



# Exams Archiving Policy

Policy/Procedure creator: Cressida Harrington

Policy/Procedure created/reviewed: 12/12/2022

Centre Name	Chulmleigh Community College
Centre Number	54123
Date policy first created	01/11/2022
Current policy approved by	Michael Johnson
Current policy reviewed by	Cressida Harrington
Date of next review	01/11/2023

## Key staff involved in the policy

Role	Name
Exams officer	Cressida Harrington
Senior leader(s)	Not Applicable
Head of centre	Michael Johnson
IT manager	Not Applicable
ALS lead/SENCo	Kelly Dighton
Finance manager	• Tina Harrison
Head(s) of department	<ul style="list-style-type: none"> <li>• Julie Button - Maths</li> <li>• Bethany Heeney - English</li> <li>• Zoe Sterland - Science</li> <li>• Amy Eaton - Humanities</li> <li>• Laetitia Johnson - Modern Foreign Languages</li> <li>• Gemma Markham - PE</li> <li>• Sara Feasey - Expressive Arts</li> <li>• Teresa Jones - Technology</li> </ul>
Other staff (if applicable)	Ryan Chapman, IT Technician

This policy is reviewed and updated annually to ensure that records are archived/retained in accordance with current requirements.

References in this policy to GR, ICE, SC and PRS refer to the JCQ publications **General Regulations for Approved Centres, Instructions for conducting examinations, A guide to the special consideration process** and **Post-Results Services**.

## Purpose of the policy

The purpose of this policy is to:

- identify exams-related information/records held by the exams office
- identify the retention period
- determine the action required at the end of the retention period and the method of disposal
- inform or supplement the centre-wide records management policy/data retention policy

### 1. Access arrangements information

#### Record(s) description

- Any hard copy information kept by the EO relating to an access arrangement candidate

#### Retention information/period

- To be returned to SENDCo as records owner at end of the candidate's final exam series

#### Action at the end of retention period (method of disposal)

- Confidential waste/shredding

### 2. Alternative site arrangements

#### Record(s) description

- Any hard copy information generated on an alternative site arrangement. Notifications submitted online via AAO

#### Retention information/period

- Deadline for reviews of results or other results enquiries have passed or resolution of any outstanding review/appeals/malpractice investigations

#### Action at the end of retention period (method of disposal)

- Confidential waste/shredding

### 3. Attendance register copies

#### Record(s) description

- Duplicated (2nd) copy provided by the exam board
- Seating plan registers generated through SIMS

#### Retention information/period

Records are kept in accordance with the requirements of ICE:

Keep signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination. The awarding bodies may need to refer to these records. You must keep them until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. [Reference ICE 12, 22]

#### Action at the end of retention period (method of disposal)

- Confidential waste/shredding

### 4. Awarding body exams administration information

#### Record(s) description

- Any hard copy publications provided by awarding bodies or printed copies downloaded from AB websites

#### **Retention information/period**

- To be retained until the current academic year update is provided.

#### **Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

### 5. Candidates' scripts

#### **Record(s) description**

- Any unwanted copies of scripts returned to the centre through the Access to Scripts (ATS) service

#### **Retention information/period**

- To be retained securely until the awarding body's earliest date for confidential disposal of unwanted scripts.

Where teachers have used copies of candidates' scripts for teaching and learning purposes but no longer wish to retain them, they must ensure that the scripts are disposed of in a confidential manner.

[Reference PRS 6]

Ensure that when scripts that have been returned under access to scripts arrangements are no longer required, they are disposed of in a confidential manner, but no earlier than the dates specified by the awarding bodies.

[Reference GR 3]

#### **Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

### 6. Candidates' work

#### **Record(s) description**

- Non-examination assessment work returned to the centre by the awarding body at the end of the moderation period

#### **Retention information/period**

- Records logged on return to centre and immediately returned to subject staff as records owner.

