



Policy/Procedure creator: Fiona Brown

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Centre Name	Cheltenham Bournside School
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Current policy approved by	Karen Hanley; Deputy Head
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Current policy reviewed by	Peter Beckett; Exams Manager

Key staff involved in the policy

Role	Name
Exams officer	Fiona Brown
Senior leader(s)	Karen Hanley, BTEC Quality Nominee & Deputy Head
Head of centre	Steve Jefferies
ALS lead/SENCo	Ellen Ashford-Kelleher
Finance manager	Not applicable
Head(s) of department	Not applicable
Other staff (if applicable)	Hannah Ramsey, Exams Assistant

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 ALS/SENCo relating to an access arrangement candidate.

Retention information/period

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

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

- Records are retained until the student is 25 years of age and are then disposed of in a confidential manner.

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

- Paperwork held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries

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

- Disposed of in a confidential manner.

3. Attendance register copies

Record(s) description

- Registers generated and printed by the Centre for use during exams
- Registers generated by the Awarding Bodies

Retention information/period

The Centre will 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 in a confidential manner.

4. Awarding body administrative 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)

- No need for confidential disposal method.

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. 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 but no earlier than the dates specified by the awarding bodies.

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

- to be disposed of in a confidential manner

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.
- live non-examination assessments, including controlled assessments, coursework and portfolios.

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 until the deadline for a review of moderation has passed or until a review of moderation, an appeal or a malpractice investigation has been completed, whichever is later. This includes materials stored electronically.

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

- Returned to candidates or safe disposal

7. Centre consortium arrangements for centre assessed work

Record(s) description

- Not applicable

Retention information/period

- Not applicable

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

- Not applicable

8. Certificates

Record(s) description

- Candidate certificates issued by awarding bodies.

Retention information/period

- Records retained in accordance with the requirements of GR, section 5.14: retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue. Cheltenham Bournside School will retain all certificates for 4 years after the exam season and then destroy them. **Action at the end of retention period (method of disposal)**

- to be disposed of in a confidential manner

9. Certificate destruction information

Record(s) description

- A record of unclaimed certificates that have been destroyed.

Retention information/period

- The Centre may destroy any unclaimed certificates after retaining them for a minimum of 12 months. They must be destroyed in a confidential manner. 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.
- Certificates remain the property of the awarding bodies at all times.

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

- to be disposed of in a confidential manner following records being made.

10. Certificate issue information

Record(s) description

- A record of certificates that have been issued.

Retention information/period

- Certificates are distributed to all candidates without delay and regardless of any disputes.
- Certificates may not be withheld without prior permission from an awarding body.
- A record will be kept of the certificates that are issued.
- Retain for at least eight years.

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

- dispose of in a confidential manner

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

- 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 a confidential manner

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

- 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 a confidential manner.

13. Conflicts of interest records

Record(s) description

- Records demonstrating the management of Conflicts of Interest.

Retention information/period

- 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)

- disposed of in a confidential manner

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

- 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)

- disposed of in a confidential manner.

15. Entry information

Record(s) description

- Any hard copy information relating to candidates' entries.

Retention information/period

- 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)

- disposed of in a confidential manner

16. Exam question papers

Record(s) description

- Question papers for timetabled written exams.

Retention information/period

- 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

- 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)

- disposed of in a confidential manner

[18. Exam room incident logs](#)

Record(s) description

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

Retention information/period

- 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)

- disposed of in a confidential manner.

[19. Exam stationery](#)

Record(s) description

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

Retention information/period

- exams staff must 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)**
- dispose of in a confidential manner.

[20. Examiner reports](#)

Record(s) description

- as provided in some instances by the awarding bodies.

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 at the end of the academic year.

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

- Not applicable

22. Invigilation arrangements

Record(s) description

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

Retention information/period

- 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)

- disposed of in a confidential manner.

23. Invigilator and facilitator training records

Record(s) description

- Record of training given and attendance
- certificates when on-line training completed.

Retention information/period

- 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)

- disposed of in a confidential manner.

24. Moderator reports

Record(s) description

- not applicable

Retention information/period

- not applicable

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

- not applicable

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

- 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)

- disposed of in a confidential manner.

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

- the centre will 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 a confidential manner.

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

Record(s) description

- Hard copy or email record of required candidate consent.

Retention information/period

- 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)

- disposal of in a confidential manner.

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)**

- disposed of in a confidential manner.

29. [Post-results services: tracking logs](#) **Record(s) description** not applicable

Retention

information/period not

applicable

Action at the end of retention period (method of disposal) not applicable

30. [Private candidate information](#)

Record(s) description

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

Retention information/period

- 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)

- disposed of in a confidential manner.

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

- Proof of postage of any candidates' scripts to awarding body examiners/markers where Parcel Force yellow label service is not used must be retained until the results are published.
- 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 a confidential manner.

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

- 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 in a confidential manner.

33. Results information

Record(s) description

- Broadsheets of results summarising candidate final grades by subject by exam series.
- Individual Statements of Candidate's Results

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)

- disposed of in a confidential manner.

34. Seating plans

Record(s) description

- Plans showing the seating arrangements of all candidates for every exam taken.

Retention information/period

- the centre will 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 in a confidential manner.

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

- 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 a confidential manner.

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

- 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 in a confidential manner.

37. Transferred candidate arrangements

Record(s) description not applicable

Retention

information/period not

applicable

Action at the end of retention period (method of

disposal) not applicable

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

- 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 in a confidential manner.

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

The above procedures also applies to all BTEC

paperwork. **Retention information/period** not

applicable

Action at the end of retention period (method of

disposal) not applicable