

# EXAMS ARCHIVING POLICY

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**Approved:**

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**Approved by:**

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## **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

## **References**

Where specific retention period information is provided, this is based on information referenced in the

- JCQ publications General Regulations for Approved Centres (GR)
- Instructions for conducting examinations (ICE)
- A guide to the special consideration process (SC)
- Post-Results Services (PRS)

| 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 or electronic information kept by the EO relating to an access arrangement candidate.  | To be retained for 7 years   | Confidential waste and deletion from computer records               |
| Attendance register copies  | Copy of the signed attendance register for each exam.  | To 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.<br><br>[Reference ICE 12, 22]<br><br><i>Note: The Academy may retain documents upto the end of the following academic year.</i>  | Confidential waste  |
| Authorisation to collect results and/or certificates from partner college | Student signed authorisation   | Original authorisation given to partner college on collection.<br><br>Copy retained until certificate(s) put with record of achievement/passed to student  | Confidential waste  |
| Awarding body administrative information                                  | Any hard copy publications provided by awarding bodies.  | To be retained until the current academic year update is provided.   | Recycling waste   |
| Candidate and Centre Declarations   | Hard or electronic copies of forms signed by students confirming the work is their own and forms signed by teachers to confirm that students' work was completed under required conditions and internal standardisation has been completed if required | To be retained until the end of the following academic year  | Confidential waste and deletion from computer records, if necessary |
| 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.<br><br><i>... 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...</i><br><br>[Reference GR 3.15] | Confidential waste  |

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|------------------|--|--|---|
|                  |  | <p><i>Note: 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>]</i></p>  |   |
| Candidates' work | <p>a) Non-examination assessment work returned to the centre by the awarding body at the end of the moderation period.</p> <p>b) Hard or electronic copies of candidates' work which has been sent for assessment/moderation and which will not be returned to the Centre.</p> | <p>To be retained 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).</p> <p>Documents referred to in section a) should be logged on return to the centre, subject staff notified and stored safely and securely along with work that did not form part of the moderation sample (including materials stored electronically)</p> <p><i>...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 Instructions for conducting non - examination assessments <a href="https://www.jcq.org.uk/exams-office/non-examination-assessments">https://www.jcq.org.uk/exams-office/non-examination-assessments</a> [Reference <a href="#">GR 3.15</a>]</i></p> <p><i>Note: The Academy may retain documents upto the end of the following academic year.</i></p> | Returned to candidates or confidential waste, including deletion from computer records if necessary |
| Certificates     | Candidate certificates issued by awarding bodies.  | <p>Photocopy taken and given to student. Scanned copy stored electronically. Original retained in "Record of Achievement" folder. RoA presented to students when leaving the Academy.</p> <p>Electronic copy to be retained for 4 years after the student has left the Academy</p> <p>Any original certificates unable to be presented to a student will be retained for 2 years after the student has left the Academy.</p> <p><i>...distribute certificates to all candidates without delay and regardless of any disputes (such as non-payment of fees).</i></p>  | Confidential waste and deletion from computer records   |

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|--|---|--|--|
|  |   | <p><i>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;</i></p> <p><i>...retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue</i></p> <p>[Reference <a href="#">GR 5.14</a>]</p>  |  |
| Certificate destruction information                                      | A record of unclaimed certificates that have been destroyed.  | <p>To be retained for 4 years from the date of destruction</p> <p><i>...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;</i></p> <p>[Reference <a href="#">GR 5.14</a>]</p> | Confidential waste                                     |
| 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 the end of the following academic year  | Confidential waste                                     |
| 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   | To be retained until the end of the following academic year  | Confidential waste                                     |

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|-------------------------------|---|--|---|
|                               | officer (or other authorised member of centre staff) throughout the period the materials are confidential                                 |  |   |
| Conflicts of Interest records | Records demonstrating the management of Conflicts of Interest   | To be retained until the end of the following academic year<br><i>...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.</i> [Reference <a href="#">GR 5.3</a> ]   | Confidential waste  |
| 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 the end of the following academic year  | Confidential waste  |
| Entry information             | Any hard copy or electronic information relating to candidates' entries.  | To be retained for 3 years   | Confidential waste and deletion from computer records, if necessary |
| Exam question papers          | Question papers for timetabled written exams.   | <i>...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...</i><br>[Reference <a href="#">GR 6.12</a> ] | Issued to subject staff   |
| Exam room incident logs       | Logs recording any incidents or irregularities in exam rooms for each exam session.   | To 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.<br><br><i>Note: The Academy may retain documents upto the end of the following academic year.</i>  | Confidential waste  |
| Exam stationery               | Awarding body exam stationery provided solely for the purpose of external exams.  | <i>...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-</i>  | Confidential waste  |

