



# Exams Archiving Policy

<b>Date of last review:</b>	2020	<b>Review period:</b>	Annually
<b>Date of next review:</b>	2021	<b>Written by:</b>	Exams Officer
<b>Type of policy:</b>	Non-statutory	<b>Committee:</b>	Curriculum & Standards
<b>Signature:</b>			

# Exams archiving policy

2020/21

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

## Key staff involved in the exams archiving process

Role	Name(s)
Exams Officer	Lotte Tvede
SLT-Curriculum	Joanne Kehoe
Head of Centre	Rebecca Garratt
IT Manager	Justin Walters (Lourdes)

## **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 EO as records owner at end of the candidate's final exam series.	Confidential waste
Attendance register copies	Any hard copy information kept by the EO relating to attendance	...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 administrative information	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	Confidential waste
Candidates' work	Non-examination assessment work (incl. controlled assessment, coursework, portfolios) returned to the centre after awarding body moderation.	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 passed or until a review of moderation, an appeal or a malpractice	Returned to candidates or Confidential waste

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		<p>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)</p>	
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 waste
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	<p>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... (Where an awarding body issues a replacement certificate, or a Certifying Statement of Results, this will provide an accurate and complete record of results for all qualifications covered by the original certificate... return any certificates</p>	Confidential waste

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		requested by the awarding bodies. Certificates remain the property of the awarding bodies at all times. (Reference <a href="#">GR 5.14</a> )	
Certificate issue information	A record of certificates that have been issued to candidates.	...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... (Reference <a href="#">GR 5.14</a> )	Confidential waste
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.	Two years	Confidential waste
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	Two academic years	Confidential waste

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Conflicts of Interest records	Records demonstrating the management of Conflicts of Interest	...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. (Reference <a href="#">GR 5.3</a> )	Confidential waste
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>	Kept till all after appeals deadlines	Confidential waste
Entry information	Any hard copy information relating to candidates' entries.	Will be kept for two years	Confidential waste
Exam question papers	Question papers for timetabled written exams.	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... (Reference <a href="#">GR 6.12</a> )	Confidential waste
Exam room checklists	Checklists confirming room conditions and invigilation arrangements for each exam session for each session.	To be retained until after the deadline for RoRs or until any appeal, malpractice or	Confidential waste

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		other results enquiry has been completed, whichever is later. [Reference <a href="#">ICE 11</a> ]	
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms.	Kept till all after appeals deadlines	Confidential waste
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. (Reference <a href="#">ICE 30</a> )	Confidential waste
Examiner reports		(Where/if provided) To be immediately provided to head of department as records owner.	<b>archived</b>
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
Invigilation arrangements	Records of training/copy of invigilator certificates	Records and certificates are held for as long as they are relevant	Confidential waste
Moderator reports		To be immediately provided to head of department as records owner.	Confidential waste
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	...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	Confidential waste



Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	<p>the candidate, the supervisor and the head of centre</p> <p>Any hard copy information relating to overnight supervision arrangements. Reports submitted online via CAP.</p>	<p>paper format and must not be sent to an awarding body, unless specifically requested... (Reference <a href="#">ICE 8</a>)</p>	
<p>Post-results services: confirmation of candidate consent information</p>	<p>Hard copy or email record of candidate consent</p>	<p>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.</p> <p>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.</p> <p>This form should be retained on the centre's files for at least six months.</p>	<p>Confidential waste</p>
<p>Post-results services: requests/outcome information</p>	<p>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.</p>	<p>To be retained until after the deadline for RoRs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.</p>	<p>Confidential waste</p>
<p>Post-results services: tracking logs</p>	<p>Logs tracking to resolution all post-results service requests submitted to awarding bodies.</p>	<p>To be retained until after the deadline for RoRs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.</p>	

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Post-results services: tracking logs	A log tracking to resolution all post-results service requests submitted to awarding bodies.	To be retained until after the deadline for RoRs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste
Private candidate information	Any hard copy information relating to private candidates' entries.	To be retained until after the deadline for RoRs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.  [Reference <a href="#">ICE 16</a> ]	Confidential waste
Proof of postage – candidate 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)	Centres not involved in the secure despatch of exam scripts service... must obtain proof of postage/despatch for each packet of scripts, which must be retained on the 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.)... (Reference <a href="#">ICE 29</a> )	Confidential waste
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.  [Reference <a href="#">ICE 7</a> ]	Confidential waste

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 waste
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 <a href="#">ICE 12</a> )	Confidential waste
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 <b>must</b> be supported by signed evidence produced by a member of the senior leadership team. <b>The centre must retain this evidence until after the publication of results.</b> (Reference <a href="#">SC 6</a> )	Confidential waste
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 RoRs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste
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 waste

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
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 waste