

# **Exams Archiving Policy**

Summerhill School

## Exams Archiving Policy

|                            |                   |
|----------------------------|-------------------|
| Centre Name                | Summerhill School |
| Centre Number              | 20546             |
| Date policy first created  | 10/10/2023        |
| Current policy approved by | Tim Harris        |
| Current policy reviewed by | SLT               |
| Date of next review        | 07/10/2024        |

## Key staff involved in the policy

| Role                        | Name                                |
|-----------------------------|-------------------------------------|
| Head of Centre              | Tim Harris                          |
| Senior leader(s)            | Mike Rowley (Assistant Headteacher) |
| Exams officer               | Cathy Dovey                         |
| ALS lead/SENCo              | Sarah Sprouting                     |
| IT manager                  | Harmesh Daphu                       |
| Finance manager             | Vicki Poole                         |
| Head(s) of department       |                                     |
| Other staff (if applicable) | Helena Patel (Data Manager)         |

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 Summerhill School, this is indicated.

## **1. Access arrangements information**

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

SENCo email a list of access arrangement candidates and their individual needs to the Exams officer and Data Manager.

### **Retention information/period**

All records exchanged are electronic via email and are retained for at 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) has passed. SENCo often retain the information for a longer period to support any information requests from FE providers.

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

Delete emails and other electronic files.

## **2. Alternative site arrangements**

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

Not applicable.

### **Retention information/period**

Exams related information is retained as a minimum until after the deadline for reviews of results or other results enquires (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exam series has passed.

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

Once the the deadline for reviews of results or other results enquires, delete electronic records including files and emails. Any hard copies go into confidential waste/shredding.

## **3. Attendance register copies**

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

Attendance registers are retained as a minimum until after the deadline for reviews of results or other results enquires (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exam series has passed.

### **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...)

### **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**

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 disposal.

**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. Anything uncollected after 12 months goes to safe 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**

Candidate certificates issued by awarding bodies.

**Retention information/period**

Records 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...)

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

Confidential destruction.

## **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 destruction.

## **10. Certificate issue information**

**Record(s) description**

A record of certificates that have been issued is retained. This includes the student's name and signature to confirm collection (or Parent/Guardian signature if they collected).

**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 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 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 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 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 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 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 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)**

Issued to subject staff after the completed exam papers have been bagged up in the exam board parcels/envelopes.

## **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 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 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 disposal.

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

Not applicable.

**Retention information/period**

xxxx

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

xxxx

**21. Finance information****Record(s) description**

Copy invoices for exams-related fees - information retained by Finance department, not the Exams department.

**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)**

N/A

**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**

Information 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 shredding.

**23. Invigilation arrangements****Record(s) description**

Not applicable.

**Retention information/period**

Not applicable.

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

Not applicable.

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

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

Exams team keep electronic and hard copy record of the annual invigilator training session. This includes a signed attendance sheet to confirm which invigilators were in attendance, a copy of the PowerPoint slides covered, any additional notes and JCQ guidance.

### **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 disposal.

## **25. Moderator reports**

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

Moderator 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)**

Not applicable.

## **26. Moderation return logs**

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

Not applicable.

### **Retention information/period**

Not applicable.

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

Not applicable.

## **27. Overnight supervision information**

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

Not applicable.

### **Retention information/period**

Not applicable.

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

Not applicable.

## **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 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)**

Confidential 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 disposal.

## **30. Post-results services: tracking logs**

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

Not applicable.

### **Retention information/period**

Not applicable.

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

Not applicable.

## **31. 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.

## **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 disposal.

**33. Resolving timetable clashes****Record(s) description**

Not applicable.

**Retention information/period**

Not applicable.

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

Not applicable.

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

Broadsheets of 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)**

Confidential shredding of any paper records.

**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 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**

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 shredding.

**37. Special consideration information****Record(s) description**

Special consideration information all electronic.

**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)**

Deletion of email and/or electronic files.

**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 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 shredding or deletion of any electronic records.

**39. Transferred candidate arrangements****Record(s) description**

Not applicable.

**Retention information/period**

Not applicable.

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

Not applicable.

**40. Very late arrival reports/outcomes****Record(s) description**

Not applicable.

**Retention information/period**

Not applicable.

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

Not applicable.

**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 October 2023, no centre-specific updates or changes were applicable to this document.