



# THE EDUCATION ALLIANCE DATA PROTECTION POLICY

## VERSION 5.3

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<p><b>NAME OF RESPONSIBLE COMMITTEE/INDIVIDUAL:</b></p>	<p>AUDIT AND RISK COMMITTEE</p>
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## **POLICY STATEMENT**

We are here to make great schools and happier, stronger communities so that people have better lives. We do this by:

- Always doing what is right
- Trusting in each other and standing shoulder to shoulder
- Doing what we know makes the difference

Doing what is right means always acting with integrity, in the interests of others and being honest, open and transparent.

The Education Alliance (the Trust) understands its obligations under Data Protection legislation and ensure all employees adhere to the Act, minimising the risk of unintentional breaches.

### **1. BACKGROUND**

The purpose of data protection legislation<sup>1</sup> is to protect the ‘rights and freedoms’ of natural persons (i.e. living individuals).

Data protection legislation applies to all data controllers that are established in the UK, who process the personal data of data subjects. It also applies to data controllers outside of the UK that process personal data in order to offer goods and services, or monitor the behaviour of data subjects who are resident in the UK.

The Information Commissioner oversees compliance and promotes good practice, regulating all organisations and individuals who process personal data. This Data Protection Policy applies to all personal data held by The Education Alliance. The policy aims to ensure those individuals’ rights and freedoms are protected, preventing personal data being mistreated or used to deny access to services. The policy will be used to ensure that the personal data The Education Alliance holds is used fairly and lawfully, in line with data protection legislation.

This policy will be reviewed on a biennial basis to ensure that it reflects changes to existing legislation, and any new legislation.

### **2. DEFINITIONS FOR THE PURPOSES OF THIS POLICY**

For the purposes of this policy, the following definitions are in relation to Data Protection.

Personal data – any information relating to an identified or identifiable natural person ('data subject'); an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person.

Special categories data – personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, or trade-union membership, and the processing of genetic

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<sup>1</sup> “The data protection legislation” means—

(i) the UK General Data Protection Legislation (UK GDPR) (ii) the Data Protection Act 2018 (DPA 2018) to the extent that it relates to processing of personal data and privacy; (iii) all applicable Law about the processing of personal data and privacy.

data, biometric data for the purpose of uniquely identifying a natural person, data concerning health or data concerning a natural person's sex life or sexual orientation.

Data controller – the natural or legal person, public authority, agency or other body which, alone or jointly with others, determines the purposes and means of the processing of personal data.

Data subject – any living individual who is the subject of personal data held by an organisation.

Processing – any operation or set of operations which is performed on personal data or on sets of personal data, whether or not by automated means, such as collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction.

Profiling – is any form of automated processing of personal data intended to evaluate certain personal aspects relating to a natural person, or to analyse or predict that person's performance at work, economic situation, location, health, personal preferences, reliability, or behavior. This definition is linked to the right of the data subject to object to profiling and a right to be informed about the existence of profiling, of measures based on profiling and the envisaged effects of profiling on the individual.

Personal data breach (PDB) – a breach of security leading to the accidental, or unlawful, destruction, loss, alteration, unauthorised disclosure of, or access to, personal data transmitted, stored or otherwise processed. There is an obligation on the controller to report personal data breaches to the Information Commissioners Office (ICO) and where the breach is likely to adversely affect the personal data or privacy of the data subject.

Information Society Services - any service normally provided for remuneration, at a distance, by electronic means and at the individual request of a recipient of services.

Consent - in relation to the processing of personal data relating to an individual, means a freely given, specific, informed and unambiguous indication of the individual's wishes by which the individual, by a statement or by a clear affirmative action, signifies agreement to the processing of the personal data.

Third party – a natural or legal person, public authority, agency or body other than the data subject, controller, processor and persons who, under the direct authority of the controller or processor, are authorised to process personal data.

### **3. POLICY STATEMENT**

In order to operate effectively, The Education Alliance has to process personal information about people with whom it works. These may include pupils, parents, current, past and prospective employees and suppliers. In addition, it is required by law to process information in order to comply with the requirements of central government.

The Education Alliance is committed to ensuring compliance with data protection legislation. The Education Alliance regards the lawful and correct treatment of personal information as essential to its successful operations and to maintaining confidence between The Education Alliance and those with whom it carries out business. The Education Alliance fully endorses the principles of data protection by design and default. To this end, The Education Alliance will ensure its Data Protection Officer is able to fulfil their tasks as defined in data protection legislation.

