



Exams Archiving Policy

Policy/Procedure creator: Karen Pollard

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Key staff involved in the policy

Role	Name
Exams officer	Karen Pollard
Senior leader(s)	Ms Emma Clapham - SLT Lead to Exams
Head of centre	Miss Justine Mason
IT manager	Mark Kent
ALS lead/SENCo	Chris McNamara
Finance manager	Jazmin Knight
Head(s) of department	Not Applicable
Other staff (if applicable)	Not Applicable

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

References in this policy to GR, ICE, SC and PRS refer to the JCQ publications **General Regulations for Approved Centres**, **Instructions for conducting examinations**, **A guide to the special consideration process** and **Post-Results Services**.

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

1. Access arrangements information

Record(s) description

Any hard copy information kept by the EO relating to an access arrangement candidate

Retention information/period

To be stored in the exam cupboard for twelve months after the candidates last exam

Action at the end of retention period (method of disposal)

Confidential waste/ shredding

2. Alternative site arrangements

Record(s) description

Any hard copy information on alternative site arrangements. Notification submitted online.

Retention information/period

To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later

Action at the end of retention period (method of disposal)

Confidential waste/shredding

3. Attendance register copies

Record(s) description

Attendance registers

Retention information/period

To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later

Action at the end of retention period (method of disposal)

Confidential waste/shredding

4. Awarding body administrative information

Record(s) description

Any hard copy publications provided by awarding bodies

Retention information/period

To be retained until the current academic year update is provided

Action at the end of retention period (method of disposal)

Dispose of in recycling

5. Candidates' scripts

Record(s) description

Any unwanted copies of scripts to be returned to the centre through ATS

Retention information/period

To be retained securely.

Scripts used for teaching and learning purposes no longer required.

Action at the end of retention period (method of disposal)

Confidential destruction

6. Candidates' work

Record(s) description

Non-examination assessment work (inc. controlled assessment, coursework, portfolios) returned to the centre after awarding body moderation

Retention information/period

To be immediately returned to HOD's as records owner. (recorded on spreadsheet)

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

Action at the end of retention period (method of disposal)

Returned to candidates or safe disposal

7. Centre consortium arrangements for centre assessed work

Record(s) description

Any hard copy information generated or relating to consortium arrangements for centre assessed work. Applications submitted online via CAP.

Retention information/period

To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later

Action at the end of retention period (method of disposal)

Confidential destruction

8. Certificates

Record(s) description

Candidate certificates issued by awarding bodies

Retention information/period

Unclaimed/uncollected certificates to be retained securely for a minimum of 12 months from date of issue in Main Reception
After 12 months stored securely in the Exams Office

Action at the end of retention period (method of disposal)

Confidential destruction, if required

9. Certificate destruction information

Record(s) description

A record of unclaimed certificates that have been destroyed

Retention information/period

To be retained for 4 years from the date of certificate destruction

Action at the end of retention period (method of disposal)

Confidential destruction

10. Certificate issue information

Record(s) description

A record of certificates that have been issued to candidates

Retention information/period

Signed sheets are kept for a minimum of 12 months

Action at the end of retention period (method of disposal)

Confidential destruction

11. Confidential materials: initial point of delivery logs

Record(s) description

A Log recording awarding body confidential exam material 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

Retention information/period

Recorded by Reception Staff in a log.

To be kept for the duration of the exam series

Action at the end of retention period (method of disposal)

Confidential destruction

12. Confidential materials: receipt, secure movement and secure storage logs

Record(s) description

A log 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

Retention information/period

Record sheet kept in Exams Office
To be kept for the duration of the exam series

Action at the end of retention period (method of disposal)

Destruction

13. Conflict of Interest records

Record(s) description

Records demonstrating the management of Conflicts of Interest

Retention information/period

To be retained by the Exams officer for the duration of the exam series

Action at the end of retention period (method of disposal)

Confidential destruction

14. Dispatch logs

Record(s) description

Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service

Retention information/period

Record kept in Reception File for the duration of the exam series

Action at the end of retention period (method of disposal)

Destruction

15. Entry information

Record(s) description

Any hard copy information relating to candidates' entries

Retention information/period

Kept in the Exams Office File, for 12 months after the exam series has finished

Action at the end of retention period (method of disposal)

Confidential destruction

16. Exam question papers**Record(s) description**

Question papers for timetabled written exams

Retention information/period

Issued to teaching staff after the published finishing time of the exam and only when all candidates in the centre have completed the exam.

This would normally be the following day.

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

Action at the end of retention period (method of disposal)

Destroyed once finished with or returned to the Awarding Body as per their instructions

17. Exam room checklists**Record(s) description**

Checklists confirming room conditions and invigilation arrangements for each exam room

Retention information/period

To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

Kept on file for 12 months after the exam series has finished

Action at the end of retention period (method of disposal)

Confidential destruction

18. Exam room incident logs**Record(s) description**

Logs recording any incidents or irregularities in exam rooms

Retention information/period

Kept in the log book. For a minimum of the duration of the exam series, or until the book is full

Action at the end of retention period (method of disposal)

Confidential disposal

19. Exam stationery

Record(s) description

Awarding body exam stationery provided solely for the purpose of external exams

Retention information/period

Any unused exam stationery will be returned to the secure storage facility or secure room until needed for a future examination. When awarding body or JCQ common stationery is considered surplus or is out-of-date it will be disposed of

