



# **Induction Policy for New Trustees and Members**

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DATE:

7 July 2021

The Board of Trustees and Chief Executive Officer (CEO) believe it is essential that all new Trustees receive a comprehensive induction package covering a broad range of issues and topics. There is a commitment to ensure that the new Trustees are given the necessary information and support to fulfil their role with confidence. The process is seen as an investment, leading to more effective governance and retention of Trustees.

## **Purpose**

- To welcome new Trustees to the Board and enable them to meet other members.
- To facilitate a quick engagement with the workings of the Board.
- To encourage a shared responsibility and an equitable contribution to the workload of the Board.
- To encourage new Trustees to visit the academies to experience their atmosphere and understand their ethos.
- To meet the Executive Principal, staff and students.
- To explain the partnership between the Principal, Local Governing Committees (LGC), Executive Principal and Board of Trustees.
- To explain the role and responsibilities of Trustees.
- To give background material on the academies and current issues.
- To allow new Trustees to ask questions about their role and/or the Trust.
- To explain how the Board, LGCs and committees work.
- To allow new Trustees to join the committee(s) of their choice.

New Trustees as soon as is practicable will:

- Be welcomed to the Board by the Chair.
- Be invited by the CEO to visit the schools.
- Have the opportunity to tour the schools and meet staff and students.
- Receive an informal briefing on the Trust from the CEO and/or Chair.
- Be asked to complete a DBS check, register of interest form, ethos undertaking form and other documentation as required.
- Be required to undertake UK GDPR training (30 minute video – appendix 2).
- Be asked to sign a Code of Conduct.
- Be asked to register for Governor Hub (full training given).

New Trustees will receive within two weeks of appointment:

- The DfE Governance Handbook
- The Trust's Code of Conduct
- The DfE's "Keeping Children Safe in Education"
- The DfE's "Competency Framework for Governance"

- The ESFA's "Academies Financial Handbook
- An outline of any training Trustees are required to attend
- Minutes of the last Board meeting and the details of any committees including terms of reference
- The Trust Scheme of Delegation.
- Dates for future Trustees' meetings
- Details of how to contact the other Trustees
- Policy documents relevant to committee membership
- Details of how to contact the Trust including the e-mail address and website
- A calendar of events.

Areas of discussion, which the Chair of Trustees or Mentor will cover with the new Trustee, should include:

- Background to the Trust
- Current issues facing the Trust
- Visiting the Trust
- The relationship between the Principal, Local Governing Committees (LGC), Executive Principal and Board of Trustees
- An overview of the Trustee's role including confidentiality
- How the Board meetings are conducted including the use of the Governance portal
- Child Protection arrangements for the Trust and the Trustee's role in safeguarding these
- How to propose agenda items
- Importance of giving apologies if unable to attend meetings
- Trustee training.

### **Statement of review**

The Board of Trustees has agreed that this policy will be reviewed on a three yearly basis unless Government guidance or legislation forces an earlier revision. Any review will take into consideration all aspects of applicable legislation and advice current at the time of the review. The next 'Period of Review' will be July 2024.

## Appendix 1: New Trustee Checklist

Induction Procedure	Initial when complete
<b>Welcome</b>	
Welcome to the Board by the Chair	
Invited by the CEO/Chair to visit the academies	
Toured the academies and met staff and students	
Explanation of statutory responsibilities	
<b>Forms for completion</b>	
Completed identification process for DBS check	
Register with Governor Hub	
Completed Trustee Profile/Contact Details form/ on Hub	
DfE Keeping Children Safe in Education – confirmation read Part 1 & 2	
Details of National Governance Association (NGA) login	
Trustee Code of Conduct	
Watch UK GDPR Training Video	
Record UK GDPR training on Hub	
<b>For information/reading</b>	
Latest Ofsted reports	
Vision and Values of the Trust/background to academies	
Scheme of Delegation	
DfE Governance Handbook	
Trust Business Continuity Plan	
DfE Competency Framework for governance	
ESFA Academies Financial Handbook	
Trust Accounts	
Articles of Association	
Minutes of the last Board meeting	
Dates of future Trustees' meetings	
Contact details of Trust and other Trustees	
Policy documents relevant to committee membership and other relevant policies	
Risk Register	
Privacy Notice	
Organisation chart/staff list	
Calendar of events	

## **Appendix 2: UK GDPR Training**

### Training video

UK GDPR compliance requires the engagement and involvement of all school staff, LGBs and Trustees.