To be stored safely and securely along with work that did not form part of the moderation sample (including materials stored electronically) until the deadline for a review of moderation has passed or until a review of moderation, an appeal or a malpractice investigation has been completed, whichever is later (for the exam series). This includes materials stored electronically. See paragraph 4.8 of the JCQ publication Instructions for conducting non - examination assessments <https://www.jcq.org.uk/exams-office/non-examination-assessments>

[Reference GR 3]

#### **Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

### 7. Centre consortium arrangements for centre assessed work

#### **Record(s) description**

Not applicable

#### **Retention information/period**

Not applicable

#### **Action at the end of retention period (method of disposal)**

Not applicable

#### **8. Certificates**

##### **Record(s) description**

- Certificates issued by awarding bodies:

AQA

Edexcel / Pearson

OCR

Cambridge International

##### **Retention information/period**

- Unclaimed/uncollected certificates to be retained securely for a minimum of 12 months from date of issue

[Reference GR 5.14]

#### **Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

#### **9. Certificate destruction information**

##### **Record(s) description**

- A record of unclaimed certificates that have been destroyed

##### **Retention information/period**

- Destroy any unclaimed certificates after retaining them for a minimum of 12 months. They must be destroyed in a confidential manner. Centres that do not have a means of destroying certificates confidentially may return them to the respective awarding body. A record of certificates that have been destroyed should be retained for four years from their date of destruction. However, candidates should be informed that some awarding bodies do not offer a replacement certificate service. In such circumstances the awarding body will issue a Certifying Statement of Results;

[Reference GR 5.14]

#### **Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

#### **10. Certificate issue information**

##### **Record(s) description**

- A record of certificates that have been issued to candidates.

##### **Retention information/period**

- Distribute certificates to all candidates without delay and regardless of any disputes (such as non-payment of fees). Certificates must not be withheld without prior permission from an awarding body which will only be given in very exceptional circumstances. A record should be kept of the certificates that are issued;

[Reference GR 5]

#### **Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

#### **11. Confidential materials: initial point of delivery logs**

##### **Record(s) description**

- Logs recording awarding body confidential exam materials received by an authorised member of staff at the initial point of delivery and the secure movement of packages by an authorised member of staff to the secure room for transferal to the centre's secure storage facility

##### **Retention information/period**

- Delivery Logs to be retained securely for a minimum of 12 months from date of receipt

#### **Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

#### **12. Confidential materials: receipt, secure movement and secure storage logs**

##### **Record(s) description**

- Logs recording awarding body confidential exam materials received by an authorised member of staff at the initial point of delivery and the secure movement of packages by an authorised member of staff to the secure room for transferal to the centre's secure storage facility

##### **Retention information/period**

- Tracking Logs to be retained securely for a minimum of 12 months from date of receipt

#### **Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

#### **13. Conflicts of interest records**

##### **Record(s) description**

- Records demonstrating the management of Conflicts of Interest

##### **Retention information/period**

- Records retained in accordance with the requirements of GR, section 5.3

The records may be inspected by a JCQ Centre Inspector and/or awarding body staff. They might be requested in the event of concerns being reported to an awarding body. The records must be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. [Reference GR 5]

#### **Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

#### **14. Dispatch logs**

##### **Record(s) description**

- Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service

##### **Retention information/period**

- Dispatch Logs to be retained securely for a minimum of 12 months from date of receipt.

#### **Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

## 15. Entry information

### Record(s) description

- Any hard copy information relating to candidates' entries.

### Retention information/period

- To be retained until the deadline for RoRs or the resolution of any outstanding enquiries/appeals for the relevant exams series

### Action at the end of retention period (method of disposal)

- Confidential waste/shredding

## 16. Exam question papers

### Record(s) description

- Question papers for timetabled written exams

### Retention information/period

- Records kept in accordance with the requirements of GR section 6.12

For confidentiality purposes question papers must not be released to centre personnel for use in accordance with the above licence until after the awarding body's published finishing time for the examination or, in the case of a timetable variation, until all candidates within the centre have completed the examination. This does not restrict access to question papers by authorised centre personnel for the purpose of conducting examinations.

