# Maplewell Hall School

# Exams General Data Protection Regulation Policy

| Policy Created | March 2018 |
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| Governing Body Committee | Teaching, Learning & Assessment |
| Date Reviewed by Governing Body | 13 June 2019 |
| Date of Next Review | Summer Term 2020 |

# Contents

## 1. Purpose of the policy

This policy details how Maplewell Hall School, 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 students' 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 students' exam information – even that which is not classified as personal or sensitive – is covered under this policy.


## 2. Exams-related information

There is a requirement for the exams office(r) to hold exams-related information on students taking external examinations. For further details on the type of information held please refer to *Section 5 – Student information, audit and protection measures*.

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

- Awarding bodies
- Joint Council for Qualifications
- 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) – e.g. eAQA; OCR Interchange, Pearson Edexcel Online, WJEC Secure services, Gateway, Duke of Edinburgh, Sports Leaders, Access Arrangements Online
- 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; 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.**

### 3. Informing students of the information held

Maplewell Hall School ensures that students are fully aware of the information and data held. All students are:

- informed via electronic communication
- given access to this policy via centre website

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

### 4. 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 | May 2018<br><br>Hardware is checked annually formally, but at any time by our technician and Leamis externally this includes hard drive scans and the internal back up system to ensure data is always safe, antivirus protection up to date and is in constant use on all computers across the school | NA |
| Teacher laptop | May 2017- May 2018<br><br>Hardware is checked annually formally, but at any time by our technician and Leamis externally this includes hard drive scans and the internal back up system to ensure data is always safe, antivirus protection up to date and is in constant use on all computers across the school | NA |

| Software/online system | Protection measure(s) |
|---|---|
| SIMS | All staff are allocated a user name and password that has to be updated on first usage, the system then requests password changes at least annually. Each member of staff has different access rights that are nominated by the Head teacher and office manager. We do not access SIMS off site. Usernames and passwords have to be allocated by the office manager. LEAMIS are able to access this programme remotely but require staff to be logged on, so do not know passwords etc |
| Go4Schools | All staff are allocated a user name and password that has to be updated on first usage, the system then requests password changes at least annually. User names are linked to staff email and the system is backed by SIMS. We are able to access Go4Schools off site but this shows very limited personal details of pupils and its usage is for recording teacher marks and behaviour incidents |
| Internet provider | Our system is protected by esafety4schools that has access rights by our IT technician. There is limited access to sites where personal details can be shared. |
| AQA | All staff require access to be provided by our exams officer. Staff are then nominated access rights dependant on what role- but this is typically a teacher role. Only pupil names and candidate numbers are kept securely on this system and is enforced by the exam board GDPR protection too |
| OCR | All staff require access to be provided by our exams officer. Staff are then nominated access rights dependant on what role- but this is typically a teacher role. Only pupil names and candidate numbers are kept securely on this system and is enforced by the exam board GDPR protection too |
| Gateway | All staff require access to be provided by our exams officer. Staff are then nominated access rights dependant on what role- but this is typically a teacher role. Only pupil names and candidate numbers are kept securely on this system and is enforced by the exam board GDPR protection too |

| | |
|---|---|
| Pearson | All staff require access to be provided by our exams officer. Staff are then nominated access rights dependant on what role- but this is typically a teacher role. Only pupil names and candidate numbers are kept securely on this system and is enforced by the exam board GDPR protection too |
| City and Guilds | All staff require access to be provided by our exams officer. Staff are then nominated access rights dependant on what role- but this is typically a teacher role. Only pupil names and candidate numbers are kept securely on this system and is enforced by the exam board GDPR protection too |
| Passwords for access | Passwords are expected to be kept securely by all staff and not shared between users, updates to passwords for systems used in school are automatically requested throughout the school year. School users are also bound by GDPR of the systems that request login details. |

## 5. 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:

**Containment and recovery**
- County Council 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

## 6. Student information, audit and protection measures

For the purposes of this policy, all students' 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 termly.

The table below details the type of student 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 every 3 months (this may include updating antivirus software, firewalls, internet browsers etc.)

## 7. 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 upon request.

## 8. Access to information

Current and former students can request access to the information/data held on them by making a **subject access request** to County Hall in writing. 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.

Students' personal data will not be shared with a third party. If Maplewell is required to share details with a third party then a request is accompanied from the student and parent/carer in writing, alongside any ID, to verify their details. All staff provide ID before they start at school in providing their personal data.

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.

### 9. Table recording student 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 | Student Name<br><br>Date of Birth<br><br>Gender<br><br>Data protection notice (student signature)<br><br>Diagnostic testing outcome(s)<br><br>Specialist report(s) (may also include student address)<br><br>Evidence of normal way of working | Access arrangements online<br><br>MIS<br><br>Password protected spreadsheet<br><br>Lockable filing cabinet | Secure user name and password<br><br>In secure area solely assigned to exams | 3 years |
| Attendance registers copies | Student Name<br><br>Exam Number | MIS<br><br>Lockable filing cabinet | In secure area solely assigned to exams | 1 year |
| Students' work | Student Name<br><br>Exam Number | Lockable filing cabinet/room | In secure area solely assigned to exams | 1 year |
| Certificates | Student Name<br><br>ULN | Shared Drive with limited access<br><br>MIS<br><br>Lockable filing cabinet | Secure user name and password<br><br>In secure area solely assigned to exams | 12 months from date of issue |

