



# Exams Archiving Policy

Policy/Procedure creator: Mrs N. Hyde-Moxon

Policy/Procedure created/reviewed: 21/11/2022

Centre Name	Sutton Community Academy
Centre Number	28146
Date policy first created	01/11/2021
Current policy approved by	Mr R. Fegan
Current policy reviewed by	Mrs N. Hyde-Moxon
Date of next review	01/11/2023

## Key staff involved in the policy

Role	Name
Exams officer	Mrs N. Hyde-Moxon
Senior leader(s)	Mr R. Fegan
Head of centre	Mr P. Butterell
IT manager	Mr D. Whitehead
ALS lead/SENCo	Mrs S. Bailey-Wiles
Finance manager	Ms S. Saxton (Finance Administrator)
Head(s) of department	Not Applicable
Other staff (if applicable)	Not Applicable

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

- To 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)

Not applicable

### 2. Alternative site arrangements

#### Record(s) description

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

#### Retention information/period

- Where specific retention information is not provided by JCQ or other authorised organisation, exams-related information held in the centre is retained until after the deadline for reviews of results or other results enquiries (or resolution of any outstanding reviews/appeals or malpractice investigations) for the final exams series

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

- Confidential waste/shredding

### 3. Attendance register copies

#### Record(s) description

- Copies of attendance registers

#### Retention information/period

- Records are kept in accordance with the requirements of ICE sections 12, 22... '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...' for the final exam series

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

- Confidential waste/shredding

### 4. Awarding body exams administration information

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

- Hard copy publications provided by awarding organisations

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

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

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

- Safe disposal

### **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... '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 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**

- To be 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)
- To be stored 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. See ICE, section 4.8

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

- Returned to candidates or 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

- Candidate certificates issued by awarding bodies

### Retention information/period

- Records retained in accordance with the requirements of GR, section 5.14... '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 waste/shredding

## 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... '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...'

- 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 waste/shredding

## 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... '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...'

### 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**

- Where specific retention information is not provided by JCQ or other authorised organisation, exams-related information that is held in the centre is retained 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 final exam series

### **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 confidential exam materials received (including encrypted materials received via email or downloaded from an awarding body's secure extranet site), checked and placed in the secure storage facility by the exams officer (or other authorised member of centre staff) throughout the period the materials are confidential

### **Retention information/period**

- Where specific retention information is not provided by JCQ or other authorised organisation, exams-related information that is held in the centre is retained 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 final exam series

### **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, for the final exam series

### **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**

- Where specific retention information is not provided by JCQ or other authorised organisation, exams-related information that is held in the centre is retained 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 final exam series

### **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**

- Where specific retention information is not provided by JCQ or other authorised organisation, exams-related information that is held in the centre is retained 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 final exam 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 retained in accordance with the requirements of 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 Heads of Departments

**17. Exam room checklists****Record(s) description**

Not applicable

**Retention information/period**

Nor applicable

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

Not applicable

**18. Exam room incident logs****Record(s) description**

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

**Retention information/period**

- Logs passed to relevant member of SLT for action, thereby the records owner, or;
- Where specific retention information is not provided by JCQ or other authorised organisation, exams-related information that is held in the centre is retained 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 final exam 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 the requirements of ICE, section 30... '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... destroy confidentially any out-of-date stationery...'

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

- Confidential waste/shredding

## 20. Examiner reports

### Record(s) description

- Examiner reports

### Retention information/period

- To be immediately provided to head of department as 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

- 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)

Not applicable

## 22. Invigilation arrangements

### Record(s) description

- Copies of invigilation records

### Retention information/period

- Where specific retention information is not provided by JCQ or other authorised organisation, exams-related information that is held in the centre is retained 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 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

- Training records, agendas, copies of online training certificates

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

- 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...' for the final exam series

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

- Confidential waste/shredding

#### **24. Moderator reports**

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

- Moderator reports

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

- To be immediately provided to head of department as records owner

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

Not 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**

- Where specific retention information is not provided by JCQ or other authorised organisation, exams-related information that is held in the centre is retained 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 final exam series

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

- Confidential waste/shredding

#### **26. Overnight supervision information**

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

- The JCQ Overnight Supervision form is completed online using CAP, and 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... '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 waste/shredding

#### **27. Post-results services: confirmation of candidate consent information**

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



- Hard copy of required candidate consent

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

- Records retained in accordance with the requirements of PRS, section 4 plus appendices 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...'

#### **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**

- Where specific retention information is not provided by JCQ or other authorised organisation, exams-related information that is held in the centre is retained 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 final exam series

##### **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**

- Where specific retention information is not provided by JCQ or other authorised organisation, exams-related information that is held in the centre is retained 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 final exam series

##### **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 of sample of candidates' work submitted to awarding body moderators
- Proof of postage of candidates' scripts to awarding body examiners/markers if not part of yellow label service

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

• Records retained in accordance with the requirements of ICE, section 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 will 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)**

- Secure disposal

### **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**

• Where specific retention information is not provided by JCQ or other authorised organisation, exams-related information that is held in the centre is retained 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 final exam series

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

- Confidential waste/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 to be retained as a minimum
- Electronic results stored indefinitely on MIS

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

- Confidential waste/shredding

### **34. Seating plans**

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

- Copies of seating 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...' for the final exam series

#### **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
- 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**

- Where specific retention information is not provided by JCQ or other authorised organisation, exams-related information that is held in the centre is retained 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 final exam series

#### **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**

- Where specific retention information is not provided by JCQ or other authorised organisation, exams-related information that is held in the centre is retained 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 final exam series

#### **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**

- Where specific retention information is not provided by JCQ or other authorised organisation, exams-related information that is held in the centre is retained 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 final exam series

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

- Confidential waste/shredding

39. 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

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 November 2022, no centre-specific updates or changes were applicable to this document.