



# **Policy 23-24 Exams Archiving Policy**

The Piggott School

## Policy 23-24 Exams Archiving Policy

Centre Name	The Piggott School
Centre Number	51609
Date policy first created	13/10/2023
Current policy approved by	Full Governing Body
Current policy reviewed by	Mr A MacLeod
Date of next review	30/09/2025

### Key staff involved in the policy

Role	Name
Head of Centre	Mr A MacLeod
Senior leader(s)	Mrs R Alexander; Mr A MacLeod; Mr D Bibby; Mr D Thatcher; Mrs K Thornton; Mrs M Bird; Mrs V Hunt
Exams officer	Mrs V Middleton
ALS lead/SENCo	Mrs V Hunt
IT manager	Mr J Fisher
Finance manager	Mrs P Bhardwaj
Head(s) of department	Available on request
Other staff (if applicable)	Available on request

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 The Piggott School, this is indicated.

## **1. Access arrangements information**

### **Record(s) description**

All records held by SENCO.

### **Retention information/period**

All records held by SENCO.

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

Records destroyed using confidential waste shredding/disposal.

## **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 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 exam series.

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

Confidential waste shredding/disposal.

## **3. Attendance register copies**

### **Record(s) description**

All signed seating plans, invigilation arrangements and attendance registers for each examination. To be retained until the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series.

### **Retention information/period**

To be retained until the deadline for EARs or the resolution of any outstanding enquiries/appeals, malpractice or other results enquiry has been completed, whichever is the later, for the relevant exams series.

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

Confidential waste shredding/disposal.

## **4. Awarding body exams administration information**

### **Record(s) description**

Any hard copy publications provided by awarding bodies.

### **Retention information/period**

To be retained until the current academic year update is provided.

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

Confidential waste shredding/disposal.

## **5. Candidates' scripts**

### **Record(s) description**

Non-examination assessment work (inc. controlled assessment/coursework) returned to the centre by the awarding body/bodies at the end of the moderation period.

Any copies of scripts returned to the centre through the Access To Scripts service.

### **Retention information/period**

To be retained securely until the relevant awarding body/bodies earliest date for confidential disposal of candidates work/unwanted scripts.

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

Confidential waste shredding/disposal.

## **6. Candidates' work**

### **Record(s) description**

As above

### **Retention information/period**

Records 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 malpractice investigation has been completed, whichever is later.

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

Confidential waste shredding/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**

Candidates certificates issued by awarding bodies.

### **Retention information/period**

Unclaimed/uncollected certificates to be retained securely for a minimum of 12 months from date of issue.

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

Confidential waste/shredding disposal

## **9. Certificate destruction information**

### **Record(s) description**

A record of unclaimed certificates that have been destroyed.

**Retention information/period**

As above.

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

Confidential waste/shredding disposal.

**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 (... 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 is kept of the certificates that have been issued.

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

Confidential waste/shredding disposal.

**11. Confidential materials: initial point of delivery logs****Record(s) description**

Logs recording awarding body confidential exam materials received by an authorised member of staff at the initial point of delivery and the secure movement of packages by an authorised member of staff to the secure room for transferal to the centre's secure storage facility.

**Retention information/period**

Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series.

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

Confidential waste/shredding disposal.

**12. Confidential materials: receipt, secure movement and secure storage logs****Record(s) description**

Logs recording awarding body confidential exam materials received by an authorised member of staff at the initial point of delivery and the secure movement of packages by an authorised member of staff to the secure room for transferal to the centre's secure storage facility.

**Retention information/period**

Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series.

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

Confidential waste/shredding disposal.

**13. Conflicts of interest records**

**Record(s) description**

Records demonstrating the management of Conflicts of Interest.

**Retention information/period**

Records retained in accordance with the requirements of GR, section 5.3 (...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 at the very least the deadline for reviews of results or other results enquires or the resolution of any outstanding reviews/appeals or malpractice investigations has passed for the exam series.

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

Confidential waste/shredding disposal.

**14. Dispatch logs****Record(s) description**

Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service.

**Retention information/period**

Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series.

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

Confidential waste/shredding disposal.

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

Any hard copy information relating to candidates' entries.

**Retention information/period**

Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series.

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

Confidential waste/shredding disposal.

**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)**

Confidential waste/shredding disposal.

**17. Exam room checklists****Record(s) description**

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

**Retention information/period**

Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series).

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

Confidential waste/shredding disposal.

**18. Exam room incident logs****Record(s) description**

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

**Retention information/period**

Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series).

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

Confidential waste/shredding disposal.

**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 disposal.

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

Examiner reports for the exam series.

**Retention information/period**

(Where/if provided by awarding body) Records immediately provided to head of department as records owner.

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



Confidential waste/shredding disposal.

## **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)**

Finance will manage retention period.

## **22. Handling secure electronic materials logs**

### **Record(s) description**

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

### **Retention information/period**

Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series.

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

Confidential disposal.

## **23. Invigilation arrangements**

### **Record(s) description**

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

### **Retention information/period**

Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series.

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

Confidential waste/shredding disposal.

## **24. Invigilator and facilitator training records**

### **Record(s) description**

Records detailing attendees to scheduled invigilator training events. Electronic records detailing completion of online training.

### **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. 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 disposal.

## **25. Moderator reports**

**Record(s) description**

Awarding body/bodies moderation reports.

**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)**

Confidential waste/shredding disposal.

## **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**

Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series.

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

Confidential waste/shredding disposal.

## **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 disposal.

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

**Record(s) description**

Hard copy or email record of required candidate consent.

**Retention information/period**

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 disposal.

## **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**

Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series).

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

Confidential waste/shredding disposal.

## **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**

Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series).

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

Confidential disposal.

## **31. Private candidate information**

**Record(s) description**

Any hard copy information relating to private candidates' entries.

**Retention information/period**

Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series.

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

Confidential waste/shredding disposal.

## **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/shredding disposal.

### **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**

Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series).

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

Confidential waste/shredding disposal.

### **34. Results information**

**Record(s) description**

Broadsheets of 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)**

Confidential waste/shredding disposal.

### **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)**

Confidential waste/shredding disposal.

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

### **Record(s) description**

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

### **Retention information/period**

Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series).

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

Confidential waste/shredding disposal.

## **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)**

Confidential waste/shredding disposal.

## **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**

Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series.

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

Confidential waste/shredding disposal.

## **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**

Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding

reviews/appeals or malpractice investigations) for the relevant exams series.

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

Confidential waste/shredding disposal.

## **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**

Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series.

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

Confidential waste/shredding disposal.

## **41a. Any other records/documentation/materials**

**Record(s) description**

Not applicable

**Retention information/period**

Not applicable

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

Not applicable

## **41b. Any other records/documentation/materials**

**Record(s) description**

Not applicable

**Retention information/period**

Not applicable

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

Not applicable

## **Changes 2023/2024**

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

## **Centre-specific changes**

Upon review in September 2023, no centre-specific updates or changes were applicable to this document.)