

Swallowtails  
Data Protection  
Policy

SWALLOWTAILS



Company number 16229932  
Registered In England and Wales

Approved by	Director
Initial Ratification	04/04/2025
Last review date	04/04/2026
Next review due	04/04/27
Version	2.0

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## 1. Aims

Our aim is to ensure that all personal data collected about staff, pupils, parents, visitors and other individuals is collected, stored and processed in accordance with the UK GDPR and the Data Protection Act 2018 (DPA 2018).

This policy applies to all personal data, regardless of whether it is in paper or electronic format.

## 2. Legislation and guidance

This policy meets the requirements of the GDPR and the DPA 2018. It is based on guidance published by the Information Commissioner's Office (ICO) on the GDPR.

It also reflects the ICO's code of practice for the use of surveillance cameras and personal information.

In addition, this policy complies with regulation 5 of the Education (Pupil Information) (England) Regulations 2005, which gives parents the right of access to their child's educational record.

## 3. Definitions

TERM	DEFINITION
Personal data	<p>Any information relating to an identified, or identifiable, living individual.</p> <p>This may include the individual's:</p> <ul style="list-style-type: none"><li>• Name (including initials)</li><li>• Identification number</li><li>• Location data</li><li>• Online identifier, such as a username</li></ul> <p>It may also include factors specific to the individual's physical, physiological, genetic, mental, economic, cultural or social identity.</p>
Special categories of personal data	<p>Personal data which is more sensitive and so needs more protection, including information about an individual's: Racial or ethnic origin</p> <p>Political opinions</p>

	<p>Religious or philosophical beliefs</p> <p>Trade union membership</p> <p>Genetics</p> <p>Biometrics (such as fingerprints, retina and iris patterns), where used for identification purposes</p> <p>Health – physical or mental</p> <p>Sex life or sexual orientation</p>
Processing	<p>Anything done to personal data, such as collecting, recording, organising, structuring, storing, adapting, altering, retrieving, using, disseminating, erasing or destroying.</p> <p>Processing can be automated or manual.</p>
Data subject	<p>The identified or identifiable individual whose personal data is held or processed.</p>
Data controller	<p>A person or organisation that determines the purposes and the means of processing of personal data.</p>
Data processor	<p>A person or other body, other than an employee of the data controller, who processes personal data on behalf of the data controller.</p>
Personal data breach	<p>A breach of security leading to the accidental or unlawful destruction, loss, alteration, unauthorised disclosure of, or access to, personal data.</p>

#### 4. The Data Controller

Swallowtails processes personal data relating to parents, pupils, staff, visitors and others, and therefore is a data controller. Swallowtails is a limited company.

## **5. Roles and Responsibilities**

This policy applies to all staff employed by Swallowtails, and to external organisations or individuals working on our behalf. Staff who do not comply with this policy may face disciplinary action.

### **5.1 Data Protection Officer**

The data protection officer (DPO) is responsible for overseeing the implementation of this policy, monitoring our compliance with data protection law, and developing related policies and guidelines where applicable.

They will provide reports of their activities directly to our Director and, where relevant, report to them their advice and recommendations on data protection issues.

Our Data Protection Officer is Matthew Hutchinson and can be contacted on 07776902116.

### **5.2 The Director**

The Director acts as the representative of the data controller on a day-to-day basis.

### **5.3 All Staff**

Staff are responsible for collecting, storing and processing any personal data in accordance with this policy. They are also responsible for informing the Director of any changes to their personal data, such as a change of address by contacting the Director in the following circumstances:

- With any questions about the operation of this policy, data protection law, retaining personal data or keeping personal data secure
- If they have any concerns that this policy is not being followed
- If they are unsure whether or not they have a lawful basis to use personal data in a particular way
- If they need to rely on or capture consent, draft a privacy notice, deal with data protection rights invoked by an individual, or transfer personal data outside the European Economic Area
- If there has been a data breach

- Whenever they are engaging in a new activity that may affect the privacy rights of individuals
- If they need help with any contracts or sharing personal data with third parties

## **6. Data Protection Principles**

The GDPR is based on data protection principles that we must comply with.

The principles say that personal data must be:

- Processed lawfully, fairly and in a transparent manner
- Collected for specified, explicit and legitimate purposes
- Adequate, relevant and limited to what is necessary to fulfil the purposes for which it is processed
- Accurate and, where necessary, kept up to date
- Kept for no longer than is necessary for the purposes for which it is processed
- Processed in a way that ensures it is appropriately secure

This policy sets out how Swallowtails aims to comply with these principles.

