DATA PROTECTION

Category: Data Protection

1 Purpose

To offer recommendations for the practice of u3as in respect of how u3as collect, store, process, retain and delete the personal information of your members.

2. Scope

Relevant to all u3as.

3. Main implications of data protection

u3as must comply with data protection legislation in managing the data of their members. The most recent legislation is the Data Protection Act 2018 which incorporates the requirements of the General Data Protection Regulation (GDPR). GDPR brought some key changes to the principles established for data protection which were mainly focused on the rights of **data subjects** (the individual whom the data relates to) and the accountability required by those who process data. The reference to **data** means the personal information that u3as gather from their membership for membership applications, renewals and Gift Aid. One of the main changes from GDPR was that all organisations involved with processing data need to establish a **lawful basis** for doing so. Following legal advice the Third Age Trust has recommended that u3as adopt either **legitimate interest** or **contract** as their lawful basis for processing membership data.

3.1 Lawful Basis – legitimate Interest

u3a is a membership charity. In accepting membership applications the u3a has a legitimate interest in requesting and processing personal information from those who wish to join. In addition, the u3a has a legitimate interest in communicating with existing members in order to inform them about activities relating to their membership. To meet the requirements of this lawful basis the u3a needs to complete a legitimate interest assessment (LIA) and hold it on file. The assessment sets out how the u3a meets the requirements of legitimate interest as a lawful basis for holding information. Once the LIA is complete it needs to be held on file as a record of how the requirements for data processing using this lawful basis are met. A template LIA is available to download in the forms section.

3.2 Lawful Basis – contract

The membership fee paid by members to the u3a provides what is known as ‘consideration’ which is part of the basis required for contract to be suitable as the basis for processing membership data. Having contract as the lawful basis does not mean that u3as

have to draw up a formal contract with members. The usual application process and payment of a fee is sufficient. u3as that offer honorary memberships to individuals may need to consider as to whether contract is the best lawful basis to use as they will need to use legitimate interest for the honorary member(s).

3.3 Consider the information you currently gather

u3as collect personal data about their members. Personal data means any information relating to an identified or identifiable natural person. This includes the information needed for membership purposes such as:

- A member's name.
- Postal address.
- Telephone number(s).
- Email address.
- Gift aid information.

If there is additional information that the u3a is asking members for, the u3a needs to consider what information they are asking members to provide and why. As long as the u3a can substantiate the basis for gathering the information and members are aware of the reasons why the information is needed then this will meet the requirements of GDPR.

3.4 Photographs

Photographs constitute personal data and consent will need to be obtained for both taking and displaying photographs of the membership. Where group photographs are being taken it is sufficient for you to ask any members of the group who don't wish to be in the photograph to move out of shot. It is important that u3as put in their privacy statement as to how members can ask for photographs to be removed. Some u3as are considering adding a consent tick box for photographs to their membership application form. This could prove problematic as not everyone will be aware of who has and hasn't given consent at point of application. It is recommended that you ask for consent at the point when photographs are being taken ie. ask those who don't want to appear to move out of the shot. It is important to explain to people exactly what photographs will be used for. If a member were to object subsequently then the photograph will need to be removed from any publicity or display.

3.5 Third party processors

The u3a needs to make members aware of any third party processors who are provided with membership data. This could include companies that distribute the u3a newsletter, Beacon and the distribution company for Third Age Matters. The u3a's privacy statement must be available to members and must identify the instances where information is shared with a third party processor. Consent is not required to provide information to third party processors as this can come under the lawful basis of either legitimate interest or contract. For u3as who provide members with the option as to whether or not they receive Third Age Matters and reduce their fee where members do not take the magazine it is recommended that consent is obtained from members to confirm that they wish to take the

magazine at the membership application stage. Members should be informed of who to contact where they no longer wish to receive the magazine.

3.6 Special categories of personal data

Special categories of personal data include:

- The racial or ethnic origin of the individual.
- Political opinions.
- Religious beliefs, philosophical beliefs or other beliefs of a similar nature.
- Whether he/she is a member of a trade union.
- Physical or mental health or condition.
- Sexual life or sexual orientation.
- Genetic data and biometric data where processed to uniquely identify an individual.

The u3a will need to substantiate the basis for requesting any of the above information. The same lawful basis can be used as for other membership information. Members will need to know why the information is required and for what purpose(s) it will be used. The main area of consideration for u3as in relation to special categories will be information pertaining to health and medical conditions which may be relevant to a member's participation in certain activities.

