

Exams Archiving Policy

Policy/Procedure creator: Yvonne Wilcox

Policy/Procedure created/reviewed: 08/03/2023

Centre Name	St Michael's Church of England High School
Centre Number	20651
Date policy first created	03/12/2021
Current policy approved by	Colin Nicholls, Co-Chair of Governing Board Kerry Thornton, Co-Chair of Governing Board
Current policy reviewed by	Jane Mitchell-Barnes, Compliance & Quality Manager
Date of next review	08/03/2023

Key staff involved in the policy

Role	Name
Exams officer	Yvonne Wilcox
Senior leader(s)	Alan Brooks, Deputy Headteacher: Whole School Progress and Assessment
Head of centre	Christina Handy-Rivett, Headteacher
IT manager	Agyilsys
ALS lead/SENCo	Michelle Hughes/Mailene Graham
Finance manager	Gloria Thorp
Head(s) of department	Wendy Adams, Head of French Louise Careless, Head of Geography Natalie Eglington, Head of English Glen Gibbons, Head of PE Rachel Hopson, Head of Music Olivia Houten, Head of Computing & IT David Hughes, Head of DT Shahida Hussain, Head of Science Rachael Kirton, Head of German Carl Murphy, Head of Art Marie Perrett, Head of Drama Michael Rabbett, Head of Enterprise Adele Rose, Head of RE Ian Sargent, Head of History Shaun Smith, Head of Mathematics
Other staff (if applicable)	Wayne Hill, Assistant Headteacher: Facilities & Resources & Vocational Education

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 exams officer relating to an access arrangement candidate.

Retention information/period

Records will be returned to ALS lead/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

2. Alternative site arrangements

Record(s) description

- any hard copy information generated on an alternative site arrangement. Notifications are submitted online via CAP.

Retention information/period

- until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series)

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

- confidential waste/shredding

3. Attendance register copies

Record(s) description

- seating plan
- invigilation arrangements
- attendance registers for each examination

Retention information/period

- 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

4. Awarding body exams administration information

Record(s) description

- any hard copy publications provided by awarding bodies

Retention information/period

- records 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 in accordance with the requirements of GR, section 3.15.

We will 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.

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

- confidential disposal

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 the 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) in accordance with the requirements of GR, section 3.15

We will store safely and securely all non-examination assessments, including controlled assessments, coursework or portfolios, retained in, or returned to, the centre 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. This includes materials stored electronically.

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

- returned to candidates or safe disposal

7. Centre consortium arrangements for centre assessed work**Record(s) description**

- any hard copy information generated or relating to consortium arrangements for centre-assessed work
- applications submitted online via CAP

Retention information/period

- until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations)

for the relevant exams series)

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

- confidential shredding

8. Certificates

Record(s) description

- candidate certificates issued by awarding bodies

Retention information/period

- records retained in accordance with the requirements of GR, section 5.14

We will retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue.

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

- confidential destruction

9. Certificate destruction information

Record(s) description

- a record of unclaimed certificates that have been destroyed

Retention information/period

- records retained in accordance with the requirements of GR, section 5.14

We will 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.

Where an awarding body issues a replacement certificate, or a Certifying Statement of Results, this will provide an accurate and complete record of results for all qualifications covered by the original certificate. We will return any certificates requested by the awarding bodies. Certificates always remain the property of the awarding bodies.

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

- confidential destruction

10. Certificate issue information

Record(s) description

- a record of certificates that have been issued

Retention information/period

- records retained in accordance with the requirements of GR, section 5.14

We will 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 will be kept of the certificates that are issued.

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

- confidential destruction

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

- until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series)

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

- confidential 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

- until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series)

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

- confidential shredding

13. Conflicts of interest records**Record(s) description**

Not Applicable

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.

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

- confidential 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

- until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series)

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

- confidential shredding

15. Entry information**Record(s) description**

- any hard copy information relating to candidates' entries

Retention information/period

- until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series)

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

- confidential shredding

16. Exam question papers**Record(s) description**

- question papers for timetabled written exams

Retention information/period

- records retained in accordance with the requirements of ICE, section 31 (Releasing question papers) and GR, section 6.13.

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.

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

- until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series)

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

- confidential 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

- until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series)

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

- confidential 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 the requirements of ICE, section 30

We will return unused stationery to the secure storage facility or secure room until needed for a future examination. Surplus stationery must not be used for internal school tests, mock examinations and non-examination assessments. We will destroy confidentially any out-of-date stationery.

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

- confidential shredding

20. Examiner reports**Record(s) description**

- written analysis of candidates' examination papers

Retention information/period

- where/if provided by awarding body, records are immediately provided to the heads of department as the records owner

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

- not applicable

21. Finance information**Record(s) description**

- copy invoices for exams-related fees

Retention information/period

- records returned to the finance department as records owner at the end of the academic year

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

- not applicable

22. Invigilation arrangements**Record(s) description**

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

Retention information/period

- until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series)

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

- confidential shredding

23. Invigilator and facilitator training records

Record(s) description

- hard copies of attendance at invigilator and facilitator training

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 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. 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.

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

- confidential shredding

24. Moderator reports

Record(s) description

- hard copies of moderator reports

Retention information/period

- where printed from an electronic copy, the records will immediately be provided to the heads of department as the records owner

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

- confidential shredding where applicable

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

- until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series)

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

- confidential shredding

26. Overnight supervision information

Record(s) description

The JCQ Overnight Supervision form is completed online using CAP. The JCQ Overnight Supervision Declaration form is downloaded from CAP for signing

by the candidate, the supervisor and the head of centre.

Retention information/period

- records retained in accordance with the requirements of ICE, section 8

We will keep all completed forms available for inspection until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. Forms may be stored electronically or in hard copy paper format and must not be sent to an awarding body unless specifically requested.

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

- confidential shredding

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, section 4 plus 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.).

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

- confidential 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

- until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series)

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

- confidential 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

- until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations)

for the relevant exams series)

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

- confidential shredding

30. Private candidate information

Record(s) description

- any hard copy information relating to private candidates' entries

Retention information/period

- until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations)

for the relevant exams series)

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

- confidential shredding

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, section 29

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

- confidential 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

- until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations)

for the relevant exams series)

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

- confidential shredding

33. Results information

Record(s) description

- broadsheets of public examination results summarising candidate final grades by subject by exam series

Retention information/period

- records for current year plus previous 6 years retained as a minimum

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

- confidential 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

We will 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 will 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 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

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

- confidential 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

- until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series)

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

- confidential 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

- until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations)

for the relevant exams series)

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

- confidential 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

- until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations)

for the relevant exams series)

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

- confidential shredding

[39. Any other records/documentation/materials](#)

Record(s) description

- any hard copy publications provided by JCQ

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 shredding

[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.