## **7. Collecting Personal Data**

### **7.1 Lawfulness, Fairness and Transparency**

We will only process personal data where we have one of 6 ‘lawful bases’ (legal reasons) to do so under data protection law:

The data needs to be processed so that Swallowtails can fulfil a contract with the individual, or the individual has asked Swallowtails to take specific steps before entering into a contract

- The data needs to be processed so that Swallowtails can comply with a legal obligation
- The data needs to be processed to ensure the vital interests of the individual or another person i.e. to protect someone’s life
- The data needs to be processed so that Swallowtails, as a public authority, can perform a task in the public interest or exercise its official authority
- The data needs to be processed for the legitimate interests of Swallowtails (where the processing is not for any tasks Swallowtails

performs as a public authority) or a third party, provided the individual's rights and freedoms are not overridden

- The individual (or their parent/carer when appropriate in the case of a pupil) has freely given clear consent
- For special categories of personal data, we will also meet one of the special category conditions for processing under data protection law:
  - The individual (or their parent/carer when appropriate in the case of a pupil) has given explicit consent
  - The data needs to be processed to perform or exercise obligations or rights in relation to employment, social security or social protection law
  - The data needs to be processed to ensure the vital interests of the individual or another person, where the individual is physically or legally incapable of giving consent
  - The data has already been made manifestly public by the individual
  - The data needs to be processed for the establishment, exercise or defence of legal claims
  - The data needs to be processed for reasons of substantial public interest as defined in legislation
  - The data needs to be processed for health or social care purposes, and the processing is done by, or under the direction of, a health or social work professional or by any other person obliged to confidentiality under law
  - The data needs to be processed for public health reasons, and the processing is done by, or under the direction of, a health professional or by any other person obliged to confidentiality under law
  - The data needs to be processed for archiving purposes, scientific or historical research purposes, or statistical purposes, and the processing is in the public interest.

For criminal offence data, we will meet both a lawful basis and a condition set out under data protection law. Conditions include:

- The individual (or their parent/carer when appropriate in the case of a pupil) has given consent

- The data needs to be processed to ensure the vital interests of the individual or another person, where the individual is physically or legally incapable of giving consent
- The data has already been made manifestly public by the individual
- The data needs to be processed for or in connection with legal proceedings, to obtain legal advice, or for the establishment, exercise or defence of legal rights
- The data needs to be processed for reasons of substantial public interest as defined in legislation

Whenever we first collect personal data directly from individuals, we will provide them with the relevant information required by data protection law.

We will always consider the fairness of our data processing. We will ensure we do not handle personal data in ways that individuals would not reasonably expect, or use personal data in ways which have unjustified adverse effects on them.

## **7.2 Limitation, Minimisation and Accuracy**

We will only collect personal data for specified explicit and legitimate reasons. We will explain these reasons to the individuals when we first collect their data.

If we want to use personal data for reasons other than those given when we first obtained it, we will inform the individuals concerned before we do so and seek consent where necessary. Staff must only process personal data where it is necessary to do their jobs.

We will keep data accurate and, where necessary, up to date. Inaccurate data will be rectified or erased when appropriate.

In addition, when staff no longer need the personal data they hold, they must ensure it is deleted or anonymised.

## **8. Sharing Personal Data**

We will not normally share personal data with anyone else without consent, but there are certain circumstances where we may be required to do so. These include, but are not limited to, situations where there is an issue with a pupil or

parent/carer that puts the safety of our staff at risk, we need to liaise with other agencies (we will seek consent as necessary before doing this) or our suppliers or contractors need data to enable us to provide services to our staff and pupils – for example, IT companies. When doing this, we will:

- Only appoint suppliers or contractors which can provide sufficient guarantees that they comply with data protection law
- Establish a contract with the supplier or contractor to ensure the fair and lawful processing of any personal data we share.
- Only share the personal data necessary for the supplier or contractor to carry out their service.

We will also share personal data with law enforcement and government bodies where we are legally required to do so.

We may also share personal data with emergency services and local authorities to help them to respond to an emergency situation that affects any of our pupils or staff.

Where we transfer personal data internationally, we will do so in accordance with data protection law.

