



Exams Archiving Policy

Policy/Procedure creator: Mrs S Ridley

Policy/Procedure created: 23/09/2020

Centre Name	Claverham Community College
Centre Number	56615
Date policy first created (dd/mm/yyyy)	04/09/20
Current policy approved by	Mr P Swatton
Date of next review (dd/mm/yyyy)	04/09/2021
Current policy reviewed by	Mrs S Ridley

Key staff involved in the policy

Role	Name
Exams officer	Mrs S Ridley
Senior leader(s)	Mr T Smith - Deputy Principal; Mr D Carney - Deputy Principal; Mr C Wilson - Assistant Principal/Head of KS4
Head of centre	Not Applicable
IT manager	Mr K Cymer
ALS lead/SENCo	Mrs D Roberts
Finance manager	Mrs S Carapiet
Head(s) of department	Mr Macdonald - Head of Science Mrs Goldsmith - Head of Dance Miss Humphries - Head of DT Miss Roadknight - Head of Drama Mrs Griss - Head of English Mrs Hardy - Head of MFL Miss Kent - Head of Geography Mr Ingram - Head of History Mr Jones - Head of PE Mr Rowing - Head of Maths Mrs Graham - Head of Music Miss Lambert - Head of World Views Mrs Surrage/Kaye - Head of Food Preparation Mrs Parmenter - Head of Media Ms Welsh - Head of IT Mrs Myall - BTEC Mr Cheetham - Head of Psychology Mrs P Hardy - Head of Latin
Other staff (if applicable)	Mrs J Scott Mrs K Moore

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

- Access Arrangement evidence
- Form 8's
- Any other information provided to support in Access Arrangements

Retention information/period

Records returned to SENCo as records owner at end of the candidate's final exam series and added to student file for retention.

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

Confidential destruction

2. Alternative site arrangements

Record(s) description

ny hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.

Retention information/period

To be retained until after the deadline for EARs 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 destruction

3. Attendance register copies

Record(s) description

Hard copy attendance registers

Retention information/period

To be retained until after the deadline for EARs 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 destruction

4. Awarding body administrative information

Record(s) description

Any hard copy publications provided by awarding bodies.

Retention information/period

To be retained until the current academic year update is provided.

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

Confidential destruction

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

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, but no earlier than the dates specified by the awarding bodies.

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

Returned to candidates or Confidential disposal

6. Candidates' work

Record(s) description

Non-examination assessment work (inc. controlled assessment, coursework, portfolios) returned to the centre after awarding body moderation.

Retention information/period

To be 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) until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series.

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

Returned to candidates or safe disposal

7. Centre consortium arrangements for centre assessed work

Record(s) description

Any hard copy information generated or relating to consortium arrangements for centre assessed work. Applications submitted online via CAP.

Retention information/period

To be retained until after the deadline for EARs 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 destruction

8. Certificates**Record(s) description**

Certificates

Retention information/period

Unclaimed/uncollected certificates to be retained securely for a minimum of 24 months from 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 certificates that have been destroyed should be retained for four years from their date of destruction.

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. They must be destroyed in a confidential manner. Centres that do not have a means of destroying certificates confidentially may return them to the respective awarding body. A record of certificates that have been destroyed should be retained for four years from their date of destruction. However, candidates should be informed that some awarding bodies do not offer a replacement certificate service. In such circumstances the awarding body will issue a Certifying Statement of Results (Where an awarding body issues a replacement certificate, or a Certifying Statement of Results, this will provide an accurate and complete record of results for all qualifications covered by the original certificate. 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 to candidates.

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)

Confidential destruction

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

To be retained until after the deadline for EARs 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)

Safe disposal

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

To be retained until after the deadline for EARs 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)

Safe disposal

13. Conflict 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 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 Destruction.

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

To be retained until after the deadline for EARs 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)

Safe disposal

15. Entry information

Record(s) description

Any hard copy information relating to candidates' entries.

Retention information/period

To be retained until after the deadline for EARs 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 destruction

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 6.12 (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)

Safe disposal

17. Exam room checklists

Record(s) description

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

Retention information/period

To be retained until after the deadline for EARs 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)

Safe disposal.

