



Data Protection Policy (exams)

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Member of staff with overall responsibility: Mr O. Chadbond

Key staff involved in the policy

Role	Name(s)
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Examinations Officer	Owen Chadbond
Senior leader(s)	David Price
IT Manager	Anthony Hartley
Data Manager	Owen Chadbond

Governing Body Sub-Committee with reviewing responsibility: Standards and Curriculum

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Purpose of the policy

This policy details how Stretford Grammar 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 UK General Data Protection Regulation (GDPR).

The delivery of examinations and assessments involve centres and awarding bodies processing a significant amount of personal data (i.e. information from which a living individual might be identified). It is important that both centres and awarding bodies comply with the requirements of the UK General Data Protection Regulation and the Data Protection Act 2018 or law relating to personal data in any jurisdiction in which the awarding body or centre are operating.

In JCQ's General Regulations for Approved Centres (section 6.1) reference is made to 'data protection legislation'. This is intended to refer to UK GDPR, the Data Protection Act 2018 and any statutory codes of practice issued by the Information Commissioner in relation to such legislation.

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

To ensure that the centre meets the requirements of the DPA 2018 and UK 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 below.

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

- ▶ Awarding bodies
- ▶ Joint Council for Qualifications (JCQ)
- ▶ 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. AQA Centre Services; OCR Interchange; Pearson Edexcel Online; WJEC Secure Website

- ▶ a Management Information System (MIS), provided by ESS SIMS, sending/receiving information via electronic data interchange (EDI) using A2C (<https://www.jcq.org.uk/about-a2c>) to/from awarding body processing systems

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

Stretford Grammar School ensures that candidates are fully aware of the information and data held.

All candidates are:

- ▶ informed via letter and/or electronic communication
- ▶ given access to this policy via the school website

Candidates are made aware of the above when the entries are submitted to awarding bodies for processing.

At this point, the centre also brings to the attention of candidates the annually updated JCQ document **Information for candidates – Privacy Notice** which explains how the JCQ awarding bodies process their personal data in accordance with the DPA 2018 and UK GDPR (or law relating to personal data in any jurisdiction in which the awarding body or centre are operating).

Candidates eligible for access arrangements which require awarding body approval using *Access arrangements online* are also required to provide their consent by signing the GDPR compliant JCQ candidate personal data consent form before approval applications can be processed online.

Section 3 – Hardware and software

The table below confirms how IT hardware, software and access to online systems is protected in line with DPA & GDPR requirements.

Hardware	Date of purchase and protection measures	Warranty expiry
Desktop computers; Laptops/tablets;	Variable dates of purchase Hardware is checked by the IT Manager and IT technician; Hard drive scans and antivirus updates are carried out regularly so that protection is up to date	N/A

Software/online system	Protection measure(s)
Candidate information is stored on the ESS SIMS MIS database	Trusted authentication via IT Manager so only users with approved access to the IT system can use the database

Secure staff hard drive	Protected usernames and passwords; rules for password setting (use of a mix of upper/lower cases letters and numbers) + rules for regular password changing. Regular checks to Firewall/Antivirus software.
AQA Centre Services	Centre administrator has to approve the creation of new user accounts and determine access rights
OCR Interchange	Centre administrator has to approve the creation of new user accounts and determine access rights
Pearson Edexcel Online	Centre administrator has to approve the creation of new user accounts and determine access rights
WJEC Secure Website	Centre administrator has to approve the creation of new user accounts and determine access rights
A2C electronic data transfer system	Access keys required from each exam board

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
- ▶ cyber-attacks involving ransomware infections

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

1. Containment and recovery

The Data Protection Officer 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.

An information audit is conducted annually.

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

Protection measures include:

- ▶ password protected area on the centre's intranet
- ▶ secure drive accessible only to selected staff

- ▶ information held in secure areas
- ▶ updates undertaken every month (this includes updating antivirus software, firewalls, internet browsers etc.)

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 centre's Exams Archiving Policy which is available from the Examinations Officer on request.

Section 7 – Access to information

(with reference to ICO information <https://ico.org.uk/your-data-matters/schools/exam-results>)

The GDPR gives individuals the right to see information held about them. This means individuals can request information about them and their exam performance, including:

- their mark
- comments written by the examiner
- minutes of any examination appeals panels

This does not, however, give individuals the right to copies of their answers to exam questions.

Requesting exam information

Requests for exam information can be made to the Data Protection Officer in writing / by email. If a former candidate is unknown to current staff then ID will need to be provided in the form of a birth certificate.

The GDPR does not specify an age when a child can request their exam results or request that they aren't published. When a child makes a request, those responsible for responding should take into account whether:

- the child wants their parent (or someone with parental responsibility for them) to be involved; and
- the child properly understands what is involved.

The ability of young people to understand and exercise their rights is likely to develop or become more sophisticated as they get older. As a general guide, a child of 12 or older is expected to be mature enough to understand the request they are making. A child may, of course, be mature enough at an earlier age or may lack sufficient maturity until a later age, and so requests should be considered on a case by case basis.

A decision will be made by the Head of Centre as to whether the student is mature enough to understand the request they are making, with requests considered on a case by case basis.

Responding to requests

If a request is made for exam information before exam results have been published, a request will be responded to:

- within five months of the date of the request, or
- within 40 days from when the results are published (whichever is earlier).

If a request is made once exam results have been published, the individual will receive a response within one month of their request.

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 centre's Data Protection Officer will confirm the status of these agreements and approve/reject any requests.