## **9. Subject Access Requests**

### **9.1 Subject Access Requests and Other Rights of Individuals**

Individuals have a right to make a ‘subject access request’ to gain access to personal information that Swallowtails holds about them. This includes:

- Confirmation that their personal data is being processed
- Access to a copy of the data
- The purposes of the data processing
- The categories of personal data concerned
- Who the data has been, or will be, shared with
- How long the data will be stored for, or if this isn’t possible, the criteria used to determine this period
- Where relevant, the existence of the right to request rectification, erasure or restriction, or to object to such processing

- The right to lodge a complaint with the ICO or another supervisory authority
- The source of the data, if not the individual
- Whether any automated decision-making is being applied to their data, and what the significance and consequences of this might be for the individual
- The safeguards provided if the data is being transferred internationally

Subject access requests can be submitted in any form, but we may be able to respond to requests more quickly if they are made in writing and include:

- Name of individual
- Correspondence address
- Contact number and email address
- Details of the information requested

If staff receive a subject access request in any form they must immediately forward it to the DPO.

## **9.2 Children and Subject Access Requests**

Personal data about a child belongs to that child, and not the child's parents or carers. For a parent or carer to make a subject access request with respect to their child, the child must either be unable to understand their rights and the implications of a subject access request or have given their consent.

Children aged 12 and above are generally regarded to be mature enough to understand their rights and the implications of a subject access request. Therefore, most subject access requests from parents or carers of pupils at Swallowtails may not be granted without the express permission of the pupil. This is not a rule and a pupil's ability to understand their rights will always be judged on a case-by-case basis.

## **9.3 Responding to Subject Access Requests**

When responding to requests, we:

- May ask the individual to provide 2 forms of identification
- May contact the individual via phone to confirm the request was made
- Will respond without delay and within 1 month of receipt of the request (or receipt of the additional information needed to confirm identity, where relevant)
- Will provide the information free of charge
- May tell the individual we will comply within 3 months of receipt of the request, where a request is complex or numerous. We will inform the individual of this within 1 month, and explain why the extension is necessary
- We may not disclose information for a variety of reasons, such as if it:
  - Might cause serious harm to the physical or mental health of the pupil or another individual
  - Would reveal that the child is being or has been abused, or is at risk of abuse, where the disclosure of that information would not be in the child's best interests
  - Would include another person's personal data that we can't reasonably anonymise, and we don't have the other person's consent, and it would be unreasonable to proceed without it
  - Is part of certain sensitive documents, such as those related to crime, immigration, legal proceedings or legal professional privilege, management forecasts, negotiations, confidential references, or exam scripts

If the request is unfounded or excessive, we may refuse to act on it, or charge a reasonable fee to cover administrative costs. We will consider whether the request is repetitive in nature when making this decision.

When we refuse a request, we will tell the individual why, and tell them they have the right to complain to the ICO or they can seek to enforce their subject access right through the courts.

#### **9.4 Other data protection rights of the individual**

In addition to the right to make a subject access request (see above), and to receive information when we are collecting their data about how we use and process it, individuals also have the right to:

- Withdraw their consent to processing at any time
- Ask us to rectify, erase or restrict processing of their personal data (in certain circumstances)
- Prevent use of their personal data for direct marketing
- Object to processing which has been justified on the basis of public interest, official authority or legitimate interests
- Challenge decisions based solely on automated decision making or profiling (i.e. making decisions or evaluating certain things about an individual based on their personal data with no human involvement)
- Be notified of a data breach (in certain circumstances)
- Make a complaint to the ICO
- Ask for their personal data to be transferred to a third party in a structured, commonly used and machine readable format (in certain circumstances)

Individuals should submit any request to exercise these rights to the DPO. If staff receive such a request, they must immediately forward it to the DPO.

## **10. Photographs and videos**

As part of our activities, we may take photographs and record images of individuals.

We will obtain written consent from parents/carers for photographs and videos to be taken of pupils for communication, marketing and promotional materials.

Where we need parental consent, we will clearly explain how the photograph and/or video will be used to both the parent/carer and pupil. Where we don't need parental consent, we will clearly explain to the pupil how the photograph and/or video will be used.

Any photographs and videos taken by parents/carers at Swallowtails events for their own personal use are not covered by data protection legislation. However, we will ask that photos or videos with other children are not shared publicly on social media for safeguarding reasons, unless all the relevant parents/carers (or pupils where appropriate) have agreed to this.

Where Swallowtails takes photographs and videos, uses may include:

- Online on our website
- Brochure, leaflets and newsletters

Consent can be refused or withdrawn at any time. If consent is withdrawn, we will delete the photograph or video and not distribute it further.

When using photographs and videos in this way we will not accompany them with any other personal information about the child, to ensure they cannot be identified.

See our safeguarding policy for more information on our use of photographs and videos.

