

Exams archiving policy

2020/21

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

Approved/reviewed by	
C. Crabtree	
Date of next review	September 2021

Key staff involved in the exams archiving process

Role	Name(s)
Exams officer	C Crabtree
Exams Officer line manager (Senior Leader)	P Wheatley
Head of centre	F Turnbull
IT manager	SCS IT Support
SEnCo	A Gowland, C Ford
Finance Manager	N Shiells
Faculty Leaders	Jen James, K Green, Kate Spoor, Giles Fullard, Simon Alexander, Michelle Johnstone, Alisha McKenna, Lynne Gainford

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	Google Sheet held on the secure google drive.	To be removed from Google drive by SENCo as records owner at end of the candidate's final exam series.	
Alternative site arrangements	Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.	To be destroyed after the review of marking and appeals period is over.	
Attendance register copies	Kept filed in the filing cabinet in the exams office.	To be kept until the deadline for reviews of marking has passed 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. Electronic files.	To be retained until the current academic year update is provided.	
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.	Confidential waste/shredding
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 be stored safely and securely until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later	Returned to candidates or confidential waste/shredding
Certificates	Candidate certificates issued by awarding bodies.	To be stored securely for 5 years.	Confidential waste/shredding
Certificate destruction information	Certificates are kept for 5 years so no record of destruction of certificates is required.	N/A	Confidential waste/shredding
Certificate issue information	A record of certificates that have been issued.	Certificates are issued in mid-November. Any certificates which have not been collected will be retained for 5 years.	
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.	Kept for two years then destroyed securely.	Confidential waste/shredding, electronic versions deleted.

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 officer (or other authorised member of centre staff) throughout the period the materials are confidential	Kept for two years then destroyed securely.	Confidential waste/shredding, electronic versions deleted.
Conflicts of Interest records	Records demonstrating the management of Conflicts of Interest	To be kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/shredding, electronic versions deleted.
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 kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/shredding, electronic versions deleted.
Electronic scripts	Word processed scripts and other electronic materials produced under exam conditions saved on the exams server	To be kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Electronic versions deleted.
Entry information	Any hard copy information relating to candidates' entries.	To be kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/shredding, electronic versions deleted.
Exam question papers	Question papers for timetabled written exams.	To be kept until the end of the exam day or until all exam papers have been accounted for and packaged ready to be despatched to the exam board, whichever is later.	Issued to subject staff
Exam room checklists	Checklists confirming exam room conditions and invigilation arrangements for each exam session.	To be kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/shredding, electronic versions deleted.
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms for each exam session.	To be kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/shredding, electronic versions deleted.

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Exam stationery	Awarding body exam stationery provided solely for the purpose of external exams.	Returned to the exam secure storage for future use. Out of date exam board stationery will be destroyed when notified by the exam board that it will no longer be used.	Confidential waste/shredding
Examiner reports	Reports on exams sat in the centre.	To be immediately 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	Records of training events attended by invigilators.	To be kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/shredding, electronic versions deleted.
Moderator reports	Reports on coursework completed at the centre and submitted for verification of marks.	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 kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/shredding, electronic versions deleted.
Overnight supervision information	JCQ form 'Timetable variation and confidentiality declaration for overnight supervision' completed for any candidate eligible for these arrangements.	To be kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/shredding, electronic versions deleted.
Post-results services: confirmation of candidate consent information	Hard copy or email record of required candidate consent.	To be kept for at least six months following the outcome of the clerical re-check, review of marking or any subsequent appeal.	Confidential waste/shredding, electronic versions deleted.
Post-results services: requests/outcome information	Hard copy or email record of required candidate request and outcome.	To be kept for at least six months following the outcome of the clerical re-check, review of marking or any subsequent appeal.	Confidential waste/shredding, electronic versions deleted.

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Post-results services: tracking logs	Logs tracking to resolution all post-results service requests submitted to awarding bodies.	To be kept for at least six months following the outcome of the clerical re-check, review of marking or any subsequent appeal.	Confidential waste/shredding, electronic versions deleted.
Private candidate information	Any hard copy information relating to private candidates' entries.	To be kept until one year after the exam result has been released.	Confidential waste/shredding, electronic versions deleted.
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 kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/shredding, electronic versions deleted.
Resolving timetable clashes information	Any information relating to the resolution of a candidate's clash of timetabled exam papers	To be kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/shredding, electronic versions deleted.
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.	Confidential waste/shredding, electronic versions deleted.
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	To be kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/shredding, electronic versions deleted.
Special consideration information	Any information relating to a special consideration request and supporting evidence submitted to an awarding body for a candidate.	To be kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/shredding, electronic versions deleted.
Suspected malpractice reports/outcomes	Any information relating to a suspected or actual malpractice investigation/report submitted to an awarding body and outcome information from the awarding body.	To be kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/shredding, electronic versions deleted.

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Transferred candidate arrangements	Any information relating to a transferred candidate arrangement. Applications submitted online via CAP.	To be kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/shredding, electronic versions deleted.
Very late arrival reports/outcomes	Any information relating to a candidate arriving very late to an exam. Reports submitted online via CAP.	To be kept until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/shredding, electronic versions deleted.