



Exams Archiving Policy

Policy/Procedure creator: Jane Moore

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Centre Name	Lutterworth High School
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Current policy approved by	The Governing Body
Date of next review	September 2022
Current policy reviewed by	Jane Moore - Exams Officer Natalie Tebbatt - SLT Link (Exams)

Key staff involved in the policy

Role	Name
Exams officer	Jane Moore
Senior leader(s)	Natalie Tebbatt - SLT Link (Exams), Amy Hunter, Richard Salter, Aaron Mehta, Caroline Creed
Head of centre	Julian Kirby
IT manager	Sam Hill - e-services
ALS lead/SENCo	Georgia Lewis
Finance manager	Suzanne Howells
Head(s) of department	Ben Bowden - English Richard Salter - Maths Mags Keatman - Science Luke Allen - Humanities Marc Howgate - PE/Sport Mehul Patel - Creative iMedia/IT/Computer Science/Business/Enterprise and Marketing Kay Cowling - Dance/Drama/Music Jackie Weir - MFL
Other staff (if applicable)	Sue Davies - SEND Exam Coordinator

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

1. Access arrangements information

Record(s) description

- A hard copy file is kept for all candidates with access arrangements by the SEND Exam Coordinator/SENDCo.

Retention information/period

Year 10 and 11 records are retained in SENDCo office as owners. They are retained within the school archiving facility until the candidate is 25.

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

Access arrangement files are copied and sent to the post 16 facility once the candidate is confirmed to have starting a post 16 course.

2. Alternative site arrangements

Record(s) description

Please refer to Exam Policy

Retention information/period

As good practice exams-related information is held in the centre and 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)

At the end of the retention period exam related materials are confidentially disposed and shredded

3. Attendance register copies

Record(s) description

As good practice exams-related information is held in the centre and 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.

Retention information/period

Records are kept in accordance with the requirements of ICE, sections 12, 22 signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination are retained. 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)

At the end of the retention period exam related materials are confidentially disposed and shredded

4. Awarding body administrative information

Record(s) description

Any hard copy publications provided by awarding bodies.

Retention information/period

As good practice exams-related information is held in the centre and 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)

At the end of the retention period exam related materials are confidentially disposed and shredded

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)

At the end of the retention period exam related materials are confidentially disposed and shredded

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)

At the end of the retention period exam related materials are confidentially disposed and shredded

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 in accordance with the requirements of GR, section 5.14, all unclaimed certificates are stored under secure conditions for a minimum of 12 months from the date of issue.

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

At the end of the retention period exam related materials are confidentially disposed and shredded

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)

At the end of the retention period exam related materials are confidentially disposed and shredded

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 Lutterworth High School will 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 id kept of the certificates that are issued.

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

At the end of the retention period exam related materials are confidentially disposed and shredded

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, 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)

At the end of the retention period exam related materials are confidentially disposed and shredded

[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, 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)

At the end of the retention period exam related materials are confidentially disposed and shredded

[13. Conflicts of interest records](#)

Record(s) description

Conflicts of Interest Log

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 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)

At the end of the retention period exam related materials are confidentially disposed and shredded

[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)

At the end of the retention period exam related materials are confidentially disposed and shredded

[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)

At the end of the retention period exam related materials are confidentially disposed and shredded

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)

At the end of the retention period excess papers are issued to curriculum leaders.

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 is held in the centre and 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)

At the end of the retention period exam related materials are confidentially disposed and shredded

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, all 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)

At the end of the retention period exam related materials are confidentially disposed and shredded

19. Exam stationery

Record(s) description

Awarding body exam stationery provided solely for the purpose of external exams.

Retention information/period

Unused stationery is returned 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.

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

Any out-of-date stationery is destroyed confidentially

[20. Examiner reports](#)**Record(s) description**

Examiner reports from the awarding bodies

Retention information/period

Examiner reports are immediately provided to head of department

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

Not applicable

[21. Finance information](#)**Record(s) description**

Copy invoices for exams-related fees.

Retention information/period

Records returned to Finance department as records owner

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

Not applicable

[22. 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)

At the end of the retention period exam related materials are confidentially disposed and shredded

[23. Invigilator and facilitator training records](#)**Record(s) description**

Not Applicable

Retention information/period

Records are 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)

At the end of the retention period exam related materials are confidentially disposed and shredded

[24. Moderator reports](#)

Record(s) description

Moderator Reports from awarding bodies

Retention information/period

Records immediately provided to head of department as records owner.

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

Not applicable

[25. 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)

At the end of the retention period exam related materials are confidentially disposed and shredded

[26. Overnight supervision information](#)

Record(s) description

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

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)

At the end of the retention period exam related materials are confidentially disposed and shredded

[27. Post-results services: confirmation of candidate consent information](#)

Record(s) description

Hard copy 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 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. 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)

At the end of the retention period exam related materials are confidentially disposed and shredded

[28. 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)

At the end of the retention period exam related materials are confidentially disposed and shredded

[29. Post-results services: tracking logs](#)

Record(s) description

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

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)

At the end of the retention period exam related materials are confidentially disposed and shredded

[30. Private candidate information](#)

Record(s) description

Not applicable

Retention information/period

Not applicable

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

Not applicable

[31. 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 of proof of postage/dispatch of candidates' scripts to awarding body examiners/markers are retained in accordance with the requirements of ICE, section 29.

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)

At the end of the retention period exam related materials are confidentially disposed and shredded

[32. 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

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)

At the end of the retention period exam related materials are confidentially disposed and shredded

[33. Results information](#)

Record(s) description

Broadsheets of public examination results summarising candidate final grades by subject by exam series.

Retention information/period

Records are kept in the exams office secure storage and secure exams filing path for a minimum of 7 years.

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

Not applicable

[34. Seating plans](#)

Record(s) description

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

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)

At the end of the retention period exam related materials are confidentially disposed and shredded

[35. 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 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)

At the end of the retention period exam related materials are confidentially disposed and shredded

36. 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

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)

At the end of the retention period exam related materials are confidentially disposed and shredded

37. Transferred candidate arrangements

Record(s) description

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

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)

At the end of the retention period exam related materials are confidentially disposed and shredded

38. 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

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)

At the end of the retention period exam related materials are confidentially disposed and shredded

39. 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

40. 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