## **11. Data protection by design and default**

We will put measures in place to show that we have integrated data protection into all of our data processing activities, including:

- Appointing a suitably qualified DPO, and ensuring they have the necessary resources to fulfil their duties and maintain their expert knowledge
- Only processing personal data that is necessary for each specific purpose of processing, and always in line with the data protection principles set out in relevant data protection law (see section 6)
- Completing data protection impact assessments where Swallowtails processing of personal data presents a high risk to rights and freedoms of individuals, and when introducing new technologies (the DPO will advise on this process)
- Integrating data protection into internal documents including this policy, any related policies and privacy notices
- Regularly training members of staff on data protection law, this policy, any related policies and any other data protection matters; we will also keep a record of attendance
- Regularly conducting reviews and audits to test our privacy measures and make sure we are compliant
- Appropriate safeguards being put in place if we transfer any personal data outside of the European Economic Area (EEA), where different data protection laws will apply
- Maintaining records of our processing activities, including:

- For the benefit of data subjects, making available the name and contact details of Swallowtails and DPO and all information we are required to share about how we use and process their personal data (via our privacy notices)
- For all personal data that we hold, maintaining an internal record of the type of data, type of data subject, how and why we are using the data, any third-party recipients, any transfers outside of the EEA and the safeguards for those, retention periods and how we are keeping the data secure

## **12. Data security and storage of records**

We will protect personal data and keep it safe from unauthorised or unlawful access, alteration, processing or disclosure, and against accidental or unlawful loss, destruction or damage.

In particular:

- Avoid taking anything containing personal data away from Swallowtails unless absolutely necessary
- Paper-based records and portable electronic devices, such as laptops and hard drives that contain personal data, are kept under lock and key when not in use
- Papers containing confidential personal data must not be left on office desks, or left anywhere else where there is general access
- Where personal information needs to be taken off site, staff must take security measures to ensure these are adequately protected.
- Passwords that are at least 8 characters long containing letters (upper and lower case), numbers, and symbols are used to access Swallowtails computers, laptops and other electronic devices. Staff and pupils are reminded that they should not reuse passwords from other sites.
- Staff, pupils or the Director who store personal information on their personal devices are expected to follow the same security procedures as for Swallowtails equipment (see our online safety policy/acceptable use agreement) and should avoid storing personal data on their own devices wherever possible

- Where we need to share personal data with a third party, we carry out due diligence and take reasonable steps to ensure it is stored securely and adequately protected

### **13. Disposal of records**

Personal data that is no longer needed will be disposed of securely. Personal data that has become inaccurate or out of date will also be disposed of securely, where we cannot or do not need to rectify or update it.

For example, we will shred or incinerate paper-based records, and overwrite or delete electronic files. We may also use a third party to safely dispose of records on Swallowtails' behalf. If we do so, we will require the third party to provide sufficient guarantees that it complies with data protection law.

### **14. Personal data breaches**

Swallowtails will make all reasonable endeavours to ensure that there are no personal data breaches.

In the unlikely event of a suspected data breach, we will follow the procedure set out in appendix 1.

When appropriate, we will report the data breach to the ICO within 72 hours after becoming aware of it. Such breaches in the context of our setting may include, but are not limited to:

- Safeguarding information being made available to an unauthorised person
- The loss or theft of non-encrypted personal data about pupils

### **15. Training**

All staff and the Director are provided with data protection training as part of their induction process.

Data protection will also form part of continuing professional development, where changes to legislation, guidance or Swallowtails processes make it necessary.

## **16. Monitoring arrangements**

The DPO is responsible for monitoring and reviewing this policy along with the Director.

This policy will be reviewed annually.

## **Appendix 1: Personal Data Breach Procedure**

This procedure is based on guidance on personal data breaches produced by the ICO.

On finding or causing a breach, or potential breach, the staff member or data processor must immediately notify the DPO. The DPO will investigate the report, and determine whether a breach has occurred. To decide, the DPO will consider whether personal data has been accidentally or unlawfully:

- Lost
- Stolen
- Destroyed
- Altered
- Disclosed or made available where it should not have been
- Made available to unauthorised people

The DPO will make all reasonable efforts to contain and minimise the impact of the breach, assisted by relevant staff members or data processors where necessary (actions relevant to specific data types are set out at the end of this procedure).

The DPO will assess the potential consequences, based on how serious they are, and how likely they are to happen.

