

REACH Primary Evaluation
Sheffield Hallam University and University of Leeds
Fair Processing Notice - February 2020

Introduction

This document accompanies the Memorandum of Understanding and outlines the responsibilities of the University of Leeds (UoL) and Sheffield Hallam University (SHU) in handling personal data collected from participants as part of the REACH Primary evaluation. It supersedes the previous Fair Processing Notice, sent in 2019. REACH Primary is being funded by the Education Endowment Foundation (EEF). Participants include: Teaching Assistants (TAs), school literacy leads, and pupils.

From 25 May 2018 the General Data Protection Regulation (GDPR) replaces the Data Protection Act and governs the way that organisations use personal data. Personal data is information relating to an identifiable living individual.

Transparency is a key element of the GDPR and this Data Protection Statement is designed to inform participants about:

- how and why SHU and UoL will use personal data collected in this evaluation
- what participants' rights are under GDPR, and
- how to contact us to exercise those rights

Participants' Rights

One of the aims of the General Data Protection Regulation (GDPR) is to empower individuals and give them control over their personal data. The GDPR gives participants the following rights:

- the right to be **informed**
- the right of **access**
- the right to **rectification**
- the right to **erase**
- the right to **restrict** processing
- the right to **data portability**
- the right to **object**
- rights in relation to **automated decision making and profiling**

For more information about these rights please see: <https://ico.org.uk/for-organisations/guide-to-data-protection/principle-6-rights/> and: <https://www.shu.ac.uk/about-this-website/privacy-policy/data-subject-rights/subject-access-request>

Participants can contact SHU/UoL at any time to:

- withdraw from the REACH programme evaluation and have their individual data deleted
- request copies of their own personal data held by SHU/UoL (**a subject access request**)
- exercise **other rights** (e.g. to have inaccurate data rectified, to restrict or object to processing)
- **query** how data is used by SHU/UoL
- report a **data security breach** (e.g. if there are concerns that personal data has been lost or disclosed inappropriately)
- **complain** about how SHU/UoL have used personal data.

Details of who to contact are provided at the end of this statement.

Why are we processing participants' personal data?

It is necessary for SHU/UoL to process some personal data, in order to evaluate the impact of REACH Primary. This will help to strengthen the evidence base about school based reading support programmes in order to inform future policy development.

Retention

After the evaluation with EEF is complete, SHU and UoL will retain participants' data for research and knowledge exchange purposes, including presentations at professional or academic conferences, or publications in professional or academic journals, for a period of five years after the publication of the final project report. SHU will remain as a data controller for this period SHU will also submit project data to the EEF's data contractor for their data archive, once the final report has been published. At this point, EEF becomes a data controller, and EEF's data contractor for the archive becomes a data processor. Data might also be shared in an anonymised form with other research teams after this is archived and matched with information from the National Pupil Database. Personal data will not be transferred or stored outside of the EEA at any point.

Respecting confidentiality

In the production of professional or academic publications or presentations, all data will be fully anonymised and no individual or school will be identified or identifiable. Should we wish to present or publish any information where a school may be identifiable, for example an exemplar case study of how a school has improved as a result of participation in the REACH Primary evaluation, we will seek the school's consent for this, through the headteacher. Schools will be entirely free to refuse this and we would therefore ensure the school remained anonymous in this event.

What is the legal basis for processing activities?

SHU and UoL are joint Data Controllers for the REACH Primary evaluation. The processing of personal data through the REACH Primary evaluation is defined under GDPR as a specific task in the public interest. As data is being processed for the purpose of academic research, the main aim of which is to improve reading ability among school pupils, the legal basis for processing your personal data is as a 'Public Task' (Article 6 (1) (e)). <https://ico.org.uk/for-organisations/guide-to-the-general-data-protection-regulation-gdpr/lawful-basis-for-processing/public-task/>

Special category data, specifically English as an Additional Language (EAL), Special Educational Needs and Disabilities (SEND) and Free School Meals (FSM) status, will be accessed from the National Pupil Database and processed for the purpose of scientific research as permitted under GDPR Article 9 (j). Unique Pupil Numbers (UPN) will be used to access this information.

