



Exams Archiving Policy 2023-24

David Nieper Academy

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Centre Name	David Nieper Academy
Centre Number	23202
Date policy first created	18/09/2023
Current policy approved by	Mr White
Current policy reviewed by	Mrs Hyde-Moxon
Date of next review	30/09/2024

Key staff involved in the policy

Role	Name
Head of Centre	Mr White
Senior leader(s)	Mr Brankin, Mr Endacott, Mrs Merchant, Mr Ruddy, Mr Wadsworth, Mrs Bennett
Exams officer	Mrs Hyde-Moxon
ALS lead/SENCo	Mrs Merchant
IT manager	Mr Bearton
Quality assurance lead/Lead internal verifier	Mr Wadsworth
Finance manager	Mrs Bennett
Head(s) of department	Mr Covell, Mrs Clarke, Mrs Frost-Briggs, Mr Hardy, Miss Brown, Mrs Thorpe
Other staff (if applicable)	Miss Borg, Mr Hutchinson

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 David Nieper Academy, this is indicated.

1. Access arrangements information

Record(s) description

Any hard copy information relating to an access arrangement candidate is kept by the Access Arrangements Coordinator

Retention information/period

To be returned to ALS lead/SENCo as records owner at end of the candidate's final exam series

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

Confidential waste/shredding.

2. Alternative site arrangements

Record(s) description

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

Retention information/period

Where specific retention information is not provided by JCQ or other authorised organisation, exams-related information held in the centre is retained until after the deadline for reviews of results or other results enquiries (or resolution of any outstanding reviews/appeals or malpractice investigations) for the final exams series.

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

Confidential waste/shredding.

3. Attendance register copies

Record(s) description

Copies of attendance registers

Retention information/period

Records are kept in accordance with the requirements of ICE sections 12, 22... '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...' for the final exam series.

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

Confidential waste/shredding.

4. Awarding body exams administration information

Record(s) description

Hard copy publications provided by awarding organisations

Retention information/period

Records 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 in accordance with the requirements of GR, section 3.15 (... 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...).

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

Confidential waste/shredding.

6. Candidates' work

Record(s) description

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

Retention information/period

Records 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) 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 of moderation has passed or until a review of moderation, an appeal or a malpractice investigation has been completed, whichever is later. This includes materials stored electronically...).

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

Returned to candidates or confidential waste/shredding.

7. Centre consortium arrangements for centre assessed work

Record(s) description

Not applicable

Retention information/period

Not applicable

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

Not applicable

8. Certificates

Record(s) description

Candidate certificates issued by awarding bodies

Retention information/period

Records retained on 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...!'

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

Confidential waste/shredding.

9. Certificate destruction information

Record(s) description

A record of unclaimed certificates that have been destroyed.

Retention information/period

Records retained in accordance with the requirements of GR, section 5.14 (... 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... (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... return any certificates requested by the awarding bodies. Certificates always remain the property of the awarding bodies.)

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

Confidential waste/shredding.

10. Certificate issue information

Record(s) description

A record of certificates that have been issued.

Retention information/period

Records retained in accordance with the requirements of GR, section 5.14... '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...'

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

Where specific retention information is not provided by JCQ or other authorised organisation, 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 final exam 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

Where specific retention information is not provided by JCQ or other authorised organisation, 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 final exam 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

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.

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, 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 final exam series.

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

Confidential waste/shredding.

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, 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 final exam 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 GR, section 6.13... 'For confidentiality purposes question papers must not be released to centre personnel for use in accordance with the above licence until after the awarding body's published finishing time for the examination or, in the case of a timetable variation, until all candidates within the centre have completed the examination. This does not restrict access to question papers by authorised centre personnel for the purpose of conducting examinations...

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

Issued to Heads of Faculties.

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, 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 final exam 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

Copies of logs passed to relevant member of SLT for action, thereby the records owner. Where specific retention information is not provided by JCQ or other authorised organisation, 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 final exam 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

Examiner reports.