The DPO will work out whether the breach must be reported to the ICO. This must be judged on a case-by-case basis. To decide, the DPO will consider whether the breach is likely to negatively affect people's rights and freedoms, and cause them any physical, material or non-material damage (e.g. emotional distress), including through:

- Loss of control over their data
- Discrimination
- Identity theft or fraud
- Financial loss
- Unauthorised reversal of pseudonymisation (for example, key-coding)
- Damage to reputation
- Loss of confidentiality

- Any other significant economic or social disadvantage to the individual(s) concerned. If it's likely that there will be a risk to people's rights and freedoms, the DPO must notify the ICO.

The DPO will document the decision (either way), in case it is challenged at a later date by the ICO or an individual affected by the breach. Documented decisions are stored in the form of a breach register.

Where the ICO must be notified, the DPO will do this via the 'report a breach' page of the ICO website, or through their breach report line (0303 123 1113), within 72 hours. As required, the DPO will set out a description of the nature of the personal data breach including, where possible:

- The categories and approximate number of individuals concerned
- The categories and approximate number of personal data records concerned
- The name and contact details of the DPO
- A description of the likely consequences of the personal data breach
- A description of the measures that have been, or will be taken, to deal with the breach and mitigate any possible adverse effects on the individual(s) concerned

If all the above details are not yet known, the DPO will report as much as they can within 72 hours. The report will explain that there is a delay, the reasons why, and when the DPO expects to have further information. The DPO will submit the remaining information as soon as possible.

The DPO will also assess the risk to individuals, again based on the severity and likelihood of potential or actual impact. If the risk is high, the DPO will promptly inform, in writing, all individuals whose personal data has been breached. This notification will set out:

- A description, in clear and plain language, of the nature of the personal data breach
- The name and contact details of the DPO
- A description of the likely consequences of the personal data breach

- A description of the measures that have been, or will be, taken to deal with the data breach and mitigate any possible adverse effects on the individual(s) concerned

As above, any decision on whether to contact individuals will be documented by the DPO.

The DPO will notify any relevant third parties who can help mitigate the loss to individuals – for example, the police, insurers, banks or credit card companies

The DPO will document each breach, irrespective of whether it is reported to the ICO. For each breach, this record will include the:

- Facts relating to the breach
- Effects
- Action taken to contain it and ensure it does not happen again (such as establishing more robust processes or providing further training for individuals)

The Director will meet to review what happened and how it can be stopped from happening again. This meeting will happen as soon as reasonably possible.

## **Appendix 2: Swallowtails Privacy Notice**

Swallowtails Limited collects, stores and uses personal information so that it can provide safe, appropriate alternative provision and meet its safeguarding, legal and contractual responsibilities.

### **Who we are**

Swallowtails Limited is responsible for the personal information it uses in connection with its services.

### **Contact details**

Matthew Hutchinson

Data Protection Officer

swallowtailsap@gmail.com

07776902116

ICO registration reference: ZB984722

### **Whose information we may use**

We may use personal information about:

- children and young people attending Swallowtails
- parents and carers
- commissioning schools and local authorities
- 

### **What information we may collect or receive**

This may include:

- names, addresses, dates of birth and contact details
- emergency contact details
- school and placement information
- attendance, progress and review information
- safeguarding information
- SEND, medical or wellbeing information where relevant to safe delivery
- correspondence, referral documents and risk information
- 

### **Why we use this information**

We use this information to:

- plan and deliver suitable provision
- keep children and young people safe
- understand needs and risks
- communicate with parents, carers, schools and commissioners
- record attendance, progress, incidents and reviews
- meet legal, safeguarding and contractual duties

### **Who we may share information with**

We may share information, where necessary and appropriate, with:

- commissioning schools
- local authorities
- safeguarding services
- relevant professionals involved in supporting the child or young person
- emergency services where required by safety concerns or urgent need

Information is only shared where it is relevant, necessary, and on a need-to-know basis.

### **How information is stored**

Information is stored electronically using password-protected Google services and password-protected devices used for service delivery and administration. Access is limited to authorised persons only.

### **How long information is kept**

Information is kept only for as long as necessary for the purpose of the placement, safeguarding responsibilities and legal requirements. Where appropriate, safeguarding information is transferred securely to the receiving school at the end of placement. If a child is not on a school roll, records may be retained for 3 years and then securely deleted.

### **Your rights**

You have the right to ask about the information held about you or your child. You may also ask for information to be corrected if it is inaccurate, and in some circumstances ask for its use to be restricted or for it to be deleted.

### **Questions or concerns**

If you have any questions about how information is used, please contact Matthew Hutchinson using the details above.