



# Exams Archiving Policy

Policy/Procedure creator: Janet Davis

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Centre Name	Leasowes High School
Centre Number	20534
Date policy first created	September 2023
Current policy approved by	Christiana Papadopoulos
Current policy reviewed by	Lucy Ridley
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## Key staff involved in the policy

Role	Name
Exams officer	Janet Davis
Senior leader(s)	Lucy Ridley, Karl Haines, Jade Beetison,
Head of centre	Christiana Papadopoulos
IT manager	David Morris
ALS lead/SENCo	Jas Kalirai
Finance manager	Kerry Round
Head(s) of department	Not applicable.
Other staff (if applicable)	Administration.

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

- Form 8

### **Retention information/period**

- Any records held would be returned to ALS/ lead/SENCo as records owner at the end of the candidates final exam series.

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

Not applicable.

## 2. Alternative site arrangements

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

Any hard copy information generated on an alternative site arrangement.

### **Retention information/period**

- Any exams -related information would be held in the centre until at the very least after the deadline for reviews and results enquiries or the resolution of any outstanding reviews/appeals or malpractice investigations for the relevant exam series.

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

- Shredded waste.

## 3. Attendance register copies

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

- Attendance register/seating plans.

### **Retention information/period**

- Records are kept in accordance with the requirements of the 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)**

- Confidential waste.

## 4. Awarding body administrative information

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

- Any hard copy publications 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)**

- Shredded waste.

## 5. Candidates' scripts

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

- Any unwanted copies of scripts returned to the centre through Access to Scripts service.

## Retention information/period

- To be retained securely until the awarding body's earliest date for confidential disposal of unwanted scripts in accordance with the requirements of GR, section 3.15 ( ... ensure that when scripts that have been returned under access to scripts arrangements are no longer required, they are disposed of in a confidential manner, but no earlier than the dates specified by the awarding bodies...). **Action at the end of retention period (method of disposal)**
- Confidential waste.

## 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 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

(...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)

- Returned to candidates if not collected 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

- 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)

- Shredded waste.

## 8. Certificates

### Record(s) description

- Candidate certificates issued by awarding bodies.

### Retention information/period

- Unclaimed certificates under secure conditions for a minimum of 48 months from the date of issue. **Action at the end of retention period (method of disposal)**

- Confidential destruction.

## 9. Certificate destruction information

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

- A record of unclaimed certificates.

### **Retention information/period**

- Records retained in accordance with the requirements of GR, section 5.14 ( ... destroy any unclaimed certificates after retaining them for a minimum of 12 months in a confidential manner. ( Leasowes High School, hold certificates for 60 months). A record of destroyed certificates is retained for four years from the date of destruction.
- Candidates are informed by letter when certificates are available 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.).

### **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**

- Records retained in accordance with the requirements of GR, section 5.14 (... distribute certificates to all candidates without delay and regardless of any disputes (such as non-payment of fees). Certificates must not be withheld without prior permission from an awarding body which will only be given in very exceptional circumstances. A record should be kept of the certificates that are issued...)

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

- At the end of the retention period disposed in secure 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 transfer to the centre's secure storage facility.

### **Retention information/period**

- Exams-related 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)**

- At the end of the retention period disposed in shredded 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**

- 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)**

- At the end of the retention period shredded waste.

### 13. Conflicts of interest records

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

- Not applicable.

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

Not applicable

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

Not applicable.

### 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**

- 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)**

- At the end of the retention period shredded waste.

### 15. Entry information

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

- Any hard copy information relating to 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)**

- At the end of the retention period shredded 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 GR, section 6.13 (...For confidentiality purposes question papers must not be released to centre personnel for use in accordance with the above licence until after the awarding body's published finishing time for the examination or, in the case of a timetable variation, until all candidates within the centre have completed the examination. This does not restrict access to question papers by authorised centre personnel for the purpose of conducting examinations...).

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

- At the end of the retention period. For example: 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 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)**

- at the end of the retention period shredded 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 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)**

- At the end of the retention period shredded waste.

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

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

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

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

- Records retained in accordance with the requirements of ICE, section 30 (...return unused stationery to the secure storage facility or secure room until needed for a future examination. Surplus stationery must not be used for internal school tests, mock examinations and non-examination assessments... destroy confidentially any out-of-date stationery.).

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

- At the end of the retention period. Confidential destruction

## 20. Examiner reports

21. **Record(s) description** Not applicable.

### **Retention**

**information/period** Not

applicable.

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

Not applicable.

## 22. Finance information

### **Record(s)**

**description** Not

applicable.

### **Retention**

**information/period** Not

applicable.

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

Not applicable.

## 23. Invigilation arrangements

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

• Not applicable.

### **Retention information/period**

• Not applicable.

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

• Not applicable.

## 23. Invigilator and facilitator training records

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

• Any relevant training content or certificates.

### **Retention information/period**

• Records retained in accordance with the requirements of ICE, section 12 (A record of content of the training given to invigilators is 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 either passed to invigilator or shredded waste.

#### 24. Moderator reports

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

- Add a description of the record/information

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

- Kept with exams officer until end of series. (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 returned to records owner or shredded 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**

- 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 ormalpractice investigations) for the relevant exams series).

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

- Add actions at the end of the retention period shredded waste.

#### 26. Overnight supervision information

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

- Not applicable.

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

- Not applicable.

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

- Not applicable.

#### 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 beretained 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 shredded 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

- Where specific retention information is not provided by JCQ or other authorised organisation, exams-related 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)**
- At the end of the retention period and/or method of disposal.

## 29. Post-results services: tracking logs

### Record(s)

**description** Not

applicable.

### Retention

**information/period** Not

applicable.

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

Not applicable.

## 30. Private candidate information

### Record(s) description

- Not applicable.

### Retention information/period

- Not applicable.

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

- Not applicable.

## 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

- 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/dispatch 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)**

- At the end of the retention period shredded 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

- 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)**
- At the end of the retention period shredded waste.

### 33. Results information

#### Record(s)

**description** Not

applicable.

#### Retention information/period

- not applicable

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

Not applicable.

### 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 shredded 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 shredded 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 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)**

- At the end of the retention period shredded 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 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)**

- At the end of the retention period shredded 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 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)**

- At the end of the retention period shredded 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.