



Exams Archiving Procedure

2017/18

This procedure is reviewed annually to ensure compliance with current regulations

Reviewed by	
	
Approved by	
	
Date of next review	October 2018

Purpose of the Procedure

The purpose of this procedure 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 method of disposal
- inform/supplement the centre-wide records management procedure

The procedure is annually reviewed to ensure that records are archived/retained in accordance with current requirements.

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 for 1 year after the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series. [Reference ICE 6, 15]	Confidential waste/shredding
Awarding body administrative guides/manuals	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	
Candidates' work	Non-examination assessment work (inc. controlled assessment/coursework) 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 enquiries/appeals or malpractice investigations for the exam series. [Reference GR 3, 5]	Returned to candidates or safe disposal
Certificates		Unclaimed/uncollected certificates to be retained securely for a minimum of 12 months from date of issue. [Reference GR 5]	Confidential destruction
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	To be retained for 4 years from the date of certificate destruction. [Reference GR 5]	Confidential destruction
Certificate issue information	A record of certificates that have been issued to candidates.	To be retained for 4 years from the date of certificate issue to candidates. [Reference GR 5]	Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Confidential materials delivery logs	A log recording confidential materials delivered by awarding bodies to the centre and issued to authorised staff.	To be retained for 1 year after the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series.	Confidential waste/shredding
Confidential materials tracking logs	A log to track materials taken from or returned to secure storage throughout the time the material is confidential.	To be retained for 1 year after the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series.	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 for 1 year after the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series.	Confidential waste/shredding
Entry information	Any hard copy information relating to candidates' entries.	To be retained for 1 year after the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series.	Confidential waste/shredding
Exam question papers	Question papers for timetabled written exams.	Issued to teaching staff after the published finishing time of the exam and only when all candidates in the centre have completed the exam. 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. [Reference ICE 16 and GR 6.5]	
Exam room checklists	Checklists confirming room conditions and invigilation arrangements for each exam room.	To be retained for 1 year after the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series. [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 room incident logs	Logs recording any incidents or irregularities in exam rooms.	To be retained for 1 year after the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series.	Confidential waste/shredding
Exam stationery		When awarding body or JCQ common stationery is considered surplus or is out-of-date it will be disposed of. [Reference ICE page 4 and ICE 23]	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 Finance department as records owner at the end of the academic year.	
Invigilation arrangements	See <i>Exam room checklists</i>		
JCQ publications	Any hard copy publications provided by JCQ.	To be retained until the current academic year update is provided.	
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.	
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. [Reference PRS 6 , appendix A and B]	

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
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.		
Post-results services: scripts returned from ATS service	Copy or original exam scripts returned to the centre by the awarding body.	Where scripts are retained by the centre, they must be securely stored (including any electronic versions) and not edited in any way or disposed of until after the awarding body deadline. [Reference PRS 8]	Confidential disposal
Post-results services: tracking logs	A log tracking to resolution all post-results service requests submitted to awarding bodies.	To be retained for 1 year after the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series.	Confidential waste/shredding
Private candidate information	Any hard copy information relating to private candidates' entries.	To be retained for 1 year after the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series.	Confidential waste/shredding
Proof of postage – candidate work	Proof of postage of sample of candidates' work to awarding body moderators.	To be retained for 1 year after the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series.	Confidential waste/shredding
Resolving clashes information	Any hard copy information relating to the resolution of a candidate's clash of exam papers or a timetable variation.	To be retained for 1 year after the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series.	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 Information Management Toolkit for Schools page 52]	

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 kept for 1 year after the deadline for EARs and the resolution of any outstanding enquiries/appeals for the relevant exams series. [Reference ICE 6]	Confidential waste/shredding
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. [Reference SC 6]	Confidential waste/shredding
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 kept for 1 year after the deadline for EARs and the resolution of any outstanding enquiries/appeals for the relevant exams series.	Confidential waste/shredding
Transfer of credit information	Any hard copy information relating to a GCE AS transfer of credit arrangement (for a legacy unitised GCE AS specification) application submitted to an awarding body for a candidate.	To be retained until the issue of the GCE A level result for the candidate.	Confidential waste/shredding
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.	Confidential waste/shredding
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 kept for 1 year after the deadline for EARs and the resolution of any outstanding enquiries/appeals for the relevant exams series.	Confidential waste/shredding

