



Appendix 17 – Exams Archiving Policy 2021/22

Next review: Autumn 2022

Key staff involved in the exams archiving process

Role	Name(s)
Data \ Exams officer	Mrs C Woffenden
Exams officer line manager (Senior leader)	Mrs M Muhammed
Head of centre	Mrs J Napper
IT manager	Mr D Entwisle
ALS lead/SENCo	Mrs C Long
Finance manager	Mrs M Muhammed
Head of department(s)	Mr M Khan Ms R Whitham Mr U Younas Ms R Williams Mr L Patel Mrs R Dinniwell Mr C Hooper Mr N Arif

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 ALS lead/SENCo as records owner at end of the candidate's final exam series.	Confidential disposal
Alternative site arrangements	Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.		Confidential disposal
Attendance register copies	Attendance registers for external exams	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later. ..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 disposal
Awarding body administrative information	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	Recycle
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. ...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	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)
		<p>moderation sample (including materials stored electronically)</p> <p>...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 investigation has been completed, whichever is later. This includes materials stored electronically. See paragraph 4.8 of the JCQ publication <i>Instructions for conducting non - examination assessments</i> https://www.jcq.org.uk/exams-office/non-examination-assessments (Reference GR 3.15)</p>	
Centre consortium arrangements for centre assessed work	Any hard copy information generated or relating to consortium arrangements for centre assessed work. Applications submitted online.		Confidential disposal
Certificates	Candidate certificates issued by awarding bodies.	<p>Unclaimed / uncollected certificates to be retained securely for a maximum of 5 years from the date of issue.</p> <p>...retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue (Reference GR 5.14)</p>	Confidential disposal
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	<p>To be retained for 4 years from the date of certificate destruction.</p> <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...</p>	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		...return any certificates requested by the awarding bodies. Certificates always remain the property of the awarding bodies. (Reference GR 5.14)	
Certificate issue information	A record of certificates that have been issued, normally during Presentation Evening.	To be retained for 4 years from the date of certificate issue. ...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 GR 5.14)	Confidential disposal
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.	To be retained for the relevant academic year.	Confidential disposal
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	To be retained for the relevant academic year.	Confidential disposal
Conflicts of interest records	Records demonstrating the management of conflicts of interest	To be retained for the relevant exams year until any appeal, malpractice or other results enquiry has been completed. ...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	Confidential disposal

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. (Reference GR 5.3)	
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 EAR's or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential disposal
Entry information	Any hard copy information relating to candidates' entries.	To be retained until after the deadline for EAR's or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential 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>...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 GR 6.13)</p>	Issued to subject staff
Exam room checklists	Checklists confirming exam room conditions and invigilation arrangements for each exam session.	To be retained until after the deadline for EAR's or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential disposal
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms for each exam session.	To be retained until after the deadline for EAR's or until any appeal, malpractice or	Confidential disposal

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.	
Exam stationery	Awarding body exam stationery provided solely for the purpose of external exams.	When Awarding Body or JCQ common stationery is considered surplus or is out of date it will be disposed of. ...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 ICE 30)	Confidential disposal
Examiner reports	Reports from Examiners	Where/if provided, to be immediately provided to Team Leader as records owner.	Confidential 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 disposal
Invigilation arrangements	<i>See Exam room checklists</i>	To be retained until after the deadline for EAR's or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential disposal
Invigilator and facilitator training records	Invigilator training records	Records may be retained for a longer period if the certificate \ training is still in date. 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 appeal, malpractice or other results enquiry has been completed, whichever is later. (Reference ICE 12)	Confidential disposal
Moderator reports	Reports from Moderators	(Where printed from electronic copy) To be immediately provided to Team Leaders as records owner.	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Moderation returns logs	Logs recording the return of candidates' work to the centre by the awarding body at the end of the moderation period	To be retained until after the deadline for EAR's or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential disposal
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 Any hard copy information relating to overnight supervision arrangements. Reports submitted online via CAP.	To be retained for JCQ inspection purposes for the relevant exam series. ...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 ICE 8)	Confidential disposal
Post-results services: confirmation of candidate consent information	Hard copy or email record of required candidate consent	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 of consent given. 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. (Reference PRS 4 , plus appendix A and B)	Confidential disposal
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.	To be retained until the EAR consent for at least six months following the outcome of the enquiry or any subsequent appeal. To be retained with the ATS consent for at least six months from the date consent given.	Confidential disposal
Post-results services: tracking logs	Logs tracking to resolution all post-results service requests submitted to awarding bodies.	To be retained until after the deadline for EAR's or until any appeal, malpractice or	Confidential disposal

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.	
Private candidate information	Any hard copy information relating to private candidates' entries.	To be retained until after the deadline for EAR's or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential disposal
Proof of postage – candidates' 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)	To be retained until after the deadline for EAR's or until any appeal, malpractice or other results enquiry has been completed, whichever is later. 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 will 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 ICE 29)	Disposal
Resolving timetable clashes information	Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers	To be retained until the date of the exam clash or timetable variation has passed.	Confidential disposal
Results information	Broadsheets of public examination 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 EAR's or until any appeal, malpractice or other results enquiry has been completed, whichever is later. ...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	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		has been completed, whichever is later... (Reference ICE 12)	
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.	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. 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)	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.	Evidence supporting a malpractice investigation / report must be kept until after the publication of results.	Confidential disposal
Transferred candidate arrangements	Any hard copy information relating to 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 disposal
Very late arrival reports/outcomes	Any hard copy information relating to a candidate arriving very late to an exam and the outcome information from the Awarding Body.	To be retained for JCQ inspection purposes for the relevant exam series.	Confidential disposal