



Exams Archiving Policy

SUTTON COMMUNITY ACADEMY

Exams Archiving Policy

Centre name	SUTTON COMMUNITY ACADEMY
Centre number	28146
Date policy first created	14/11/2024
Current policy approved by	Mr R. Fegan
Current policy reviewed by	Mrs A. Blues
Date of review	14/11/2024
Date of next review	14/11/2025

Key staff involved in the policy

Role	Name
Head of centre	Mr L. Taylor
Senior leader(s)	Mr R.Fegan
Exams officer	Mrs A. Blues
SENCo (or equivalent role)	Mrs G. Walters
IT manager	Mr A. leung
Finance manager	Ms S. Saxon (Finance Administrator)
Head(s) of department	Not applicable
Other staff (if applicable)	Mrs R. Hollett

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 documents **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

Where a particular record or information type is not held in, or not applicable to SUTTON COMMUNITY ACADEMY, this is indicated.

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 the end of the candidates final exam series

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

Shredded and put in the confidential waste

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 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 the subject staff as records owner
To be stored safely and securely along with work that did not form part pf the moderation sample (including materials stored electronically) in accordance with th erequirements of GR, section 3.15 (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 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

Candidates certificates issued by awarding bodies

Retention information/period

Records retained on accordance with the requirements of GR, section 5.14..'retain all unclaimed certificates

under secure conditions for a minimum of 12 months from 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

Not 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. Handling secure electronic materials logs

Record(s) description

Logs recording the arrangements applied when handling secure electronic materials provided to the centre and accessed by the exams officer

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. 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

24. 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

25. 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

26. 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

27. 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

28. 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

29. 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

30. 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

31. 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

32. 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

33. Resilience arrangements: Evidence of candidate performance

Record(s) description

The collection of evidence of student performance to ensure resilience in the qualifications system

Retention information/period

Student work, either the original or a copy is retained by the centre. Student work is retained digitally and physically. Students may be given copies, or the original work where this would support their study

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

Confidential waste/shredding

34. 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

35. 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

36. 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

37. Second pair of eyes check forms

Record(s) description

Records of the check that must take place by second person (additional to the person removing question paper packets from secure storage) immediately before a question paper packet is opened

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. 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

39. 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

40. 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

41. 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

42a. 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

42b. 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 2024/2025

(Changed) Any reference to ALS Lead/SENCo changed to SENCo (or equivalent role).

(Added) Record type - **33. Resilience arrangements: Evidence of candidate performance**

Centre-specific changes

Upon review in November 2024 no centre-specific updates or changes were applicable to this document