

<b>Policy Name:</b>	<b>ARCHIVING POLICY (EXAMS)</b>
<b>Policy Type:</b>	<b>Statutory</b>
<b>Issue Date:</b>	<b>15<sup>th</sup> January 2025</b>
<b>To be reviewed:</b>	<b>Annually – 15<sup>th</sup> January 2026</b>
<b>Approved by:</b>	<b>Board of Trustees</b>
<b>Policy Owner:</b>	<b>Steph Brown</b>

### Glossary of abbreviations

JCQ	Joint Council of Qualifications
JCQ GR	Joint Council of Qualifications : General Regulations

#### 1. Aims

- a. The purpose of this policy is to confirm the duration of retention on all aspects of exam related information.

#### 2. Legislation and Guidance

- a. Where specific retention information is not provided by JCQ or other authorised organisation, the centre will follow good practice in keeping records for the duration of the academic year or until after any result or appeals process has been completed.
- b. At the end of any stated retention period the centre will dispose of any hard copy information via the confidential waste disposal system.

#### 3. Access arrangements information

- a. The centre will, for any hard copy information kept by the exams officer relating to an access arrangement candidate, return records to ALS lead/SENCo as records owner at end of the candidate's final exam series.
- b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

#### 4. Alternative site arrangements

- a. Hard copy 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).
- b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

## 5. Attendance register copies

- a. Internally produced exam attendance records and Awarding Body exam registration information are kept in accordance with the requirements of JCQ ICE, sections 12, 22
  - 1) “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.”
- b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

## 6. Awarding body exams administration information

- a. The centre will, for any hard copy records retain the information until the current academic year update is provided.
- b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

## 7. Candidates' scripts

- a. Any unwanted hard copies of scripts returned to the centre through the Access to Scripts (ATS) service will be retained securely until the awarding body’s earliest date for confidential disposal of unwanted scripts in accordance with the requirements of JCQ GR, section 3.15
  - 1) “ 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”
- b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

## 8. Candidates' work

- a. For non-examination assessment work returned to the centre by the awarding body at the end of the moderation period, the centre will log the return to the centre and return to subject staff as records owner.
- b. Returned work is 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 JCQ GR, section 3.15.
  - 1) “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”

- c. At the end of the retention period records will be disposed of via the confidential waste disposal system.

## 9. Certificates

- a. For candidate certificates issued by awarding bodies, the centre will keep retention records in accordance with the requirements of JCQ GR, section 5.14
  - 1) “retain all unclaimed certificates under secure conditions for a minimum of 12 months”
- b. A record of unclaimed certificates that have been destroyed will be retained in accordance with the requirements of JCQ GR, section 5.14
  - 1) “ 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”
- c. A record of certificates that have been issued will be retained in accordance with the requirements of JCQ GR, section 5.14
  - 1) “obtain and maintain accurate candidate contact information to ensure the correct and secure dispatch of certificates - ...distribute certificates to all candidates without delay and regardless of any disputes (such as non-payment of fees).
- d. Certificates must not be withheld without prior permission from an awarding body which will only be given in very exceptional circumstances.
- e. At the end of the retention period records will be disposed of via the confidential waste disposal system.

## 10. Confidential materials: initial point of delivery logs, receipt, secure movement and secure storage logs

- a. Logs recording awarding body confidential exam materials received by an authorised member of staff at the initial point of delivery will be held in the centre 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).
- b. 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. (Including for example, the handling of confidential MFL Listening materials) will be held 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).
- c. At the end of the retention period records will be disposed of via the confidential waste disposal system.

## 11. Conflicts of interest records

- a. For records demonstrating the management of conflicts of interest, the centre will retain 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).
- b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

## 12. Dispatch logs

- a. Proof of dispatch of exam script packages to awarding body examiners covered by the DfE yellow label service, will be 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).
- b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

## 13. Entry information

- a. Candidate entries 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).
- b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

## 14. Exam question papers

- a. Question papers for timetabled written exam records will be are retained in accordance with the requirements of JCQ ICE 31 (Releasing question papers) and JCQ GR, 6.13
  - 1) "For confidentiality purposes question papers must not be released to centre personnel for use in accordance with paragraph 6.12 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."
- b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

## 15. Exam room checklists

- a. Where specific retention information is not provided by JCQ or other authorised organisation, checklists confirming exam room conditions and invigilation arrangements for each exam session 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).