| Information type | What personal/sensitive data is/may be contained in the information | Where information is stored | How information is protected | Retention period |
|---|---|---|---|---|
| Certificate destruction information | Student Name | Shared Drive with limited access<br><br>Lockable filing cabinet | In secure area solely assigned to exams | 4 years from date of destruction |
| Certificate issue information | Student Name<br><br>Correspondence Address | Shared Drive with limited access<br><br>Lockable filing cabinet | In secure area solely assigned to exams | 4 years from the date of issue |
| Entry information | Student Name<br><br>Date of Birth<br><br>Gender<br><br>Exam Number<br><br>ULN<br><br>UCI | Shared Drive with limited access<br><br>MIS<br><br>Exam Board Website<br><br>Lockable filing cabinet | Secure user name and password<br><br>In secure area solely assigned to exams | 1 year |
| Exam room incident logs | Student Name | Lockable filing cabinet | In secure area solely assigned to exams | 1 year |
| Overnight supervision information | Student Name<br><br>Exam Number | Lockable filing cabinet | In secure area solely assigned to exams | 1 year |
| Post-results services: confirmation of student consent information | Student Name<br><br>Date of Birth<br><br>Exam Number | Shared Drive with limited access<br><br>Exam Board Websites<br><br>Lockable filing cabinet | Secure user name and password<br><br>In secure area solely assigned to exams | 1 year |

| Information type | 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 | Student Name<br><br>Date of Birth<br><br>Exam Number | Shared Drive with limited access<br><br>Exam Board Websites<br><br>Lockable filing cabinet | Secure user name and password<br><br>In secure area solely assigned to exams | 1 year |
| Post-results services: scripts provided by ATS service | Student Name<br><br>Date of Birth<br><br>Exam Number | Shared Drive with limited access<br><br>Exam Board Websites<br><br>Lockable filing cabinet | Secure user name and password<br><br>In secure area solely assigned to exams | 1 year |
| Post-results services: tracking logs | Student Name<br><br>Date of Birth<br><br>Exam Number | Shared Drive with limited access<br><br>Exam Board Websites<br><br>Lockable filing cabinet | Secure user name and password<br><br>In secure area solely assigned to exams | 1 year |
| Private student information | Name<br><br>Date of Birth<br><br>Gender<br><br>Correspondence Address<br><br>Phone Number | Shared Drive with limited access<br><br>MIS<br><br>Exam Board Website<br><br>Lockable filing cabinet | Secure user name and password<br><br>In secure area solely assigned to exams | 1 year |
| Resolving clashes information | N/A | N/A | N/A | N/A |

| Information type | What personal/sensitive data is/may be contained in the information | Where information is stored | How information is protected | Retention period |
|---|---|---|---|---|
| Results information | Student Name<br><br>Date of Birth<br><br>Gender<br><br>Exam Number<br><br>ULN<br><br>UCI | Shared Drive with limited access<br><br>MIS<br><br>Exam Board Website<br><br>Lockable filing cabinet | Secure user name and password<br><br>In secure area solely assigned to exams | 1 year |
| Seating plans | Student Name<br><br>Exam Number | MIS<br><br>Lockable filing cabinet | Secure user name and password<br><br>In secure area solely assigned to exams | 1 year |
| Special consideration information | Student Name<br><br>Date of Birth<br><br>Gender<br><br>Exam Number<br><br>ULN<br><br>UCI | Shared Drive with limited access<br><br>MIS<br><br>Exam Board Website<br><br>Lockable filing cabinet | Secure user name and password<br><br>In secure area solely assigned to exams | 1 year |
| Suspected malpractice reports/outcomes | Student Name<br><br>Date of Birth<br><br>Gender<br><br>Exam Number | Shared Drive with limited access<br><br>MIS<br><br>Exam Board Website | Secure user name and password<br><br>In secure area solely assigned to exams | 1 year |

| Information type | What personal/sensitive data is/may be contained in the information | Where information is stored | How information is protected | Retention period |
|---|---|---|---|---|
| | ULN<br><br>UCI | Lockable filing cabinet | | |
| Transfer of credit information | Student Name<br><br>Date of Birth<br><br>Gender<br><br>Exam Number<br><br>ULN<br><br>UCI | Shared Drive with limited access<br><br>MIS<br><br>Exam Board Website<br><br>Lockable filing cabinet | Secure user name and password<br><br>In secure area solely assigned to exams | 1 year |
| Transferred student information | Student Name<br><br>Date of Birth<br><br>Gender<br><br>Exam Number<br><br>ULN<br><br>UCI | Shared Drive with limited access<br><br>MIS<br><br>Exam Board Website<br><br>Lockable filing cabinet | Secure user name and password<br><br>In secure area solely assigned to exams | 1 year |
| Very late arrival reports/outcomes | Student Name<br><br>Date of Birth<br><br>Gender<br><br>Exam Number<br><br>ULN | Shared Drive with limited access<br><br>MIS<br><br>Exam Board Website<br><br>Lockable filing cabinet | Secure user name and password<br><br>In secure area solely assigned to exams | 1 year |

| Information type | What personal/sensitive data is/may be contained in the information | Where information is stored | How information is protected | Retention period |
|---|---|---|---|---|
| | UCI | | | |