



# 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	
Date of next review	September 2022

## Key staff involved in the exams archiving process

Role	Name(s)
Exams officer	Mrs A Kilby
Exams Officer line manager (Senior Leader)	Mr L Coren
Head of centre	Miss K Sherwood
SENCo	Ms T Busby
Finance Manager	Mrs A Greenwood
IT Manager	Mr J Gray
Head of Department(s)	EBR, LCO, RHI, AEV, JGR, MSH, MJA, KHO, HTA

## 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

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 EO 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.	<b>Refer to SENCO</b>
Alternative site arrangements	Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.		
Attendance register copies	To be retained with EO	...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 <a href="#">ICE 12, 22</a> )	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.	
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 <a href="#">PRS 6</a> )  ... 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 <a href="#">GR 3.15</a> )	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Candidates' work	Non-examination assessment work returned to the centre by the awarding body at the end of the moderation period.	<p>To be logged on return to the centre and immediately returned to subject staff as records owner.</p> <p>To be stored safely and securely along with work that did not form part of the moderation sample (including materials stored electronically) until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series.</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 <a href="https://www.jcq.org.uk/exams-office/non-examination-assessments">https://www.jcq.org.uk/exams-office/non-examination-assessments</a> (Reference <a href="#">GR 3.15</a>)</p>	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.		
Certificates	<p>Candidate certificates issued by awarding bodies.</p> <p><b>Received by EO and issued to students on GCSE presentation evening or as requested by student. Available from reception after presentation evening</b></p>	<p>Unclaimed/uncollected certificates to be retained securely for a minimum of 12 months from date of issue. Any remaining certificates – all possible means of contacting student is exhausted. Certificates kept at school for 5 years allowing for further education and higher education before certificates needed for the work place.</p> <p>[Reference <a href="#">GR 5.14</a>]</p>	Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	To be retained for 4 years from the date of certificate destruction.  [Reference <a href="#">GR 5.14</a> ]	Confidential destruction
Certificate issue information	A record of certificates that have been issued.	To be kept secure with remaining certificates  [Reference <a href="#">GR 5.14</a> ]	Confidential destruction
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.	<b>To be retained at reception</b>	
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 in the Secure Store until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	
Conflicts of Interest records	Records demonstrating the management of Conflicts of Interest	To be retained in the Secure Store until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.  [Reference <a href="#">GR 5.3</a> ]	
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the <a href="#">DfE</a>	To be retained in the EO office.	

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	<a href="#">(Standards &amp; Testing Agency) yellow label service</a>		
Entry information	Any hard copy information relating to candidates' entries.	To be retained in the EO office until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	
Exam question papers	Question papers for timetabled written exams.	<p>Issued to teaching staff after the published finishing time of the exam and only when all candidates in the centre have completed the exam and scripts have been packed.</p> <p>Instructions issued by an individual awarding body relating to the use of question papers for vocational qualifications after the examination has taken place are followed.</p> <p>[Reference GR 6.12]</p>	Issued to subject staff
Exam room checklists	Checklists confirming exam room conditions and invigilation arrangements for each exam session.	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	
		[Reference ICE 12 ]	
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms for each exam session.	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential disposal
		[Reference ICE 12]	
Exam stationery	Awarding body exam stationery provided solely for the purpose of external exams.	When awarding body or JCQ common stationery is considered surplus or is out-of-date it will be disposed of or returned.	Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		[Reference <a href="#">ICE 30</a> ]	
Examiner reports		(Where/if provided) To be immediately provided to head of department as records owner.	
Finance information	Copy invoices for exams-related fees.	To be returned to Finance department as records owner at the end of the academic year.	
Invigilation arrangements	<i>See Exam room checklists</i>		
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 <a href="#">ICE 12</a> ]	
Moderator reports		(Where printed from electronic copy) To be immediately provided to head of department as records owner.	
Moderation returns logs	Logs recording the return of candidates' work to the centre by the awarding body at the end of the moderation period		
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	To be retained for JCQ inspection purposes for the relevant exam series.  [Reference <a href="#">ICE 8</a> ]	

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Post-results services: confirmation of candidate consent information	Hard copy or email record of candidate consent for an EAR or ATS request to be submitted to an awarding body.	EAR consent to be retained for at least six months following the outcome of the enquiry or any subsequent appeal.  ATS consent to be retained for at least six months from the date consent given.  [Reference <a href="#">PRS 4</a> , appendix A and B]	Confidential disposal
Post-results services: requests/outcome information	Any hard copy information relating to a post-results service request (EARs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body.		
Post-results services: tracking logs	Logs tracking to resolution all post-results service requests submitted to awarding bodies.	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 <a href="#">PRS 6</a> ]	
Private candidate information	Any hard copy information relating to private candidates' entries.	<b>We do not accept private candidates</b>	
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)	To be retained by the EO  [Reference <a href="#">ICE 29</a> ]	
Resolving timetable clashes information	Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers	To be retained by the EO	Confidential disposal



Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Results information	Broadsheets of results summarising candidate final grades by subject by exam series.	Records for current year plus previous 6 years to be retained as a minimum which are available on the school software system.	
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.  [Reference <a href="#">ICE 12</a> ]	
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 <a href="#">SC 6</a> )	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 by the EO until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential disposal
Transferred candidate arrangements	Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP.	To be retained until the transfer arrangements are confirmed by the awarding body.	
Very late arrival reports/outcomes	Any hard copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP.	To be retained by the EO until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential disposal