



**St Hugh's School**

**General Data Protection Regulation Policy  
(Exams)**

**2019/20**

Key staff involved in the General Data Protection Regulation policy

<b>Role</b>	<b>Name(s)</b>
Head of centre	Tracy Millard
Exams officer	Donna Millward
IT manager	Shane Kilbee
Data officer	Emma Patrick

## **Purpose of the policy**

This policy details how St Hugh's School, in relation to exams management and administration, ensures compliance with the regulations as set out by the Data Protection Act 2018 (DPA 2018) and General Data Protection Regulation (GDPR).

Students are given the right to find out what information the centre holds about them, how this is protected, how this can be accessed and how data breaches are dealt with.

All exams office staff responsible for collecting and sharing candidates' data are required to follow strict rules called 'data protection principles' ensuring the information is:

- used fairly and lawfully
- used for limited, specifically stated purposes
- used in a way that is adequate, relevant and not excessive
- accurate
- kept for no longer than is absolutely necessary
- handled according to people's data protection rights
- kept safe and secure
- not transferred outside the European Economic Area without adequate protection

To ensure that the centre meets the requirements of the DPA 2018 and GDPR, all candidates' exam information - even that which is not classified as personal or sensitive - is covered under this policy.

## **Section 1 - Exams-related information**

There is a requirement for the exams officer to hold exams-related information on candidates taking external examinations. For further details on the type of information held please refer to *Section 5 - Candidate information, audit and protection measures*.

Candidates' exams-related data may be shared with the following organisations:

- Awarding bodies
- Joint Council for Qualifications
- Department for Education
- Local authority

This data may be shared via one or more of the following methods:

- hard copy
- email
- secure extranet sites -e.g. eAQA; OCR Interchange; Pearson Edexcel Online; WJEC Secure Services, Access Arrangements Online
- Management Information System (MIS) provided by Capita SIMS)

This data may relate to exam entries, access arrangements, the conduct of exams and non-examination assessments, special consideration requests and exam results/post-results/certificate information.

## **Section 2 - Informing candidates of the information held**

St Hugh's School ensures that candidates and their parents/carers are fully aware of the information and data held.

All candidates are:

- informed via the school privacy notice and confidentiality policy
- given access to this notice and policy via the school website

Candidates are made aware of the above at the start of their course of study leading to an externally accredited qualification and how the JCQ awarding bodies process their personal data in accordance with the DPA 2018 and GDPR.

Candidates eligible for access arrangements are also required to provide their consent by signing the GDPR compliant JCQ candidate personal data consent form (Personal data consent, Privacy Notice (AAO) and Data Protection confirmation) before access arrangements approval applications can be processed online.

### **Section 3 - Hardware and software**

IT hardware, software and access to online systems is protected in line with DPA & GDPR requirements.

- All desktop computers and laptops are password protected with regular password changes
- Antivirus software is up to date
- External drives are encrypted
- The Head of Centre, Data Officer and Exam Officer are the only staff with access to awarding body online systems
- The centre administrator is responsible for checking and creating new accounts

### **Section 4 - Dealing with data breaches**

Although data is handled in line with DPA/GDPR regulations, a data breach may occur for any of the following reasons:

- loss or theft of data or equipment on which data is stored
- inappropriate access controls allowing unauthorised use
- equipment failure
- human error
- unforeseen circumstances such as a fire or flood
- hacking attack
- 'blagging' offences where information is obtained by deceiving the organisation who holds it

If a data protection breach is identified, the following steps will be taken:

#### **1. Containment and recovery**

The Head of Centre will lead on investigating the breach.