3.7 Data protection principles

Article 5 of the General Data Protection Regulation revises the Data Protection Principles established by the Data Protection Act. The principles stipulate how personal data should be processed:

3.7.1 Principle 1

Personal data must be processed lawfully, fairly, and in a transparent manner relating to individuals.
This principle requires u3as to:

- Inform members as to which lawful basis is being used to gather their information.
- Inform members as to what their personal information will be used for.
- Inform members as to how their information will be held.

What u3as need to do:

- Conduct a mini audit on the data processed by the u3a including:
    - What data do we hold?
    - How do we hold it?
    - Who has access to it?
    - How long do we hold it for?
    - Do we need it?
    - What are the risks?
    - Do we use any third party processors (external organisations) – are they GDPR compliant?

- Communicate with the membership about actions being taken by the u3a in respect of data protection. It is recommended that you keep this fairly brief and avoid too much jargon. Try to keep communications as straight forward as possible.
- Add privacy statements to relevant paperwork and online forms
  Example forms have been drafted and are shown below:
  - Launch questionnaire
  - Membership application form
  - Renewal membership form
- Review the different ways that members are asked for their information, i.e. are group convenors gathering information and are they aware of their responsibilities in respect of data protection?
- Ensure that member information is retained securely.
- Consider who has access to full member information and who has access to partial member information and who needs access. Record this decision and keep it under review.

3.7.2 Principle 2

Personal data must be collected for specified, explicit and legitimate purposes and not further processed in a manner that is incompatible with those purposes; further processing for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes shall not be considered to be incompatible with the initial purposes.
This principle requires u3as to:

- Only use members' information for the purposes that they have previously informed them that it will be used for
- Inform the membership and, where necessary, gain consent for information to be shared with external organisations (third party processors).

What u3as need to do:

- Be specific about what the u3a is going to be using member information for. This is detailed in the sample privacy statement.
- Don’t use members’ information for sending information that could be considered as 'marketing'.
- Ensure that group convenors are aware of what communications are considered 'appropriate'.
- Let members know who to contact if they feel that they have received communications that are not what they have signed up for.
- Provide a prompt and comprehensive response if members feel that they have received an inappropriate communication.
- Be aware that some members may be more sensitive than others regarding data protection due to personal experiences.
- Be as transparent as possible with how the u3a operates in relation to its communications with members.

3.7.3 Principle 3

The collection of personal data must be adequate, relevant and limited to what is necessary in relation to the purposes for which they are processed.
This principle requires u3as to:

- Limit the information gathered from members to what is needed for membership purposes.

What u3as need to do:

- Consider and review on an ongoing basis what information the u3a needs and what purpose it is used for.
- When investigating complaints that might require the u3a to request further personal information from a member be sure to record any meetings accurately.

3.7.4 Principle 4

Personal data held should be accurate and, where necessary, kept up to date; every reasonable step must be taken to ensure that personal data that are inaccurate, having regard to the purposes for which they are processed, are erased or rectified without delay.
This principle requires u3as to:

- Keep up to date and accurate records.
- Identify who on the committee is responsible for keeping information up to date.

What u3as need to do:

- Ask members to keep their information up to date and let members know who they need to contact to update their information.
- Use membership renewal (in whatever form the u3a currently does this) as an opportunity for members to update their personal information.

3.7.5 Principle 5

Personal data must be kept in a form which permits identification of data subjects for no longer than is necessary for the purposes for the which the personal data are processed; personal data may be stored for longer periods insofar as the personal data will be processed solely for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes subject to implementation of the appropriate technical and organisational measures required by GDPR in order to safeguard the rights and freedoms of individuals.

This principle requires u3as to:

- Archive or delete information that is no longer required for membership purposes.

What u3as need to do:

- Make a decision as to how long member information will be retained. The recommendation is that member data is not retained for longer than 12 months which would allow time for a member to renew if they had lapsed. The u3a may

wish to retain photographs for longer periods as a photographic history. The u3a committee needs to decide how long different data will be retained for and will need to be able to substantiate the basis for their decision. It is recommended that you record the decision in your data protection policy.

- Don't use member data for communication purposes beyond the period of their membership unless there is a specific and agreed need to.
- Review how data is 'deleted' and what happens to the data if it is stored on a database.
- Archive or delete (depending on how long you need to keep member information) the data of those who do not renew.
- Be aware of where the u3a needs to retain data for a longer period in order to meet any legal or statutory requirements and where this is the case inform the relevant member.

NB: for u3as who use Gift Aid you will need to keep member information in line with the timeframes specified by HMRC.

3.7.6 Principle 6

Personal data must be processed in a manner that ensures appropriate security of the personal data, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organisational measures.

