

St Richard's Catholic College

EXAMS ARCHIVING POLICY



The Policy was approved by the Governing Body: November 2023

Chair of Governors: _____

The Governing Body will review the policy in: November 2024

Purpose of the policy

The purpose of this policy is so that St Richard's Catholic College can:

- 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

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Access arrangements information	Any hard copy information kept by the EO relating to an access arrangement candidate.	To be returned to ALS Lead/SENCo as records owner at end of the candidate's final exam series.	Confidential waste/shredding
Alternative site arrangements	Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.	To retained by the centre until after the deadline for Enquiries about Results	Hard Copy – Shredded Electronic – Deleted from the server
Attendance register copies		...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... (Reference ICE 12, 22)	Confidential waste/shredding
Awarding Body exams administration information	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	Confidential waste/shredding
Candidates' scripts	Any unwanted copies of scripts returned to the centre through the Access to Scripts (ATS) service.	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. (Reference PRS 6) ... 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)	Confidential disposal
Candidates' work	Non-examination assessment work returned to the centre by the awarding body at the end of the moderation 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) until the deadline for a review of moderation has passed or until a review of moderation, an appeal or a	Returned to candidates or safe disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		<i>malpractice investigation has been completed, whichever is later (for the exam series).</i> [Reference GR 3.5]	
Centre consortium arrangements for centre assessed work	Any hard copy information generated or relating to consortium arrangements for centre assessed work. Applications submitted online via CAP.	Until after the deadline for Enquiries about Results	Confidential waste/shredding
Certificates	Candidate certificates issued by awarding bodies.	<i>...retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue</i> [Reference GR 5.14]	Confidential destruction
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	<i>...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</i> <i>(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.)</i> <i>...return any certificates requested by the awarding bodies. Certificates always remain the property of the awarding bodies. (Reference GR 5.14)</i>	Confidential destruction
Certificate issue information	A record of certificates that have been issued.	(Reference GR 5.14 :) <i>...obtain and maintain accurate candidate contact information to ensure the correct</i>	Confidential waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		<p><i>and secure despatch of certificates...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;</i></p> <p>[Reference GR 5.14]</p>	
Confidential materials: initial point of delivery logs	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.	Until after the deadline for Enquiries about Results	Confidential waste/shredding
Confidential materials: receipt, secure movement and secure storage logs	Logs recording confidential exam materials received, securely moved, 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.	Until after the deadline for Enquiries about Results	Confidential waste/shredding
Conflicts of Interest records	Records demonstrating the management of Conflicts of Interest.	<p><i>...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.</i></p> <p>[Reference GR 5.3]</p>	<p>Electronic Copy –Deleted from EO computer and Server</p> <p>Hard Copy - Confidential waste/shredding</p>
Dispatch logs	Proof of dispatch of exam script packages to awarding body	Until after the deadline for Enquiries about Results	Confidential waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	examiners covered by the DfE (Standards & Testing Agency) yellow label service (England only)		
Entry information	Any hard copy information relating to candidates' entries.	Until after the deadline for Enquiries about Results	Confidential waste/shredding
Exam question papers	Question papers for timetabled written exams.	<p>(Reference ICE 31: Question papers must not be released to centre personnel 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.</p> <p>For CCEA examinations question papers must not be released until 24 hours after the published finishing time for the examination.)</p> <p>(Reference GR 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...)</p>	Issued to subject staff
Exam room checklists	Checklists confirming exam room conditions and invigilation arrangements for each exam session.	Until after the deadline for Enquiries about Results	Confidential waste/shredding
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms for each exam session.	Until after the deadline for Enquiries about Results	Confidential waste/shredding
Exam stationery	Awarding body exam stationery provided solely for the purpose of external exams.	<p>...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.</p> <p>[Reference ICE 30]</p>	Confidential destruction
Examiner reports		(Where/if provided) To be immediately provided to head of department as records owner.	Issued to subject staff

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Finance information	Copy invoices for exams-related fees.	To be returned to Finance department as records owner at the end of the academic year.	
Handling secure electronic materials logs	(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)	Until after the deadline for Enquiries about Results	The downloaded papers are deleted from the device and the servers. This is carried out and checked by the IT Services Director
Invigilation arrangements	See <i>Exam room checklists</i>		
Invigilator and facilitator training records		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)	Confidential waste/shredding
Moderator reports		(Where printed from electronic copy) To be immediately provided to head of department as records owner.	Issued to Centre Staff
Moderation returns logs	Logs recording the return of candidates' work to the centre by the awarding body at the end of the moderation period	Until after the deadline for Enquiries about Results	Confidential waste/shredding
Overnight supervision information	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	<i>...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;</i> [Reference ICE 8]	Confidential waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Post-results services: confirmation of candidate consent information	Hard copy or email record of required candidate consent.	(Reference PRS 4.2 , plus appendix A and B: Consent forms or emails 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.)	Confidential waste/shredding
Post-results services: requests/outcome information	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.	Until after the deadline for Enquiries about Results	Confidential waste/shredding
Post-results services: tracking logs	Logs tracking to resolution all post-results service requests submitted to awarding bodies.	Until after the deadline for Enquiries about Results	Confidential waste/shredding
Private candidate information	Any hard copy information relating to private candidates' entries.	Until after the deadline for Enquiries about Results	Confidential waste/shredding
Proof of postage – candidates' work	Proof of postage of sample of candidates' work submitted to awarding body moderators. (Proof of postage of candidates' scripts to awarding body examiners/markers)	<i>Centres not involved in the secure despatch of exam scripts service... 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 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.)... (Reference ICE 29)</i>	Confidential waste/shredding
Resolving timetable clashes information	Any hard copy information relating to the resolution of a	Until after the deadline for Enquiries about Results	Confidential waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	candidate's clash of timetabled exam papers		
Results information	Broadsheets of public examination results summarising candidate final grades by subject by exam series.	Records for current year plus previous 6 years to be retained as a minimum.	Confidential waste/shredding Removed from the server
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	...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... (Reference ICE 12)	Confidential waste/shredding
Second pair of eyes check records/forms	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.	(Reference ICE 5., 18: In order to avoid potential breaches of security, care must be taken to ensure that the correct question paper packets are opened. A member of centre staff, additional to the person removing the question paper packets from secure storage, e.g. an invigilator, must check the day, date, time, subject, unit/component and tier of entry, if appropriate, immediately before a question paper packet is opened. This second pair of eyes check must be recorded.)	Confidential waste/shredding
Special consideration information	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.	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)	Confidential waste/shredding
Suspected malpractice reports/outcomes	Any hard copy information relating to a suspected or actual malpractice investigation/report submitted to an awarding body and	Until after the deadline for Enquiries about Results	Confidential waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	outcome information from the awarding body.		
Very late arrival reports/outcomes	Any hard copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP.	Until after the deadline for Enquiries about Results	Confidential waste/shredding