on a field by field basis why each item is required and why the same research outcome cannot be achieved by using less sensitive or disclosive data. | | | |

Please refer to the [NPD user guide](#) and [NPD data tables](#) for further details of what Tier 1 and Tier 2 fields are available.
To add an additional row to the table below, click to the right of the bottom row in the table and press 'Enter'.

| Data item | Tier (1 or 2) | Reason data item required |
|--|---------------|---|
| aPMR | 2 | To match datasets |
| Major and minor ethnic group | 2 | Practitioners involved in this project wish to explore if there are particular ethnic groups who under- (or over-) perform, and therefore ensure support is given to ethnic groups in need. |
| FSM (and FSM Ever) | 2 | So we can understand the links between deprivation and attainment. |
| SEN Provision | 2 | To specifically explore the links between SEN pupils and attainment, to ensure their needs are being met. |
| First Language (Major) | 2 | To specifically explore the links between EAL pupils and attainment, to ensure their needs are being met. |
| Gender | 2 | To specifically explore the links between gender and attainment, to understand how this can impact progression. |
| IDACI | 2 | So we can further understand links between deprivation, levels, pathways and subject choices. |
| Lower Super Output Area | 2 | So we can assign learners to individual local authorities of residence and wards. |
| Year and months of age at start of academic year | 2 | So we can understand those out of year group, and impact of term of birth. |
| Distance to school | 2 | To explore how distance from school can affect outcomes |

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| d | Do you require the NPD data you are requesting be matched with any other personal data you hold? (Please insert X if 'No') | |
| Yes | Please give details of the personal data you hold and propose to match to the NPD data. Additionally, please signify whether (and if so when) you will be able to provide any data to the department to enable us to match the data you hold to the NPD data, or whether you intend to match the data yourself. | |
| No | | x |

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| 6 | Intended use of NPD data |
| a | What are the aims of your project or research? Is there a specific question you are seeking to answer? |

We require the updated KS4 and KS5 data to provide more robust analysis for the following analysis (having previously used unvalidated data). The local authorities and schools we work with need to ensure the analysis is as accurate as possible to ensure changes made and strategies developed as a result of the analysis reflect robust data.

As with previous years (when we were given permission to use NPD data through similar data requests), we have been asked by a number of local authorities and partnerships to use raw data on KS4 and KS5 outcomes, post-16 curriculum data (from schools and colleges) and census data, to enable them to plan appropriate provision and support in 14-19 education, assess the quality of provision and implement remedial strategies where required. This is linked to the statutory role for LAs and schools in promoting effective participation of young people in their area (e.g. through Raising the Participation Age), 14-19 strategic planning, the coordination of post-16 education and obviously the requirements for schools to provide their young people with the best possible education.

Specifically, the analysis will assess:

- Analysis of attainment at KS4 and therefore likely requirements for different levels of provision post-16
- KS5 performance by school to enable the understanding of which schools and colleges are providing appropriate quality of provision, including the pathways that learners have taken from 14 to 19.
- The performance of 14-19 residents in each authority (as LAs have a requirement to promote the participation of the young people in their area as per: www.opsi.gov.uk/acts/acts2008/ukpga_20080025_en_1)
- The relative performance of different pupil groups so LAs and schools know whether to provide specific provision for (for example particular ethnic groups, and to understand where the progress of deprived pupils is of particular concern (for example in relation to the target for learners to progress to Level 3 by age 19).

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| b | Why do you need the NPD data requested to complete the aims of your project or research? You must ensure you specify whether you are conducting research or analysis, producing statistics or providing information, advice or guidance and how this work will promote the education or well-being of children in England. |
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The analysis we are producing from the NPD data will mean practitioners can adapt provision or adjust information, advice and guidance to ensure all the young people in their local authority have appropriate provision to ensure that they reach their potential and do not become NEET.

There is no other comprehensive dataset available to us to allow us to conduct this analysis, hence our requirement for NPD data.

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| c | <p>For processing of personal data, you must inform us of the condition(s) for processing on which you intend to rely on from Schedule 2 of the DPA. Where you also intend to process sensitive personal data, you must also inform us of the condition(s) for processing on which you intend to rely on from Schedule 3 of the DPA. <u>Please note:</u> If you require the NPD data you are requesting be matched with any personal data you hold (section 5d), you must specifically reference how the condition(s) for processing on which you intend to rely extend to cover this.</p> <p>The Data Protection Act (DPA) 1998 requires that data controllers have a fair and lawful basis for processing personal data. As existing controller of the data, DfE require an understanding of the basis on which the requester considers their processing will be fair and lawful. Part of that includes the requester explaining the condition(s) for processing on which they intend to rely. For the purposes of the NPD data process, sensitive personal data is personal data consisting of information as to the racial or ethnic origin of the data subject, or their physical or mental health or condition.</p> |
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Schedule 2 conditions:

6(1).The processing is necessary for the purposes of legitimate interests pursued by the data controller or by the third party or parties to whom the data are disclosed, except where the processing is unwarranted in any particular case by reason of prejudice to the rights and freedoms or legitimate interests of the data subject.

