

# Exams archiving policy

2018/19

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

<b>Approved/reviewed by</b>	
Management Committee	
<b>Date of next review</b>	01/12/2019

## Key staff involved in the exams archiving process

<b>Role</b>	<b>Name(s)</b>
Exams Officer/SBM	<b>Dawn Hollingsworth</b>
Exams Officer line manager (Senior Leader)	<b>Kath Formby</b>
Head of centre	<b>Kath Formby</b>
SENCo	<b>Lois Gore</b>
IT Manager	<b>Martin Windmill/Michael Blackwell</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

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.	
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 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.	Recycle
Candidates' work	Non-examination assessment work (inc. controlled assessment, coursework, portfolios) returned to the centre after awarding body moderation.	To be 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) 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
Certificates		Unclaimed/uncollected certificates to be retained securely for a minimum of 12 months from date of issue.	Confidential destruction/shred
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 destruction/shred
Certificate issue information	A record of certificates that have been issued to candidates.	To be retained for 4 years from the date of issue	Confidential destruction/shred
Confidential materials delivery logs	A log recording confidential materials delivered by awarding bodies to the centre and issued to authorised staff.	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/shred
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the <u>DfE</u>	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later	Shred

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	<u>(Standards &amp; Testing Agency) yellow label service</u>		
Entry information	Any hard copy information relating to candidates' entries.	To be retained until after the exam series has ended.	
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 and the papers have been collected by Parcel Force.</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>	
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.	Shred
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.	Shred
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 immediately provided to head of department as records owner.	
Finance information	Copy invoices for exams-related fees.	To be returned to School Business Manager as records owner at the end of the academic year.	
JCQ publications	Any hard copy publications provided by JCQ.	To be retained until the current academic year update is provided.	Recycle

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.	
Overnight supervision information	Copy of JCQ form <i>Timetable variation and confidentiality declaration for overnight supervision</i> for any candidate eligible for these arrangements.	To be retained for JCQ inspection purposes for the relevant exam series.	
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	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.	Shred
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.	Retain on file for one year from the date of issue	Shred
Post-results services: scripts provided by ATS service	Copies of exam scripts (or an electronic image of the script) returned to the centre by the awarding body/copies downloaded by the centre where the awarding body provides online access to scripts.	Where copies of scripts are retained by the centre, they must be securely stored (including any electronic versions) until they are no longer required.	Confidential disposal
Proof of postage – candidate work	Proof of postage of sample of candidates' work to awarding body moderators.	Retained until after publication of results	shred
Resolving clashes information	Any hard copy information relating to the resolution of a candidate's clash of exam papers or a timetable variation.	Retained until after publication of results	shred
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.	Shred

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of 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.	Shred
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.	Shred
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 has been completed – whichever is later	Shred
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.	Shred
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.	Shred