Exam Archiving Policy

Approved…….

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Key Staff Involved in Examinations

Head of Centre – Mr S Gilbert-Barnham

Exams Officer – Mrs L Abbotts-Freeman
Vice Principal – Mr D Richards
SENDCo – Mrs P Richards
Finance Director – Mrs Sam Thompson

Purpose of the Policy

- The centre is committed to ensuring that the exams management and administration process is run effectively and efficiently. This Exam policy will ensure that:
- All exams related information/records held by the exams office.
- To 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.

Record Type and retention information

Access Arrangements Information

- Access Arrangements to be held on file in Exams Office till they expire from JCQ online arrangement. Access files have a front sheet to show when that date is.
- Action at the end of the retention period will be confidential waste/shredding.
- Senco to be involved at all times

Alternative Site Arrangements

- All hard copy information generated on an alternative arrangement. Notifications submitted online via CAP
- Action at the end of the retention period will be confidential waste/shredding.

Attendance Register Copies

- Registers from Awarding Bodies to be filed in the secure room in month order.
- All A4 seating plans are to be signed by invigilators
- Keep all invigilation arrangements and the centres copies of the attendance register's for each examination and copies of the seating plans
- The awarding bodies may need to refer to these records.
- We as a 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. [ICE 12, 22]
- Action at the end ensures confidentiality and security within the examination process is compliant with and managed according to JCQ and awarding body regulations all records will be placed in confidential waste/shredding.

Awarding Body Exams Administrative Information

- Any hard copy publications provided by awarding bodies.
- To be retained until the current academic year update is provided.
- Action at the end of retention will be confidential waste/shredding.

Candidate's Scripts

- Any unwanted copies of scripts returned to the centre through the Access to Scripts Service.
- To be retained securely until awarding bodies earliest date for confidential disposal of unwanted scripts takes all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during the course of and after examinations have taken place
- Ensures irregularities are investigated and informs the awarding bodies of any cases of alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, are reported to the awarding body immediately. Ensure that scripts are returned when no longer required. [GR 3.15]
- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allow the head of centre to act immediately in the event of an emergency or staff absence)

Candidate's work

- Non-examination assessment work returned to the centre by the awarding body at the end of the moderation period.
- To be 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)
- 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. See paragraph 4.8 of the JCQ publication *Instructions for conducting non - examination assessments* https://www.jcq.org.uk/exams-office/non-examination-assessments (Reference GR 3.15)
- NEA can be either returned to candidates or disposed through confidential waste.

Centre Consortium arrangements for assessed work

- Ormiston Venture Academy does not work with any other centres currently.

Certificates

- Ormiston Venture Academy retains unclaimed or uncollected certificates which are kept in secure for 12 months. The EO takes responsibility for the certificates on site. All certificates that are collected are signed for and those unclaimed are destroyed 5 years later as we can accommodate these. Those that are destroyed are scanned into our admin system so we are able to provide the awarding bodies to candidates that are trying to track their grades.

Certificate destruction information

- Candidate certificates issued by awarding bodies.
- A record of Unclaimed Certificates issued by awarding bodies.
- (Reference GR 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… The recor should list the candidate number, awarding body and the qualification and exam series – I scan all certificates in to the examinations folder of any of those destroyed.

Certificate Issue information

- A Record of Certificates that have been issued and obtain and maintain accurate candidate contact information to ensure the correct and secure despatch of certificates.
- (Reference 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…)

Confidential materials: initial point of delivery logs

- 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 for these are after post results.
- These are disposed of via the confidential waste.

Confidential materials: receipt, secure

- 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.
- Confidential receipts are kept for 1 year after arrival.
- These receipts are disposed of via confidential waste.

Movement and checking, secure storage logs

- via email or downloaded from an awarding body's secure extranet site), checked and placed in the secure storage facility by the exams officer (or other authorised member of centre staff) throughout the period the materials are confidential.
- These are kept confidential till the examination official finish time.

Conflicts of Interest Records

- Records demonstrating the management of conflicts of interest.
- (Reference GR 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.)
- These are disposed via confidential waste.

Dispatch Log

- Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service England only
- These are retained for a year after the dispatch date.
- These are disposed of via confidential waste.

Entry Information

- Hard copies of entries are kept securely in the exams office for 1 year after entries have been made
- These are then disposed of via confidential waste.