- b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

## 16. Exam room incident logs

- a. Where specific retention information is not provided by JCQ or other authorised organisation, Logs recording any incidents or irregularities in exam rooms for each exam session 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).
- b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

## 17. Exam stationery

- a. Awarding body exam stationery provided solely for the purpose of external exams is retained in accordance with the requirements of JCQ ICE, section 30
  - 1) “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.”
- b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

## 18. Examiner reports

- a. Where/if provided by awarding body, hard copy of examiner or assessor reports are immediately provided to head of department as records owner
- b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

## 19. Finance information

- a. Records relating to exam-related fees are to be returned to Finance department as records owner at the end of the academic year
- b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

## 20. Handling secure electronic materials logs

- a. 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) are 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).
- b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

## 21. Invigilation arrangements

- a. Checklists confirming exam room conditions and invigilation arrangements for each exam session are 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).
- b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

## 22. Invigilator and facilitator training records

- a. Training records and meeting minutes from training sessions are retained in accordance with the requirements of JCQ ICE, section 12
  - 1) "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. "
- b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

## 23. Overnight supervision information

- a. 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.
- b. Records retained in accordance with the requirements of JCQ ICE, section 8
  - 1) "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. "
  - 2) "Forms may be stored electronically or in hard copy paper format and must not be sent to an awarding body, unless specifically requested"
- c. At the end of the retention period records will be disposed of via the confidential waste disposal system.

## 24. Moderator reports

- a. Hard copy reports on moderation decisions, (where printed from electronic copy) are immediately provided to head of department as records owner.
- b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

## 25. Moderation return logs

- a. Logs recording the return of candidates' work to the centre by the awarding body at the end of the moderation period are 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).
- b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

## 26. Post-results services: confirmation of candidate consent information

- a. In accordance with the requirements of JCQ PRS, section 4 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.
- b. Forms 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.
- c. At the end of the retention period records will be disposed of via the confidential waste disposal system.

## 27. Post-results services: request/outcome information

- a. Post-results service request (RoRs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body 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).
- b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

## 28. Post-results services: tracking logs

- a. Log tracking resolution of all post-results service requests submitted to awarding bodies 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).
- b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

## 29. Proof of postage - candidates' work

- a. Records (proof of postage/dispatch of candidates' scripts to awarding body examiners/markers) are retained in accordance with the requirements of JCQ ICE, section 29

1) "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. "

b. 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

b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

### 30. Resilience arrangements: Evidence of candidate performance

a. Ofqual provides the following information:

- 1) Retention of the work - Student work, either the original or a copy, must always be retained by the centre.
- 2) Student work can be retained digitally or physically.
- 3) Students may be given copies, or the original work, where this would support their study.

b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

### 31. Resolving timetable clashes

a. Candidate's clash of timetabled exam papers information 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).

b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

### 32. Results information

a. Broadsheets of public examination results summarizing candidate final grades by subject by exam series should be kept for the current year plus previous 6 years as a minimum.

b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

### 33. Seating Plans

a. Plans showing the seating arrangements of all candidates for every exam taken are retained in accordance with the requirements of ICE, section 12

- 1) "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."



- b. The centre must keep seating arrangements information until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later
- c. At the end of the retention period records will be disposed of via the confidential waste disposal system.

#### **34. Second pair of eyes check forms**

- a. 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 are 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).
- b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

#### **35. Special consideration information**

- a. 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 is retained in accordance with the requirements of JCQ SC, section 6 (All applications must be supported by appropriate evidence signed by a member of the senior leadership team... The centre must retain this evidence until after the publication of results... A centre may be asked by an awarding body to provide signed evidence.)
- b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

#### **36. Suspected malpractice reports/outcomes**

- a. Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that hard copy information relating to a suspected or actual malpractice investigation/report submitted to an awarding body and outcome information from the awarding body 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).
- b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

#### **37. Transferred candidate arrangements**

- a. Any hard copy information relating to a transferred candidate arrangement or hard copy relating to applications submitted online via CAP 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).
- b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

## **38. Very late arrival reports/outcomes**

- a. Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that hard copy information relating to a candidate arriving very late to an exam and hard copy relating to reports submitted online via CAP, 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).
- b. At the end of the retention period records will be disposed of via the confidential waste disposal system.

## **39. Any other records/documentation/materials**

- a. Any other records/documents/materials, 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).
- b. At the end of the retention period records will be disposed of via the confidential waste disposal system.