Sharing information with parents

The centre will take into account any other legislation and guidance regarding sharing information with parents (including non-resident parents), as example guidance from the Department for Education (DfE) regarding parental responsibility and school reports on pupil performance:

- ▶ Understanding and dealing with issues relating to parental responsibility www.gov.uk/government/publications/dealing-with-issues-relating-to-parental-responsibility/understanding-and-dealing-with-issues-relating-to-parental-responsibility
- ▶ School reports on pupil performance www.gov.uk/guidance/school-reports-on-pupil-performance-guide-for-headteachers

Publishing exam results

When considering publishing exam results, Stretford Grammar School will make reference to the ICO (Information Commissioner's Office) <https://ico.org.uk/your-data-matters/schools/exam-results/Can-schools-give-my-exam-results-to-the-media-for-publication?>

Stretford Grammar School will publish exam results to the media or within the centre (e.g. on an honours board) in line with the following principles:

- Refer to guidelines as published by the Joint Council for Qualifications
- Act fairly when publishing results, and where people have concerns about their or their child's information being published, taking those concerns seriously
- Ensure that all candidates and their parents/carers are aware as early as possible whether examinations results will be made public and how this will be done
- Explain how the information will be published. For example, if results will be listed alphabetically, or in grade order

As Stretford Grammar School will have a legitimate reason for publishing examination results, consent is not required from students or their parents/carers for publication. However, if a student or their parents/carers have a specific concern about publication of their results, they have the right to object. This objection must be made in writing to the Head of Centre who will consider the objection before making a decision to publish and reply with a good reason to reject the objection to publish the exam results.

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	List of support being offered to candidates, with reasons	Candidate name Candidate DOB Gender Candidate number Data protection notice (candidate signature) Diagnostic testing outcomes Specialist reports (may also include candidate address) Evidence of normal way of working	Access Arrangements Online MIS (SIMS) Lockable metal filing cabinet	Secure user name and password ESS SIMS	
Attendance registers copies	List of candidate names, and whether present for each examination	Candidate name Candidate DOB Gender Candidate number	Secure examination storage room (behind double locked door and metal shutter) with barred windows	In secure area solely assigned to exams	
Candidates' scripts	Completed papers from examinations	Candidate name Candidate DOB Candidate number	(Prior to dispatch) Secure examination storage room (behind double locked door and metal shutter) with barred windows	In secure area solely assigned to exams	
Candidates' work	NEA assessments	Candidate name and exam number	Locked metal filing cabinets Encrypted storage	Secure user name and password	

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
Certificates	Final proof of examination results	Candidate name Candidate DOB Gender Candidate number	Secure examination storage room (behind double locked door and metal shutter) with barred windows	In secure area solely assigned to exams	
Entry information	Details of subjects each candidate is entered for	Candidate name Candidate DOB Gender Candidate number	MIS (SIMS)	ESS SIMS	
Exam room incident logs	List of any noteworthy occurrences during the examination	Candidate name Candidate number	Secure examination storage room (behind double locked door and metal shutter) with barred windows	In secure area solely assigned to exams	
Invigilator and facilitator training records	Details of training and / or signatures of attendance	Invigilator names Invigilator signatures	Electronically + paper copies in secure room	Secure user name and password In secure area solely assigned to exams	
Overnight supervision information	List of procedures for candidates being kept overnight due to examination clashes	Candidate name Candidate DOB Gender Candidate number	Electronically on secure drive	Secure user name and password	
Post-results services: confirmation of candidate consent information	List of possible access to scripts or re-marks per candidate	Candidate name Candidate DOB Candidate number	Electronically on secure drive	Secure user name and password	

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: requests/outcome information	Results of re-marks per candidate	Candidate name Candidate DOB Candidate number	Electronically on secure drive	Secure user name and password	
Post-results services: scripts provided by ATS service	Actual exam papers produced by candidates	Candidate name Candidate DOB Candidate number	Secure examination storage room (behind double locked door and metal shutter) with barred windows	In secure area solely assigned to exams	
Post-results services: tracking logs	List of Access to Script requests and Reviews of Results	Candidate name Candidate number	Electronically on secure drive	Secure user name and password	
Private candidate information	Details of subjects each private candidate is entered for	Candidate name Candidate DOB Gender Candidate number	MIS (SIMS)	ESS SIMS	
Resolving timetable clashes information	List of details for candidates having multiple exams in one session	Candidate name Candidate number	Electronically on secure drive	Secure user name and password	
Results information	Lists of results for candidates	Candidate name Candidate DOB Gender Candidate number	MIS (SIMS) Electronically on secure drive	Secure user name and password ESS SIMS	
Seating plans	Layout of each exam room with candidates identified by position in the room	Candidate name Candidate number	MIS (SIMS)	ESS SIMS	
Special consideration information	List of reasons, by candidate, for awarding	Candidate name	Electronically on secure drive	Secure user name and password	

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
	bodies to provide special consideration	Candidate DOB Gender Candidate number Specialist report(s) (may also include candidate address)	Outlook email system		
Suspected malpractice reports/outcomes	List of irregularities reported to awarding bodies, and results pertaining from them	Candidate name Candidate DOB Gender Candidate number	Electronically on secure drive	Secure user name and password	
Very late arrival reports/outcomes	List of candidates who arrived late, and resultant action taken	Candidate name Candidate number	Secure examination storage room (behind double locked door and metal shutter) with barred windows	In secure area solely assigned to exams	