Third parties who have access to personal data will be expected to have read and understood this policy. No third party will be able to access personal data without being committed to having obligations no less onerous than The Education Alliance. The Education Alliance will make every effort to ensure data subjects can exercise their rights. Any breach

of data protection legislation will be dealt with as a matter of urgency. If required, breaches will be reported to the appropriate authorities and dealt with as a criminal offence. The Education Alliance is committed to working with the ICO in all areas relating to personal data.

#### **4. CORPORATE REQUIREMENTS**

The Education Alliance is a data controller as defined by data protection legislation. It is the responsibility of the Board of Trustees to ensure compliance with Data Protection legislation. However, Head Teacher's within each school that make up the Trust, and the Director of the Yorkshire Wolds Teacher Training, are responsible for ensuring compliance within the day to day activities of their school/institution.

All those in managerial or supervisory roles throughout The Education Alliance are responsible for encouraging good information handling practices. Compliance with data protection legislation and this policy is the responsibility of all employees.

Employees are responsible for ensuring that any personal data about them and supplied by them is accurate and up-to-date. All employees who process personal data are responsible for their own compliance with data protection legislation and this policy. Failure to do so may result in disciplinary action which could lead to dismissal.

The Education Alliance appointed Data protection Officer (DPO) is accountable to The Executive Team and will ensure that the tasks outlined within data protection legislation are fulfilled. The DPO carries out their tasks for the trust entities set out in Appendix A

The first point of contact for data protection matters is [DPO@theeducationalliance.org.uk](mailto:DPO@theeducationalliance.org.uk)

Data Protection Officer  
The Education Alliance  
East Dale Road  
Melton  
HU14 3HS

However, anyone has the right to speak to the DPO about their tasks.

#### **5. POLICY DEVELOPMENT INCLUDING CONSULTATION**

The following people and groups were consulted in development of this policy:

East Riding of Yorkshire Council (as part of a traded service)  
The Education Alliance Executive Team

#### **6. LINKS WITH OTHER POLICIES AND STRATEGIES**

This policy links to other The Education Alliance Documents:

- ICT Acceptable Use Policy
- Freedom of Information Policy
- Surveillance Camera Policy
- Disciplinary Policy
- Complaints and Communications Policy
- Whistleblowing Policy

#### **7. DATA PROTECTION PRINCIPLES**

All processing of personal data must be conducted in accordance with data protection principles. The Education Alliances' policies and procedures are designed to ensure compliance with these principles.

1. Personal data must be processed lawfully, fairly and transparently

**Lawful** – identify a lawful basis before you can process personal data. These are often referred to as the “conditions for processing”, and listed in the data protection legislation.

**Fairly** – in order for processing to be fair, the data controller has to make certain information available to the data subjects as practicable. This applies whether the personal data was obtained directly from the data subjects or from other sources.

**Transparently** – data protection legislation includes rules on giving privacy information to data subjects. These are detailed and specific, placing an emphasis on making privacy notices understandable and accessible. Information must be communicated to the data subject in an intelligible form using clear and plain language.

2. Personal data can only be collected for specific, explicit and legitimate purposes

Data obtained for specified purposes must not be used for a purpose that differs from those formally notified to the ICO, outlined on The Education Alliance records of processing or in line with this Policy.

3. Personal data must be adequate, relevant and limited to what is necessary for processing

The Education Alliance does not collect information that is not strictly necessary for the purpose for which it is obtained. All data collection forms (electronic or paper-based), including data collection requirements in new information systems, must include a privacy statement. The DPO will ensure that, on a regular basis all data collection methods are reviewed to ensure that collected data continues to be adequate, relevant and not excessive.

4. Personal data must be accurate and kept up to date with every effort to erase or rectify without delay

Data that is stored by The Education Alliance must be reviewed and updated as necessary. No data should be kept unless it is reasonable to assume that it is accurate. The DPO is responsible for ensuring that all staff are trained in the importance of collecting accurate data and maintaining it.

It is the responsibility of the data subject to ensure that data held by The Education Alliance is accurate and up to date. Pupils, parents, employees and suppliers should be required to notify The Education Alliance of any changes in circumstance to enable personal records to be updated accordingly. Processes will be in place to allow for the updating of records. It is the responsibility of The Education Alliance to ensure that any notification regarding change of circumstances is recorded and acted upon.

