



# 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	
Date of next review	Sept 2023

### Key staff involved in the exams archiving process

Role	Name(s)
Exams officer	<b>Alison Burton</b>
Exams officer line manager (Senior leader)	<b>Mr John Dalziel</b>
Head of centre	<b>Mr John Dalziel</b>
IT manager	<b>Mr Harvey Marks</b>
<b>ALS lead</b> /SENCo	<b>Mrs Heidi Greenstein</b>
Finance manager	
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/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 EO relating to an access arrangement candidate.	To be returned to SENCo as records owner at end of the candidate's final exam series.	<b>Shredded</b>
Alternative site arrangements	Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.	N/A	
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
Awarding body exams administrative information	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	Bin
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 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 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	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)
		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 GR 3.15)	
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.	... destroy any unclaimed certificates after retaining them for a minimum of 12 months. They must be destroyed in a confidential manner. Certificates always remain the property of the awarding bodies (Reference GR 5.14)	Confidential destruction
Certificate issue information	A record of certificates that have been issued.	...distribute certificates to all candidates without delay and regardless of any disputes	
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>Retained until the end of the exam period appeals process</b>	<b>Confidential waste</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	<b>Retained until the end of the exam period appeals process</b>	<b>Confidential waste</b>
Conflicts of Interest records	Records demonstrating the management of Conflicts of Interest	Kept in a green folder in Exams Office 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)	

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 <a href="#">DfE (Standards &amp; Testing Agency) yellow label service</a>	<b>Retained until the end of the exam period appeals process</b>	
Entry information	Any hard copy information relating to candidates' entries.	<b>Retained until the end of the exam period appeals process</b>	
Exam question papers	Question papers for timetabled written exams.	Reference <a href="#">ICE 31</a> : 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.  For CCEA examinations question papers must not be released until 24 hours after the published finishing time for the examination.)  ...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.	Issued to subject staff
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms for each exam session.		
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.	<b>Confidential destruction</b>
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.	
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	

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		appeal, malpractice or other results enquiry has been completed, whichever is later	
Moderator reports		Email 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	Electronic	
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	...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 <a href="#">ICE 8</a> )	
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 <a href="#">PRS 4</a> , appendix A and B)	
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.		
Post-results services: tracking logs	Logs tracking to resolution all post-results service requests submitted to awarding bodies.		
Private candidate information	Any hard copy information relating to private candidates' entries.	<b>Kept in the entry file and on email under entries</b>	

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.	
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. 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)	<b>Confidential waste</b>
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). Kept in file	
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.	<b>Retained in file</b>	