



**Stone Lodge School**

# **Stone Lodge Therapeutic School Exams Department Exam Archiving Policy**

Approved by:	Ollie Sharp	Date: 10/12/24
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## **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 Stone Lodge Therapeutic School, this is indicated.

## **1. Access arrangements information**

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

Any hard copy information kept by the exams officer relating to an access arrangement or special consideration candidate.

### **Retention information/period**

Records returned to ALS lead/SENDCo as records owner at end of the candidate's final exam series.

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

Returned to SENDCo to retain/return to candidate or dispose of confidentially

## **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**

All exams-related information 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.

## **3. Attendance register copies**

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

Exam boards attendance register copies  
Centre attendance register copies

### **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**

Records are 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...).

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/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)**

Confidential waste/shredding.

## **7. Centre consortium arrangements for centre assessed work**

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

• Any hard copy information generated or relating to consortium arrangements for centre assessed work. Applications submitted online via CAP.

### **Retention information/period**

All exams-related information 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.

## **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 waste/shredding.

## **9. Certificate destruction information**

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

A record of unclaimed certificates that have been destroyed.

### **Retention information/period**

Certificates are retained in centre for at least five years. After that time they are destroyed 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)**

Confidential waste/shredding.

## **10. Certificate issue information**

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

A record of certificates that have been issued.

Date of issue/tracked postage.

Candidate signature.

### **Retention information/period**

Records are 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...).

Certificate collection records are retained for a minimum of five years.

### **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 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**

All exams-related information 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.

**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**

All exams-related information 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.

**13. Conflicts of interest records**

**Record(s) description**

Records demonstrating the management of Conflicts of Interest.

**Retention information/period**

Records are 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.).

All exams-related information 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**

All exams-related information 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.

## **15. Entry information**

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

Any hard copy information relating to candidates' entries.

### **Retention information/period**

All exams-related information 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.

## **16. Exam question papers**

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

Question papers for timetabled written exams.

### **Retention information/period**

Records are 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...).

Heads of Department are permitted to view exam papers after the parcels have been posted to ensure all timetable variations/clashes have been accommodated.

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

- Issued to subject staff/Heads of Department.

## **17. Exam room checklists**

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

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

### **Retention information/period**

All exams-related information 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.

## **18. Exam room incident logs**

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

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

### **Retention information/period**

All exams-related information 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.

## **19. Exam stationery**

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

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

### **Retention information/period**

Secure stationery is 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.).

Invigilators return all unused stationery to the exams office for secure storage at the end of the examination.

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

Confidential waste/shredding.

## **20. Examiner reports**

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

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)**

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 immediately after checking.

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

Not applicable.

## **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, 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.

## **23. Invigilation arrangements**

**Record(s) description**

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

**Retention information/period**

• All exams-related information 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.

**24. Invigilator and facilitator training records****Record(s) description**

Invigilator training records

**Retention information/period**

Records are retained until after the deadline/outcome for reviews of results/appeals/malpractice. This is 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.)

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

Confidential waste/shredding.

**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**

• Logs recording the return of candidates' work to the centre by the awarding body at the end of the moderation period.

**Retention information/period**

All exams-related information 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.



## **27. Overnight supervision information**

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

The JCQ Overnight Supervision form is completed online using CAP. The JCQ Overnight Supervision Declaration form is downloaded from CAP for signing by the candidate, the supervisor and the head of centre

### **Retention information/period**

Records are retained until after the deadline or outcome for reviews of marking/appeals/malpractice. 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 for a minimum of six months following the outcome of a post-results review. 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 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**

All exams-related information 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.

## **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**

All exams-related information 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.

### **31. Private candidate information**

**Record(s) description**

Any hard copy information relating to private candidates' entries.

**Retention information/period**

All exams-related information 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.

### **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 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.)...).

All exams-related information 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.

### **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**

- All exams-related information 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.

### **34. Results information**

**Record(s) description**

Any hard copy broadsheets of results summarising candidate final grades by subject by exam series received from an awarding body.

**Retention information/period**

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

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

Confidential waste/shredding  
or  
Returned to records owner.

**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.).

All exams-related information 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.

**36. Second pair of eyes check forms****Record(s) description**

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

**Retention information/period**

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

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

Confidential waste/shredding.

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

- Any hard copy information relating to a special consideration application which has been submitted to an awarding body for a candidate and 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.)

All exams-related information 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.

### **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**

All exams-related information 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.

### **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**

All exams-related information 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.

### **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**

All exams-related information 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.

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

**Record(s) description**

Any other exams-related documentation/records/materials.

**Retention information/period**

All exams-related information 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.

**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