



Appendix 11: Exams Archiving Policy 2021/22

This plan is reviewed annually to ensure compliance with current regulations

Reviewed by	
Jill Rhodes, Exams Officer, September 2021	
Date of next review	September 2022

Key staff involved in the exams archiving process

Role	Name(s)
Exams officer	Jill Rhodes
Exams officer line manager (Senior leader)	Sarah Jackson
Head of centre	Kate Connolly
IT manager	Dave Gay
ALS lead/SENCo	Catherine Holden
Finance manager	Sarah Jackson
Head of department(s)	Caroline Maddock-Hodgins, Karl Sullivan, Steve Catterall, Kieren Russell, Mel Hey,

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.	Confidential disposal
Alternative site arrangements	Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.	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 disposal
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.	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.	Disposal
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 Safe disposal 4 are disposed of in a confidential manner, but no earlier than the dates specified by the awarding bodies...	Confidential disposal
Candidates' work	Non-examination assessment work (including 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.	Returned to candidates or safe disposal
Centre consortium arrangements for centre assessed work	Any hard copy information generated or relating to consortium arrangements for centre assessed work. Applications submitted online via CAP.	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 disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Certificates	Candidate certificates issued by awarding bodies	Unclaimed/uncollected certificates to be retained securely for a minimum of 12 months from date of issue.	
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	To be retained for 4 years from the date of certificate destruction.	Confidential disposal
Certificate issue information	A record of certificates that have been issued to candidates.	To be retained for 4 years from the date of certificate issue.	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 until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	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 until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential 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 GR 5.3)	Confidential disposal

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 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 disposal
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 destruction
Exam question papers	Question papers for timetabled written exams.	Issued to teaching staff after the published finishing time of the exam and only when all candidates in the centre have completed the exam. 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.	Confidential disposal
Exam room checklists	Checklists confirming room conditions and invigilation arrangements for each exam room.	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 disposal
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms.	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 disposal
Exam stationery		When awarding body or JCQ common stationery is considered surplus or is out-of-date it will be disposed of.	Confidential disposal
Examiner reports		To be 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.	
Invigilation arrangements	See <i>Exam room checklists</i>		
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 appeal, malpractice or other results enquiry has been completed, whichever is later. (Reference ICE 12)	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Moderator reports		To be immediately provided 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	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 disposal
Overnight supervision information	Copy of JCQ form <i>Timetable variation and confidentiality declaration for overnight supervision</i> for any candidate eligible for these arrangements.	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;	Confidential disposal
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	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 Safe disposal & 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 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 for 12 months.	Confidential disposal
Post-results services: tracking logs	Logs tracking to resolution all post-results service requests submitted to awarding bodies.	To be retained for 12 months.	Confidential disposal
Private candidate information	N/A		
Proof of postage – candidate work	Proof of postage of sample of candidates' work to submitted to awarding body moderators. (Proof of postage of candidates' scripts to awarding body examiners/markers)	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 disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
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 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 EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential disposal
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.	Confidential disposal
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 disposal
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 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 disposal