



**HEART OF ENGLAND**  
Creating Futures

# Exams Archiving Policy

2021/22

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

Approved/reviewed by	
L Williams	
Date of next review	Oct 22

## Key staff involved in the exams archiving process

Role	Name(s)
Exams & Data Manager	<b>L Williams</b>
SLT responsible for Exams	<b>H Clare</b>
Head of centre	<b>J Hughes-Williams</b>
Network manager	<b>R Smith</b>
SENDCo	<b>S Owen</b>
Data Protection Officer	<b>J Fuller</b>
Finance manager	<b>J Jones</b>

## **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	<i>Access Arrangements Online</i> approval, data protection notice and Form 8.	Kept in Exams Office until pupil leaves then transferred to student file.	Pupil files until 25yrs then confidential shredding.
Alternative site arrangements	Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.	Then to be held on file in the Exam Office until the deadline for post-results services and the resolution of outstanding enquiries or appeals.	Confidential disposal
Attendance register copies Exam room checklists Exam room incident logs Seating plans	Checklists confirming exam room conditions and invigilation arrangements for each exam session. Logs recording any incidents or irregularities in exam rooms for each exam session. 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 ICE 12, 22)	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.	Recycling
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 returned to Curriculum Leaders 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)	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)
		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> <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)	
Certificates	Y11 issued via Y12 tutors or collected from office, Y12 issued via tutors in Y13 & Y13 to be collected by arrangement with Associate Director Post 16.	Unclaimed certificates held on file for 12 months can be posted (recorded) to last known address if candidate pays £2 towards the cost.  A record should be kept of certificates that have been issued.  Ref GR 5.14	Confidential shredding, register kept by Exam Officer of destroyed certificates for 7 years.
Certificate issue information	A record of certificates that have been issued.	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 shredding.
Confidential materials: initial point of delivery logs  Dispatch 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.  Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service	To be filed in General Office for the series. Then to be held on file in the Exam Office until the deadline for post-results services and the resolution of outstanding enquiries or appeals.	Confidential shredding.

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of 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 & Data Manager (or other authorised member of centre staff) throughout the period the materials are confidential	To be held on file in the Exam Office until the deadline for post-results services and the resolution of outstanding enquiries or appeals.	Confidential shredding.
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 shredding.
Entry information	Lists of candidate name, DOB, gender, candidate number, UCI, ULN and entries by series.	To be held in the Exams Office until the deadline for post-results services and the resolution of outstanding enquiries or appeals	Confidential shredding.
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 GR 6.13)	Issued to Curriculum Leaders
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 ICE 30)	Confidential destruction
Moderator & Examiner reports	Copy may kept with results for the relevant period.	To be immediately provided to Curriculum Leaders as records owner.	Destroy with results

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Finance information	Copy invoices of exam-related fees are not normally printed but managed in CORERO.	To be returned to Finance department as records owner at the end of the academic year.	
Invigilator and facilitator training records	A records of the content of training given to invigilators and those facilitating access arrangements for candidates must be available for inspection.	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 Shredding
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	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 Shredding
Post-results services: confirmation of candidate consent information	Hard copy or email record of required candidate consent	Consent forms or e-mails from candidates <b>must</b> 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 Shredding
Post-results services: requests/outcome information	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.	File with results.	Confidential Shredding
Post-results services: tracking logs	Logs tracking to resolution all post-results service requests submitted to awarding bodies.	Keep all logs until the resolution of all post-result services and appeals.	Confidential Shredding
Private candidate information	Any hard copy information relating to private candidates' entries.		Confidential Shredding
Proof of postage – candidates' work	Proof of postage of sample of candidates' work submitted to awarding body moderators.	Centres not involved in the secure despatch of exam scripts service... must obtain proof of postage/despatch	General Office maintain POP records

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	(Proof of postage of candidates' scripts to awarding body examiners/markers)	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)	
Resolving timetable clashes information	Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers	Keep until the day of the clash.	Confidential Shredding
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 Shredding
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 SC 6)	Confidential Shredding
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.	Filed in Exams Office until candidate leaves the centre. Transferred to Pupil File.	File destroyed when pupil turns 25 years old.
Transferred candidate arrangements	Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP.	To be retained until the transfer arrangements are confirmed by the Awarding Organisation.	Confidential shredding after the results have been published.
Very late arrival reports/outcomes	Any hard copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP.	To be held on file in the Exams Office until the deadline for post-results services and the resolution of outstanding enquiries or appeals.	Confidential Shredding