

DATA PROTECTION POLICY (Exams) 2023/24

This policy is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
David Martin	
Date of next review	Autumn 2024

Key staff involved in the policy

Role	Name(s)
Head of centre	David Martin
Exams officer	Michelle Phillips
Senior leader(s)	Gareth Livesy-Jones
School Business & IT Manager / Data Protection Officer	Dean Inns
Data manager	Suzi Alexander

Contents

Key staff involved in the policy	2
Purpose of the policy	4
Section 1 – Exams-related information	4
Section 2 – Informing candidates of the information held	5
Section 3 – Hardware and software	5
Section 4 – Dealing with data breaches	6
Section 5 – Candidate information, audit and protection measures	7
Section 6 – Data retention periods	7
Section 7 – Access to information	7
Section 8 – Table recording candidate exams-related information held	10

Purpose of the policy

This policy details how Katherine Warrington 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 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 (JCQ)
- Department for Education
- SISRA
- FFT

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 Website; Princes Trust.
- Management Information System (MIS) provided by Arbor 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

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

All candidates are:

- informed via electronic communication and Student Exam Handbook
- given access to this policy via school website

Candidates are made aware of the above at the start of a course leading to a vocational qualification, or, where candidates are following GCE and GCSE qualifications, 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/reasonable adjustments 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 computer Laptop	All Hardware purchased June 2020 with a 5 year warranty. IT Hardware is checked on a regular basis by the IT Team to identify any issues. AntiVirus scans run on a daily basis. Network monitoring tools monitor the network on a daily basis.	June 2025

Software/online system	Protection measure(s)
MIS (Arbor)	Secure logins and passwords, access restricted based on role within the school to minimum requirements to carry out role.
Google Drive	Secure login and password, sheets/ drives shared with relevant members of staff
SISRA	Secure login and password, administrator approves creation of new user accounts and access rights

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

Dean Inns, School Business Manager and 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 periodically.

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 (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 section 8 of this policy.

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/email and ID will be required and confirmed if a former candidate is 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 the Data Protection Officer 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 and a local authority (the 'corporate parent'), 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 (Updated 24 August 2023 to include guidance on the role of the 'corporate parent', releasing GCSE results to a parent and notifying separated parents about a child moving school)
- 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, Katherine Warrington 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?

Katherine Warrington 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 Katherine Warrington 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		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 in the SEN office and secure eFolder	Secure user name and password In secure office (SENCo) Secure and limited access area on the IT system.	
Alternative site arrangements		Candidate Name Candidate Number Subject Examined	MIS JCQ CAP	Secure User names and passwords	
Attendance registers copies		Candidate Name Candidate Number	In secure Exams Room	Locked in a room	Destroyed after appeal period has expired
Candidates' scripts		Candidate Name Candidate Number	In secure exam room	Locked in exam room	Until collected by postal service
Candidates' work		Candidate Name Candidate Number	In secure Exam Room	Locked in exam room	Until collected/posted

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		Candidate Name Candidate Number Qualifications gained	In secure exam room	In secure exam room	Until collected/ or archived after one year until student file destroyed
Certificate destruction information		Candidate Name Candidate Number Qualifications gained	Exams Office		Destroyed after students turn 25 or 31 for SEN
Certificate issue information	Students are told when to expect certificates and then when they are available for collection				
Conflicts of interest records		Student Name Parent/ Contact Details Subjects entered for	Exams Office	Locked in filing cabinet	Until exam season in question is complete
Entry information		Candidate Name Candidate Number Entry Information	MIS	Secure login and password	
Exam room incident logs		Candidate Name Candidate Number	Secure Exams Room	Locked in exam room	Destroyed when exam series is complete
Invigilator and facilitator training records		Invigilator Name and Email address	The Exams Office Portal	Secure login and password	
Overnight supervision information		Candidate Name	Exams Office	Locked in filing cabinet	Until exam season 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
		Candidate Number Candidate Postal Address			question is complete
Post-results services: confirmation of candidate consent information		Candidate Name Candidate Number Email Address	Post Result File	Exams Office	Destroyed when chance of appeal has passed
Post-results services: requests/outcome information		Candidate Name Candidate Number	Post Result File	Exams Office	Destroyed when chance of appeal has passed
Post-results services: scripts provided by ATS service		Candidate Name Candidate Number Marks/ grade awarded	Secure awarding body portal	Secure login and password	Until chance for further appeal has passed
Post-results services: tracking logs		Candidate Name Candidate Number Marks/ awards	Post result file on Google drive	Secure login and password, limited access to Exams officer and Head of Curriculum only	Until chance of further appeal has passed
Private candidate information		N/A			
Resolving timetable clashes information		Candidate Name Candidate Number Exams being sat	MIS Letter and clash resolution plan on file		
Results information		Candidate Name Candidate Number Exam Results	MIS Excel Spreadsheet held by Data Manager	Secure Logins and passwords	Indefinitely

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
			SISRA FFT		
Seating plans		Candidate Name Candidate Number	MIS Exams Room	Locked in secure exam cupboard	Until Exam series is complete
Special consideration information		Candidate Name Candidate Number Personal information relevant to the application e.g. health/ sickness incident	Exams Office	Locked filing cabinet	Destroyed when exam series/ appeals process is complete
Suspected malpractice reports/outcomes		Candidate Name Candidate Number Personal information relevant to the application e.g. evidence supported malpractice	Exams Office	In locked filing cupboard	Destroyed when exam series is complete
Transferred candidate arrangements		Candidate Name Candidate Number	Exams Office	Locked filing cabinet	Destroyed when the exam series is complete
Very late arrival reports/outcomes		Candidate Name Candidate Number	Exams Office	Locked Filing Cabinet	Destroyed when the exam series is complete