<https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/lawful-basis-for-processing/special-category-data/>

Specifically, we are processing this data to determine if the REACH programme has different effects on different subgroups of pupils. EEF was established with a remit to break the link between family background and educational attainment, and all EEF projects conduct subgroup analysis on FSM

pupils. We are also interested in the effectiveness of the REACH programme for pupils who have EAL and SEND as we believe that it could be particularly beneficial to them.

Which Personal Data will we collect and use?

In order to provide our services we need to collect and use some personal data. Below is a list of what this will include for the trial:

Type of personal data	Pupil	Teaching Assistant	Literacy Lead
Names	X	X	X
Contact details (work email address)		X	X
Personal characteristics: Name, UPN, and gender	X		
Attitudinal survey responses		X	X
Attitudinal interview responses		X	X
Progress, achievement and attainment data held by schools, and in the National Pupil Database	X		
Outcome test data	X		
Outcome test audio recordings (may be processed securely by external transcription service)	X		
Data on participation in the REACH Primary project and use of materials		X	

Type of special category data	Pupil	Teaching Assistant	Literacy Lead
Personal characteristics: FSM status, EAL status, SEND status	X		

For SHU case study schools:

Type of personal data	Pupil	Teaching Assistant	Literacy Lead
Interview responses		X	X

Using the information we receive from schools, we will also obtain data from sources such as the DfE Schools Comparison Service and the National Pupil Database.

Who will we share personal data with?

The privacy of personal data is paramount and will not be disclosed unless there is a justified purpose for doing so. Data may be shared between SHU/UoL and the following parties:

- **EEF** for the purposes of research and evaluation. This includes submitting project data to the archive managed by EEF's data contractor at the end of the project. At this point, EEF becomes a data controller, and EEF's data contractor becomes a data processor.
- **Transcribers**, who we may ask to produce transcripts of audio recordings of interviews and focus groups with Teaching Assistants, and responses from pupils for outcome tests. If this is the case SHU and UoL will ensure that appropriate contracts and/or data sharing agreements are in place and that the transcribers process personal data in accordance with the GDPR and other applicable legislation.

SHU and UoL NEVER sell personal data to third parties

Security

SHU and UoL take a robust approach to protecting the information they hold. This includes the installation and use of technical measures including encryption of data, firewalls and intrusion detection and prevention tools on networks and segregation of different types of device; the use of tools on University computers to detect and remove malicious software and regular assessment of the technical security of SHU and UoL systems. SHU and UoL staff both monitor systems and respond to suspicious activity. SHU also has Cyber Essentials certification.

Alongside these technical measures, comprehensive and effective policies and processes are in place to ensure that SHU and UoL users and administrators of information are aware of their obligations and responsibilities for the data they have access to. Access to project data is restricted to the research teams and administrators associated with the project. Sharing of the data with other researchers would require approval by the SHU Faculty of Development and Society ethics committee who will ensure that all data protection requirements are met. Training is provided to new staff joining SHU and UoL. Existing staff have training and expert advice available if needed.

Data transfers from schools and between data controllers/processors will be conducted using a secure file transfer service and all files sent will be encrypted. Schools will receive full instructions on this. All personal data will be stored in directory locations that are only visible to specified members of the project team.

Further Information and Support

For further information about how SHU and UoL use personal data see:

<https://www.shu.ac.uk/about-this-website/privacy-policy/privacy-notice-for-research>

<https://www.shu.ac.uk/about-this-website/privacy-policy/information-governance-policy>

<https://dataprotection.leeds.ac.uk/wp-content/uploads/sites/48/2019/02/Research-Privacy-Notice.pdf>

The Information Commissioner is the regulator for GDPR. The Information Commissioner's Office (ICO) has a website with information and guidance for members of the public:

<https://ico.org.uk/for-the-public/>

If there are any concerns about the way this project processes personal data, please raise these with the project teams.

Contact details

SHU

Professor Mike Coldwell (Principal Investigator for Evaluation of REACH Primary)

Director, Centre for Development and Research in Education

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OR

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UoL

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If you have an ongoing concern, you can contact the Information Commissioner's Office, the body responsible for enforcing data protection legislation in the UK, at <https://ico.org.uk/concerns/>