18. Exam room incident logs

Record(s) description

Logs recording any incidents or irregularities in exam rooms.

Retention information/period

To be retained until after the deadline for EARs 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 destruction

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)

Confidential destruction

20. Examiner reports

Record(s) description

Examiner reports

Retention information/period

To be immediately provided to head of department as records owner.

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

To be kept for records otherwise, safe disposal.

21. Finance information

Record(s) description

Copy invoices for exams-related fees.

Retention information/period

Records returned to Finance department as records owner at the end of the academic year.

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

Confidential disposal

22. Invigilation arrangements

Record(s) description

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

Retention information/period

To be retained until after the deadline for EARs 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)

Safe disposal.

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

Invigilator and facilitator 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)

Confidential disposal.

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)

Confidential disposal

25. Moderation return logs**Record(s) description**

Not Applicable

Retention information/period

Not Applicable

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

Not Applicable

26. Overnight supervision information

Record(s) description

The JCQ Overnight Supervision form is completed online using CAP. The JCQ Overnight Supervision Declaration form is downloaded from CAP for signing by the candidate, the supervisor and the head of centre

Retention information/period

Records retained in accordance with the requirements of ICE, section 8 (keep all completed forms available for inspection until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. Forms may be stored electronically or in hard copy paper format and must not be sent to an awarding body, unless specifically requested).

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

Confidential disposal

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

Record(s) description

Hard copy or email record of required candidate consent.

Retention information/period

Records retained in accordance with the requirements of PRS, section 4, appendices A, B (Consent forms or e-mails from candidates must be retained by the centre and kept for at least six months following the outcome of the clerical re-check or review of marking or any subsequent appeal. The awarding bodies reserve the right to inspect such documentation. This form should be retained on the centre's files for at least six months following the outcome of the clerical re-check, review of marking or any subsequent appeal. 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 disposal

28. Post-results services: request/outcome information

Record(s) description

Any hard copy information relating to a post-results service request (RoRs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body.

Retention information/period

To be retained until after the deadline for EARs 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 disposal

29. Post-results services: tracking logs

Record(s) description

Logs tracking to resolution all post-results service requests submitted to awarding bodies.

Retention information/period

To be retained until after the deadline for EAR reviews 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 disposal

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

Records (proof of postage/dispatch of candidates' scripts to awarding body examiners/markers) retained in accordance with the requirements of ICE, section 29 (Centres not involved in the secure dispatch 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)

Safe disposal

32. Resolving timetable clashes**Record(s) description**

Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers.

Retention information/period

To be retained until after the deadline for EARs 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 disposal

33. Results information

Record(s) description

Broadsheets of results summarising candidate final grades by subject by exam series.

Retention information/period

Records for current year plus previous 6 years retained as a minimum.

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

Confidential disposal

34. Seating plans

Record(s) description

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

Retention information/period

To be retained until after the deadline for EARs 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 disposal

35. Special consideration information

Record(s) description

Any hard copy information relating to a special consideration application which has been submitted to an awarding body for a candidate and signed evidence produced by a senior leader in support of the application.

Retention information/period

Records retained in accordance with the requirements of SC, section 6 (All applications must be supported by signed evidence produced by a member of the senior leadership team. The centre must retain this evidence until after the publication of results.)

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

Confidential Disposal

36. Suspected malpractice reports/outcomes

Record(s) description

Any hard copy information relating to a suspected or actual malpractice investigation/report submitted to an awarding body and outcome information from the awarding body.

Retention information/period

To be retained until after the deadline for EARs 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 disposal

37. Transferred candidate arrangements

Record(s) description

Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP.

Retention information/period

To be retained until after the deadline for EARs 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 disposal

38. Very late arrival reports/outcomes

Record(s) description

Any hard copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP.

Retention information/period

To be retained until after the deadline for EARs 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 disposal

39. Any other records/documentation/materials

Record(s) description

Not Applicable

Retention information/period

Not Applicable

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

Not Applicable

40. Any other records/documentation/materials

Record(s) description

Not Applicable

Retention information/period

Not Applicable

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

Not Applicable