[Reference GR 6]

### Action at the end of retention period (method of disposal)

Issued to subject staff

## 17. Exam room checklists

### Record(s) description

- Checklists confirming exam room conditions and invigilation arrangements for each exam session

### Retention information/period

- To be retained until the deadline for RoRs or the resolution of any outstanding enquiries/appeals for the relevant exams series.

Any paperwork with details of candidate's with access arrangements to be returned to SENCo as records owner at end of the candidate's final exam series

### Action at the end of retention period (method of disposal)

- Confidential waste/shredding

## 18. Exam room incident logs

### Record(s) description

- Logs recording any incidents or irregularities in exam rooms for each exam session

### Retention information/period

- To be retained until the deadline for RoRs or the resolution of any outstanding enquiries/appeals for the relevant exams series

#### **Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

#### 19. Exam stationery

##### **Record(s) description**

- Awarding body exam stationery provided solely for the purpose of external exams

##### **Retention information/period**

- Records retained in accordance with requirements of ICE, section 30

Unused stationery will be returned to the centre's secure storage facility until needed for a future examination. Surplus stationery must not be used for internal school tests, mock examinations and non-examination assessments.

Any surplus or out-of-date stationery will be confidentially destroyed.

[Reference ICE 30]

#### **Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

#### 20. Examiner reports

##### **Record(s) description**

- All reports provided by examiners

##### **Retention information/period**

- Where/if provided by awarding bodies Records immediately provided to head of department as records owner

#### **Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

#### 21. Finance information

##### **Record(s) description**

- Copy invoices for exams-related fees.

##### **Retention information/period**

- To be returned to Finance department as records owner at the end of the academic year

#### **Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

#### 22. Invigilation arrangements

##### **Record(s) description**

- Checklists confirming exam room conditions and invigilation arrangements for each exam session

##### **Retention information/period**

- To be retained until the deadline for RoRs or the resolution of any outstanding enquiries/appeals for the relevant exams series.

Any invigilation paperwork with details of candidate's with access arrangements to be returned to SENCo as records owner at end of the candidate's final exam series.

**Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

23. Invigilator and facilitator training records

**Record(s) description**

- Records on invigilator/exam support training and refresher sessions including updates in ICE and GR

**Retention information/period**

- Records retained in accordance with the requirements of ICE, section 12

A record of the content of the training given to invigilators must be available for inspection and retained on file until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

A record of the content of the training given to invigilators and those facilitating an access arrangement for a candidate under examination conditions must be available for inspection and retained on file until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. [Reference ICE 12, 13]

**Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

24. Moderator reports

**Record(s) description**

- All reports provided by moderators

**Retention information/period**

- Where printed from electronic copy, to be immediately provided to head of department as records owner

**Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

25. Moderation return logs

**Record(s) description**

- Logs recording the return of candidates' work to the centre by the awarding body at the end of the moderation period

**Retention information/period**

- To be retained until the deadline for RoRs or the resolution of any outstanding enquiries/appeals for the relevant exams series.

**Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

26. Overnight supervision information

**Record(s) description**

Not applicable



**Retention information/period**

Not applicable

**Action at the end of retention period (method of disposal)**

Not applicable

**27. Post-results services: confirmation of candidate consent information****Record(s) description**

- Hard copy or email record of required candidate consent

**Retention information/period**

- Records retained in accordance with the requirements of PRS [Reference PRS 4, appendix A and B]

Consent forms or e-mails from candidates must be retained by the centre and kept for at least six months following the outcome of the clerical re-check or review of marking or any subsequent appeal. The awarding bodies reserve the right to inspect such documentation.

This form should be retained on the centre's files for at least six months following the outcome of the clerical re-check, review of marking or any subsequent appeal.

This form should be retained on the centre's files for at least six months.

[Reference PRS 4, appendix A and B]

**Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

**28. Post-results services: request/outcome information****Record(s) description**

- Any hard copy information relating to a post-results service request (RoRs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body.

