



Policy/Procedure creator: Michael Rayner

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Centre Name	Windermere School
Centre Number	• 42355
Date policy first created	01/09/2018
Current policy approved by	• Peter Hogan
Date of next review	• 30/09/2022
Current policy reviewed by	• Michael Rayner

Key staff involved in the policy

Role	Name
Exams officer	Michael Rayner
Senior leader(s)	Eleanor Vermeulen
Head of centre	Peter Hogan
IT manager	• Darren Hitchen
ALS lead/SENCo	• Wendy Fitton
Finance manager	• Susan Ross
Head(s) of department	<ul style="list-style-type: none">• Kate Bethell• Nicky Stubbs• Paul Bromley• Paul Platt• Rebecca Hurstwaite• Claire Hubner• Helena Rand
Other staff (if applicable)	Not Applicable

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

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

Retention information/period

- Records returned to SENCo as records owner at end of the candidate's final exam series. Retained in line with SENCo policy

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

- Disposed of confidentially

2. Alternative site arrangements

Record(s) description

- Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP . Information retained in line with JCQ regulations.

Retention information/period

- Information retained as per JCQ regulations. Where specific retention information is not supplied by JCQ data is stored until after the deadline for reviews and results have passed and any malpractice investigation and/or appeal has been resolved.

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

- data disposed of confidentially

3. Attendance register copies

Record(s) description

- Seating plan
- copy of register
- Incident log book

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)

- disposed of confidentially

4. Awarding body administrative information

Record(s) description

- Catalogues
- Instructions to candidates
- Miscellaneous notifications

Retention information/period

- Records retained until the current academic year update is provided.

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

- disposed of in confidential waste

5. Candidates' scripts

Record(s) description

- not applicable

Retention information/period

• Records are kept in accordance with the requirements of PRS, section 6 (To be retained securely until the awarding body's earliest date for confidential disposal of unwanted scripts. 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.) and 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)

- disposed of in confidential waste

7. Centre consortium arrangements for centre assessed work

Record(s) description

- not applicable

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)

- disposed of in confidential waste

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)

- disposed of in confidential waste

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)

- Confidential destruction

10. Certificate issue information

Record(s) description

- A record of certificates that have been issued.

Retention information/period

- Records retained in accordance with the requirements of GR, section 5.14 (... distribute certificates to all candidates without delay and regardless of any disputes (such as non-payment of fees). Certificates must not be withheld without prior permission from an awarding body which will only be given in very exceptional circumstances. A record should be kept of the certificates that are issued...)

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

- dispose in confidential waste

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

- Follow JCQ guidance for retention information/period of retention. If specific retention information is not provided by JCQ that exam related information will be retained until after the deadline for review of results/any other result enquiry and the resolution of all outstanding reviews/appeals or malpractice investigation for the relevant exam series.

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

- dispose of confidentially

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

- Follow JCQ guidance for retention information/period of retention. If specific retention information is not provided by JCQ that exam related information will be retained until after the deadline for review of results/any other result enquiry and the resolution of all outstanding reviews/appeals or malpractice investigation for the relevant exam series.

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

- dispose of confidentially

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)

- dispose of confidentially

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

- Retention of information as outlined by JCQ regulations. If specific retention information is not provided by JCQ then information to be kept until after the deadline for reviews of results or other result enquiry and/or the resolution of any outstanding appeal/review or malpractice investigation.

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

- dispose of confidentially

15. Entry information

Record(s) description

- Any hard copy information relating to candidates' entries.

Retention information/period

- Retention of information as outlined by JCQ regulations. If specific retention information is not provided by JCQ then information to be kept until after the deadline for reviews of results or other result enquiry and/or the resolution of any outstanding appeal/review or malpractice investigation.

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

- dispose of confidentially

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)

- Issued to subject staff

17. Exam room checklists

Record(s) description

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

Retention information/period

- Retention of information as outlined by JCQ regulations. If specific retention information is not provided by JCQ then information to be kept until after the deadline for reviews of results or other result enquiry and/or the resolution of any outstanding appeal/review or malpractice investigation.

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

- Dispose of confidentially

18. Exam room incident logs

Record(s) description

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

Retention information/period

- Retention of information as outlined by JCQ regulations. If specific retention information is not provided by JCQ then information to be kept until after the deadline for reviews of results or other result enquiry and/or the resolution of any outstanding appeal/review or malpractice investigation.

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

- Dispose of confidentially

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 destruction

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)

- Heads of Department to dispose of confidentially

21. Finance information

Record(s) description

- Copy invoices for exams-related fees.

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)

- Finance department to dispose of confidentially

22. Invigilation arrangements

Record(s) description

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

Retention information/period

- Retention of information as outlined by JCQ regulations. If specific retention information is not provided by JCQ then information to be kept until after the deadline for reviews of results or other result enquiry and/or the resolution of any outstanding appeal/review or malpractice investigation.

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

- Dispose of in a confidential manner

23. Invigilator and facilitator training records

Record(s) description

- Invigilator training records

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)

- Dispose of in confidential manner

24. Moderator reports

Record(s) description

- Moderation 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)

- Dispose of in confidential waste

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

- Retention of information as outlined by JCQ regulations. If specific retention information is not provided by JCQ then information to be kept until after the deadline for reviews of results or other result enquiry and/or the resolution of any outstanding appeal/review or malpractice investigation.

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

- Dispose of in 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)

- Dispose of in confidential waste

27. 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, 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)

- Dispose of in 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

- Retention of information as outlined by JCQ regulations. If specific retention information is not provided by JCQ then information to be kept until after the deadline for reviews of results or other result enquiry and/or the resolution of any outstanding appeal/review or malpractice investigation.

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

- Dispose of in 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

- Retention of information as outlined by JCQ regulations. If specific retention information is not provided by JCQ then information to be kept until after the deadline for reviews of results or other result enquiry and/or the resolution of any outstanding appeal/review or malpractice investigation.

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

- Dispose of in confidential waste

30. Private candidate information

Record(s) description

- Any hard copy information relating to private candidates' entries.

Retention information/period

- Retention of information as outlined by JCQ regulations. If specific retention information is not provided by JCQ then information to be kept until after the deadline for reviews of results or other result enquiry and/or the resolution of any outstanding appeal/review or malpractice investigation.

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

- Dispose of in 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/despatch 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.)...).

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

- Dispose of in 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

- Retention of information as outlined by JCQ regulations. If specific retention information is not provided by JCQ then information to be kept until after the deadline for reviews of results or other result enquiry and/or the resolution of any outstanding appeal/review or malpractice investigation.

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

- Dispose of in 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)

- Dispose of confidentially

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)

- Dispose of confidentially

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)

- Dispose of in 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

- Retention of information as outlined by JCQ regulations. If specific retention information is not provided by JCQ then information to be kept until after the deadline for reviews of results or other result enquiry and/or the resolution of any outstanding appeal/review or malpractice investigation.

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

- Dispose of in 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

- Retention of information as outlined by JCQ regulations. If specific retention information is not provided by JCQ then information to be kept until after the deadline for reviews of results or other result enquiry and/or the resolution of any outstanding appeal/review or malpractice investigation.

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

- Dispose of in confidential manner

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

- Retention of information as outlined by JCQ regulations. If specific retention information is not provided by JCQ then information to be kept until after the deadline for reviews of results or other result enquiry and/or the resolution of any outstanding appeal/review or malpractice investigation.

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

- Dispose of confidentially

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