| Record type                                  | Record(s) description (where required)  | Retention information/period  | Action at end of retention period (method of disposal)              |
|--|---|---|---|
|  |   | <i>examination assessments... destroy confidentially any out-of-date stationery.</i><br>[Reference <a href="#">ICE 30</a> ]   |   |
| Examiner / Moderator reports                 | Hard or electronic copies of examiner/moderator reports   | (If provided and/or where printed from electronic copy)<br>To be immediately provided to subject teacher and/or head of department.<br><br>Copies to be held by Exams Officer for 3 years   | Confidential waste and deletion from computer records, if necessary |
| Invigilation arrangements                    | Hard and/or electronic copies of invigilation arrangements for all exams.   | To 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.<br><br>[Reference <a href="#">ICE 12</a> ]<br><br><i>Note: The Academy may retain documents upto the end of the following academic year.</i>  | Confidential waste.<br>Deletion from computer records if necessary. |
| Invigilator and facilitator training records | Any hard copy or electronic information kept by the EO relating to invigilator training records.  | To be retained until the end of the following academic year<br><br><i>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 <a href="#">ICE 12</a>)</i>   | Confidential waste.<br>Deletion from computer records if necessary. |
| 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 the end of the following academic year   | Confidential waste  |
| 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 | To 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.<br><br><i>...keep all completed forms available in your centre 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 <a href="#">ICE 8</a>]</i><br><br><i>Note: The Academy may retain documents upto the end of the following academic year.</i> | Confidential waste  |

| Record type  | Record(s) description (where required)   | Retention information/period  | Action at end of retention period (method of disposal)           |
|--|--|---|--|
| Pearson Edexcel Awarding Body BTEC assessment and verification forms | Hard or electronic copies of the “assessment record sheet”, signed by the student and teacher/assessor. Also the “internal verification-assessment decisions form”, signed by the teacher/assessor and the internal verifier | To be retained for 3 years  | Confidential waste. Deletion from computer records if necessary. |
| Post-results services: confirmation of candidate consent information | Hard copy or email record of required candidate consent  | <p>To be retained until the end of the following academic year</p> <p><i>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.</i></p> <p><i>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.</i></p> <p><i>This form should be retained on the centre’s files for at least six months. [Reference <a href="#">PRS 4</a>, appendix A and B]</i></p>               | Confidential waste. Deletion from computer records if necessary. |
| Post-results services: requests/outcome information                  | Any hard or electronic 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.                        | To be retained until the end of the following academic year   | Confidential waste. Deletion from computer records if necessary. |
| Proof of postage – candidates’ work                                  | Proof of postage of sample of candidates’ work submitted to awarding body examiners/markers/ moderators.   | <p>Use recorded/special delivery record book, which is kept for 6 months following the last entry</p> <p><i>Centres not involved in the secure despatch of exam scripts service... must obtain proof of postage/despatch 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 is taken to 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 <a href="#">ICE 29</a>]</i></p> | Confidential waste   |

| Record type                                 | Record(s) description (where required)   | Retention information/period   | Action at end of retention period (method of disposal)                              |
|---|--|--|---|
| Resolving timetable clashes information     | Any hard or electronic copy information relating to the resolution of a candidate's clash of timetabled exam papers  | To be retained until the end of the following academic year  | Confidential waste. Deletion from computer records if necessary.                    |
| Results information                         | Broadsheets and/or electronic copies of results summarising candidate final grades by subject by exam series.  | To be retained for current year plus previous 6 years  | Confidential waste. Deletion from computer records if necessary.                    |
| Seating plans                               | Plans showing the seating arrangements of all candidates for every exam taken.   | To 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.<br><br>[Reference <a href="#">ICE 12</a> ]<br><br><i>Note: The Academy may retain documents upto the end of the following academic year.</i> | Confidential waste  |
| Signature Awarding Body (BSL) Documentation | Application for Achievement Forms, Candidate Assessment Record Forms, DVDs, Electronically Stored Recordings of Exams  | To be retained for 3 years   | Confidential waste and deletion from computer records                               |
| 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 | To be retained until the end of the following academic year<br><br><i>All applications must be supported by signed evidence produced by a member of the senior leadership team. The centre must retain this evidence until after the publication of results. (Reference <a href="#">SC 6</a>)</i>                  | Confidential waste and deletion from computer records, if necessary                 |
| Suspected malpractice reports/outcomes      | Any hard or electronic copy information relating to a suspected or actual malpractice investigation, including any reports submitted to an awarding body and outcome information from the awarding body.             | To be passed to HR Department, as appropriate and in line with the Academy's malpractice policy. Their policy on retention periods to be followed.<br><br>If not necessary to pass to HR, to be retained until the end of the following academic year  | Issued to HR or confidential waste and deletion from computer records, if necessary |



| Record type                        | Record(s) description (where required)   | Retention information/period                                | Action at end of retention period (method of disposal)          |
|------------------------------------|--|---|---|
| Very late arrival reports/outcomes | Any hard or electronic copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP. | To be retained until the end of the following academic year | Confidential waste. Deletion from computer records if necessary |