

# Exams Archiving Policy

Policy/Procedure creator: Kelly Ghosal

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Centre Name	Ralph Thoresby School
Centre Number	37655
Date policy first created	04/10/2020
Current policy approved by	Graham Cowgill
Current policy reviewed by	Kelly Ghosal
Date of next review	March 2024

## Key staff involved in the policy

Role	Name
Exams officer	Kelly Ghosal
Senior leader(s)	Angela Caswell, Stephen Hackshaw, Graham Cowgill
Head of centre	Will Carr
IT manager	Stephen Hackshaw
ALS lead/SENCo	Kerri Haynes-McDonnell
Finance manager	Kate Haighton
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 EO relating to an access arrangement candidate.

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

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 destruction by SENCo.

### 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**

Retained until after the deadline for reviews of results for the relevant exam series.

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

Confidential destruction by EO.

### 3. Attendance register copies

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

Hard copies of registers and seating plans.

#### **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..."

#### **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**

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 3.15]

**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**

- 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).
- ...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. 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)**

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**

Retained until the end of post result/ moderation for the relevant exam series.

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

Confidential destruction.

### **8. Certificates**

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

Candidate certificates issued by awarding bodies.

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

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)**

- ...retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue [Reference GR 5]

### **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... (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 remain the property of the awarding bodies at all times. [Reference GR 5])

#### **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**

- ... 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 disposal.

## 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

- Log remains in the administration office

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

Returned to EO for retention until the end of post result/ moderation, then securely destroyed.

## 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

Logs kept in the secure storage and disposed of at the end of the exam season and when all moderation and appeals have been resolved.

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

Confidential disposal

## 13. Conflicts of interest records

### Record(s) description

Records demonstrating the management of Conflicts of Interest.

### Retention information/period

- ...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 disposal

## 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

Kept with seating plan and attendance registers until the end of the exam series or until all enquiries, appeals and moderation have taken place.

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

Confidential disposal

## 15. Entry information

**Record(s) description**

Any hard copy information relating to candidates' entries.

**Retention information/period**

Kept in the Exam Office until the end of the exam series or until all enquiries, appeals and moderation have taken place.

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

Confidential disposal

[16. Exam question papers](#)**Record(s) description**

Question papers for timetabled written exams.

**Retention information/period**

- ...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**

Kept by the EO until the end of the exam series and moderation and appeals have all be resolved.

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

Confidential disposal.

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

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

**Retention information/period**

Kept by the EO until the end of the exam series and moderation and appeals have all be resolved.

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

Confidential disposal

[19. Exam stationery](#)**Record(s) description**

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

**Retention information/period**

- ...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. [Reference ICE 30]

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

Confidential disposal

[20. Examiner reports](#)

**Record(s) description**

Hard copies of examiner's reports.

**Retention information/period**

To be immediately issued to the relevant HOD.

**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**

- Invigilation room timetable/staff rota
- Exam room checklists

**Retention information/period**

Retained, at least, 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 disposal.

[23. Invigilator and facilitator training records](#)

**Record(s) description**

- Invigilator training records

**Retention information/period**

- 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 disposal.

[24. Moderator reports](#)

**Record(s) description**

Hard copy reports or electronic copies of moderator reports.

**Retention information/period**

To be immediately issued to the relevant HOD.

**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**

Retained, at least, 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 disposal

[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 (...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 disposal.

[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, appendices A, 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.

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

Confidential disposal.

#### **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**

Retained at the very least 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 disposal.

#### **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**

Retained at the very least 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 disposal.

#### **30. Private candidate information**

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

Any hard copy information relating to private candidates' entries.

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

Retained at the very least 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 disposal.

#### **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.

### **Retention information/period**

• Records (proof of postage/despatch of candidates' scripts to awarding body examiners/markers) 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 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 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**

All done on MIS. Letters sent to candidates kept on school network until the end of the appeal process.

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

Deletion of electronic files.

## **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 retained as a minimum.

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

Confidential disposal of hard copies.

## **34. Seating plans**

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

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

### **Retention information/period**

...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]

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

Confidential disposal.

## **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 disposal.

**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**

Retained at the very least 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 disposal.

**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**

Retained at the very least 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 disposal

**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**

Retained at the very least 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 disposal.

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

Question papers are not released to teaching staff until all candidates have completed the exam and all papers packaged and despatched - this was already in place prior to the 2022-23 ICE update.