Retention information/period

To be immediately provided to Heads of Faculty as records owner.

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

Confidential disposal by Heads of Faculty as records owner.

21. Finance information

Record(s) description

Copy invoices for exams-related fees.

Retention information/period

To be returned to Finance department as records owner at the end of the academic year.

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

Confidential disposal by Finance department as records owner.

22. Handling secure electronic materials logs

Record(s) description

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

Retention information/period

Where specific retention information is not provided by JCQ or other authorised organisation, 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 final exam series.

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

Confidential waste/shredding.

23. Invigilation arrangements

Record(s) description

Copies of invigilation records.

Retention information/period

Where specific retention information is not provided by JCQ or other authorised organisation, 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 final exam series.

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

Confidential waste/shredding.

24. Invigilator and facilitator training records

Record(s) description

Training records, agendas, copies of online training certificates.

Retention information/period

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...' for the final exam series. Copies of online training certificates given to Invigilators as records owner.

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

Confidential waste/shredding.

25. Moderator reports

Record(s) description

Moderator reports.

Retention information/period

To be immediately provided to Head of Faculty as records owner.

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

Confidential disposal by Finance department as records owner.

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, 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 final exam 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, and 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 appendices A and B...'Consent forms or e-mails 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...'

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

Where specific retention information is not provided by JCQ or other authorised organisation, 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 final exam series.

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

Confidential waste/shredding.

30. Post-results services: tracking logs**Record(s) description**

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

Retention information/period

Logs stored electronically with access restricted to exams office staff. Records stored for 6 years as a minimum.

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

Secure electronic deletion.

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, 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 final exam series.

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

Confidential waste/shredding.

32. Proof of postage - candidates' work

Record(s) description

Proof of postage/despatch of candidates' scripts to awarding body examiners/markers. Proof of postage/despatch of sample of candidates' work submitted to awarding body moderators.

Retention information/period

Records 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.

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, 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 final exam series.

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

Confidential waste/shredding.

34. Results information**Record(s) description**

Broadsheets of public examination results summarising candidate final grades by subject by exam series, individual candidate results statements, subject and component reports.

Retention information/period

Records for current year plus previous 6 years to be retained as a minimum.

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

Confidential waste/shredding.

35. Seating plans**Record(s) description**

Plans showing the seating arrangements of all candidates for every exam taken.

Retention information/period

Records retained in accordance with the requirements of ICE, section 12... '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...' for the final exam series.

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

Confidential waste/shredding.

36. Second pair of eyes check forms

Record(s) description

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

Retention information/period

Where specific retention information is not provided by JCQ or other authorised organisation, 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 final exam series.

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

Confidential waste/shredding.

37. Special consideration information

Record(s) description

Any hard copy information relating to a special consideration application which has been submitted to an awarding body for a candidate. Signed evidence produced by a senior leader in support of the application.

Retention information/period

Records retained in accordance with the requirements of SC, section 6... '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...'

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

Confidential waste/shredding.

38. Suspected malpractice reports/outcomes

Record(s) description

Any hard copy information relating to a suspected or actual malpractice investigation/report submitted to an awarding body and outcome information from the awarding body.

Retention information/period

Where specific retention information is not provided by JCQ or other authorised organisation, 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 final exam series. Some (hard copy) documentation may be kept for a minimum of 12 months.

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

Confidential waste/shredding.

39. Transferred candidate arrangements

Record(s) description

Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP.

Retention information/period

Where specific retention information is not provided by JCQ or other authorised organisation, 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 final

exam series.

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

Confidential waste/shredding.

40. Very late arrival reports/outcomes

Record(s) description

Any hard copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP.

Retention information/period

Where specific retention information is not provided by JCQ or other authorised organisation, 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 final exam series.

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

Confidential waste/shredding.

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

Not applicable.