



Exams Archiving Policy

Sir Thomas Rich's

Exams Archiving Policy

Centre Name	Sir Thomas Rich's
Centre Number	57143
Date policy first created	21/11/2023
Current policy approved by	Senior Management Team (SMT), Governors' Curriculum and Evaluation Committee
Current policy reviewed by	Jo Tyler
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Key staff involved in the policy

Role	Name
Head of Centre	Matthew Morgan
Senior leader(s)	Dave Dempsey
Exams officer	Jo Tyler
ALS lead/SENCo	Jo Loveridge
IT manager	Matt Hopton
Finance manager	Nicky Binning
Head(s) of department	Senior Leadership Team
Other staff (if applicable)	Senior Management Team (SMT), Governors' Curriculum and Evaluation Committee

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

Where a particular record or information type is not held in, or not applicable to Sir Thomas Rich's, this is indicated.

1. Access arrangements information

Record(s) description

Any hard copy information kept by the Exams Officer relating to an access arrangement candidate.

Retention information/period

To be returned to SENCO as records owner at end of the candidate's final exam series.

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

Confidential disposal

2. Alternative site arrangements

Record(s) description

Not applicable

Retention information/period

Exams related information 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 exam series.

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

Confidential disposal.

3. Attendance register copies

Record(s) description

A detailed list of individual's who are taking the exam detailing their full name and candidate number. There is an internal and external record.

Retention information/period

Records are kept in accordance with the requirements of ICE 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. You 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 disposal.

4. Awarding body exams administration 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 disposal.

5. Candidates' scripts

Record(s) description

Any unwanted copies of scripts returned to the centre through the Access to Scripts (ATS) service.

Retention information/period

To be retained securely until the awarding body's earliest date for confidential disposal of unwanted scripts. 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.

[Reference GR 3.15]

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

Confidential disposal.

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

To be 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.

See paragraph 4.8 of the JCQ publication Instructions for conducting non - examination assessments <https://www.jcq.org.uk/examsoffice/non-examination-assessments> (Reference GR 3.15) Returned to candidates or safe disposal.

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

Not Applicable.

Retention information/period

Not Applicable.

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

Not Applicable.

8. Certificates

Record(s) description

Candidate certificates issued by awarding bodies.

Retention information/period

Retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue.

[Reference GR 5.14]

STRS will retain for 6 years

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

Confidential destruction

9. Certificate destruction information

Record(s) description

A record of unclaimed certificates that have been destroyed.

Retention information/period

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.

Return any certificates requested by the awarding bodies.

Certificates always remain the property of the awarding bodies. (Reference GR 5.14)

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

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;

(Reference GR5.14)

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

Retain record

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

Keep for inspection all completed forms available in your centre 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.

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

Record(s) description

Logs recording confidential exam materials received (including encrypted materials received via email or downloaded from an awarding body's secure extranet site), checked and placed in the secure storage facility by the exams officer (or other authorised member of centre staff) throughout the period the materials are confidential.

Retention information/period

Keep for inspection all completed forms available in your centre 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

13. Conflicts of interest records

Record(s) description

Records demonstrating the management of Conflicts of Interest.

Retention information/period

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. [Reference GR 5.3]

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

Confidential disposal

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

Keep for inspection all completed forms available in your centre 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

15. Entry information

Record(s) description

Any hard copy information relating to candidates' entries.

Retention information/period

Keep all completed forms available in your centre 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

16. Exam question papers

Record(s) description

Question papers for timetabled written exams.

Retention information/period

For confidentiality purposes exam 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 exam question papers by authorised centre personnel for the purpose of conducting examinations.

[Reference ICE 31, GR 6.13]

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

Issued to subject staff

17. Exam room checklists

Record(s) description

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

Retention information/period

Keep for inspection all completed forms available in your centre 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

18. Exam room incident logs

Record(s) description

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

Retention information/period

Keep for inspection all completed forms available in your centre 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

19. Exam stationery

Record(s) description

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

Retention information/period

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.

