

Exams Archiving

Policy

2021/22

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 2023 |

Key staff involved in the exams archiving process

|  |  |
| --- | --- |
| **Role** | **Name(s)** |
| **Exams Officer** | **Mrs B Monk** |
| **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 J Haworth, Miss A Wade, Miss Beatty, Mr N Davies,**  **Mr Gorrell** |

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](http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations) 12, 22) | Confidential waste/shredding |
| Awarding body 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. | 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. (Reference [PRS](http://www.jcq.org.uk/exams-office/post-results-services) 6)  … 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…  (Reference [GR](http://www.jcq.org.uk/exams-office/general-regulations) 3.15 | 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.  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](http://www.jcq.org.uk/exams-office/general-regulations) 3.15) | Returned to candidates or safe disposal |
| 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](http://www.jcq.org.uk/exams-office/general-regulations) 5.14) | Confidential destruction |
| Certificate destruction information | A record of unclaimed certificates that have been destroyed. | 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 property of the awarding bodies at all times. (Reference [GR](http://www.jcq.org.uk/exams-office/general-regulations) 5.14) | Confidential destruction |
| 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](http://www.jcq.org.uk/exams-office/general-regulations) 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](http://www.jcq.org.uk/exams-office/general-regulations) 5.3) | Confidential waste disposal |
| Dispatch logs | Proof ofdispatch of exam script packages to awarding body examiners covered by the [DfE (Standards & Testing Agency) yellow label service](https://www.gov.uk/government/publications/dispatch-of-exam-scripts-yellow-label-service/dispatch-of-exam-scripts-guide) | 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. | 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](http://www.jcq.org.uk/exams-office/general-regulations) 6.13) | 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](http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations) 30) | Confidential disposal |
| Examiner reports |  | To be immediately provided to head of department as records owner. | Issued to staff |
| 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](http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations) 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 | 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. | 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](http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations) 8) | Safe disposal |
| Post-results services: confirmation of candidate consent information | Hard copy or email record of required candidate consent | 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. (Reference [PRS](http://www.jcq.org.uk/exams-office/post-results-services) 4, appendix A and B) *(See Exam File for copies of appendix A and B)* | Confidential disposal |
| 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](http://www.jcq.org.uk/exams-office/post-results-services) 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](http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations) 29) | Confidential 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](http://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations) 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](http://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance) 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 |