It will be established:

- who needs to be made aware of the breach and inform them of what they are expected to do to assist in the containment exercise. This may include isolating or closing a compromised section of the network, finding a lost piece of equipment and/or changing the access codes
- whether there is anything that can be done to recover any losses and limit the damage the breach can cause. As well as the physical recovery of equipment, this could involve the use of back-up hardware to restore lost or damaged data or ensuring that staff recognise when someone tries to use stolen data to access accounts
- which authorities, if relevant, need to be informed

#### **2. Assessment of ongoing risk**

The following points will be considered in assessing the ongoing risk of the data breach:

- what type of data is involved?
- how sensitive is it?
- if data has been lost or stolen, are there any protections in place such as encryption?
- what has happened to the data? If data has been stolen, it could be used for purposes which are harmful to the individuals to whom the data relates; if it has been damaged, this poses a different type and level of risk
- regardless of what has happened to the data, what could the data tell a third party about the individual?
- how many individuals' personal data are affected by the breach?
- who are the individuals whose data has been breached?
- what harm can come to those individuals?
- are there wider consequences to consider such as a loss of public confidence in an important service we provide?

### **3. Notification of breach**

Notification will take place to enable individuals who may have been affected to take steps to protect themselves or to allow the appropriate regulatory bodies to perform their functions, provide advice and deal with complaints.

### **4. Evaluation and response**

Once a data breach has been resolved, a full investigation of the incident will take place. This will include:

- reviewing what data is held and where and how it is stored
- identifying where risks and weak points in security measures lie (for example, use of portable storage devices or access to public networks)
- reviewing methods of data sharing and transmission
- increasing staff awareness of data security and filling gaps through training or tailored advice
- reviewing contingency plans

## **Section 5 – Candidate information, audit and protection measures**

For the purposes of this policy, all candidates' exam-related information - even that not considered personal or sensitive under the DPA/GDPR - will be handled in line with DPA/GDPR guidelines.

The table below details the type of candidate exams-related information held, and how it is managed, stored and protected

Protection measures may include:

- password protected area on the centre's intranet
- secure drive accessible only to selected staff
- information held in secure area
- updates undertaken regularly

## **Section 6 – Data retention periods**

Details of retention periods, the actions taken at the end of the retention period and method of disposal are contained in the Exams Archiving Policy.

## **Section 7 – Access to information**

Current and former candidates can request access to the information/data held on them by making a **subject access request** to the Head of Centre in writing. ID will be confirmed if a former candidate is unknown to current staff following current procedures. All requests will be dealt with within 40 calendar days.

### **Third party access**

Permission should be obtained before requesting personal information on another individual from a third-party organisation.

Candidates' personal data will not be shared with a third party unless a request is accompanied with permission from the candidate and appropriate evidence (where relevant), to verify the ID of both parties, provided.

In the case of looked-after children or those in care, agreements may already be in place for information to be shared with the relevant authorities (for example, the Local Authority). The Head of Centre will confirm the status of these agreements and approve/reject any requests.

## Section 8 - Table recording candidate exams-related information held

For details of how to request access to information held, refer to section 7 of this policy (**Access to information**)

For further details of how long information is held, refer to section 6 of this policy (**Data retention periods**)

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
Access arrangements information		Candidate name Candidate DOB Gender Data protection notice (candidate signature) Diagnostic testing outcome(s) Specialist report(s) (may also include candidate address) Evidence of normal way of working	Access Arrangements Online Lockable metal filing cabinet	Secure user name and password In secure area solely assigned to exams	3 years following exam series
Attendance registers copies		Candidate name and number	Secure room solely assigned to exams	Access limited to two key holders (Head of Centre and Finance Officer-access given to Exams Officer when required)	Until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
					series.
Candidates' scripts		Candidate name and number	Secure room solely assigned to exams	Access limited to two key holders (Head of Centre and Finance Officer-access given to Exams Officer when required)	Until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series.
Candidates' work	Non-examination assessment work (inc. controlled assessment, coursework, portfolios) returned to the centre after awarding body moderation.	Candidate name and number	Secure room solely assigned to exams or returned to subject teacher who will store in a lockable filing cabinet	Secure filing cabinet/room	Returned to candidates or until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series.
Certificates		Candidate name, date of birth,	Secure room solely	Access limited to	7 years from