Ensuring that staff are aware what UK GDPR is, how it impacts on maintaining role, remaining vigilant and understanding their personal responsibility and obligations is essential. Training staff, governors and volunteers is recommended by our DPO to be undertaken on an annual basis.

The training provided by our DPO has been updated to provide a focus for the school workforce, including volunteers, and for trustees and governors. Each training is around 30 minutes, and the individual links can be shared or used for training at meetings, briefings, or inset days. It is vital that LGBs and Trustees are aware of the ongoing GDPR processes.

Keeping a record of attendees and ensuring that new staff, volunteers, governors, and trustees watch the videos and read the associated guides is a matter for each school or trust to arrange as part of the existing CPD monitoring process. For LGBs and Trustees, we ask that clerks plan for this training to be included in the agenda for the Autumn meeting on an annual basis.

The training video to be included is here:

<https://vimeo.com/536248145/3fdbd3a5cd>

And the guidance is attached. Please circulate ahead of your Autumnal meeting along with this blurb reiterating the importance of GDPR training.

## Appendix 3: UK GDPR Overview for Governors and Trustees

### Data Protection –The Responsibilities of the Data Controller

#### Introduction

25 May 2018 saw the implementation of the General Data Protection Regulation (GDPR) and the implementation of the Data Protection Act 2018 (DPA). This was a reform of the previous Data Protection Act 1998. So much had changed that new legislation was required to provide more updated protections for individuals and a framework to manage technological developments.

Schools are classed as public authorities and have additional obligations, principally to appoint a suitable Data Protection Officer. Everyone in the school community needs to understand their obligations, responsibilities and rights.

This is an overview of key issues and concepts for schools and academies. It looks at what needs to happen, and gives an overview of who is who in this very jargon heavy world.

Following the media hysteria about GDPR, everything suddenly died away. However, the legal obligations that GDPR and the DPA place on schools has not changed. The ICO has begun to audit schools, there have been huge fines for some companies, BA and the ICO officers are taking a more forensic approach to complaints. GDPR compliance is also forming part of some internal audits, Ofsted inspectors asked for details on one occasion and some external auditors have queried compliance for annual reports.

Being on top of GDPR is an essential part of school management.

#### What is the GDPR?

This is a European Directive that is now part of the UK domestic legislation. Brexit will not change it.

#### What is the point of the GDPR?

The GDPR and new DPA exist to protect individuals' data. It is a series of safeguards for each of us. It is regulation designed to protect you, me and our families. In schools we handle data about children and adults every day. Some of that is very simple, a child's name on a book. Other information is far more sensitive, an EHCP for a child or an Occupational Health report for an adult for example.

Making sure that personal data is properly looked after is the whole point of the GDPR.

If it is shared without my permission or a legitimate purpose it could cause embarrassment, financial loss or have some other direct impact. If the data held is wrong or inaccurate it is important it is put right.

However, GDPR was never designed with schools in mind. The focus is on big business, international brands, banking and insurance sectors and government. The GDPR exists to protect individual rights in an increasingly digital world, and schools are caught up in this.

#### Who does it apply to?

Everyone, including schools. As Public Bodies schools have more obligations than some small businesses. It is mandatory to comply with the GDPR and proposed provisions in the new Act.

Do schools have to change all of their policies and procedures?

Schools are good at data protection, it is simply part of day to day school life. However, GDPR requires some reviews to be in place, it is necessary to take stock of what data is held. Being clear about what is collected, why it is collected, how it is used, stored and disposed of is at the core of good GDPR compliance.

Relations with those who process data on behalf of the controller should be GDPR compliant. New processes will need to be subject to a greater degree of scrutiny, a Data Privacy Impact Assessment.

Doing this will assist in compliance with the key principles.

What are the 6 key principles of the GDPR?

Lawfulness, transparency and fairness.

Schools must have a legitimate reason to hold the data, and need to tell people what data school collects and how it is used.

