

# 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	
Simon Leach	
Date of next review	September 2023

## Key staff involved in the exams archiving process

<b>Role</b>	<b>Name(s)</b>
Exams Officer	<b>Emma Healy</b>
Exams Officer line manager (Senior Leader)	<b>Simon Leach</b>
Head of centre	<b>Ann Donaghy</b>
SENCo	<b>Helen MacLeod</b>
Finance Manager	<b>Mat Tarrant</b>
IT Manager	<b>Lee Jepson</b>
Head of Department(s)	

## 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 SENCo as records owner at end of the candidate's final exam series.	Confidential waste/shredding
Alternative site arrangements	Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.	Until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/shredding
Attendance register copies		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 exams administrative information	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	Confidential waste/shredding
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. <i>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.</i> [Reference <a href="#">PRS 6</a> ] <i>... 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...</i> [Reference <a href="#">GR 3</a> ]	Confidential disposal
Candidates' work	Non-examination assessment work returned to the centre by	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)
	the awarding body at the end of the moderation period.	To be stored safely and securely along with work that did not form part of the moderation sample (including materials stored electronically) <i>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 (for the exam series).</i>  [Reference <a href="#">GR 3</a> ]	
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.	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.	Confidential destruction
Certificates	Candidate certificates issued by awarding bodies.	24 Months (12 months minimum)  <i>...retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue</i>  [Reference <a href="#">GR 5</a> ]	Confidential destruction
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	4 Years from destruction  <i>...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;</i>  [Reference <a href="#">GR 5</a> ]	Confidential destruction
Certificate issue information	A record of certificates that have been issued.	<i>...distribute certificates to all candidates without delay and regardless of any disputes (such as non-</i>	Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		<p>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;</p> <p>[Reference <a href="#">GR 5</a>]</p>	
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.	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.	Confidential destruction
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	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.	Confidential destruction
Conflicts of Interest records	Records demonstrating the management of Conflicts of Interest	<p>...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.</p> <p>[Reference <a href="#">GR 5</a>]</p>	Confidential destruction
Dispatch logs	Proof of dispatch of exam script packages to awarding body	Until the deadline for a review of moderation has passed or until a review of moderation, an appeal	Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	examiners covered by the <a href="#">DfE (Standards &amp; Testing Agency) yellow label service</a>	or a malpractice investigation has been completed, whichever is later.	
Entry information	Any hard copy information relating to candidates' entries.	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.	Confidential destruction
Exam question papers	Question papers for timetabled written exams.	<i>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.</i> [Reference <a href="#">GR 6</a> ]	Issued to subject staff
Exam room checklists	Checklists confirming exam room conditions and invigilation arrangements for each exam session.	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.	Confidential destruction
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms for each exam session.	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.	Confidential destruction
Exam stationery	Awarding body exam stationery provided solely for the purpose of external exams.	<i>Unused stationery will be returned to the centre's 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.</i> <i>Any surplus or out-of-date stationery will be confidentially destroyed.</i> [Reference <a href="#">ICE 30</a> ]	Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Examiner reports		To be immediately provided to head of department as records owner.	Confidential destruction
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 department to store/destroy.
Invigilation arrangements	See <i>Exam room checklists</i>		
Invigilator and facilitator training records		<p><i>A record of the content of the training given to invigilators 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.</i></p> <p><i>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, 13]</i></p>	Confidential destruction
Moderator reports		(Where printed from electronic copy) To be immediately provided to head of department as records owner.	Confidential destruction
Moderation returns logs	Logs recording the return of candidates' work to the centre by the awarding body at the end of the moderation period	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.	Confidential destruction
Overnight supervision information	JCQ form <i>Timetable variation and confidentiality declaration for overnight supervision</i> for any candidate eligible for these arrangements.	<i>...keep for inspection all completed forms available in your centre 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</i>	Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		<p><i>and must not be sent to an awarding body, unless specifically requested;</i></p> <p>[Reference ICE 8]</p>	
Post-results services: confirmation of candidate consent information	Hard copy or email record of required candidate consent	<p><i>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.</i></p> <p><i>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.</i></p> <p><i>This form should be retained on the centre's files for at least six months. [Reference PRS 4, appendix A and B]</i></p>	Confidential destruction
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.	Until any appeal, malpractice or other results enquiry has been completed	Confidential destruction
Post-results services: tracking logs	Logs tracking to resolution all post-results service requests submitted to awarding bodies.	Until any appeal, malpractice or other results enquiry has been completed	Confidential destruction
Private candidate information	Any hard copy information relating to private candidates' entries.	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.	Confidential destruction
Proof of postage – candidates' work	Proof of postage of sample of candidates' work submitted to awarding body moderators.	<p><i>(Centres not involved in the secure despatch of exam scripts service:</i></p> <p><i>a) must obtain proof of postage/despatch for each packet of scripts, which must be retained on the</i></p>	Confidential destruction



Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	(Proof of postage of candidates' scripts to awarding body examiners/markers)	<i>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 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.)</i> [Reference ICE 29])	
Resolving timetable clashes information	Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers	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.	Confidential destruction
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.	Confidential destruction
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	<i>...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. You 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.</i> [Reference ICE 6]	Confidential destruction
Special consideration information	Any hard copy information relating to a special consideration request and supporting evidence submitted to an awarding body for a candidate.	<i>Where a candidate is present but disadvantaged for a timetabled written examination a proportion of cases will be sampled by an awarding body for quality assurance purposes. A centre may be asked by an awarding body to provide signed evidence, produced by a member of the senior leadership team, in support of an application. The centre must retain evidence supporting an on-line special consideration application until after the publication of results.</i>	Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		<p><i>Where a candidate is absent from an examination for an acceptable reason a proportion of cases will be sampled by an awarding body for quality assurance purposes. A centre may be asked by an awarding body to provide signed evidence, produced by a member of the senior leadership team, in support of an application. The centre must retain evidence supporting a candidate's absence from an examination until after the publication of results.</i></p> <p><i>[Reference SC 6]</i></p>	
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.	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.	Confidential destruction
Transferred candidate arrangements	Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP.	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.	Confidential destruction
Very late arrival reports/outcomes	Any hard copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP.	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.	Confidential destruction