



Exams archiving policy

2019/20

Approved by

The Governing Body approved this statutory policy

Date of next review

November 2020

Key staff involved in the exams archiving process

Role	Name(s)
Exams Officer	Laura Bradford Dawn Hosier
Exams Officer line manager (Senior Leader)	Carol Wright
Head of centre	Jo Tupman
SENCo	Yvonne Burrows
Finance Manager	TBC
IT Manager	Paul Leake Gary Howell

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.	Kept on file for 3 years after candidate leaves the centre. Confidential waste/shredding
Attendance register copies		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 6,15]	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.	Confidential recycling waste
Candidates' work	Non-examination assessment work (inc. controlled assessment, coursework, portfolios) returned to the centre after awarding body moderation.	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. Then returned to subject staff as records owner. [Reference GR 3, 5]	Returned to candidates or safe disposal
Certificates		Unclaimed/uncollected certificates to be retained securely for a minimum of 12 months from date of issue. [Reference GR 5]	Confidential destruction
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 GR 5]	Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Certificate issue information	A record of certificates that have been issued to candidates.	[Reference GR 5]	Confidential destruction
Confidential materials delivery logs	A log recording confidential materials delivered by awarding bodies to the centre and issued to authorised staff.	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 destruction
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 retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential destruction
Conflict of Interest forms and log	A record of declarations and possible conflicts of interest within the centre- Google form, spreadsheet	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Permanent deletion
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service	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 destruction
Entry information	Any hard copy information relating to candidates' entries.	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 waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
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.</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 ICE 16 and GR 5,6]</p>	
Exam room checklists	Checklists confirming room conditions and invigilation arrangements for each exam room.	<p>To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.</p> <p>[Reference ICE 6]</p>	Confidential waste/shredding
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms.	<p>To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.</p>	Confidential waste/shredding
Exam stationery		<p>When awarding body or JCQ common stationery is considered surplus or is out-of-date it will be disposed of.</p> <p>[Reference ICE page 4 and ICE 23]</p>	Confidential disposal
Examiner reports		<p>To be immediately provided to head of department as records owner.</p>	Confidential waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Finance information	Copy invoices for exams-related fees.	To be returned to Finance department as records owner at the end of the academic year.	Confidential waste/shredding
Invigilation arrangements	See <i>Exam room checklists</i>		
JCQ publications	Any hard copy publications provided by JCQ.	To be retained until the current academic year update is provided.	Confidential waste/shredding
Moderator reports		To be immediately provided to head of department as records owner.	Confidential waste/shredding
Overnight supervision information	Copy of JCQ form <i>Timetable variation and confidentiality declaration for overnight supervision</i> for any candidate eligible for these arrangements.	To be retained for JCQ inspection purposes for the relevant exam series.	Confidential waste/shredding
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 PRS 4 , appendix A and B]	Confidential waste/shredding
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.	EAR information and outcomes to be retained for at least six months following the outcome of the enquiry or any subsequent appeal. ATS information to be retained for at least six months from the date consent given.	Confidential waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of 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	A log tracking to resolution all post-results service requests submitted to awarding bodies.	Kept electronically for at least 6 months following any outcomes or subsequent appeals.	Permanent deletion
Proof of postage – candidate work	Proof of postage of sample of candidates' work to awarding body moderators.	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 destruction
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 the deadline for EARs or until any appeal, malpractice or other results enquiry 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. [Reference Records Management Toolkit for Schools]	Confidential destruction
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.	Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		[Reference ICE 6]	
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 destruction
Suspected malpractice reports/outcomes	Any hard copy information relating to a suspected malpractice investigation/report submitted to an awarding body and outcome information from the awarding body.	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 destruction
Transferred candidate information	Any hard copy information relating to an application for a transferred candidate arrangement submitted to an awarding body for a candidate.	To be retained until the transfer arrangements are confirmed by the awarding body.	Confidential destruction
Very late arrival reports/outcomes	Any hard copy information relating to a very late arrival report submitted to an awarding body for a candidate and outcome information from the awarding body.	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 destruction