



Policy Title	Exams Archiving Policy
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## **EXAMS ARCHIVING POLICY**

**Date of Next Review: Spring 2020**

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## 1. Key staff involved in awarding and allocating word processors for exams

Role	Name(s)
Exams Officer	N. Gaidamashchuk
Exams Officer line manager	S. Johnson
Head of centre	A. Ebenezer
SEnCo	R. Adams
Finance manager	M. Harris
IT manager	M. Kuddus
Heads of Departments	

## 2. 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

### 3. Archiving guidelines

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
<b>Access arrangements information</b>	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.	
<b>Alternative site arrangements</b>	Any hard copy information on an alternative site arrangement. Notifications submitted online via CAP.	Must 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.	
<b>Attendance register copies</b>		Signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination must 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.  [Reference <a href="#">ICE 12, 22</a> ]	Confidential waste/shredding

<b>Awarding body administrative information</b>	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	
<b>Candidates' scripts</b>	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 <a href="#">PRS 6</a> ]	Confidential disposal
<b>Candidates' work</b>	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 moderation sample (including materials stored electronically) <i>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 (for the exam series).</i>  [Reference <a href="#">GR 3</a> ]	Returned to candidates or safe disposal

<p><b>Centre consortium arrangements for centre assessed work</b></p>	<p>Any hard copy information relating to consortium arrangements for centre assessed work. Applications submitted online via CAP.</p>	<p>Must 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.</p>	
<p><b>Certificates</b></p>	<p>Candidate certificates issued by awarding bodies.</p>	<p>Unclaimed certificates must be stored under secure conditions for a minimum of 12 months from the date of issue  [Reference <a href="#">GR 5</a>]</p>	<p>Confidential destruction</p>
<p><b>Certificate destruction information</b></p>	<p>A record of unclaimed certificates that have been destroyed.</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;</p>	<p>Confidential destruction</p>

		[Reference <a href="#">GR 5</a> ]	
<b>Certificate issue information</b>	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 <a href="#">GR 5</a> ]	
<b>Confidential materials: initial point of delivery logs</b>	Logs recording awarding body confidential exam materials received at the initial point of delivery in the centre to the point where materials are securely issued to an authorised member of staff.	Must 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.	
<b>Confidential materials: receipt, secure movement and secure storage logs</b>	Logs recording the receipt, checking, secure movement and secure storage of confidential exam materials.	Must 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.	

<b>Dispatch logs</b>	Proof of dispatch of exam script packages to awarding body examiners covered by the <a href="#">DfE (Standards &amp; Testing Agency) yellow label service</a>	Must 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.	
<b>Entry information</b>	Any hard copy information relating to candidates' entries.	Must 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.	
<b>Exam question papers</b>	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 <a href="#">GR 6</a> ]	Issued to subject staff



<b>Exam room checklists</b>	Checklists confirming exam room conditions and invigilation arrangements for each exam session.	Must 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.	
<b>Exam room incident logs</b>	Logs recording any incidents or irregularities in exam rooms for each exam session.	Must 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.	
<b>Exam stationery</b>	Awarding body exam stationery provided solely for the purpose of external exams.	Unused stationery will be returned to the centre's secure storage facility until needed for a future examination. Surplus stationery must not be used for internal school tests, mock examinations and non-examination assessments.  Any surplus or out-of-date stationery will be confidentially destroyed.  [Reference <a href="#">ICE 30</a> ]	Confidential destruction
<b>Examiner reports</b>		To be immediately provided to head of department as records owner.	
<b>Finance information</b>	Copy invoices for exams-related fees.	To be returned to Finance department as records owner at the end of the academic year.	

<b>Invigilation arrangements</b>	See Exam room checklists		
<b>Invigilator and facilitator training records</b>		<p>A record of the content of the training given to invigilators must be 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.</p> <p>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 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.</p> <p>[Reference <u>ICE</u> 12, 13]</p>	
<b>JCQ publications</b>	Any hard copy publications provided by JCQ.	To be retained until the current academic year update is provided.	
<b>Moderator reports</b>		To be immediately provided to head of department as records owner.	

<b>Moderation returns logs</b>	Logs recording the return of candidates' work to the centre by the awarding body at the end of the moderation period	Must 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.	
<b>Overnight supervision information</b>	JCQ form Timetable variation and confidentiality declaration for overnight supervision for any candidate eligible for these arrangements.	All completed forms available in the centre must 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. Forms may be stored electronically or in hard copy paper format and must not be sent to an awarding body, unless specifically requested;  [Reference <a href="#">ICE 8</a> ]	
<b>Post-results services: confirmation of candidate consent information</b>	Hard copy or email record of required candidate consent	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.  ATS consent to be retained for at least six months from the date consent given.	

		[Reference <a href="#">PRS 4</a> , appendix A and B]	
<b>Post-results services: requests/outcome information</b>	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.	Must 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.	
<b>Post-results services: tracking logs</b>	Logs tracking to resolution all post-results service requests submitted to awarding bodies.	Must 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.	
<b>Private candidate information</b>	Any hard copy information relating to private candidates' entries.	Must 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.	
<b>Proof of postage – candidates' work</b>	Proof of postage of sample of candidates' work submitted to awarding body moderators.  (Proof of postage of candidates'	Must 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.	

	scripts to awarding body examiners/markers)	[Reference <a href="#">ICE 29</a> )]	
<b>Resolving timetable clashes information</b>	Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers	Must 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.	
<b>Results information</b>	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.	
<b>Seating plans</b>	Plans showing the seating arrangements of all candidates for every exam taken.	Must 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.	

<p><b>Special consideration information</b></p>	<p>Any hard copy information relating to a special consideration request and supporting evidence submitted to an awarding body for a candidate.</p>	<p><i>Where a candidate is present but disadvantaged for a timetabled written examination a proportion of cases will be sampled for quality assurance purposes. A centre may be asked by an awarding body to provide evidence in support of an application. The centre must retain evidence supporting an on-line special consideration application until after the publication of results.</i></p> <p><i>Where a candidate is absent from an examination for an acceptable reason a proportion of cases will be sampled for quality assurance purposes. A centre may be asked by an awarding body to provide evidence in support of an application. The centre must retain evidence supporting a candidate's absence from an examination until after the publication of results.</i></p> <p>[Reference <u>SC</u> 6]</p> <p>Evidence must 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.</p>	
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<p><b>Suspected malpractice reports/outcomes</b></p>	<p>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.</p>	<p>Must 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.</p>	
<p><b>Transferred candidate arrangements</b></p>	<p>Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP.</p>	<p>Must 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.</p>	
<p><b>Very late arrival reports/outcomes</b></p>	<p>Any hard copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP.</p>	<p>Must 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.</p>	