



# Exams Archiving Policy

## 2023/24

### **College Governance Status**

This policy is reviewed annually to ensure compliance with current regulations.

| <b>Review dates</b> | <b>By Whom</b>      | <b>Approval date</b> |
|---------------------|---------------------|----------------------|
| March 2018          | Staff and Governors | 19 March 2018        |
| January 2019        | Staff and Governors | 22 January 2019      |
| March 2022          | Staff and Governors | 22 March 2022        |
| January 2023        | Staff and Governors | 7 February 2023      |
| December 2023       | Staff and Governors | 9 January 2024       |

**Signed by Chair:**

A handwritten signature in black ink, appearing to read "Crosby", with a long horizontal line extending from the bottom of the signature.

**Brian Crosby**

## Key staff involved in the exams archiving process

| Role                                       | Name(s)               |
|--|-----------------------|
| Exams Officer                              | <b>Michael Okroy</b>  |
| Exams Officer line manager (Senior Leader) | <b>Andrew Whelan</b>  |
| Head of centre                             | <b>Susan Boyd</b>     |
| SENCo                                      | <b>Hazel Kirk</b>     |
| Finance Manager                            | <b>Jackie Hunter</b>  |
| IT Manager                                 | <b>Tom Hutchinson</b> |

### 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.   | Confidential destruction                               |
| Alternative site arrangements            | Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.                             | Destroyed once RoR deadline has passed & during next academic year  | Confidential disposal                                  |
| Attendance register copies               |   | Destroyed once RoR deadline has passed & during next academic year  | 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 destruction                               |
| 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> [Reference PRS 6]</p> <p><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></p> <p>[Reference GR 3]</p> | Confidential disposal                                  |
| Candidates' work                         | Non-examination assessment work (inc. controlled assessment, coursework, portfolios) returned to the centre after awarding body moderation. | <p>To be 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 after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series.</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) |
|--|---|---|--|
| Certificates   |   | Unclaimed/uncollected certificates to be retained securely for a minimum of 5 years from date of issue.   | Confidential destruction                               |
| Certificate issue information  | A record of certificates that have been issued to candidates.   | Ongoing   | Confidential disposal                                  |
| Confidential materials delivery logs                                     | A log recording confidential materials delivered by awarding bodies to the centre and issued to authorised staff.   | Ongoing   | Confidential disposal                                  |
| 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.   | Ongoing   | Confidential disposal                                  |
| 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 | Ongoing   | Confidential disposal                                  |
| Conflicts of Interest records  | Records demonstrating the management of Conflicts of Interest   | <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><br>[Reference GR 5] | Confidential disposal                                  |
| Dispatch logs  | Proof of dispatch of exam script packages to awarding body examiners covered by the DfE   | Ongoing   | Confidential disposal                                  |

| Record type               | Record(s) description (where required)  | Retention information/period  | Action at end of retention period (method of disposal) |
|---------------------------|---|---|--|
|                           | (Standards & Testing Agency) yellow label service                                       |   |  |
| Entry information         | Any hard copy information relating to candidates' entries.                              | To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later   | Confidential destruction                               |
| 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.   |  |
| Exam room checklists      | Checklists confirming room conditions and invigilation arrangements for each exam room. | To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.  | Confidential destruction                               |
| Exam room incident logs   | Logs recording any incidents or irregularities in exam rooms.                           | To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.  | Confidential destruction                               |
| 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-examination assessments... destroy confidentially any out-of-date stationery.</i> | Confidential disposal                                  |
| Examiner reports          |   | (Where/if provided) To be immediately provided to head of department as records owner.  | Confidential disposal                                  |
| 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 |   | <i>. A record of the content of the training given to invigilators 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.</i>         | Confidential disposal                                  |

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|--|--|---|--|
|  |  | <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.</i>   |  |
| 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                                     | Ongoing   | Confidential disposal                                  |
| 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 for the relevant exam series.  | Confidential disposal                                  |
| 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   | <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</i></p> | Confidential 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                            | Retained for 12 months  | Confidential disposal                                  |

| Record type                          | Record(s) description (where required)   | Retention information/period   | Action at end of retention period (method of disposal) |
|--------------------------------------|--|--|--|
|                                      | candidate and outcome information from the awarding body.  |  |  |
| Post-results services: tracking logs | A log tracking to resolution all post-results service requests submitted to awarding bodies.   | Electronic copy  | Confidential disposal                                  |
| Private candidate information        | Any hard copy information relating to private candidates' entries.   | To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.   | Confidential disposal                                  |
| Proof of postage – candidate work    | Proof of postage of sample of candidates' work to awarding body moderators.  |  | Confidential disposal                                  |
| 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 until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.   | Confidential disposal                                  |
| 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.  | Confidential disposal                                  |
| Seating plans                        | Plans showing the seating arrangements of all candidates for every exam taken.   | To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.   | Confidential disposal                                  |
| 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 by an awarding body 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.</i></p> <p><i>Where a candidate is absent from an examination for an acceptable reason a proportion of cases will be sampled by an awarding body 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</i></p> | Confidential disposal                                  |

| Record type                            | Record(s) description (where required)   | Retention information/period  | Action at end of retention period (method of disposal) |
|--|--|---|--|
|  |  | <i>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.</i> |  |
| 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. | Kept in Exams Office for reference  | Confidential disposal                                  |
| Transferred candidate information      | 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 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.   |   | Confidential disposal                                  |