Collect data for a specific purpose and use it for that purpose

So, data cannot be used for a purpose that it was not originally collected for, or where notice has not been given about how data may be used after collection.

Limited collection

Data controllers should only collect the minimum amount of data needed for a particular task or reason. If there is a breach or a hack only limited information can be lost.

Accuracy

Data collected should be accurate, and steps should be taken to check and confirm accuracy.

Retention

There must be a policy that requires data to be stored for limited periods of time about individuals. You should not store data for longer than you need it, or for historical archive reasons.

Security

Ensuring that physical, cloud and other electronic storage of data is secure is vitally important. Everyone has a responsibility for the data they hold and process. This also includes third party contractors.

What is Data?

Any information that relates to a living person that identifies them. This can be by name, address or phone number for example. It also relates to details about that person, which can include opinions.

Some data is considered to be more sensitive, and therefore more important to protect. This is information about racial or ethnic origin, political opinions, religious or philosophical beliefs, trade union membership, data concerning health or sex life and sexual orientation, genetic data, and biometric data where processed to uniquely identify a person.

Schools often collect sensitive data for DfE and LA requirements and of course pupil data may contain information about safeguarding, SEN or health needs. Information about other family members may also be on the school file.

Who is a 'Data Subject'?

Someone whose details we keep on file. Some details are more sensitive than others. The GDPR sets out which collection of details such as health conditions and ethnicity are more sensitive than names and phone numbers.

Essentially the whole of Data Protection exists to make sure that information held about us is treated with proper care and respect.

### Data Subjects' Rights

Schools must inform people about how they hold data, and also that individuals have a right to access it. This can be limited in some instances where child protection is involved, or if there are legal or contractual exemptions. Schools need to tell people how they can do this and explain the complaints policy.

If data is inaccurate, no longer needed or old and serves no purpose the data subject has a right to have the data amended or deleted.

Children's data is particularly sensitive, and children have a right to ask for certain data to be deleted – this really is linked to social media accounts but has implications for schools.

If there are pending or potential legal proceedings data must be preserved.

### Who is a 'Data Controller'?

The organisation that is ultimately responsible for the data collected about the data subject. It will be the governing body or academy trust. It can also be the head depending on the school structure.

The Data Controller must be satisfied that suitable policies and procedures are in place.

The Data Controller must ensure that:-

Suitable Privacy Notices are in place

The Data Protection Policy is fit for purpose

In the event of a breach, suitable plans are in place to manage the breach and liaise with the Information Commissioner

There is awareness of the changes across the school workforce, and that staff understand their personal responsibilities and liabilities

The concept of 'Privacy by Design' or collecting only as much data is necessary for a task, is embedded in the school

A suitable Data Protection Officer is appointed

New processes are assessed using a Data Privacy Impact Assessment

Everyone can understand how their data is held, and how to request amendments or erasure is necessary

Enabling a Data Subject to complain is a simple procedure

Data is processed and categorised using one of the lawful criteria for processing

Whilst the Data Controller can delegate actions to their employees, responsibility sits with the Data Controller. In maintained schools it is the governing body, in academies it is the trust.

Article 5(2) states that

"the controller shall be responsible for, and be able to demonstrate, compliance with the principles."

### Who is a 'Data Processor'?

This is a person or organisation that uses, collects, accesses or amends the data that the controller has collected or authorised to be collected on behalf of the data controller. It can be a third-party company, possibly a governor, a contractor or temporary employee. It can also be another organisation such as the police or the LA. Of course, staff in schools are processing data.

Data controllers must make sure that data processors are as careful about the data as the

controller themselves. The GDPR places additional obligations on organisations to make sure that Data Controllers require contractual agreements to ensure that this is the case.

12 months is checking and confirming that these suppliers are compliant is important. Future supplies, or renewal of contracts, will need a DPIA in place.

### Processing data

Schools must have a reason to process the data. The GDPR has 6 conditions for lawful processing, and processing must be within one of them to comply.