Exam Question Papers

- Question papers for timetabled written exams
- (Reference ICE 31: Question papers must not be released to centre personnel until 24 hrs 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. For CCEA examinations question papers must not be released until 24 hours after the published finishing time for the examination.)
    - The unused question papers must be stored in the secure room.
    - Where a candidate is sitting an examination scheduled for the afternoon session on the following morning under an overnight supervision arrangement, unused question papers for that examination must not be released to any individual until 24 hours after the awarding body's published finishing time for the examination.)
- (Reference GR 6.13: …For confidentiality purposes question papers must not be released to centre personnel for use in accordance with the above licence until 24hours 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…) Undertake key tasks, as detailed in this policy, within the exams process and meet internal deadlines set by the EO and SENCo
- Issued to subject staff

Exam room checklist

- Checklists confirming exam room conditions and invigilation arrangements for each exam session.
- Checklists are retained for 1 year
- These are replaced by the new guidance in the new academic year
- These are disposed via confidential waste

Exam Room Incident logs

- Logs recording any incidents or irregularities in exam rooms for each exam session.
- Logs are retained till after post results service
- These are destroyed via confidential waste

Exam stationary

- Awarding body exam stationery provided solely for the purpose of external exams.
- (Reference ICE 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.)
- Should these be confidentially destroyed, they would be put in confidential waste

Examiner Reports

- Where applicable reports are provided for the HOF and kept in the ares of faculty

Finance information

- Copy of invoices for exams are kept in finance as the department records at the end of each academic year

Invigilator Arrangements and facilitator training

- Exam Checklist provided for all rooms
- All exam invigilators and facilitators are required to do the online training with The Exams Office online portal.
- This provides certificates for each invigilator and for inspection purposes and attendance
- Retention is yearly as the guidance changes each academic year
- (Reference ICE 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.)
- The certificates are kept on file with in the personal records of Human Resources
- Invigilators are given a copy of the certificates
- JCQ can see the training online and the certificates.

Moderator Reports

- Moderator reports where printed from an electronic copy are handed straight to the heads of faculty

Overnight Supervision information

- 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
- Any hard copy information relating to overnight supervision arrangements. Reports submitted online via CAP.
- (Reference ICE 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…)

Post-results services: confirmation of Candidate Consent information

- Hard copy or email record of required candidate consent
- This is kept for 1 academic year till the next results day
- (Reference PRS 4.2, 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.)

Post results tracking Services tracking logs.

- Tracking online with the awarding bodies
- Tracking via spreadsheet to enable me to check who's post results are in.

Proof of Postage – Candidates Work

- Proof of postage of sample of candidates' work submitted to awarding body moderators.
- (Proof of postage of candidates' scripts to awarding body examiners/markers)
- (Reference ICE 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.) …)
- All work is sent via recorded and proof of postage is in the book in the admin office

Resolving Timetable Clashes Information

- Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers
- Retention will be after post results
- Method of disposal will be through confidential waste

Results Information

- Broadsheets of public examination results summarising candidate final grades by subject by exam series.
- Records for current year plus previous 6 years to be retained as a minimum.
- Method of disposal will be through IT Department

Seating Plans

- Plans showing the seating arrangements of all candidates for every exam taken.
- (Reference ICE 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...)
- Method of disposal will be through confidential waste

Second Pair of eyes check

- Records of the check that must take place by a second person two members of staff before opening each question paper (additional to the person removing question paper packets from secure storage) immediately before a question paper packet is opened
- (Reference ICE 5,, 18: In order to avoid potential breaches of security, care must be taken to ensure that the correct question paper packets are opened.
- A member of centre staff, additional to the person removing the question paper packets from secure storage, e.g. an invigilator, must check the day, date, time, subject, unit/component and tier of entry, if appropriate, immediately before a question paper packet is opened. This second pair of eyes check must be recorded.)

Special Consideration

- 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 and appropriate evidence.

- (Reference SC 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**.)
- Method of disposal will be through confidential waste

Suspected Malpractice

- Any hard copy information relating to a suspected or actual malpractice investigation/report submitted to an awarding body they will keep a record and outcome information from the awarding body.
- Ensures any irregularities relating to the production of work by candidates are investigated and dealt with internally if discovered prior to a candidate signing the authentication statement (where required) or reported to the awarding body if a candidate has signed the authentication statement. Store safely and securely along with work that did not form part of the moderation sample [GR 3.15]
- Retention period after investigation has been closed and after post results period in which case will be destroyed in confidential waste

Transferred Candidates

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

Very late arrival reports/outcomes

- Any hard copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP

Candidate late arrival policy

- All candidates that arrive late are given the opportunity to sit the exam and are given clear guidelines on the process of the centre. The EO will advise what the latest time the candidate can arrive in to the examination. Senior Leadership will be advised on the day what time is the latest that the candidate can go in. The candidate will receive their full time to ensure that they get through the exam with no stress or anxiety.
- The candidate will receive all instructions with regards to the exam outside the room. They will be escorted in to the room and placed quietly so no to disturb any other candidate
- "A candidate who arrives after the start of the examination may be allowed to enter the examination room and sit the examination. This is entirely at the discretion of the centre…
- A candidate who arrives after the start of the examination should be allowed the full time for the examination, depending on the centre's organisational arrangements and provided that adequate supervision arrangements are in place…"
  [ICE 21]

Retention of records: roles and responsibilities

Exams officer

- Keeps records as required by JCQ and awarding bodies for the required period
- Keeps records as required by the centre's records management policy
- Provides an exams archiving policy that identifies information held, retention period and method of disposal

Candidates

- Confirmation of entries
- Understanding controlled assessments and non-examination assessments regulations and signing a declaration that authenticates as their own.