This principle requires u3as to:

- Keep personal data and special categories of personal data secure.
- Discuss and agree processing arrangements with any external organisations/third party processors such as venues, travel agents, Beacon.
- Consider who within the u3a committee needs access to the full membership information and restrict access to those who need it.
- Ensure that committee members/group conveners who hold information delete or return all data when relinquishing their roles. It is recommended that the u3a has a formal agreement with those in these roles regarding data and the relinquishing of their roles.
- Inform members where information is to be passed to a third party and ensure that third party processors are GDPR compliant.

3.8 Individuals' rights

GDPR also requires organisations to be aware of individual's rights which are:

- The right to be informed.
- The right of access.
- The right to rectification.
- The right to erasure.

- The right to restrict processing.
- The right to data portability.
- The right to object.

3.8.1 What u3as need to do

- By following the key principles, as detailed within this guidance, the u3a should not be infringing the rights of its members.
- Inform the membership how they can make a 'subject access request' (a request to view the data that is held on them) and how quickly this will be responded to.
- Review your practice in relation to data on an ongoing basis.
- Discuss data protection within the committee and provide an induction for new committee members.
- Ensure group conveners are aware of expectations in relation to data protection.
- Liaise with National Office if you encounter any issues that the u3a is unsure about or need further guidance with.
- Discuss data protection at network meetings if the u3a is a network member.
- Look to access local or national training to help with awareness.
- Adopt a data protection policy and privacy policy.

3.9 Data security and emails

3.9.1 What u3as can do:

- Ensure that committee members use strong passwords – the recommendation is that these are long (at least seven characters) and have a combination of upper and lower case letters, numbers and the special keyboard characters like the asterisk or currency symbols.
- Avoid sharing passwords.
- Encourage committee members not to keep passwords written down somewhere where they can be easily accessed and identified.
- Avoid leaving PCs with sensitive information on them in such a way that someone else could easily access that information.
- When sending confidential information by email use password protection.
- Avoid opening e-mail attachments from an unknown source.
- Consider purchasing firewall software for committee members PCs. This can be purchased and downloaded from the internet.
- Avoid keeping written records of negative comments about u3a members or suppliers.
- Where there is an issue between members ensure that any recordings are factual and avoid recording opinion unless directly from an interview. For serious matters, please contact National Office for support.
- Avoid sending emails that could be considered offensive or discriminatory.

- Avoid sharing email addresses or personal information via email without permission.
- If a laptop is stolen or lost that holds a large amount of member information please contact National Office.
- Consider implementing a membership database such a Beacon.

3.10 Accountability principle

GDPR introduced an accountability principle that requires u3as to be able to demonstrate, compliance with the data protection principles. The principle refers to a 'data controller' - however it is recommended that within u3as the committee assume joint responsibility for how data is processed and managed.

3.10.1 What u3as can do

- Review the u3a's current policies and data protection practice and record this formally.
- Add data protection to the agenda of the u3a committee meetings and minute the meetings.
- Agree that all committee members have joint responsibility for data even where it is not accessed by all committee members. This will help to avoid the responsibility feeling too burdensome for the membership secretary.
- Access training for committee members.
- Ensure practice is transparent by adopting policies and putting statements regarding privacy on u3a paperwork and the website.
- Follow through on the things that the policy says the u3a will do.
- Induct new committee members and group conveners in the principles of GDPR and how they apply in practice.

3.11 Breach notification

GDPR requires organisations to report certain types of data breaches to the relevant supervisory authority, and in some cases to the individuals affected.

3.11.1 What u3as need to do:

- On discovering a breach, investigate the extent of the breach:
    - How many members does the breach potentially affect?
    - What personal information has been exposed?
    - How did the breach occur?
- Keep a record of actions taken since the breach was discovered and take any immediate actions needed to reduce any further breaches.
- Contact National Office to discuss whether or not the Information Commissioner's Office needs to be informed of the breach. These will be reviewed on a case by case basis.

- Report serious breaches ie. ones that could risk the rights or freedoms of individuals.
- Be aware of timelines for serious breaches as these need to be reported within 72 hours.
- Inform members, as required, if there has been a data breach providing them with full information.

Related documentation:

Charity Commission Registration for u3as in England and Wales - u3a-KMS -DOC-001
Committee meetings and minutes - u3a-KMS-DOC-015
Trustee responsibilities - u3a-KMS-DOC-031
Legitimate Interest Assessment Sample – Membership - u3a-KMS-FRM-005
Legitimate Interest Assessment Sample - Emergency Contact - u3a-KMS-FRM-006
Membership application form Sample - u3a-KMS-FRM-004
Membership renewal form Sample - u3a-KMS-FRM-007
Data Protection Policy - Template - u3a-KMS-POL-002
Privacy Policy Template - u3a-KMS-POL-004