Schedule 3 conditions:

4(b):is carried out with appropriate safeguards for the rights and freedoms of data subjects

9(1). is necessary for the purpose of identifying or keeping under review the existence or absence of equality of opportunity or treatment between persons of different racial or ethnic origins, with a view to enabling such equality to be promoted or maintained

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| d | Who is the intended audience? |
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The outputs will be used by strategic leaders in schools in internal discussions on whether they are effectively preparing their pupils for post-primary education (for example, do pupils achieving level 5 at KS2 make expected progress when they leave primary school?), pupil groups to target, or specific areas of the curriculum that need improvement.

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| e | If the data is to be published or reproduced (where agreed disclosure control measures (see section j below) have been applied) what format will this be in? (Please insert an X for all that apply) |
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| | |
|--|---|
| Academic research paper | |
| Internal publication or report | x |
| Commercial publication for which no charge will be made | |
| Commercial publication for which a charge will be made | |
| Website general access | |
| Website with restricted access for which no charge will be made | |
| Website with restricted access for which a charge will be made | |
| Other (please give details) | |

f DfE has a policy of publishing details of all requests it receives for NPD data on the [GOV.UK NPD webpages](#), including a summary of the aims of the project or research being carried out. Please summarise your responses to 6a and 6b above (in no more than 150 words) for inclusion in this publication.

We are working with a number of local authorities to help them explore key stage 4 and 5 data to understand the schools, subjects, geographical areas and pupil groups that over or under perform. The analysis will be used to highlight areas for development, plan strategic policies and share good practice.

g **Details of all individuals who you propose to have access to the NPD data extracts including their name, job title, organisation and why it is necessary for them to have access. Individuals only seeing the aggregated results of any analysis (where agreed disclosure control measures (see section j below) have been applied) do not need to be listed.**

Please note that for all NPD data requests which include Tier 1 or Tier 2 NPD fields, a valid ‘basic disclosure’ certificate is required for each individual listed. This can be requested online from the [Disclosure Scotland](#) website (you don’t have to be from Scotland to do this). Each individual listed will be required to sign and return an [individual declaration](#) and a valid ‘basic disclosure’ certificate upon approval of a request.

To add an additional row to the table below, click to the right of the bottom row in the table and press ‘Enter’.

| Name | Job Title | Organisation | Reason for access to NPD data |
|------------|--------------|---------------------|--|
| ██████████ | ██████ | MIME Consulting Ltd | Quality assurance of analysis and production of visualisations using processed data |
| ██████████ | ██████████ | MIME Consulting Ltd | Processing of raw data in secure database and production of analysis and visualisation |
| ██████████ | Data Analyst | MIME Consulting Ltd | Quality assurance of analysis and production of visualisations using processed data |
| ██████████ | Data Analyst | MIME Consulting Ltd | Quality assurance of analysis and production of visualisations using processed data |
| | | | |

h **Where the individuals listed in “g” are from a different organisation to the “Requester” organisation, is there a contract in writing between the “Requester” organisation and the “Processor” organisation(s) and does this cover data protection and information security arrangements?** (Please insert X if ‘Not applicable’)

All organisations responsible for processing the NPD data will be required to complete the [Information Security Questionnaire](#).

Yes - Provide a summary of the contractual relationship and the data protection and information security arrangements in place.

| | |
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| No - Explain why no written contract is required and provide us with a summary of the data protection and information security arrangements in place? | |
| Not applicable - No additional organisations are listed in "g". | x |
| i | <p>When will you commence using the NPD data? How long are you seeking to retain the NPD data for? Why is this period necessary?</p> <p>Please note: The maximum licence period we permit is 3 years. Should you wish to retain the data for a longer period, you can apply for an extension at the earliest a period of 3 months before the Licence End Date and this may be extended at the discretion of the Disclosing Parties.</p> |
| <p>Commencing as soon as possible.</p> <p>We envisage that the analysis of the raw NPD data will be complete by December 2016. This period is set because we will be continuing to work with this data until this time, and newer versions are likely to be requested after this if the analysis is updated.</p> | |
| j | <p>Are you proposing to use the Standard Disclosure Control as set out in the NPD User Guide? (Please insert X if 'Yes')</p> |
| <p>Yes</p> | |
| <p>No - How will you ensure that the confidentiality of individuals is preserved in any outputs arising from your use of the NPD data?</p> | |

| | |
|--|---|
| 7 Format of NPD data extracts | |
| a | <p>What is your preferred file format for any NPD data extracts that you may receive? (Please insert X against your preference)</p> |
| <p>SPSS</p> | |
| <p>Tab-delimited text file</p> | |
| x | |
| <p>SQL database</p> | |
| b | <p>Which decryption / zip tool will you be using for any NPD data extracts you may receive? (e.g. WinZip, 7-zip)</p> <p>Please be aware that any NPD data extracts that are provided will be encrypted and zipped using WinZip in a .zipx file format. If this will be an issue then specify whether .zip would be a suitable alternative.</p> |
| <p>7-zip</p> | |
| c | <p>Name and e-mail address of individual responsible for picking up NPD data extracts (Must be a named individual in section 6g)</p> <p>Please be aware that once any NPD data extracts are created, they are uploaded to DfE's secure web transfer system where individuals are then set up with the relevant permissions to gain access to these extracts.</p> |
| <p style="background-color: black; color: black;">[REDACTED]</p> | |



Department
for Education

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