[Reference ICE 30]

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

Confidential destruction

20. Examiner reports**Record(s) description**

Detailed report and findings following an assessment.

Retention information/period

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

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

Not Applicable

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

Invoices for exams-related fees.

Retention information/period

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

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

Not Applicable

22. Handling secure electronic materials logs**Record(s) description**

(Where used by the centre) Logs recording the arrangements applied when handling secure electronic materials provided to the centre and accessed by the exams officer (or other authorised member of centre staff).

Retention information/period

Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that 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)

Files deleted.

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

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

Retention information/period

Keep paper and electronic copies 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.

Delete records.

24. Invigilator and facilitator training records

Record(s) description

A record of the content of training given to invigilators and those facilitating an access arrangement for a candidate under exam conditions.

Copies of individual certificate of attendance for invigilators attending invigilator training

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 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.

[Reference ICE 12]

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

Confidential disposal

25. Moderator reports

Record(s) description

Not Applicable

Retention information/period

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

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

Not Applicable

26. Moderation return logs

Record(s) description

Logs recording the return of candidates work to the centre by the awarding body at the end of the moderation period.

Retention information/period

Exams related information that is held in the centre is retained 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)

Not Applicable

27. 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.

Any hard copy information relating to overnight supervision arrangements. Reports submitted online via CAP.

Retention information/period

Keep for inspection all completed forms available in your centre 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;
[Reference ICE 8]

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

Confidential disposal

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

Record(s) description

Hard copy or email record of required candidate consent.

Retention information/period

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.

[Reference PRS 4, plus appendix A and B]

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

Confidential destruction

29. 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

Keep for inspection all completed forms available in your centre 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

30. Post-results services: tracking logs

Record(s) description

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

Retention information/period

Keep for inspection all completed forms available in your centre 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)

Not Applicable

31. Private candidate information

Record(s) description

Any hard copy information relating to private candidates' entries.

Retention information/period

Keep for inspection all completed forms available in your centre 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

32. Proof of postage - candidates' work

Record(s) description

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

Retention information/period

(Centres not involved in the secure despatch of exam scripts service:

a) must obtain proof of postage/despatch for each packet of scripts, which must be retained on the centre's files until the results are published, in case of loss or damage. (Proof of postage will provide evidence that the candidates' scripts have left the centre. This 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.)

[Reference ICE 29])

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

Confidential destruction

33. 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

Keep 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.

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

Confidential destruction

34. Results information

Record(s) description

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

Retention information/period

Electronic records for current year plus previous 6 years to be retained as a minimum.

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

Delete Records

35. Seating plans

Record(s) description

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

Retention information/period

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.

You 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.
[Reference ICE 12]

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

Confidential destruction

36. Second pair of eyes check forms

Record(s) description

Records of the check that must take place by a second person (additional to the person removing question paper packets from secure storage) immediately before a question paper packet is opened.

Retention information/period

Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that 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)

Confidential disposal

37. Special consideration information

Record(s) description

Any hard copy information relating to a special consideration request and supporting evidence submitted to an awarding body for a candidate.

Retention information/period

Where a candidate is present but disadvantaged for a timetabled written examination a proportion of cases will be sampled by an awarding body for quality assurance purposes

Where a candidate is absent from an examination for an acceptable reason a proportion of cases will be sampled by an awarding body for quality assurance purposes.

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.

[Reference SC 6]

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

Confidential destruction

38. 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

Retain until 6 months after the issue is resolved or for as long as is specified by the awarding body.

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

Confidential destruction

39. 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 the issue of the GCE A level result for the candidate.

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/malpractice investigations) for the relevant exams series).

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

Confidential destruction

40. 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 the issue of the result for the candidate.

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/malpractice investigations) for the relevant exams series).

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

Confidential destruction

41a. 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

41b. Any other records/documentation/materials

Record(s) description

Not Applicable

Retention information/period

Not Applicable

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

Not Applicable

Changes 2023/2024

New record types added - **22. Handling secure electronic materials logs** and **36. Second pair of eyes check records/forms**

Centre-specific changes