School has the consent of the Data Subject

It is necessary for the performance of a contract

It is necessary to comply with a legal obligation

It is required to protect the vital interests of the data subject, or another person

It is necessary for the performance of a task carried out in the public interest or the exercise of official authority

It is necessary for purposes of legitimate interests pursued by the controller or a third party (but not where the data subject's rights override the controller)

### Sensitive Data

Processing sensitive data in schools requires careful consideration. Gaining consent is required, unless there is another legal basis to do so, for example safeguarding or protection of vital interests.

### Data Protection Officer

Every public authority, which includes schools, must have a Data Protection Officer.

The data protection officer shall have at least the following tasks:

to inform and advise the controller or the processor and the employees who carry out processing of their obligations under the GDPR

to monitor compliance with the GDPR and DPA

to provide advice where requested about the data protection impact assessment and monitor its performance

to cooperate with the supervisory authority and manage the breach procedure

to advise about training and CPD for the GDPR

should have expertise in national and European data protection laws and practices and an in depth understanding of the GDPR.

to support the rights of Data Subjects

The Data Protection Officer's details should be on the school website, Privacy Notices and in the Data Protection Policy.

### Privacy by Design

The idea of the GDPR is that data should be carefully managed and curated. New processes should be subject to assessments. These are to consider risk and how this can be managed as part of the procurement process. This has an impact in classrooms and school offices.

### Information Commissioner Office (ICO)

In the UK it is the ICO who has responsibility for safeguarding and enforcing the DPA obligations. The ICO has the power to issue fines, publish decisions and seek undertakings. The new Act proposes increases to the power ICO to fine, to bring prosecutions, order compensation and other sanctions.

### Breaches

Breach preparation is key. Breaches happen as a result of human error. They are rarely deliberate (unless planned criminal activity) more likely to be as a result of forgetfulness or mistake. An email sent to the wrong person is the most frequent source of a breach.

The GDPR requires certain breaches to be notified to the ICO within 72 hours. In some cases 72 hours will not be long enough to complete the investigation. A key part of the response must be risk assessment of the data that has been lost and the planned remedial action to be taken as a consequence of the breach.

The Data Controller will need to have confidence that these can be handled, and reported back to the controller as necessary. Many breaches are internal action only, the more serious are reported to the ICO. Advice from the DPO is important to manage the process effectively.

### Sanctions

New powers and sanctions apply – up to 20 million euros or 4% of global turnover in fines. Although no school has yet been given a financial penalty. It is now possible for individuals to seek compensation is new with the GDPR.

Criminal offences for reckless or deliberate breaches can affect every single one of us. The message must be that from a personal point of view the GDPR is that everyone who interacts with data is potentially culpable. Reckless loss of data can include leaving a file open for others to view it, it could be inadequate security measures. Reckless has a wide scope and the Data Controller has a responsibility to take measures, failure to do so could also be considered reckless.

### Safeguarding

GDPR does not, at all, ever, prevent information sharing to protect children and/or vulnerable adults. Schools have statutory and other obligations to ensure that children are protected. Serious case reviews often point to the lack of good information sharing as a feature of child deaths.

Understanding that there is a process to be followed and mechanisms to ensure that data is shared appropriately need to be in place.

If in doubt the matter should be referred to the Designated Safeguarding Lead, the DPO and the local authority protection teams.

### What is required?

The guidance from the ICO is clear. Understand and know your data. Mapping is a tedious, time consuming but vital task. Schools must ensure that they understand their data and how it is to be collected, used, stored and destroyed. Without that knowledge there cannot be good GDPR compliance.

Every school has to have a Data Protection Policy that reflects the GDPR requirements. This will be on the website and will explain in more detail obligations and how the school will meet these. Every school should have a person who is designated to be responsible for data protection

compliance, and to have a Data Protection Officer (who may be within school or outsourced).

IT security is a key element of data protection and an acceptable use policy, IT policy or similar is likely to be in place also. Compliance is likely to be mandatory and will include things such as not using a personal email address, only using encrypted mobile devices and the process for locking a computer if away from the desk.

The more information on the website, the better.

### IT and Information Security

Many processes used on a daily basis in schools use IT. Whether this is emails, progress tracking, attendance management, cashless payments or many, many more examples.

Making sure that the IT systems, levels of access and protective measures are suitable is the responsibility of the Data Controller, but in practice will be delegated to operational leads to check and secure the outcomes.

