

GDPR Policy (Exams)

1. Purpose of the policy

- 1.1 This policy details how Belmont 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 General Data Protection Regulation (GDPR). To ensure that the centre meets the requirements of the DPA 2018 and GDPR, all candidates' exam information - even that which is not classified as personal or sensitive - is covered under this policy.
- 1.2 Pupils 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.

2. Exams-related Information

- 2.1 There is a requirement for the exams office(r) to hold exams-related information on candidates taking external examinations. 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. For further details on the type of information held, please refer to Section 6 - Candidate information, audit and protection measures.
- 2.2 Candidates' exams-related data may be shared with the following organisations:
- Awarding bodies,
 - Joint Council for Qualifications,
 - Independent Schools Association, Independent Schools Inspectorate, and the press.
- 2.3 This data may be shared via one or more of the following methods:
- hard copy,
 - email,
 - secure extranet site(s) including AQA, OCR Interchange, Pearson Edexcel Online, Cambridge,
 - Engage database management system, Fusion My Learning virtual learning environment.

3. Informing candidates of the information held

3.1 Belmont School ensures that candidates are fully aware of the information and data held. All candidates are:

- informed via the Candidate Exam Handbook,
- given access to this policy via the Belmont website www.belmont-school.org.

3.2 Candidates are made aware of the above at the start of their course of study leading to an externally accredited qualification. At this point, the School 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 GDPR.

3.3 Candidates eligible for access arrangements 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.

4. Hardware and software

4.1 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	Windows 10 desktop, updates deployed centrally. Runs Sophos Endpoint protection, updated several times per day from Sophos central servers. All email scanned by Microsoft 365. All pen drives are scanned for viruses by Sophos.	1 - 5 years from purchase
School network ingress point	Broadband line protected by Cisco Firewall and Barracuda WSG web filter	Firewall expired. WSG on lease and will be replaced if failure.
Software/online system	Protection measure(s)	
Microsoft 365	Emails and OneDrive. Protected by MFA (password and phone when off-premises, password and IP address when on-premises)	
Double First Engage	Access controlled by username and password	
Awarding body secure extranet site(s) AQA online services Pearson Edexcel Online WJEC secure access CI direct	Access controlled by username and password Accounts have specified access rights Centre administrator has to approve the creation of new user accounts and determine access rights	
A2C	Access controlled by username and password	

5. Dealing with data breaches

5.1 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.

5.2 If a data protection breach is identified, the following steps will be taken:

a) Containment and recovery

The School's safeguarding lead for IT 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.

b) 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?

c) 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.

d) 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.

6. Candidate information, audit and protection measures

6.1 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.

6.1 The table below (Section 9) 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 on a regular and scheduled basis to include updating antivirus software, firewalls, internet browsers etc.

7. Data Retention Periods and disposal

7.1 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 on the School's VLE.

8 Access to information

8.1 Current and former candidates can request access to the information/data held on them by making a **subject access request** in writing or via email to the Bursar. Identification will need to be confirmed if a former candidate is unknown to current staff. All requests will be dealt with within 40 calendar days.

8.2 Third party access

Permission should be obtained before requesting personal information on another individual.

Candidates' personal data will not be shared with a third party unless a request is accompanied with permission from the candidate and appropriate evidence provided (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 (Bursar) will confirm the status of these agreements and approve/reject any requests.

9. Table recording candidate exams-related information held

For details of how to request access to information held, refer to section 8 of this policy (**Access to information**)

For further details of how long information is held, refer to section 7 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	Information collected by SENCo to process access arrangements	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 office (SENCo)	
Alternative site arrangements	Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.	Candidate name Candidate DOB Gender 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 office (SENCo)	Until appeal, malpractice or other results enquiry has been completed
Attendance registers copies	Registers record attendance at each written exam, are kept with seating plan and exam room incident log	Candidate name Candidate number	Lockable metal filing cabinet	Access limited - key in secure office (exams)	According to JCQ ICE booklet - Until appeal, malpractice or other results enquiry has

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
					been completed
Candidates' scripts	Exam scripts	Candidate name Candidate number Exam answers	Secure exam storage until collected by Parcel force	Limited access secure area (exams)	Exam papers are retained until the end of the exam day or next working day, where they are then posted to the relevant exam board.
Candidates' work		Candidate name Candidate DOB Gender Candidate marks and grades	NEA- stored safely within subject departments	Locked office/rooms limited access	According to JCQ NEA booklet - Until appeal, malpractice or other results enquiry has been completed
Certificates	Record of achievement	Candidate name Candidate DOB Gender	Lockable metal filing cabinet	Limited number of key holders to office	7 years from date of issue
Certificate destruction information	A record of unclaimed certificates that have been destroyed	As above	Lockable metal filing cabinet	Limited number of key holders to office	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 issue information	A record of certificates that have been issued.	As above	Lockable metal filing cabinet	Secure office (exams)	7 years from date of issue
Conflicts of Interest records	Records demonstrating the management of Conflicts of Interest kept online only	As above	MIS	Secure user name and password	
Entry information	Any hard copy information relating to	As above	MIS	Secure user name and password	Until appeal, malpractice or other results enquiry has been completed
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms.	Candidate name/number	Lockable metal filing cabinet	Secure lockable cabinet	Until appeal, malpractice or other results enquiry has been completed
Invigilator and facilitator training records		Name Contact number Email address	Exam officer computer The Exams Office system	Secure password required	Hard copies disposed after completion of the exam series
Overnight supervision information	Copy of JCQ form Timetable variation and confidentiality declaration for overnight supervision for any	Candidate name/number DOB Address /contact details	MIS Exam officer computer	Secure Password required	Until appeal, malpractice or other results enquiry has

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 eligible for these arrangements.	Parental/carer information			been completed
Post-results services: confirmation of candidate consent information		Candidate name/number	Exam officer computer Form held in file	Secure password required	As above
Post-results services: requests/outcome information		As above	As above	As above	As above
Post-results services: scripts provided by ATS service		As above	As above	As above	As above
Post-results services: tracking logs		As above	As above	As above	As above
Private candidate information	Any hard or digital copy information relating to private candidates' entry.	Candidate name/number DOB Address /contact details Parental/carer information	MIS	Secure password required	As above
Resolving timetable clashes information	Any hard copy information relating to the resolution of a candidate's clash of exam papers or a timetable variation.	Candidate name/number	MIS Form in file	Secure user name and password Locked Exams office	Until appeal, malpractice or other results enquiry has been completed

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
Results information		Candidate name Candidate Number Candidate DOB Gender Candidate	MIS Paperwork held in file	As above	Current academic year enquiry
Seating plans		Candidate DOB Gender Candidate	MIS Paperwork in exams office files	As above	Until appeal, malpractice or other results enquiry has been completed
Special consideration information		Candidate name Candidate Number	As above	As above	As above
Suspected malpractice reports/outcomes		As above	As above	As above	Until end of malpractice investigation or end of outcome
Transferred candidate arrangements	Transferred candidate arrangements	As above	As above	As above	Until appeal, malpractice or other results enquiry has been completed

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	Very late arrival reports/outcomes	As above	As above	As above	As above

Authors: Helen Skrine, Headmistress
David Collins, Deputy Head, Academic
Simon Cotton, Assistant Head

Date: Sept. 2022

Approved by: Education Committee

Date: 14 November 2022

Review Due: Michaelmas term 2023