

Policy/Procedure creator: Cathy Graham

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Current policy reviewed by	Cathy Graham

#### Key staff involved in the policy

Role	Name
Exams officer	Cathy Graham
Senior leader(s)	Rowan Johnson (VP) Dave Robinson (AP) Alice Thornton (AP) Tania Exley - Moore (AP)
Head of centre	Phil Rumsey
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Other staff (if applicable)	Neal Mills Kieren Moore

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

### 1. Access arrangements information

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

Any hard copy information kept by the Learning Support Manager or Exams Manager relating to an access arrangement candidate.

#### **Retention information/period**

To be stored in the exam office for a period of 2 years as specified in the data consent form

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

Confidential 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**

Retained until final results for the series has been published.

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

Confidential Waste

### 3. Attendance register copies

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

Seating plans

Exam registers

Exam room incident log

Exam cover sheet

#### **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...)

Until all final results for the exam series are published, and all appeals are exhausted.

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

Confidential Waste

#### 4. Awarding body administrative 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

#### 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 (until all final results for the exam series is published, and all appeals exhausted).

Where teachers have used copies of candidates' scripts for teaching and learning purposes but no longer wish to retain them, they must ensure that the scripts are disposed of in a confidential manner.

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

confidential waste

#### 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**

- To be logged on return to the centre and kept securely until final results are available. The work is then 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 (for the exam series).

- [ Reference GR 3]

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

Returned to candidates or confidential disposal

7. Centre consortium arrangements for centre assessed work

**Record(s) description**

N/A

**Retention information/period**

N/A

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

N/A

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)**

return to awarding body or confidential waste.

A log of these certificates is kept for 4 years.

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 remain the property of the awarding bodies at all times.).

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

Logs confidentially disposed of after 4 years.

#### 10. Certificate issue information

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

A record of certificates that have been issued.

##### **Retention information/period**

Log to be kept for 4 years.

GR 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)**

After 4 years, confidential disposal

#### 11. Confidential materials: initial point of delivery logs

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

Logs recording awarding body confidential exam materials received at the initial point of delivery in the centre to the point where materials are securely issued to an authorised member of staff.

##### **Retention information/period**

Until all final results for the exam series are published, and all appeals are exhausted.

##### **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 the receipt, checking, secure movement and secure storage of confidential exam materials.

##### **Retention information/period**

Logs recording the receipt, checking, secure movement and secure storage of confidential exam materials.

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

Confidential waste

#### 13. Conflict 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 waste

**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**

Until all final results for the exam series are published, and all appeals/reviews and malpractice investigations are exhausted.

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

Confidential Waste

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

Any hard copy information relating to candidates' entries.

**Retention information/period**

Exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series).

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

Confidential waste

**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 6.12 (...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

## 17. Exam room checklists

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

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

### **Retention information/period**

Exams-related information 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

## 18. Exam room incident logs

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

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

### **Retention information/period**

Exams-related information 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).

Malpractice paperwork retained for 6 months after outcome.

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

confidential waste

## 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

## 20. Examiner reports

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

Feedback from examiners and other associated examiner reports.

### **Retention information/period**

Records immediately provided to head of department as records owner

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

N/A

21. Finance information

**Record(s) description**

Copy invoices for exams-related fees.

**Retention information/period**

To be checked and returned to Finance department as records owner.

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

N/A

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)**

confidential waste

23. Invigilator and facilitator training records

**Record(s) description**

Records of annual training and initial 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



## 24. Moderator reports

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

Reports and feedback from moderators.

### **Retention information/period**

Records immediately provided to head of department as records owner

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

N/A

## 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)**

confidential waste

## 26. 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

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

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

Hard copy of required candidate consent.

### **Retention information/period**

Records retained in accordance with the requirements of PRS, section 4, appendices A, 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 waste

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)**

confidential waste

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)**

confidential waste

30. Private candidate information

**Record(s) description**

Any hard copy information relating to private candidates' entries.

**Retention information/period**

Exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series).

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

confidential waste

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 (proof of postage/dispatch of candidates' scripts/work to awarding body examiners/markers) retained in accordance with the requirements of ICE, section 29

(Proof of postage will provide evidence that the candidates' scripts have left the centre. This is taken to 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

### 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)**

confidential waste

### 33. 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

### 34. 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

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)**

Confidential waste

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**

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

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**

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

### 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)**

confidential waste

### 39. Any other records/documentation/materials

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

n/a

#### **Retention information/period**

n/a

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

n/a

### 40. Any other records/documentation/materials

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

n/a

#### **Retention information/period**

n/a

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

n/a