



Exams archiving policy

2018/19

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



Approved/reviewed by	
Mr J Richardson	
Date of next review	October 2019

Key staff involved in the exams archiving process

Role	Name(s)
Exams Officer	Mrs P McAteer
Exams Officer line manager (Senior Leader)	Mrs A Redshaw
Head of centre	Mr J Richardson
SENCo	Miss K Francis
Finance Manager	Mrs J Clements
IT Manager	Mr A Byers
Head of Department(s)	All HODs

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 disposal
Attendance register copies		<p>...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.</p> <p>[Reference ICE 12, 22]</p>	Confidential disposal
Awarding body administrative information	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	Recycling
Candidates' scripts	Any 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.</p> <p>[Reference PRS 6]</p>	Confidential 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 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 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).</p> <p>[Reference GR 3]</p>	Returned to candidates/HOD's or confidential disposal
Certificates	Candidate certificates issued by awarding bodies.	<p>...retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue</p> <p>[Reference GR 5]</p>	Certificates to be locked in cabinet until retention period passes then cont.

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
			they may confidential destroyed
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-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;</i> [Reference <u>GR 5</u>]	Confidential disposal after retention period has passed
Confidential materials: initial point of delivery logs	Logs recording awarding body confidential exam materials received at the initial point of delivery in the centre to the point where materials are securely issued to an authorised member of staff.	To be stored safely and securely until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series.	Confidential disposal
Confidential materials: receipt, secure movement and secure storage logs	Logs recording the receipt, checking, secure movement and secure storage of confidential exam materials.	To be stored safely and securely until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series.	Confidential disposal
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the <u>DfE (Standards & Testing Agency) yellow label service</u>	To be stored safely and securely until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series.	Confidential disposal
Entry information	Any hard copy information relating to candidates' entries.	To be kept in exam season folder until next academic year	Confidential disposal
Exam question papers	Question papers for timetabled written exams.	Issued to teaching staff after the published finishing time of the exam and only when all candidates in the centre have completed the exam. 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. [Reference <u>ICE 16</u> and <u>GR 5,6</u>]	Issued to subject staff
Exam room checklists	Checklists confirming exam room conditions and invigilation arrangements for each exam session.	To be stored safely and securely until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series.	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		[Reference ICE 6]	
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms for each exam session.	To be stored safely and securely until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series. [Reference ICE 6]	Confidential disposal
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 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 ICE 30]	Centre secure store or disposed of in a confidential manner
Examiner reports		To be immediately provided to head of department as records owner.	
Invigilation arrangements	See <i>Exam room checklists</i>		
Invigilator and facilitator training records	Attendance registers from training session, copies of certificates gained	<i>A record of the content of the training given to invigilators must be 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> <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 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> [Reference ICE 12, 13]	Confidential disposal
JCQ publications	Any hard copy publications provided by JCQ.	To be retained until the current academic year update is provided.	Recycling
Moderator reports		To be immediately provided to head of department as records owner.	
Overnight supervision information	JCQ form <i>Timetable variation and confidentiality declaration for overnight supervision</i> for	<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</i>	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	any candidate eligible for these arrangements.	<i>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;</i> [Reference ICE 8]	
Post-results services: confirmation of candidate consent information	Hard copy or email record of required candidate consent	<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> ATS consent to be retained for at least six months from the date consent given. [Reference PRS 4, 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.	Retained for at least six months following the outcome of the enquiry or any subsequent appeal.	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	Logs tracking to resolution all post-results service requests submitted to awarding bodies.	Retained for 12 months after the deadline for EARs	Electronic deletion
Proof of postage – candidates' work	Proof of postage of sample of candidates' work submitted to awarding body moderators.	Retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential disposal
Resolving timetable clashes information	Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers	Retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	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.	Confidential disposal
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 ICE 6]	Confidential disposal
Special consideration information	Any hard copy information relating to a special consideration request and supporting evidence submitted to an awarding body for a candidate.	Evidence supporting an on-line special consideration application and evidence supporting a candidate's absence from an exam must be kept 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.	Retained 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.	Retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	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.	Retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential disposal