

Exams Archiving Policy

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Centre Name	James Brindley School
Centre Number	20137
Date policy first created	01/11/2021
Current policy approved by	Charmaine Parry
Current policy reviewed by	Miren Shah
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Key staff involved in the policy

Role	Name
Exams officer	Jo Murgatroyd
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ALS lead/SENCo	Charmaine Parry
Finance manager	Alison Bevan
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/data retention policy

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.

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.

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 review of marks 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

Awarding body exams administration information

Record(s) description

Exam board correspondence

Retention information/period

Records are kept until the end of the following examination period. Correspondence are 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.

Candidates' scripts

Record(s) description

Not Applicable

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.

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 workbooks.

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.

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.

Certificates

Record(s) description

Candidate certificates issued by awarding bodies.

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.

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.

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.

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.

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.

Conflicts of interest records

Record(s) description

The records are 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.

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.)

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

Confidential shredding/deletion.

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.

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)

Exam question papers

Record(s) description

- Question papers for timetabled written exams

Retention information/period

Records retained in accordance with the requirements of ICE, section 31 (Releasing question papers) and 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 examination). **Action at the end of retention period (method of disposal)**

Issued to subject staff.

17. Exam room checklists

18. 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.

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.

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 & secure deletion.

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

Confidential waste/shredding.

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

Finance information

Record(s) description

Invoices for exams-related fees.

Retention information/period

Records held with Finance department as records owner for current financial year + 6 years.

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

Confidential waste/shredding & secure deletion.

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.

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. A record of training undertaken is held on Every until the employee leaves the academy + 6 years.

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

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

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.

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.

Post-results services: request/outcome information

Record(s) description

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

Confidential waste/shredding & secure deletion.

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.

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.

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.

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.

Confidential waste/shredding & secure deletion.

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.

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.

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. records are retained for 3 months after the end of the exam season as a minimum.

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

Confidential waste/shredding & secure deletion.

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.

Confidential waste/shredding & secure deletion.

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

Suspected malpractice reports/outcomes

Record(s) description

Any hard copy information/scan 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.

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.

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.

Any other records/documentation/materials

Record(s) description

N/A

Retention information/period

N/A

N/A

24. 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

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

Changes 2023/2024

New record types added - **Handling secure electronic materials logs** and **Second pair of eyes check records/forms**

CENTRE-SPECIFIC CHANGES

Not Applicable