Action at the end of retention period (method of disposal)

Confidential disposal

[20. Examiner reports](#)**Record(s) description**

Examiner reports

Retention information/period

To be immediately provided to head of department as records owner

Action at the end of retention period (method of disposal)

Confidential disposal

[21. Finance information](#)**Record(s) description**

Copy invoices for exams-related fees

Retention information/period

To be returned to Finance department as records owner as they are received. Kept for current year plus archived for further 6 years

Action at the end of retention period (method of disposal)

Confidential disposal

[22. Invigilation arrangements](#)**Record(s) description**

Checklists confirming room conditions and invigilation arrangements for each exam room

Retention information/period

To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later. Kept on file for 12 months after the exam series has finished

Action at the end of retention period (method of disposal)

Confidential destruction

23. Invigilator and facilitator training records

Record(s) description

Attendance registers
Powerpoint presentations
Invigilator Packs

Retention information/period

Record kept of all training and those who attend. To be kept on file until deadline for reviews of marking has passed or appeals or malpractice has been completed

Action at the end of retention period (method of disposal)

Confidential disposal

24. Moderator reports

Record(s) description

Moderator reports

Retention information/period

To be immediately provided to head of department as records owner

Action at the end of retention period (method of disposal)

Confidential disposal when no longer required

25. Moderation return logs

Record(s) description

Electronic record on movement of NEA. Logged when leaving/returning to centre

Retention information/period

Retained until end of reviews of marking has passed or appeals or malpractice has been completed

Action at the end of retention period (method of disposal)

Delete file

26. Overnight supervision information

Record(s) description

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

Retention information/period

To be retained for JCQ inspection purposes for the relevant exam series.
Kept on file for a further 12 months

Action at the end of retention period (method of disposal)

Confidential disposal

27. Post-results services: confirmation of candidate consent information**Record(s) description**

Hard copy or email record of candidate consent for an EAR or ATS request to be submitted to an awarding body

Retention information/period

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.

Kept on file for 6 months after the exam series

Action at the end of retention period (method of disposal)

Confidential disposal

28. Post-results services: request/outcome information**Record(s) description**

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

Retention information/period

Kept on file for a further 12 months after the exam series

Action at the end of retention period (method of disposal)

Confidential disposal

29. Post-results services: tracking logs**Record(s) description**

A log tracking to resolution all post-results service requests submitted to awarding bodies

Retention information/period

Retained on file for 12 months after the exam series

Action at the end of retention period (method of disposal)

Confidential disposal

30. Private candidate information**Record(s) description**

Any hard copy information relating to private candidates' entries. Proof of identification

Retention information/period

Retained on file for 12 months after the exams series

Action at the end of retention period (method of disposal)

Confidential disposal

31. Proof of postage - candidates' work**Record(s) description**

Proof of postage of sample of candidates' work to awarding body moderators

Retention information/period

Retained in Reception for duration of exam series

Action at the end of retention period (method of disposal)

Confidential disposal

32. Resolving timetable clashes**Record(s) description**

Any hard copy information relating to the resolution of a candidate's clash of exam papers or a timetable variation

Retention information/period

Retained on file for 12 months after the exam series

Action at the end of retention period (method of disposal)

Confidential disposal

33. Results information**Record(s) description**

Broadsheets of results summarising candidate final grades by subject by exam series

Retention information/period

Records for current year plus previous 6 years to be retained as a minimum. Kept electronically.
[Reference Records Management Toolkit for Schools]

Action at the end of retention period (method of disposal)

Confidential disposal

34. Seating plans

Record(s) description

Plans showing the seating arrangements of all candidates for every exam taken

Retention information/period

To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

Must be signed by Invigilator

Kept for 12 months after the end of the exam series

Action at the end of retention period (method of disposal)

Confidential disposal

35. Special consideration information**Record(s) description**

Any hard copy information relating to a special consideration request and supporting evidence submitted to an awarding body for a candidate and signed evidence produced by a senior leader in support of the application

Retention information/period

Evidence must be produced by a member of the senior leadership team to support 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.

Kept for 12 months after the end of the exam

Action at the end of retention period (method of disposal)

Confidential disposal

36. Suspected malpractice reports/outcomes**Record(s) description**

Any hard copy information relating to a suspected malpractice investigation/report submitted to an awarding body and outcome information from the awarding body

Retention information/period

Kept on file

Action at the end of retention period (method of disposal)

Confidential disposal

37. Transferred candidate arrangements**Record(s) description**

Any hard copy information relating to an application for a transferred candidate arrangement submitted to an awarding body for a candidate

Retention information/period

To be retained until the transfer arrangements are confirmed by the awarding body

Action at the end of retention period (method of disposal)

Confidential disposal

38. Very late arrival reports/outcomes

Record(s) description

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

Retention information/period

To be retained on file until after the exam series and for a further 12 months

Action at the end of retention period (method of disposal)

Confidential disposal

39. Any other records/documentation/materials

Record(s) description

Not Applicable

Retention information/period

Not Applicable

Action at the end of retention period (method of disposal)

Not Applicable

40. Any other records/documentation/materials

Record(s) description

Not Applicable

Retention information/period

Not Applicable

Action at the end of retention period (method of disposal)

Not Applicable