



EXAMINATIONS GDPR POLICY

General Data Protection Regulation policy 2017/18

This policy is annually reviewed to ensure compliance with current regulations

Key staff involved in the General Data Protection Regulation policy

Role	Name(s)
Head of centre	Justine Mason
Exams officer	Karen Pollard
Exams officer line manager (Senior Leader)	Emma Clapham
Data Protection Officer	Marcus Pasmore at WeST
IT manager	Mark Kent
Data manager	Tamsin Algar

Purpose of the policy

This policy details how Hele's School, in relation to exams management and administration, ensures compliance with the regulations as set out by the Data Protection Act (DPA) 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 and GDPR, all candidates' exam information – even that which is not classified as personal or sensitive – is covered under this policy.

Exams-related information

There is a requirement for the exams office(r) 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;
- Multi Academy Trust;
- Consortium

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

- hard copy
- email
- secure extranet sites eAQA; OCR Interchange; Pearson Edexcel Online; WJEC Secure services;
- Management Information System (MIS) provided by (Scomis - Capita SIMS) sending/receiving information via electronic data interchange (EDI) using 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.

Informing candidates of the information held

Hele's School ensures that candidates are fully aware of the information and data held.

All candidates are:

- informed via electronic communication
- given access to this policy via centre website or by written request

Candidates are made aware of the above at the start of their course of study leading to external examinations.

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 Data Protection Lead or 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

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 each day, inline with the Privacy Policy (this may include updating antivirus software, firewalls, internet browsers etc.)

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/accessible from The Exams Officer.

Access to information

As per the Privacy Policy

Table recording candidate exams-related information held

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 MIS Lockable metal filing cabinet	Secure user name and password In secure area solely assigned to exams	
Attendance registers copies		Candidate name Candidate Number	Lockable metal filing cabinet		To be stored safely and securely until after the deadline for the EAR's or outstanding enquiry/appeal/malpractice investigation.
Candidates' work	NEA returned to centre after moderation	Candidate Name Candidate Number	To be immediately returned to subject staff.	Each department stores in secure cupboard.	To be stored safely and securely until after the deadline for the EAR's or outstanding enquiry/appeal/malpractice investigation.
Certificates		Candidate Name Candidate DOB Exam Results	Lockable metal filing cabinet	Access by Exams Office staff only (2)	7 years from date of issue

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
Certificate destruction information	.		Have retained all certificates for a minimum of 7 years. Lockable filing cabinet. No record required.		
Certificate issue information	Spreadsheet of certificates issued by Season	Candidate name Candidate DOB Candidate Signature	Signing sheets retained for 7 years in folder in lockable cupboard in Exams Office	Access by Exams Office staff only (2)	Retained for 7 years
Entry information	Any paper copy relating to candidates' entries	Candidate Name Candidate DOB Candidate Signature Exam No. UCI	Folder, in lockable cupboard in Exams Office	Access by Exams Office staff only (2)	To be stored safely and securely until after the deadline for the EAR's or outstanding enquiry/appeal/malpractice investigation
Exam room incident logs	Book in each area where exams are held	Candidate Name Date Incident	Book (Kept in secure store when not in use)	Securely stored	To be stored safely and securely until after the deadline for the EAR's or outstanding enquiry/appeal/malpractice investigation
Overnight supervision information	Folder in lockable cupboard	Candidate Name Exam No. Exam Details	Filing Cabinet in Exams Office	Access by Exams Office staff only (2)	To be stored safely and securely until after the deadline for the EAR's or outstanding enquiry/appeal/malpractice investigation
Post-results services: confirmation of candidate consent information	Paper consent form.	Candidate Name Exam No. Signature Exam Details	In Folder in Exams Office	Access by Exams Office staff only (2)	To be stored safely and securely until after the deadline for the EAR's or outstanding

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
					enquiry/appeal/malpractice investigation
Post-results services: requests/outcome information	Paper copies relating to post result services. Outcome from applications	Candidate Name Exam No. Exam Details	Folder in Exams Office	Access by Exams Office staff only (2)	
Post-results services: scripts provided by ATS service	Emails and Paper copies of exam scripts returned to the centre based on requests.	Candidate Name Exam No. Exam Details	Immediately passed to Head of Department or student requesting script.		Emails deleted once dealt with.
Post-results services: tracking logs	Spreadsheet recording outcomes of any Post Result Service.	Candidate Name Exam No. Exam Details	In folder with application in Exams Office	Access by Exams Office staff only (2)	To be stored safely and securely. Retained for 12 months.
Private candidate information	ID from candidate not associated with Hele's School	Photographic evidence Name, Age, DOB, Address. Exam Entries	File – Lockable drawer, in Exams Office	Access by Exams Office staff only (2)	To be stored safely and securely until after the deadline for the EAR's or outstanding enquiry/appeal/malpractice investigation
Resolving clashes information	Any paper copy of information relating to the resolution of exam clashes for candidates	Candidate Name Exam No. Exam Details	Stored in file, with entries. Lockable drawer	Access by Exams Office staff only (2)	To be stored safely and securely. Retained for 12 months.
Results information	Any paper copy of information relating to exam results	Candidate Name Exam No, Exam Details	Lockable metal filing cabinet	Access by Exams Office staff only (2)	To be stored safely and securely. Retained for 7 years
Seating plans	Paper copy of plans showing where candidate sit and the room.	Candidate Name Exam No, Exam Details	In file in Lockable metal filing cabinet.	Access by Exams Office staff only (2)	To be stored safely and securely. Retained for 12 months.
Special consideration information	Paper copies of applications made relating to special consideration, with supporting	Candidate Name Exam No, Exam Details	In file in lockable filing cabinet	Access by Exams Office staff only (2)	To be stored safely and securely until after the deadline for the EAR's or

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
	evidence being submitted to the awarding body.	Personal/Medical information			outstanding enquiry/appeal/malpractice investigation
Suspected malpractice reports/outcomes	Paper copies of information relating to Malpractice/investigations/reports/evidence	Candidate Name Exam No, Exam Details	In file in lockable drawer		To be stored safely and securely until after the deadline for the EAR's or outstanding enquiry/appeal/malpractice investigation
Very late arrival reports/outcomes	Paper copies of information relating to candidates arriving late.	Candidate Name Exam No, Exam Details	On form with attendance registers in lockable metal filing cabinet		To be stored safely and securely until after the deadline for the EAR's or outstanding enquiry/appeal/malpractice investigation