

EXAMS ARCHIVING POLICY

2023/24

This policy is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
David Martin	
Date of next review	Autumn 2024

Exams Archiving Policy

Katherine Warrington School

Exams Archiving Policy

Centre Name	Katherine Warrington School
Centre Number	17502
Date policy first created	20/11/2023
Current policy approved by	David Martin
Current policy reviewed by	David Martin
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Key staff involved in the policy

Role	Name
Head of Centre	David Martin
Senior leader(s)	Gareth Livesy-Jones
Exams officer	Michelle Phillips
ALS lead/SENCo	Abigail Grainger
IT manager	Dean Inns
Finance manager	Karen Peters

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 Katherine Warrington School, 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

Records returned to 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)

All records will be kept for 6 years and will be disposed of within the confidential waste system/shredding.

2. Alternative site arrangements

Record(s) description

- Any hard copy information generated on an alternative site arrangement
- Notifications 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)

Records will be disposed of within the confidential waste system/shredding.

3. Attendance register copies

Record(s) description

All hard/electronic copies providing details of candidates in attendance at examinations.

Retention information/period

- Records are kept in accordance with the requirements of ICE, sections 12, 22
- The centre 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 will keep records 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)

Records will be disposed of within the confidential waste system/shredding.

4. Awarding body exams administration information

Record(s) description

Any hard copy publications provided 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)

Records will be disposed of within the confidential waste system/shredding.

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 in accordance with the requirements of GR, section 3.15
- The centre will ensure that when scripts (that have been returned under access to scripts arrangements) are no longer required, they are disposed of no earlier than the dates specified by the awarding bodies

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

Records will be disposed of within the confidential waste system/shredding.

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 will be logged on return to the centre and immediately returned to subject staff as records owner
- Records will 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)
- Records will be 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 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

- Records retained in accordance with the requirements of GR, section 5.14
- The centre will 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)

Records will be disposed of within the confidential waste system/shredding.

9. Certificate destruction information

Record(s) description

A record of unclaimed certificates that have been destroyed.

Retention information/period

- Records retained in accordance with the requirements of GR, section 5.14; destroying any unclaimed certificates after retaining them for a minimum of 12 months. Records will 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. In such circumstances the awarding body will issue a Certifying Statement of Results
- Certificates always remain the property of the awarding bodies

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

Records will be disposed of within the confidential waste system/shredding.

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
- Certificates will not be withheld without prior permission from an awarding body which will only be given in very exceptional circumstances
- A record will be kept of the certificates that are issued

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

Records will be disposed of within the confidential waste system/shredding.

11. Confidential materials: initial point of delivery logs

Record(s) description

Logs recording awarding body confidential exam materials received by an authorised member of staff at the initial point of delivery.

Retention information/period

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)

Records will be disposed of within the confidential waste system/shredding.

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

Record(s) description

Logs recording the secure movement of awarding body confidential exam materials packages by an authorised member of staff to the secure room for transferal 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)

Records will be disposed of within the confidential waste system/shredding.

13. Conflicts of interest records

Record(s) description

Records demonstrating the management of conflicts of interest

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)

Records will be disposed of within the confidential waste system/shredding.

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 (England only).

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)

Records will be disposed of within the confidential waste system/shredding.

15. Entry information

Record(s) description

Any hard copy information relating to candidates' entries.

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)

Records will be disposed of within the confidential waste system/shredding.

16. 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 examinations

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

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)

Records will be disposed of within the confidential waste system/shredding.

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)

Records will be disposed of within the confidential waste system/shredding.

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 will not be used for internal school tests, mock examinations and non-examination assessments

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

Out-of-date stationery will be disposed of within the confidential waste system/shredding.

20. Examiner reports

Record(s) description

All information within reports provided by the examiner.

Retention information/period

Records immediately provided to head of department as records owner.

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

Records will be disposed of within the confidential waste system/shredding.

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)

Records will be disposed of within the confidential waste system/shredding.

22. Handling secure electronic materials logs

Record(s) description

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

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)

Records will be disposed of within the confidential waste system/shredding.

23. Invigilation arrangements

Record(s) description

Checklists confirming exam room conditions and invigilation arrangements 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)

Records will be disposed of within the confidential waste system/shredding.

24. Invigilator and facilitator training records

Record(s) description

Any information relating to the training of invigilators and/or facilitators, including assessment certificates.

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 will 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)

Records will be disposed of within the confidential waste system/shredding.

25. Moderator reports

Record(s) description

All information within reports provided by the moderator.

Retention information/period

Records immediately provided to head of department as records owner.

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

Records will be disposed of within the confidential waste system/shredding.

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)

Records will be disposed of within the confidential waste system/shredding.

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.

Retention information/period

- Records retained in accordance with the requirements of ICE, section 8
- All completed forms will be 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)

Records will be disposed of within the confidential waste system/shredding.

28. 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 emails from candidates will 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 will 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

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

Records will be disposed of within the confidential waste system/shredding.

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

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)

Records will be disposed of within the confidential waste system/shredding.

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**

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)

Records will be disposed of within the confidential waste system/shredding.

31. Private candidate information

Record(s) description

Any hard copy information relating to private candidates' entries.

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)

Records will be disposed of within the confidential waste system/shredding.

32. 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) will be retained in accordance with the requirements of ICE, section 29
- Proof of postage will provide evidence that the candidates' scripts have left the centre. This will 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)

Records will be disposed of within the confidential waste system/shredding.

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

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)

Records will be disposed of within the confidential waste system/shredding.

34. Results information

Record(s) description

Broadsheets of public examination 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)

Records will be disposed of within the confidential waste system/shredding.

35. 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
- Signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination will be kept. The awarding bodies may need to refer to these records
- The centre will 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)

Records will be disposed of within the confidential waste system/shredding.

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

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)

Records will be disposed of within the confidential waste system/shredding.

37. 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 appropriate evidence signed by a senior leader.

Retention information/period

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

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

Records will be disposed of within the confidential waste system/shredding.

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

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)

Records will be disposed of within the confidential waste system/shredding.

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

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)

Records will be disposed of within the confidential waste system/shredding.

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

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)

Records will be disposed of within the confidential waste system/shredding.

41a. Any other records/documentation/materials**Record(s) description**

Any examination records/documentation/materials, not included in the previous sections.

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)

Records will be disposed of within the confidential waste system/shredding.