The DPO is responsible for ensuring that appropriate procedures and policies are in place to keep personal data accurate and up to date. On a regular basis the DPO will review these processes and retention dates for personal data processed by The Education Alliance.

The DPO is responsible for making appropriate arrangements so that, third-party organisations that may have been passed inaccurate or out-of-date personal data are informed, ensuring it is not used to inform decisions about the individuals concerned.

5. Personal data must be kept in a form such that the data subject can be identified only as long as is necessary for processing.

Where possible, personal data will be minimised, encrypted or pseudonymised in order to protect the identity of the data subject in the event of a data breach.

Personal data will be retained in line with The Education Alliance Retention Schedule and, once its retention date is passed, it must be securely destroyed. Any data retention that

exceeds the retention period must be approved by the Director of Trust Development and Compliance. They must ensure that the justification is clearly identified and in line with the requirements of data protection legislation.

#### 6. Personal data must be processed in a manner that ensures the appropriate security

The Education Alliance will carry out risk assessments taking into account state of the art technical measures, the costs of implementation and the risk/likelihood to individuals if a security breach occurs, the effect of any security breach on The Education Alliance itself, and any likely reputational damage including the possible loss of customer trust.

Both The Education Alliance (as controller) and its processors shall implement appropriate technical and organisational measures to ensure a level of security appropriate to the risk, including where appropriate:

- the pseudonymisation and encryption of personal data;
- the ability to ensure the ongoing confidentiality, integrity, availability and resilience of processing systems and services;
- the ability to restore the availability and access to personal data in a timely manner in the event of a physical or technical incident;
- a process for regularly testing, assessing and evaluating the effectiveness of technical and organisational measures for ensuring the security of the processing.

The policies and strategies identified in Section 6 of this Policy (6. Links with other Policies and Strategies) must also be considered.

#### 7. The controller must be able to demonstrate compliance with the UK GDPR's other principles (accountability)

Data protection legislation includes provisions that promote accountability and governance. These complement the transparency requirements. This accountability additional principle requires The Education Alliance to demonstrate that it complies with the principles and states explicitly that this is The Education Alliance responsibility.

The Education Alliance demonstrates this compliance through this policy, its appropriate policy document, adhering to codes of conduct, implementing technical and organisational measures, as well as adopting techniques such as data protection by design, and establishing formal procedures in relation to data protection.

## 8. DATA SUBJECTS' RIGHTS

Data subjects have the following rights regarding data processing, and the data that is recorded about them:

- To make subject access requests regarding the nature of information held and to whom it has been disclosed.
- To prevent processing likely to cause damage or distress.
- To prevent processing for purposes of direct marketing.
- To be informed about the mechanics of automated decision-taking process that will significantly affect them.
- To not have significant decisions that will affect them taken solely by automated process.
- To take action to rectify, block, erase, including the right to be forgotten, or destroy inaccurate data.
- To request the ICO assess whether any provision of the data protection legislation has been contravened.
- To have personal data provided to them in a structured, commonly used and machine-readable format, and the right to have that data transmitted to another controller (ported).

- To object to any automated profiling that is occurring without consent.

The Education Alliance makes every effort to ensure that data subjects may exercise these rights. A data subject may make a request as described in the Subject Access Request Procedure. These requests are under normal circumstances free of charge and will be dealt with in one month (although they can be extended by two months in some circumstances).

As the Education Alliance is an academy trust, the rights to access under Education Regulations (The Education (Pupil Information) (England) Regulations 2006) do not apply.

Personal data must not be disclosed about a third party except in accordance with data protection legislation. If it appears absolutely necessary to disclose information about a third party, advice should be sought from the DPO.

Data subjects also have the right to complain to The Education Alliance in relation to the processing of their personal data, the handling of a request from a data subject and appeals from a data subject on how complaints have been handled. This will be done in line with The Education Alliance Complaints Procedure.

## **9. DISCLOSURE OF DATA**

The Education Alliance ensures that personal data is not disclosed to unauthorised third parties which includes family members, friends, suppliers, government bodies and other public sector organisations. All employees should exercise caution when asked to disclose personal data held on another individual to a third party.

All requests to provide data must be supported by the appropriate documentation. Data protection legislation permits disclosures for a number of reasons without consent, these include:

- to safeguard national security;
- prevention or detection of crime including the apprehension or prosecution of offenders;
- assessment or collection of tax duty;
- discharge of regulatory functions (includes health, safety and welfare of persons at work);
- to prevent serious harm to a third party; and
- to protect the vital interests of the individual, this refers to life and death situations.

