

Exams Archiving Policy

2022/23

This policy is annually reviewed to ensure that records are archived/retained in accordance with current requirements

Approved/reviewed by	
Mr A Hammersley (Head teacher)	
Signed	
Date of next review	April 2024

Key staff involved in the policy

Role	Name(s)
Exams Officer	Ms S Powell
Exams Officer line manager (Senior Leader)	Mrs Wood
Head of centre	Mr A Hammersley
ALS Lead/SENCo	Mrs K Keane
Finance Manager	Mr M Reed
IT Manager	Mr P Smillie
Head of Department(s)	Mr A Crook, Mrs A Wade, Mr J St John, Mrs L Robinson, Mr A Coward, Mr R Arnold

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

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Access arrangements information	Any hard copy information kept by the SENCo relating to an access arrangement candidate.	To be returned to ALS lead/SENCo as records owner at end of the candidate's final exam series.	Confidential waste
Alternative site arrangements	Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.		Confidential waste
Attendance register copies		...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... (Reference ICE 12, 22)	Confidential waste/shredding
Awarding body exam administrative information	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	Safe disposal
Candidates' scripts	Any unwanted copies of scripts returned to the centre through the Access to Scripts (ATS) service.	<p>To be retained securely until the awarding body's earliest date for confidential disposal of unwanted scripts.</p> <p>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. (Reference PRS 6)</p> <p>... 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...</p> <p>(Reference GR 3.15)</p>	Confidential disposal
Candidates' 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.	Returned to candidates or safe disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		<p>To be stored safely and securely along with work that did not form part of the moderation sample (including materials stored electronically)</p> <p>...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)</p>	
Centre consortium arrangements for centre assessed work	Any hard copy information generated or relating to consortium arrangements for centre assessed work. Applications submitted online via CAP.		Confidential waste
Certificates	Candidate certificates issued by awarding bodies.	retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue (Reference GR 5.14)	Confidential destruction
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	<p>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 is 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 always remain the</p>	Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		property of the awarding bodies at all times. (Reference GR 5.14)	
Certificate issue information	A record of certificates that have been issued to candidates.	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 is kept of the certificates that are issued (Reference GR 5.14)	Safe disposal
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 transferral to the centre's secure storage facility.	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Safe disposal
Confidential materials: receipt, secure movement and secure storage logs	Logs recording confidential exam materials received (including encrypted materials received 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	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Safe disposal
Confidential materials tracking logs	A log to track materials taken from or returned to secure storage throughout the time the material is confidential.	To be held for exam period	Confidential disposal after exam period is finished.
Conflicts of interest records	Records demonstrating the management of conflicts of interest	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. (Reference GR 5.3)	Confidential waste disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service	Kept in exam files until EARs deadline	Confidential disposal
Entry information	Any hard copy information relating to candidates' entries.	Kept with EO until exam period has finished	Confidential disposal
Exam question papers	Question papers for timetabled written exams.	<p>Question papers must not be released to centre personnel 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.</p> <p>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. (Reference GR 6.13)</p>	Issued to subject staff
Exam room checklists	Checklists confirming room conditions and invigilation arrangements for each exam room.	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Safe disposal
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms.	To be retained until after any appeals enquiry has been completed. (At least six months)	Confidential disposal
Exam stationery	Awarding body exam stationery provided solely for the purpose of external exams	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. (Reference ICE 30)	Confidential disposal
Examiner reports		To be immediately provided to head of department as records owner.	Issued to staff

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Finance information	Copy invoices for exams-related fees.	To be returned to Finance department as records owner at the end of the academic year.	Finance Dept to dispose safely
Invigilation arrangements	See Exam room checklists	Keep until after the exam period	Safe disposal
Invigilator and facilitator training records		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. (Reference ICE 12)	Exam officer keeps exam season ends. Safe disposal
JCQ publications	Any hard copy publications provided by JCQ.	To be retained until the current academic year update is provided.	General waste
Moderator reports		To be immediately provided to head of department as records owner.	Kept on file until any appeals are dealt with. Then safe disposal
Overnight supervision information	<p>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</p> <p>Any hard copy information relating to overnight supervision arrangements. Reports submitted online via CAP.</p>	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... (Reference ICE 8)	Safe disposal
Post-results services: confirmation of candidate consent information	Hard copy or email record of required candidate consent	<p>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.</p> <p>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.</p>	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		This form should be retained on the centre's files for at least six months. (Reference PRS 4 , appendix A and B) <i>(See Exam File for copies of appendix A and B)</i>	
Post-results services: requests/outcome information	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.	To be retained until after any appeals enquiry has been completed. (At least six months)	Confidential disposal
Post-results services: scripts provided by ATS service	Copies of exam scripts (or an electronic image of the script) returned to the centre by the awarding body/copies downloaded by the centre where the awarding body provides online access to scripts.	Where copies of scripts are retained by the centre, they must be securely stored (including any electronic versions) until they are no longer required. [Reference PRS 6]	Confidential disposal
Post-results services: tracking logs	A log tracking to resolution all post-results service requests submitted to awarding bodies.	Log kept electronically.	
Private candidate information	Any hard copy information relating to private candidates' entries.	Kept for the exam period. Including post results service.	Confidential disposal
Proof of postage – candidate work	Proof of postage of sample of candidates' work to awarding body moderators.	To be retained until after any appeals enquiry has been completed. (At least six months) 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. (Reference ICE 29)	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Resolving clashes information	Any hard copy information relating to the resolution of a candidate's clash of exam papers or a timetable variation.	To be retained until after any appeals enquiry has been completed. (At least six months)	Confidential disposal
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.	Confidential disposal
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	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. As a centre we 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. (Reference ICE 12)	Confidential disposal
Special consideration information	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.	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. (Reference SC 6)	Confidential disposal
Suspected malpractice reports/outcomes	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.	To be retained until all investigations are complete. To be kept for 12 months after the appeal	Confidential disposal
Transferred candidate information	Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP.	To be retained for the exam period.	Confidential disposal
Very late arrival reports/outcomes	Any hard copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP.	All paper work relating to the report kept on file. All information including report from school and awarding body kept for 12 months	Confidential disposal