



Exams Archiving Policy

Oldbury Academy

Exams Archiving Policy

Centre Name	Oldbury Academy
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Date policy first created	11/12/2023
Current policy approved by	Deputy Head Teacher (Outcomes)/ S Cresswell
Current policy reviewed by	Data & IT Manager/ D Long
Date of next review	11/10/2024

Key staff involved in the policy

Role	Name
Head of Centre	Head Teacher
Senior leader(s)	Data and IT Manager - D. Long
Exams officer	A Foster
ALS lead/SENCo	L Hancox
IT manager	
Finance manager	
Head(s) of department	
Other staff (if applicable)	

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 Oldbury Academy, this is indicated.

1. Access arrangements information

Record(s) description

Any hard or electronic copy of information, shared by the SENCo with the EO, relating to a candidate with an access arrangement.

Retention information/period

To be retained by the EO for the duration of the candidates final exam series and appeal period.

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

Confidential waste/shredding. Deletion of electronic record by the EO

2. Alternative site arrangements

Record(s) description

Any electronic or hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.

Retention information/period

To be retained by the EO for the duration of the candidates final exam series and appeal period.

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

Confidential waste (hard copies).

3. Attendance register copies

Record(s) description

Copies of signed registers, seating plans and invigilation arrangements for each exam.

Retention information/period

Ref: ICE 12.6(e) - keep signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination. ... 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

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

Confidential waste/shredding

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 waste/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.

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

Confidential waste/shredding

6. Candidates' work**Record(s) description**

Non-examination assessment work returning to the centre by the awarding body at the end of the moderation period.

Retention information/period

Records logged on return to the Centre and immediately returned to subject staff as records owner. Work to be stored safely and securely 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 has passed or until a review of moderation, an appeal or a malpractice investigation has been completed, whichever is the later. This includes materials stored electronically...)

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

Work will be returned to candidates or safely disposed of.

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

Unclaimed certificates will be retained, in accordance with the requirements of GR, section 5.14 (... retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue.) plus a further 9 academic years.

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

Confidential destruction

9. Certificate destruction information**Record(s) description**

A paper record of all candidates for the academic year in question will be retained with the unclaimed

certificates. This will be marked to indicate those certificates that have been collected and therefore the remainder will need to be destroyed after the relevant period of time. This information will also be recorded electronically allowing a record of certificates destroyed to be produced on the destruction date.

Retention information/period

The record of certificates that have been destroyed will be retained for a period of four years from their date of destruction.

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 will be retained. Certificates will only be released upon personal collection from the Centre or with a written note from the candidate, giving permission for a.n.other to collect on their behalf. ID must be presented by the person collecting if they are not the candidate.

Retention information/period

Records relating to the release of certificates will be held for a minimum period of 10 years from the year of issue.

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

Confidential waste/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 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 waste/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

Logs recording the secure movement of of awarding body confidential exam materials 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 exams series.

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

Confidential waste/shredding

13. Conflicts of interest records

Record(s) description

Records demonstrating the management of conflicts of interest

Retention information/period

Records related to the management of conflicts of interest 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 exams series.

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

Confidential waste/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 .

Retention information/period

Exams-related information that is held in the Centre 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 exams series.

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

Confidential waste/shredding

15. Entry information**Record(s) description**

Hard copy information relating to candidates' entries

Retention information/period

Exams-related information relating to candidates' entries 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 exams series.

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

Confidential waste/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 license 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 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 exams series.

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

Confidential waste/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 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 exams series.

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

Confidential waste/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 must not be used for internal school tests, mock examinations and non-examination assessments... destroy confidentially any out-of-date stationery.).

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

Confidential waste/shredding

20. Examiner reports

Record(s) description

Examiners reports where received for appropriate subjects.

Retention information/period

Where/if provided by an awarding body the records will be immediately provided to the head of faculty or subject leader as records owner.

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

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 exams series.

21. Finance information

Record(s) description

Copy invoices for exams-related fees.

Retention information/period

Finance Department records are retained, by Finance, in line with financial regulations. Exam Officer copies are retained for a period of one year.

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

Confidential waste/shredding.

22. Handling secure electronic materials logs

Record(s) description

Where/if 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

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)

Securely destroyed.

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)

Confidential waste/shredding

24. Invigilator and facilitator training records

Record(s) description

Copies of the training content for invigilators and those facilitating access arrangements, plus the completed attendance register.

Retention information/period

Records retained in accordance with the requirements of ICE, section 12 (A record of the content of the training given to invigilators and those facilitating an access arrangement for a candidate under examination conditions must be available for inspection and retained on file until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

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

Confidential waste/shredding

25. Moderator reports

Record(s) description

Reports from Moderators

Retention information/period

Where printed from electronic copy - records immediately provided to head of department as records owner.

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

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).

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)

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

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

Confidential waste/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 must be retained by the Centre and kept for at least six months following the outcome of the clerical re-check or review of marking or any subsequent appeal. The awarding bodies reserve the right to inspect such documentation. This form should be retained on the Centre's files for at least six months following the outcome of the clerical re-check, review of marking or any subsequent appeal. This

form should be retained on the Centre's files for at least six months.).

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

Confidential waste/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)

Confidential waste/shredding

30. Post-results services: tracking logs

Record(s) description

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

Retention information/period

Records are 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 exams series).

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

Hard copies are confidentially wasted/shredded. Electronic records held by the Centre are deleted.

31. Private candidate information

Record(s) description

Information/requests relating to private candidates entries for exams.

Retention information/period

Records are 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 exams series).

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

Hard copies of electronic are confidentially wasted/shredded (hard copies) or deleted one year after notifying a private candidate that their certificate(s) are available for collection.

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) retained in accordance with the requirements of ICE, section 29 (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.)...).

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

Confidential waste/shredded after 1 year

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

Records are 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 exams series).

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

Confidentially wasted/shredded

34. Results information

Record(s) description

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)

Confidentially wasted/shredded or , if electronic - deleted.

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 (...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.).

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

Confidentially wasted/shredded

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

Records are 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 exams series).

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

Confidentially wasted/shredded

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 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.)

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

Confidentially wasted/shredded.

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

Information that is held in the Centre will be retained, as a minimum 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). It may be retained for longer depending on the instigator of the alleged malpractice and the conclusion/resolution of any internal procedures that may be considered necessary.

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

Confidentially wasted/shredded.

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

Records are 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 exams series).

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

Confidentially wasted/shredded.

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

Records are 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 exams series).

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

Confidentially wasted/shredded.

41a. Any other records/documentation/materials

Record(s) description

Retention information/period

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

41b. Any other records/documentation/materials

Record(s) description

Retention information/period

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

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

Upon review in December 2023, the only Centre-specific change was the increase to 9 years for the retention of exam certificates (section 8).