



# Exams Archiving Policy

Policy/Procedure creator: Sarah Swainson

Policy/Procedure created/reviewed: 21/09/2022

Centre Name	Sibford School
Centre Number	62211
Date policy first created	Unknown
Current policy approved by	Toby Spence
Current policy reviewed by	Sarah Swainson
Date of next review	01/09/2023

## Key staff involved in the policy

Role	Name
Exams officer	Sarah Swainson
Senior leader(s)	Anna Jo Mathers
Head of centre	Toby Spence
IT manager	Blue Planet
ALS lead/SENCo	Natalie Morris-Muir
Finance manager	Ally Lynch
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

Records are 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 relevant exams series.

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

At the end of the retention period the records are disposed of in 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

Records are 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 relevant exams series.

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

At the end of the retention period the records are disposed of in confidential waste.

### 3. Attendance register copies

#### Record(s) description

- SIMS generated room registers.
- Exam board issued 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.

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

At the end of the retention period the records are disposed of in confidential waste.

### 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)**

At the end of the retention period publications are disposed of in recycling waste.

**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 General Regulations, 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)**

At the end of the retention period the records are disposed of in confidential waste.

**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. 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 General Regulations, 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 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)**

At the end of the retention period the work will be returned to candidates.

**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 General Regulations, 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)**

Certificates will be filed with student records, and kept in school archives. School files remain in archives until candidates turn 25 years old (30 years for candidates with Special Educational Needs). The entire student file is then destroyed after this period in confidential waste.

### 9. Certificate destruction information

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

As certificates are retained until candidates turn at least 25 no records of destruction are kept.

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

Certificates will be filed with student records, and kept in school archives. School files remain in archives until candidates turn 25 years old (35 years for candidates with Special Educational Needs)

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

At the end of the retention period the records are disposed of in confidential waste.

### 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 General Regulations, 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)**

At the end of the retention period the records are disposed of in confidential waste.

### 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**

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 relevant exams series.

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

At the end of the retention period the records are disposed of in confidential waste.

### 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**

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 relevant exams series.

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

At the end of the retention period the records are disposed of in confidential waste.

**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 General Regulations, 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)**

At the end of the retention period the records are disposed of in confidential waste.

**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**

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 relevant exams series.

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

At the end of the retention period the records are disposed of in confidential waste.

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

Any hard copy information relating to candidates' entries.

**Retention information/period**

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 relevant exams series.

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

At the end of the retention period the records are disposed of in confidential waste.

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

Question papers for timetabled written exams.

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

Records retained in accordance with the requirements of General Regulations, 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**

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 relevant exams series.

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

At the end of the retention period the records are disposed of in confidential waste.

#### [18. Exam room incident logs](#)

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

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

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

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 relevant exams series.

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

At the end of the retention period the records are disposed of in confidential waste.

#### [19. Exam stationery](#)

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

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

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

Unused stationery to be returned 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  
Any out-of-date stationery destroyed confidentially

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

Any out-of-date stationery destroyed confidentially

#### [20. Examiner reports](#)

**Record(s) description**

Examiners reports issued after subject moderation

**Retention information/period**

Records immediately provided to head of department as records owner

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

At the end of the retention period the records are disposed of in confidential waste.

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

Copy invoices for exams-related fees.

**Retention information/period**

Records returned to Finance department as records owner once signed off by the exams officer

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

At the end of the retention period the records are disposed of in confidential waste.

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

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

**Retention information/period**

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 relevant exams series.

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

At the end of the retention period the records are disposed of in confidential waste.

**23. Invigilator and facilitator training records****Record(s) description**

Invigilator training records

**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)**

At the end of the retention period the records are disposed of in confidential waste.

**24. Moderator reports****Record(s) description**

Moderator reports issued after subject moderation

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

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

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

At the end of the retention period the records are disposed of in confidential waste.

### [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**

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 relevant exams series.

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

At the end of the retention period the records are disposed of in confidential waste.

### [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)**

At the end of the retention period the records are disposed of in confidential waste.

### [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)**

At the end of the retention period the records are disposed of in confidential waste.

### [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**

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 relevant exams series.

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

At the end of the retention period the records are disposed of in confidential waste.

[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**

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 relevant exams series.

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

At the end of the retention period the records are disposed of in confidential waste.

[30. Private candidate information](#)**Record(s) description**

Any hard copy information relating to private candidates' entries.

**Retention information/period**

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 relevant exams series.

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

At the end of the retention period the records are disposed of in confidential waste.

[31. Proof of postage - candidates' work](#)**Record(s) description**

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

**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 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). Proof of recorded delivery postage is retained in centre for 7 years.

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

At the end of the retention period the records are disposed of in confidential waste.

### 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**

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 relevant exams series.

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

At the end of the retention period the records are disposed of in confidential waste.

### 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)**

At the end of the retention period the records are disposed of in confidential waste.

### 34. Seating plans

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

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

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

Records retained in accordance with the requirements of ICE, section 12: keep signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination. The awarding bodies may need to refer to these records. The centre must keep them until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

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

At the end of the retention period the records are disposed of in confidential waste.

### 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)**

At the end of the retention period the records are disposed of in confidential waste.

### 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**

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 relevant exams series.

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

At the end of the retention period the records are disposed of in confidential waste.

**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**

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 relevant exams series.

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

At the end of the retention period the records are disposed of in confidential waste.

**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**

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 relevant exams series.

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

At the end of the retention period the records are disposed of in confidential waste.

**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 September 2022, no centre specific updates or changes were applicable to this document.