It is the responsibility of employees to ensure that they have the authority to share information and that the recipient is authorised to receive such information. Failure to do so could lead to action under The Education Alliance disciplinary procedure (and, in exceptional circumstances, criminal charges). The Education Alliance has a framework in place to facilitate information sharing, the Humber Information Sharing Charter.

Advice should always be sought from the DPO if there is any uncertainty around the disclosure of information.

## **10. DATA TRANSFERS**

Exports of data to countries outside of the UK (referred to in the UK GDPR as 'third countries') can only take place if an appropriate 'level of protection for the fundamental rights of the data subjects' are in place.

This means the transfer of personal data outside of the UK should only take place if one or more of the specified safeguards, or exceptions, apply:

- An adequacy decision.
- Binding corporate rules.
- Model contract clauses.
- Legally binding and enforceable instrument between public authorities or bodies.

Exceptions, in the absence of the above a transfer of personal data to a third country or international organisation, shall only take place on one of the following conditions:

- the data subject has explicitly consented to the proposed transfer, after having been informed of the possible risks of such transfers for the data subject due to the absence of an adequacy decision and appropriate safeguards;
- the transfer is necessary for the performance of a contract between the data subject and the data controller or the implementation of pre-contractual measures taken at the data subject's request;
- the transfer is necessary for the conclusion or performance of a contract concluded in the interest of the data subject between the data controller and another natural or legal person;
- the transfer is necessary for important reasons of public interest;
- the transfer is necessary for the establishment, exercise or defence of legal claims; and/or
- the transfer is necessary in order to protect the vital interests of the data subject or of other persons, where the data subject is physically or legally incapable of giving consent.

## **11. CONSENT**

The Education Alliance understands 'consent' to mean that the data subject has been fully informed of the intended processing and has signified their agreement, while in a fit state of mind to do so and without pressure being exerted upon them. Consent obtained under duress or on the basis of misleading information will not be valid.

There must be some active communication between the parties to demonstrate active consent. Consent cannot be inferred from non-response to a communication. The data controller must be able to demonstrate that consent was obtained for the processing operation. For special categories data, explicit written consent of data subjects must be obtained unless an alternative legitimate basis for processing exists.

Where The Education Alliance provides information society services to children, parental or custodial authorisation must be obtained. This requirement applies to children under the age of 13.

Whether or not a photograph needs to be protected or falls under data protection legislation can be open to interpretation and the quality of the photograph. However, the school takes this matter extremely seriously and seeks to obtain parents' consent for the use of photographs outside the school and, in particular, to record their wishes if they do not want photographs to be taken of their children.

## **12. PROCESSORS AND CONTRACTS**

The Education Alliance will ensure that any processor it engages have a written contract or agreement in place. This is important so both parties understand their responsibilities and liabilities. Processors must only ever act on documented instructions. To be compliant with data protection legislation contracts must include specific items.

## **13. RETENTION AND DISPOSAL OF DATA**

The Education Alliance will not keep personal data in a form that permits identification of data subjects for longer than is necessary, in relation to the purpose(s) for which it was originally collected. It may store data for longer periods if the personal data will be processed solely for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes, subject to the implementation of appropriate technical and organisational measures to safeguard the rights and freedoms of the data subject.



The retention period for each category of personal data will be set out in The Education Alliance retention schedules.

Appropriate procedures must be followed when disposing of personal information. The Education Alliance will ensure that secure disposal methods are available to staff.

#### **14. RECORDS OF PROCESSING**

The Education Alliance has established records of processing activity to compliment the School's information asset register (IAR) which help determine the flow of data through the organisation. The Education Alliance is aware of any risks associated with the processing of particular types of personal data and the level of risk to individuals associated with the processing of their personal data.

#### **15. IMPACT ASSESSMENTS**

The Education Alliance will implement technical and organisational measures to ensure that by default, personal data is processed where necessary. Data protection impact assessments (DPIAs) will be carried out in relation to the processing of personal data, and in relation to processing undertaken by other organisations on behalf of The Education Alliance.

Where a type of processing, in particular using new technologies and taking into account the nature, scope, context and purposes of the processing, presents a risk to the rights and freedoms of an individual, The Education Alliance, prior to the processing, will carry out a DPIA. A single DPIA may address a set of similar processing operations that present similar high risks.