**Retention information/period**

- RoR paperwork to be retained for at least six months following the outcome of the enquiry or any subsequent appeal.

**Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

**29. Post-results services: tracking logs****Record(s) description**

- Logs tracking to resolution all post-results service requests submitted to awarding bodies

**Retention information/period**

- RoR paperwork to be retained for at least six months following the outcome of the enquiry or any subsequent appeal

**Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

**30. Private candidate information****Record(s) description**

Not applicable

**Retention information/period**

Not applicable

**Action at the end of retention period (method of disposal)**

Not applicable

31. Proof of postage - candidates' work

**Record(s) description**

- Proof of postage/dispatch of candidates' scripts to awarding body examiners/markers
- Proof of postage/dispatch of sample of candidates' work submitted to awarding body moderators

**Retention information/period**

- Records (Proof of postage/dispatch of candidates' scripts to awarding body examiners/markers) retained in accordance with the requirements of ICE 29. Centres not involved in the secure despatch of exam scripts service... must obtain proof of postage/despatch for each packet of scripts, which must be retained on the centre's files until the results are published, in case of loss or damage. (Proof of postage will provide evidence that the candidates' scripts have left the centre. This is taken to indicate that the scripts were written at the appointed time and that, should the scripts not be received by the awarding body/examiner, then special consideration may be possible.

**Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

32. Resolving timetable clashes

**Record(s) description**

- Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers

**Retention information/period**

- Records to be retained for at least six months following the outcome of any enquiry or any subsequent appeal

**Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

33. Results information

**Record(s) description**

- Broadsheets of results summarising candidate final grades by subject by exam series

**Retention information/period**

- Records for current year plus previous 6 years to be retained as a minimum

**Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

34. Seating plans

**Record(s) description**

- Plans showing the seating arrangements of all candidates for every exam taken

#### **Retention information/period**

- Records retained in accordance with the requirements of ICE, section 12

(...keep signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination. The awarding bodies may need to refer to these records. The centre must keep them until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.)

#### **Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

### 35. Special consideration information

#### **Record(s) description**

- Any hard copy information relating to a special consideration application which has been submitted to an awarding body for a candidate and signed evidence produced by a senior leader in support of the application

#### **Retention information/period**

- Records retained in accordance with the requirements of SC, section 6

(All applications must be supported by signed evidence produced by a member of the senior leadership team. The centre must retain this evidence until after the publication of results.)

#### **Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

### 36. Suspected malpractice reports/outcomes

#### **Record(s) description**

- Any hard copy information relating to a suspected or actual malpractice investigation/report submitted to an awarding body and outcome information from the awarding body

#### **Retention information/period**

- Records to be retained for at least six months following the outcome of any enquiry or any subsequent appeal

#### **Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

### 37. Transferred candidate arrangements

#### **Record(s) description**

- Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP

#### **Retention information/period**

- Records to be retained for at least six months following the outcome of any enquiry or any subsequent appeal

#### **Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

### 38. Very late arrival reports/outcomes

#### **Record(s) description**

- Any hard copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP

**Retention information/period**

- All paperwork to be retained for at least six months following the outcome of the enquiry or any subsequent appeal

**Action at the end of retention period (method of disposal)**

- Confidential waste/shredding

39. Any other records/documentation/materials

**Record(s) description**

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**Retention information/period**

- Not applicable

**Action at the end of retention period (method of disposal)**

- Not applicable

40. Any other records/documentation/materials

**Record(s) description**

- Not applicable

**Retention information/period**

- Not applicable

**Action at the end of retention period (method of disposal)**

- Not applicable

## CHANGES 2022/2023

(Amended) Title of record type **4.** from Awarding body administrative information to **Awarding body exams administration information**

(Added) Reference to ICE, section 31 (**Releasing question papers**) as an example in the prompt information provided in the 'Retention information/period' field in record type **16.** Exam question papers

## CENTRE-SPECIFIC CHANGES

Upon review in September 2022, no centre-specific updates or changes were applicable to this document.