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
		examination results	assigned to exams	two key holders (Head of Centre and Finance Officer-access given to Exams Officer when required)	date of issue
Certificate destruction information	A record of unclaimed certificates that have been destroyed	Candidate name, date of birth, examination results	Secure room solely assigned to exams	Access limited to two key holders (Head of Centre and Finance Officer-access given to Exams Officer when required)	7 years from date of issue
Certificate issue information	A record of certificates that have been issued to candidates	Candidate name, date of birth, examination results	Secure room solely assigned to exams	Access limited to two key holders (Head of Centre and Finance Officer-access given to Exams Officer when required)	7 years from date of issue
Entry information	Any hard copy information relating to candidates'	Candidate name and number	Secure room solely assigned to exams	Access limited to two key holders	Until after the deadline for

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
	entries			(Head of Centre and Finance Officer-access given to Exams Officer when required)	EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms	Candidate name and number	Secure room solely assigned to exams	Access limited to two key holders (Head of Centre and Finance Officer-access given to Exams Officer when required)	Until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series
Conflicts of interest records		Candidate name and number. Names of conflict	Secure room solely assigned to exams	Access limited to two key holders (Head of Centre and Finance Officer-access given to Exams Officer when required)	Until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
					for the exam series
Invigilator and facilitator training records		Names of invigilators	Secure room solely assigned to exams	Access limited to two key holders (Head of Centre and Finance Officer-access given to Exams Officer when required)	Until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series
Overnight supervision information		Candidate name and number and address details	Secure room solely assigned to exams	Access limited to two key holders (Head of Centre and Finance Officer-access given to Exams Officer when required)	Until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series
Post-results services: confirmation of candidate consent	Hard copy of candidate consent for an EAR or ATS request to be submitted to	Candidate name and number	Secure room solely assigned to exams	Access limited to two key holders (Head of Centre	Until after the deadline for EARs or the

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
information	an awarding body			and Finance Officer-access given to Exams Officer when required)	resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series
Post-results services: requests/outcome information	Any hard copy information relating to a post-results service request (EARs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body	Candidate name and number	Secure room solely assigned to exams	Access limited to two key holders (Head of Centre and Finance Officer-access given to Exams Officer when required)	Until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series
Post-results services: scripts provided by ATS service	Copies of exam scripts (or an electronic image of the script) returned to the centre by the awarding body/copies downloaded by the centre where the awarding body provides online access to scripts	Candidate name and number	To be given immediately to candidate or subject lead as records owner		

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
Post-results services: tracking logs	A log tracking to resolution all post results service requests submitted to awarding bodies	Candidate name and number	EO computer	Log in only known by EO	12 months after the deadline for EARs
Results information	Broadsheets of results summarising candidate final grades by subject by exam series	Candidate name and number	EO computer Secure room solely assigned to exams	Log in only known by EO Access limited to two key holders (Head of Centre and Finance Officer-access given to Exams Officer when required)	7 years
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken	Candidate name and number	EO computer Secure room solely assigned to exams	Log in only known by EO Access limited to two key holders (Head of Centre and Finance Officer-access given to Exams Officer when required)	Until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
Special consideration information	Any hard copy information relating to a special consideration request and supporting evidence submitted to an awarding body for a candidate	Candidate name, candidate number, DOB, address, personal or medical information	Secure room solely assigned to exams	Access limited to two key holders (Head of Centre and Finance Officer-access given to Exams Officer when required)	Until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series
Suspected malpractice reports/outcomes	Any hard copy information relating to a suspected malpractice investigation/report submitted to an awarding body and outcome information from the awarding body	Candidate name, number and DOB	Secure room solely assigned to exams	Access limited to two key holders (Head of Centre and Finance Officer-access given to Exams Officer when required)	Until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series
Transferred candidate arrangements	Any hard copy information relating to an application for a transferred candidate arrangement submitted to an awarding body for a	Candidate name and number	Secure room solely assigned to exams	Access limited to two key holders (Head of Centre and Finance Officer-access given to Exams	Until after the deadline for EARs or the resolution of any outstanding enquiry/appeal

Information type	Information description (where required)	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
	candidate			Officer when required)	or malpractice investigations for the exam series
Very late arrival reports/outcomes	Any hard copy information relating to a very late arrival report submitted to an awarding body for a candidate and outcome information from the awarding body	Candidate name and number	Secure room solely assigned to exams	Access limited to two key holders (Head of Centre and Finance Officer-access given to Exams Officer when required)	Until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series