Checking firewalls, server security and the location of and protection of back ups will be important elements of this strategy.

The Data Controller must be satisfied that effective IT security is in place, that it is well managed and up to date.

### Encryption

The Information Commissioner has issued a number of notices and guidance about how important encryption is –

‘Encrypting data whilst it is being stored (eg on a laptop, mobile, USB or back-up media, databases and file servers) provides effective protection against unauthorised or unlawful processing. It is especially effective to protect data against unauthorised access if the device storing the encrypted data is lost or stolen.’ ICO

If a laptop that is encrypted is stolen, the chance of a data breach will be minimal, if a laptop with a password is stolen the likelihood of a data breach is very high.

Encryption can also be applied to tablets, ipads, smart phones and memory sticks.

The Data Controller must be satisfied about how mobile devices are protected. What is the school policy about personal devices? How does that fit with good GDPR?

### Email

Email is not a secure form of messaging. It has been said that an email has as much security as a postcard.

Sending sensitive data by email must be done in a secure way. That might include password protected word, excel or pdf documents. It might include getting parental consent to use email for more sensitive correspondence, or finding an alternative by sending an email with a securely controlled attachment.

Personal emails should not be used for school business, and that includes governors and trustees emails too. A Subject Access Request can be applied to personal accounts in some cases.

### Staff, Parent’s and Pupils Rights to view Data

Unless there is a reason to refuse that is linked to legal confidentiality, safeguarding the child or another person, a contractual or regulatory reason the basic position is that all data should be disclosed on request.

A ‘Subject Access Request’ (SAR) process should be in place. It should be clear and if any parents want information about their child, or themselves, that is more than the usual round of parent’s evening and reports, then they should be directed to the process on the website. Any

request made to you should be directed to the in school person responsible for dealing with a SAR.

Each request must be considered on a case by case basis.

The school must have a process to manage the request and the timeline to comply. The Data Controller is obliged to comply with the timeline, and be satisfied that those acting on its behalf have a clear understanding of what needs to be done.

Subject Access Requests have increased over the last 12 months. Some have been easy to manage, some have involved hundreds and thousands of emails. One has been in excess of 100,000 emails. The resources to manage the scale of these requests can be very significant. Having a process to destroy emails, unless they are required, is very important.

## Overview

All schools have sensitive data, and it is used in classrooms and in the office. When an individual uses, accesses, collects or edits that data they are responsible for ensuring the security of the data. Getting consent to use the data is a very important factor, but schools can share data with other professionals to safeguard children and help detect crime. Every time we are asked to share data we need to know what is the lawful basis for doing so, and if in doubt check, with a line manager or with a lawyer.

Keeping data safe is an obligation on the school and the individual. Schools must make sure they have suitable processes, effective policies and the right support for staff. Staff must make sure they understand their obligations and need to comply.

If there is ever a breach, then working together will be the best way to put it right, learn the lessons and move forward.

As the Data Controller, governing boards and trustees have a direct legal obligation to ensure that suitable policies, procedures and measures are in place.

What do schools need to do?

Preparing to be GDPR compliant requires schools to undertake several steps. Implementation is rapidly approaching and taking a planned, considered approach will enable compliance. Preparing for GDPR compliance will involve everyone in school to some degree. It cannot sit on one person's desk. Lead individuals need to be identified.

Across the school workforce it is likely that everyone will need to take a look at their own practice and workspace.

To give an overview and a sense of the scale of the task, this is a summary of what each school needs to consider.

Everything starts with a full Data Protection, which should include: -

- Data mapping – a record of data collected and how it is stored, used and retained
- Reasons for processing data – a system review to look at consent and the other reasons why school holds and processes data.
- Policy review - not a full-scale review of every policy, but checking policies that require school to share information with 3<sup>rd</sup> parties that this is GDPR compliant. It might be as simple as adding an extra line to refer to GDPR.
- Training & Awareness in the school community - all staff, volunteers, trustees and governors

- Third party contract review
- Staff contracts and HR compliance
- Development of Data Privacy Impact Assessments - Privacy by Design
- Appointment and remit of the Data Protection Officer
- Role and responsibility
- Breach preparation
- Devise and agree a suitable compliance timeline - with regular reviews and updates