



Exams Archiving Procedure

2018/19

This procedure is reviewed annually to ensure compliance with current regulations

Written by:	
	
Approved by	
	
Date of next review	October 2019

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.	
Alternative site arrangements	Any hard copy information 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. You 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 guides/manuals	Any hard copy publications provided by awarding bodies.	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.	<p>To be retained securely until the awarding body's earliest date for confidential disposal of unwanted scripts.</p> <p><i>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.</i></p> <p>[Reference PRS 6]</p>	Confidential 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</p>	Returned to candidates or safe disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		<i>malpractice investigation has been completed, whichever is later (for the exam series).</i> [Reference GR 3]	
Centre consortium arrangements for centre assessed work	Any hard copy information relating to consortium arrangements for centre assessed work. Applications submitted online via CAP.		
Certificates	Candidate certificates issued by awarding bodies.	...retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue [Reference GR 5]	Confidential destruction
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	...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; [Reference GR 5]	Confidential destruction
Certificate issue information	A record of certificates that have been issued to candidates.	...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 GR 5]	Confidential destruction
Confidential materials: initial point of delivery logs	Logs recording awarding body confidential exam materials received at the initial point of delivery in the centre to the point where	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

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	materials are securely issued to an authorised member of staff.		
Confidential materials: receipt, secure movement and secure storage logs	Logs recording the receipt, checking, secure movement and secure storage of confidential exam materials.	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.	<p><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></p> <p>[Reference GR 6]</p>	Issued to subject staff
Exam room checklists	Checklists confirming exam room conditions and invigilation arrangements for each exam session.	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
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms for each exam session.	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

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.	<p>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.</p> <p>Any surplus or out-of-date stationery will be confidentially destroyed.</p> <p>[Reference ICE 30]</p>	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>		
Invigilator and facilitator training records		<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 ICE 12, 13]</p>	
JCQ publications	Any hard copy publications provided by JCQ.	To be retained until the current academic year update is provided.	

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Moderator reports		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		
Overnight supervision information	JCQ form <i>Timetable variation and confidentiality declaration for overnight supervision</i> for any candidate eligible for these arrangements.	...keep for inspection all completed forms available in your centre 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 ICE 8]	
Post-results services: confirmation of candidate consent information	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 PRS 6, appendix A and 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.		
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

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 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 – candidates' work	Proof of postage of sample of candidates' work submitted to awarding body moderators.	Centres not involved in the secure despatch of exam scripts service: a) 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 ICE 29]	Confidential waste/shredding
Resolving timetable clashes information	Any hard copy information relating to the resolution of a candidate's clash of timetable/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]	
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

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		<p><i>awarding bodies may need to refer to these records. You 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.</i></p> <p>[Reference ICE 6]</p>	
Special consideration information	Any hard copy information relating to a special consideration request and supporting evidence submitted to an awarding body for a candidate.	<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 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.	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 uninitiated 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 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

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 copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP, and outcome information from the awarding body.	To be kept for 1 year after the deadline for RoR and the resolution of any outstanding enquiries/appeals for the relevant exams series.	Confidential waste/shredding

