



Exams Archiving Policy

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Frequency	Annually
Next review date	October 2021
Reviewed by	Academic Standards, SEN and Educational Trips Committee

Signed:

Dated: 24/09/2020

Acting Chair of Governors

Signed:

Dated: 24/09/2020

Principal

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Key staff involved in the exams archiving process

Role	Name(s)
Exams Officer	Jodi Henderson
Exams Officer line manager (Senior Leader)	Sarah Thomas
Head of centre	Francis Galbraith
SENCo	Sailesh Roopnarain
Finance Manager	Mike Birchall
IT Manager	Ed Friday

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.	
Alternative site arrangements	Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.		
Attendance register copies		<p>...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.</p> <p>[Reference ICE 12, 22]</p>	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.	Confidential waste/shredding
Candidates' scripts	Any unwanted copies of scripts returned to the centre through the Access to Scripts (ATS) service.	<p>To be retained securely until the awarding body's earliest date for confidential disposal of unwanted scripts.</p> <p>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.</p> <p>[Reference PRS 6]</p> <p>... 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...</p> <p>[Reference GR 3.15]</p>	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Candidates' work	Non-examination assessment work returned to the centre by the awarding body at the end of the moderation period.	<p>To be logged on return to the centre and immediately returned to subject staff as records owner.</p> <p>To be stored safely and securely along with work that did not form part of the moderation sample (including materials stored electronically) 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>This includes materials stored electronically. See paragraph 4.8 of the JCQ publication Instructions for conducting non - examination assessments https://www.jcq.org.uk/exams-office/non-examination-assessments (Reference GR 3.15)</p>	Returned to candidates or safe disposal
Certificates	Candidate certificates issued by awarding bodies.	<p>...retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue</p> <p>[Reference GR 5]</p> <p>Goldington Academy will retain certificates for 2 years after the date of issue</p>	Confidential waste/shredding
Certificate issue information	A record of certificates that have been issued to candidates.	<p>...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;</p> <p>[Reference GR 5.14]</p> <p>Goldington Academy will retain information on certificates that have been issued for 4 years.</p>	Confidential waste/shredding
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	<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</p>	Confidential waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		that some awarding bodies do not offer a replacement certificate service. In such circumstances the awarding body will issue a Certifying Statement of Results; [Reference GR 5.14]	
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 for JCQ inspection purposes for the relevant exam series.	Confidential waste/shredding
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	To be retained for JCQ inspection purposes for the relevant exam series.	Confidential waste/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 waste/shredding
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 after the deadline for RoRs or until any appeal, malpractice or other results enquiry has been completed, whichever is later. [Reference ICE 6]	Confidential waste/shredding
Entry information	Any hard copy information relating to candidates' entries.	To be retained until after the deadline for RoRs or until any appeal, malpractice or other results enquiry has been completed, whichever is later. [Reference ICE 6]	Confidential waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
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 6.12]	Confidential waste/shredding
Exam room checklists	Checklists confirming exam room conditions and invigilation arrangements for each exam session.	To be retained until after the deadline for RoRs or until any appeal, malpractice or other results enquiry has been completed, whichever is later. [Reference ICE 6]	Confidential waste/shredding
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms for each exam session.	To be retained until after the deadline for RoRs or until any appeal, malpractice or other results enquiry has been completed, whichever is later. [Reference ICE 6]	Confidential waste/shredding
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 waste/shredding
Examiner reports		(Where/if provided) To be immediately provided to head of department as records owner. HOD to store in Departmental handbooks	Confidential waste/shredding
Finance information	Invoices and copies for exams-related fees.	To be returned to Finance department as records owner at the end of the academic year.	Confidential waste/shredding
Invigilation arrangements	See Exam room checklists		

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Invigilator and facilitator training records		<p>A record of the content of the training given to invigilators must be available for inspection and 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 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]</p>	
Moderator reports		(Where printed from electronic copy) 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 retained for JCQ inspection purposes for the relevant exam series.	Confidential waste/shredding
Overnight supervision information	<p>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</p> <p>Any hard copy information relating to overnight supervision arrangements. Reports submitted online via CAP..</p>	To be retained for JCQ inspection purposes for the relevant exam series.	Confidential waste/shredding
Post-results services: confirmation of candidate consent information	Hard copy or email record of required candidate consent	<p>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.</p> <p>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.</p>	Confidential waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		This form should be retained on the centre's files for at least six months.[Reference PRS 4 , appendix A & B]	
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.	RoRs 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. [Reference PRS 4 , appendix A and B]	Confidential waste/shredding
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 or 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. [Reference PRS 6]	Confidential waste/shredding
Post-results services: tracking logs	Logs tracking to resolution all post-results service requests submitted to awarding bodies.	To be retained until after the deadline for RoRs or until any appeal, malpractice or other results enquiry has been completed, whichever is later. [Reference ICE 6]	Confidential waste/shredding
Proof of postage – candidate's work	Proof of postage of sample of candidates' work submitted to awarding body moderators.	To be retained until after the deadline for RoRs or until any appeal, malpractice or other results enquiry has been completed, whichever is later. [Reference ICE 6]	Confidential waste/shredding
Resolving timetable clashes information	Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers or a timetable variation.	To be retained until after the deadline for RoRs or until any appeal, malpractice or other results enquiry has been completed, whichever is later. [Reference ICE 6]	Confidential waste/shredding
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. [Reference Records Management Toolkit for Schools]	Confidential waste/shredding
Seating plans	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	Confidential waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		<p>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.</p> <p>[Reference ICE 12]</p>	
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.	<p>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 signed evidence, produced by a member of the senior leadership team, in support of an application The centre must retain evidence supporting an on-line special consideration application until after the publication of results.</p> <p>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 signed evidence, produced by a member of the senior leadership team, in support of an application. The centre must retain evidence supporting a candidate's absence from an examination until after the publication of results.</p> <p>[Reference SC 6]</p>	Confidential waste/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.	Records for current year plus previous 6 years to be retained as a minimum.	Confidential waste/shredding
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 body.	Confidential waste/shredding
Very late arrival reports/outcomes	Any hard copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP.	<p>To be retained until after the deadline for RoRs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.</p> <p>[Reference ICE 6]</p>	Confidential waste/shredding