Where, as a result of a DPIA, it is clear that The Education Alliance is about to commence processing of personal data that could cause damage and/or distress to the data subjects, or is deemed high risk (including to the reputation of The Education Alliance), the DPIA must be escalated for review to the DPO. The DPO shall, if there are significant concerns, either as to the potential damage or distress, or the quantity of data concerned, escalate the matter to the ICO.

#### **16. INCIDENTS AND BREACHES**

The Education Alliance will always treat any data protection incident/breach as a serious issue. In the event of a breach, or suspected breach (incident), the DPO must be informed immediately.

An investigation will take place in line with the procedures for The Education Alliance in the Data Protection Breach Process. This includes Human Resources to ensure any disciplinary action is taken if deemed appropriate and Legal Services. The point of contact for the ICO is the DPO.

The Education Alliance has an obligation to report certain data protection breaches to the ICO within 72 hours of The Education Alliance being made aware. The DPO will notify the ICO following an assessment of the breach. If required the DPO will also arrange for the affected data subjects to be notified. Any data processors The Education Alliance is working with are also required to report data protection breaches to the ICO, as well as cooperate with the ICO to resolve the issue. Data processors must also notify The Education Alliance of any breach which affects The Education Alliance's personal information, within the 72 hour window.

The ICO has the authority to sanction significant financial penalties of up to £17.5 million or 4% of global turnover. Data processors also hold liability for data protection breaches.

The Education Alliance recognises data subjects' right to compensation if they have suffered material or non-material damage as a result of an infringement of data protection legislation.

Any claim for compensation will be dealt with through The Education Alliance's normal procedures.

## **17. TRAINING**

It is The Education Alliance policy that all employees and processors who have access to personal data receive the appropriate training, in order to comply with data protection legislation. The Education Alliance will accordingly ensure that data protection training is available for all staff.

Training in data protection matters should be provided to all staff who have access to personal data, and mandatory refresher training should be undertaken at intervals thereafter to maintain awareness. The Director of Trust Development and Compliance is responsible for ensuring appropriate training has been undertaken, including for temporary or contracted staff across the trust.

Data protection training is a crucial element of staff awareness. All individuals need to be aware of their obligations relating to any personal data they process as part of their duties. Failure to adhere to this policy can result in serious misconduct and lead to the prosecution of employees.

## **18. RISK MANAGEMENT**

As part of The Education Alliance approach to risk management, there are supporting procedures, which must be adhered to by all staff:

- Appropriate Policy Document
- Data Protection Request Procedure
- Data Protection Breach Procedure
- Data Protection Impact Assessment Procedure
- Redaction Guidance
- Privacy Notices

## **19. OUTCOMES AND IMPACTS**

- Prevent the inappropriate use of personal data held by The Education Alliance.
- Ensure employees are aware of their responsibilities for handling personal data and that failure to do so could result in disciplinary proceedings and in some cases criminal proceedings.
- Ensure services and employees know who to contact for advice.
- Training requirements are identified and staff have the required level of data protection knowledge.
- Uphold data subjects' rights.
- Data processors working on behalf of The Education Alliance are aware of their responsibilities and handle personal data in accordance with this policy.
- The Education Alliance has an appointed DPO and his duties are defined.
- The Education Alliance is compliant with data protection legislation.

## **20. EVALUATION**

The Data Protection Policy will be subject to an biennial review to ensure that it is appropriate and responsive to all relevant legislation and guidance.

## **21. REFERENCES**

[Data Protection Act 2018](#)

[ICO](#)

[General Data Protection Regulation](#)

[Crime Directive](#)

[Data Protection, Privacy and Electronic Communications Regulations 2019](#)

[Human Rights Act 1998](#)

[Digital Economy Act 2017](#)

[Freedom of Information Act 2000](#)

[Information: To Share Or Not To Share? The Information Governance Review](#)

[Age appropriate design: a code of practice for online services](#)

## Appendix A

The DPO carries out their tasks for the following trust entities:

- The Education Alliance
- Driffield School and Sixth Form
- Hunsley Primary School
- Malet Lambert School
- North Cave C of E Primary School
- South Hunsley School and Sixth Form College
- South Hunsley Sports
- The Snaith School
- Wilberfoss CE Primary School
- Wolds Associate Research School
- Yorkshire Wolds Teacher Training