

General Data Protection Regulation policy (exams)

2017/18

This policy is annually reviewed to ensure compliance with current regulations

This policy can be viewed on the school website

Approved/reviewed by	
Gail Elms – Chair of Governors	
Date of next review	March 2018

Key staff involved in the General Data Protection Regulation policy

Role	Name(s)
Head of centre	ANDREW CONROY
Exams officer	JULIE GREEN
Exams officer line manager (Senior Leader)	PAM FOY
Data Protection Officer	STEVE SANDERSON
IT manager	STEVE BOLLAND
Data manager	TRACEY HALL

Purpose of the policy

This policy details how Werneth, 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.

Section 1 – 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

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- ▶ Joint Council for Qualifications
- ▶ [insert (by listing) any other organisations as relevant to your centre e.g. Department for Education; Local Authority; Multi Academy Trust; Consortium; the Press; etc.]

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

- ▶ hard copy
- ▶ email
- ▶ secure extranet site(s) – eAQA; OCR Interchange; Pearson Edexcel Online; WJEC Secure services; VTCT
- ▶ Management Information System (MIS) provided by [Capita 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

Werneth ensures that candidates are fully aware of the information and data held.

All candidates are:

- ▶ informed via centre newsletter, electronic communication,
- ▶ given access to this policy via Werneth website,

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

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 computer; Laptop/tablet;	Rolling purchase programme Virus Protection Daily Backups Restricted Access to Sims Drive	N/A

Software/online system	Protection measure(s)
SIMs	Restricted Access to Sims Drive
MIS; Intranet; Internet browser(s); Awarding body secure extranet site(s); A2C; etc.	Protected usernames and passwords; rules for password setting (use of a mix of upper/lower cases letters and numbers); rules for regularity of password changing; centre administrator has to approve the creation of new user accounts and determine access rights; regular checks to Firewall/Antivirus software;

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

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 yearly

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

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- ▶ secure drive accessible only to selected staff
- ▶ information held in secure area
- ▶ updates undertaken every 6 months (this may include 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/accessible from Werneth website

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 Data Protection Officer by writing/email, ID will need to be confirmed if a former candidate is unknown to current staff. 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 centre's Data Protection Officer 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 SIMs Lockable metal filing cabinet	Secure user name and password In secure area solely assigned to exams	To be retained until after the deadline of EARs /or issue of certificates
Attendance registers copies		Candidate name Candidate DOB Candidate UCI & ULN Gender	SIMs Locked exam room	In secure area solely assigned to exams	To be retained until after the deadline of EARs /or issue of certificates
Candidates' work		Candidate name Candidate UCI & ULN	Secure area in classroom	In secure area solely assigned to exams	To be retained until after the deadline of EARs /or issue of certificates
Certificates		Candidate name Candidate DOB Candidate UCI & ULN Gender	Locked in Store cupboard	In secure area solely assigned to exams	2 years

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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	.	Candidate name Candidate DOB Candidate UCI & ULN Gender	Policy on website Hard copy locked in exam office	In secure area solely assigned to exams	2 years
Certificate issue information		Candidate name Candidate DOB Candidate UCI & ULN Gender	Hard copy locked in store cupboard	In secure area solely assigned to exams	2 years
Entry information		Candidate name Candidate DOB Candidate UCI & ULN Gender	Locked exam room	In secure area solely assigned to exams	To be retained until after the deadline of EARs /or issue of certificates
Exam room incident logs		Candidate name Candidate DOB Candidate UCI & ULN Gender	Locked exam room	In secure area solely assigned to exams	To be retained until after the deadline of EARs /or issue of certificates
Overnight supervision information		n/a			
Post-results services: confirmation of candidate consent information		Candidate name Candidate DOB Candidate UCI & ULN Gender	Locked exam room	In secure area solely assigned to exams	To be retained until after the deadline of EARs /or issue of certificates

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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		Candidate name Candidate DOB Candidate UCI & ULN Gender	Locked exam room	In secure area solely assigned to exams	To be retained until after the deadline of EARs /or issue of certificates
Post-results services: scripts provided by ATS service		Candidate name Candidate DOB Candidate UCI & ULN Gender	Locked exam room	In secure area solely assigned to exams	To be retained until after the deadline of EARs /or issue of certificates
Post-results services: tracking logs		Candidate name Candidate DOB Candidate UCI & ULN Gender	Locked exam room	In secure area solely assigned to exams	To be retained until after the deadline of EARs /or issue of certificates
Private candidate information		n/a			
Resolving clashes information		Candidate name Candidate DOB Candidate UCI & ULN Gender	With students Locked exam room	In secure area solely assigned to exams	To be retained until after the deadline of EARs /or issue of certificates
Results information		Candidate name Candidate DOB Candidate UCI & ULN Gender	Locked exam room With students	In secure area solely assigned to exams	To be retained until after the deadline of EARs /or issue of certificates

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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
Seating plans		Candidate name Candidate DOB Candidate UCI & ULN	Locked exam room	In secure area solely assigned to exams	To be retained until after the deadline of EARs /or issue of certificates
Special consideration information		Candidate name Candidate DOB Candidate UCI & ULN Gender Specialist report(s) (may also include candidate address)	Locked exam room	In secure area solely assigned to exams	To be retained until after the deadline of EARs /or issue of certificates
Suspected malpractice reports/outcomes		Candidate name Candidate DOB Candidate UCI & ULN Gender	Locked exam room	In secure area solely assigned to exams	To be retained until after the deadline of EARs /or issue of certificates
Transfer of credit information		Candidate name Candidate DOB Candidate UCI & ULN Gender	Locked exam room	In secure area solely assigned to exams	To be retained until after the deadline of EARs /or issue of certificates
Transferred candidate information		Candidate name Candidate DOB Candidate UCI & ULN Gender	Locked exam room	In secure area solely assigned to exams	To be retained until after the deadline of EARs /or issue of certificates

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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
Very late arrival reports/outcomes		Candidate name Candidate DOB Candidate UCI & ULN Gender	Locked exam room	In secure area solely assigned to exams	To be retained until after the deadline of EARs /or issue of certificates