



# **Data Protection Policy (Exams)**

Academic Year 2023 – 2024

### Data Protection Policy

Centre Name	Lutterworth High School
Centre Number	25269
Date policy first created	13/09/2023
Current policy approved by	The Governing Body
Current policy reviewed by	Jane Moore - Exams Officer / Natalie Tebbatt - SLT Link Exams
Date of next review	September 2024

### Key staff involved in the policy

Role	Name
Head of Centre	Mr Julian Kirby
Senior leader(s)	Caroline Creed - (Data Protection/GDPR), Amy Hunter (Deputy Head Teacher), Aaron Mehta, Richard Salter, Natalie Tebbatt - SLT (Exams)
Exams officer	Jane Moore
Other staff (if applicable)	Sam Hill – IT Manager

This policy is reviewed and updated annually to ensure that overnight supervision arrangements at Lutterworth High School are awarded and managed in accordance with current requirements and regulations.

References in this policy to ICE refer to the JCQ publication **Instructions for conducting examinations**.

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## **Purpose of the policy**

This policy details how Lutterworth High 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; Local Authority

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; City & Guilds Walled Garden; etc.]
- Management Information System (MIS) provided by SIMS sending/receiving information via electronic data interchange (EDI) using A2C (<https://www.jcq.org.uk/about-a2c>) to/from awarding body processing systems; etc.

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

Lutterworth High School 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 Lutterworth High School’s website or by written request

Candidates are made aware of the above at the start of a course leading to a vocational qualification, or, where candidates are following 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 Tablet	SOPHOS Antivirus updated hourly Regular hardware checks / hardware access managed by security policy Externally managed firewall (ISP) Internet access controlled internally via a filter system Access to applications managed by policy (ie word allowed/disallowed, spellcheck) Controlled assessments stored separately under separate user accounts All pc’s running windows 10 and receive updates every evening from WSUS	N/A
Software/online system	Protection measure(s)	
MIS: SIMs	All software sites are protected with usernames and passwords; password setting are a use of a mix of upper/lower cases letters and numbers; passwords are regularly changed; centre administrator has to approve the creation of new user accounts and determine access rights; regular checks to Firewall/Antivirus software; some awarding bodies have extra security for verification.	
Internet Browsers		
Awarding Bodies secure extranet sites		
A2C		

## 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

Caroline Creed – Operations Manager (Data Protection) 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 may include:

- password protected area on the centre's intranet
- secure drive accessible only to selected staff
- information held in secure area
- updates undertaken daily (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 the exams officer or the school’s website

## **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 Caroline Creed – Operations Manager (Data Protection) in writing/email. ID will need to be 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 Caroline Creed – Operations Manager (Data Protection) 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](http://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](http://www.gov.uk/guidance/school-reports-on-pupil-performance-guide-for-headteachers)

## Publishing exam results

When considering publishing exam results, Lutterworth High 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?

OR

Lutterworth High 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 Lutterworth High 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	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 SENDCo - Lockable metal filing cabinet	Secure user name and password In secure office (SENCo)	To be returned to ALS lead/SENCo as records owner at end of the candidate's final exam series.
Alternative site arrangements	Candidate name Candidate DOB / Gender If applicable Data protection notice (candidate signature) Diagnostic testing outcome(s) Specialist report(s) (may also include candidate address) Evidence of normal way of working	Secure storage EO	Secure storage EO	12 months
Attendance registers copies	Candidate name	Exams Office	Secure storage	12 months
Candidates' scripts	Candidate name	Exams Office/Exam boards Faculty has ATS	Secure storage Secure postage	
Candidates' work	Candidate name	Faculty	Secure storage	
Centre consortium arrangements for centre assessed work	n/a			
Certificates	Candidate name	Exams Office	Secure storage	12 months
Certificate destruction information	Candidate name	Exams Office	Secure storage	4 years
Certificate issue information	Candidate name Candidate DOB / Gender	Exams Office	Secure storage	4 years
Conflicts of interest records	Staff name / candidates name	Exams Office	Secure storage	12 months

Information type	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
Entry information	Candidate name Candidate DOB / Gender	Exams Office	Secure storage	12 months
Exam room incident logs	Candidate name	Exams Office	Secure storage	12 months
Invigilator and facilitator training records	Staff name	Exams Office	Secure storage	12 months
Overnight supervision information	Candidate name Candidate DOB / Gender	Exams Office	Secure storage	12 months
Post-results services: confirmation of candidate consent information	Candidate name	Exams Office	Secure storage	12 months
Post-results services: requests/outcome information	Candidate name	Exams Office	Secure storage	12 months
Post-results services: scripts provided by ATS service	Candidate name	Exams Office	Secure storage	12 months
Post-results services: tracking logs	Candidate name	Exams Office	Secure storage	12 months
Private candidate information	n/a			
Resolving timetable clashes information	Candidate name	Exams Office	Secure storage	12 months
Results information	Candidate name	Exams Office	Secure storage	continuous
Seating plans	Candidate name	Exams Office	Secure storage	12 months
Special consideration information	Candidate name Candidate DOB / Gender If applicable Data protection notice (candidate signature) Diagnostic testing outcome(s)	Exams Office	Secure storage	**

Information type	What personal/sensitive data is/may be contained in the information	Where information is stored	How information is protected	Retention period
	Specialist report(s) (may also include candidate address) Evidence of normal way of working			
Suspected malpractice reports/outcomes	Candidate name	Exams Office	Secure storage	**
Transferred candidate arrangements	Candidate name Candidate DOB / Gender If applicable Data protection notice (candidate signature) Diagnostic testing outcome(s) Specialist report(s) (may also include candidate address) Evidence of normal way of working	Exams Office	Secure storage	12 months
Very late arrival reports/outcomes	Candidates Name	Exams Office	Secure storage	12 months

\*\*All exam related and NEA documents are retained securely until the awarding bodies deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.