

HEALING  
SCHOOL



A Science Academy

# Healing School – A Science Academy

## Data Protection Policy (Exams)

This plan is reviewed annually to ensure compliance with current regulations

Author	Mrs D Barnard
Date adopted by MAT Directors	Autumn Term 2020
Review Date	Autumn Term 2021
Consultations/Training	Exams Officer/Inclusion Manager, SLT & Governors

## **Contents**

Purpose of the policy.....	3
Section 1 – Exams-related information.....	3
Section 2 – Informing candidates of the information held .....	4
Section 3 – Hardware and software .....	4
Section 4 – Dealing with data breaches .....	4
Containment and recovery.....	5
Assessment of ongoing risk.....	5
Notification of breach.....	5
Evaluation and response .....	5
Section 5 – Candidate information, audit and protection measures .....	6
Section 6 – Data retention periods.....	6
Section 7 – Access to information.....	6
Section 8 – Table recording candidate exams-related information held .....	8

## **Purpose of the policy**

This policy details how Healing 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 these *General Regulations* 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. (JCQ General Regulations for Approved Centres (GR, section 6.1) Personal data)

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 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 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 below*.

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

- Awarding bodies
- Joint Council for Qualifications
- MAT

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

- hard copy
- email
- secure extranet site(s) – AQA Centre Services; OCR Interchange; Pearson Edexcel Online; WJEC Secure services
- The centres 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

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

All candidates are:

- given access to this policy via the Exams section of the school’s website
- made aware of the above at the start of their course of study leading to an externally accredited qualifications
- notified to 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 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

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

Hardware	Protection measures
Desk top computer Laptop iPads	Password protection USB encryption (See AUP policy for HMAT)

Software/online system	Protection measure(s)
Sims A2C	Protected usernames and passwords; rules for password setting (use of a mix of upper/lower cases letters and numbers); users should regularly update passwords; centre administrator has to approve the creation of new user accounts and determine access rights; regular checks to Firewall/Antivirus software are carried out.

## 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:

### **Containment and recovery**

The DPO 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

### **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?

### **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.

### **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
- regular updates undertaken (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 from the Exams Officer or the O:drive.

## **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 panel

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 and producing ID to confirm the candidate is they are unknown to current staff.

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 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:

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

If a request is made once 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 is 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. 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 MIS Secure room	Secure user name and password  Locked in Exams office	Until expired
Attendance registers copies	Completed for each external examination	Candidate name Candidate number	Secure room	Locked in Exams office	1 academic year
Candidates' work	Non examined assessment	Candidate name Candidate number	Students informed to keep securely if permitted to take work away to work on  Lockable cabinets within departments  Secure storage in exams on return from moderator	In secure area within departments	Returned to departments after post results  Students may collect the work after this time or agree for the work to be used in

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
					teaching and learning
Certificates	Candidate Results	Candidate name Candidate results by AB	Locked cabinet in school reception	Locked	1 year
Certificate information issue	Certificates distributed annually via registers All students must sign for the collection of certificates	Candidate name Results achieved	Filing cabinet	Restricted access to locked cabinet	4 years
Conflicts of Interest records		Candidate name Candidate number	Secure Room	Limited access	1 academic year
Entry information		Candidate name Candidate number/ UCI/ ULN Gender Examination entries	Sims system Timetables issued to Candidates Mark sheets Entry lists	Password Locked storage	1 academic year
Exam room incident logs		Candidate name Candidate number Access arrangements	Exams office	Locked office; limited access	1 academic year
Overnight supervision information		Candidate name Candidate number Exam information	Electronically Hard copy: exams office	Limited access Locked office	1 academic year

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: confirmation of candidate consent information		Candidate name Candidate number Awarding board & award DOB Result	Email Awarding body website Sims system EAR file exams	Password protected  Locked cabinet	1 academic year
Post-results services: requests/outcome information		Candidate name Candidate number Awarding board & award DOB Result	Email Awarding body website Sims system EAR file exams	Password protected  Locked cabinet	1 academic year
Post-results services: scripts provided by ATS service		Candidate name Candidate number Awarding board & award DOB Result	Email Awarding body website Sims system EAR file exams	Password protected  Locked cabinet	1 academic year
Post-results services: tracking logs		Candidate name Candidate number Payment method Award code	Electronically EAR folder	Password protected Locked exams office	1 academic year
Resolving clashes information	Sims clash document Letters produced and sent home	Candidate name Candidate number	Examinations office Electronically	Locked office Password protected	1 academic year

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
		DOB Exam award Address details			
Results information		Candidate name Candidate number/UCI/ULN DOB Results for all awards taken	Electronically	Password protected	7 years
Seating plans		Candidate name Candidate number Access arrangement	Exams office	Locked office	1 academic year
Special consideration information		Candidate name Candidate number DOB Reason for Special consideration	Exams office AB website	Locked office	1 academic year
Suspected malpractice reports/outcomes		Candidate name Candidate number Reason for report	Electronically Email	Password protected	1 academic year
Very late arrival reports/outcomes		Candidate name Candidate number Reason for report	Electronically Email	Password protected	1 academic year