

Policy/Procedure creator: Matt Rogers

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Current policy reviewed by	Matt Rogers

#### Key staff involved in the policy

Role	Name
Exams officer	Matt Rogers
Senior leader(s)	Kevin Biggs
Head of centre	Hardip Bissell
IT manager	Ash Kala
ALS lead/SENCo	Lisa Valentini
Finance manager	Mike Burton
Head(s) of department	Heads of Curriculum
Other staff (if applicable)	SENCos

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

### 1. Access arrangements information

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

Digital records kept in the Arbor system and "Secure Folder" Examinations Teams - Access is limited to relevant staff and reviewed regularly.

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

Records access is returned to EO, 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)**

Digital records are securely archived and stored on cloud drives for a period of 5 years after the candidate's final exam series.

### 2. Alternative site arrangements

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

Records of Alternative Site Arrangement are applied for via CAP and stored digitally on Examinations Teams Folder.

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

Digital records are securely archived and stored on cloud drives for a period of 5 years after the candidate's final exam series.

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

After the retention period ends, digital files are securely deleted.

### 3. Attendance register copies

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

Room plan  
Attendance registers  
Incident logs  
Any other exam room documentation

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

Records are kept until the end of the ROM period and additionally for a minimum of 3 months after the examination season. Records are kept in the Secure Storage Room.

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

Confidential waste/shredding

#### 4. Awarding body administrative information

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

Exam board correspondence

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

Records are kept until the end of the following examination period. Correspondance is kept digitally and in hard copy depending on the method of receipt.

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

Confidential waste/shredding & secure deletion.

#### 5. Candidates' scripts

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

N/A

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

Records are kept in accordance with the requirements of PRS, section 6 (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.

To also 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 & secure deletion.

#### 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.

Classwork and pupil work books.

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

Records logged on return to the centre and immediately returned to subject staff as records owner. To be stored safely and securely along with work that did not form part of the moderation sample (including materials stored electronically) in accordance with the requirements of GR, section 3.15

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

Candidates are given to opportunity to collect any work retained at the end of the retention period. Any work not collected is securely disposed of via confidential waste/shredding & secure deletion.

#### 7. Centre consortium arrangements for centre assessed work

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

N/A

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

Where specific retention information is not provided by JCQ or other authorised organisation, information that is held in the centre is 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 waste/shredding & secure deletion.

### 8. Certificates

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

Certificates

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

We 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**

We will destroy any unclaimed certificates after retaining them for a minimum of 12 months. They must be destroyed in a confidential manner. A record of certificates that have been destroyed will be retained for four years from their date of destruction. Candidates will be informed that some awarding bodies do not offer a replacement certificate service and in such circumstances, the awarding body will issue a Certifying Statement of Results.

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

Confidential waste/shredding & secure deletion.

### 10. Certificate issue information

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

N/A

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

We will distribute certificates to all candidates without delay and regardless of any disputes. Certificates will not be withheld without prior permission from an awarding body which will only be given in very exceptional circumstances. A record is to be kept of the certificates that are issued.

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

Confidential waste/shredding & secure deletion.

## 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.

### Retention information/period

Where specific retention information is not provided by JCQ or other authorised organisation, information that is held in the centre is 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 waste/shredding & secure deletion.

## 12. Confidential materials: receipt, secure movement and secure storage logs

### Record(s) description

Logs recording 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, information that is held in the centre is 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 waste/shredding & secure deletion.

## 13. Conflict of Interest records

### Record(s) description

N/A

### Retention information/period

N/A

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

N/A

## 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.
- NEA dispatch logs

### **Retention information/period**

Where specific retention information is not provided by JCQ or other authorised organisation, information that is held in the centre is 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 waste/shredding & secure deletion.

## 15. Entry information

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

Candidate entry information

### **Retention information/period**

Where specific retention information is not provided by JCQ or other authorised organisation, information that is held in the centre is 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 waste/shredding & secure deletion.

## 16. Exam question papers

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

- Question papers for timetabled written exams

### **Retention information/period**

Where specific retention information is not provided by JCQ or other authorised organisation, information that is held in the centre is 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 waste/shredding & secure deletion.

## 17. Exam room checklists

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

- Checklists confirming exam room conditions and invigilation arrangements for each exam session.
- Exam room documentation

### **Retention information/period**

Where specific retention information is not provided by JCQ or other authorised organisation, information that is held in the centre is 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 waste/shredding & secure deletion.

## 18. Exam room incident logs

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

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

### **Retention information/period**

Where specific retention information is not provided by JCQ or other authorised organisation, information that is held in the centre is 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 waste/shredding & secure deletion.

## 19. Exam stationery

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

Awarding body exam stationery

### **Retention information/period**

Return unused stationery to the secure room until needed for a future examination. Surplus stationery must not be used for internal school tests, mock examinations and non-examination assessment and we will 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**

Where/if provided by awarding body) Records immediately provided to head of department as records owner.

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

N/A

## 21. Finance information

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

Invoices for exams-related fees.

### **Retention information/period**

Records held with Finance department as records owner at the end of the academic year.

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

Confidential waste/shredding & secure deletion.

22. Invigilation arrangements

**Record(s) description**

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

**Retention information/period**

Where specific retention information is not provided by JCQ or other authorised organisation, information that is held in the centre is 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 waste/shredding & secure deletion.

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 and those facilitating an access arrangement for a candidate under examination conditions is stored via on The Exams Office system and copies of certificates retained on file until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

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

Confidential waste/shredding & secure deletion.

24. Moderator reports

**Record(s) description**

Moderator reports

**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)**

N/A

25. Moderation return logs

**Record(s) description**



N/A

**Retention information/period**

N/A

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

N/A

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**

We will keep all completed forms available for inspection until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

Forms stored electronically.

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

Secure deletion.

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

**Record(s) description**

Hard copy or email record of required candidate consent.

**Retention information/period**

This form should be retained on the centre's files for at least six months following the outcome of the clerical re-check, review of marking or any subsequent appeal. This form should be retained on the centre's files for at least six months.

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

Confidential waste/shredding & secure deletion.

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, information that is held in the centre is 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 waste/shredding & secure deletion.

**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, information that is held in the centre is 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 waste/shredding & secure deletion.

**30. Private candidate information****Record(s) description**

Any hard copy information relating to private candidates' entries.

**Retention information/period**

Where specific retention information is not provided by JCQ or other authorised organisation, information that is held in the centre is 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 waste/shredding & secure deletion.

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

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

**Retention information/period**

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 waste/shredding & secure deletion.

**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, information that is held in the centre is 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 waste/shredding & secure deletion.

### 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 waste/shredding & secure deletion.

### 34. Seating plans

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

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

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

We will keep signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination. The awarding bodies may need to refer to these records. The centre 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 & secure deletion.

### 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 waste/shredding & secure deletion.

### 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, information that is held in the centre is 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 waste/shredding & secure deletion.

### 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, information that is held in the centre is 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 waste/shredding & secure deletion.

### 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, information that is held in the centre is 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 waste/shredding & secure deletion.

### 39. Any other records/documentation/materials

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

N/A

**Retention information/period**

N/A

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

N/A

40. Any other records/documentation/materials

**Record(s) description**

N/A

**Retention information/period**

N/A

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

N/A