




CANSFIELD
ACHIEVING EXCELLENCE TOGETHER

Exam Archiving Policy

<u>Approval Date</u>	23 rd September
<u>Policy Review Date</u>	September 2022
<u>Chair of Governors</u>	
<u>Headteacher</u>	

1. Key Staff Involved

Role	Name(s)
Head of Centre	Dr G Baker
Exams Manager	Miss L Archer
SLT member(s)	Mr C Lomas

2. 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 by SENCO
Alternative site arrangements	Any hard copy information on an alternative site arrangement. Notifications submitted online via CAP.	To be held by EO until the end of moderation and review of marking process.	Confidential destruction by EO
Attendance register copies	All signed and returned seating plans and attendance records.	<i>...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.</i> [Reference ICE 12, 22]	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.	To be retained securely until the awarding body's earliest date for confidential disposal of unwanted scripts. <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]	Confidential disposal
Candidates' work	Non-examination assessment work returned to the centre by the awarding body at the end of the moderation period.	To be logged on return to the centre and 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) <i>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).</i>	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)
		[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.	<p>The Certificates are kept for up to 3 years then will be destroyed confidentially. A log will be kept by the Exam Officer on the school Network system. This information is available to candidates in the the candidate information booklet handed out prior to examinations taking place.</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 GR 5]</p>	Confidential destruction
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	<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 GR 5]</p>	Confidential destruction
Certificate issue information	A record of certificates that have been issued.	<p>Certificates are available for collection from the moment we receive them from the Awarding Body.</p> <p><i>...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;</i></p>	

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		[Reference GR 5]	
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 materials are securely issued to an authorised member of staff.	The Site team keep the logs with their reception paperwork.	
Confidential materials: receipt, secure movement and secure storage logs	Logs recording the receipt, checking, secure movement and secure storage of confidential exam materials.	Logs kept in the secure storage and disposed of at the end of the exam season and when all moderation and appeals have been resolved.	
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service	Kept in the Exam Office until the end of the exam series or until all enquiries, appeals and moderation have taken place.	
Entry information	Any hard copy information relating to candidates' entries.	Kept in the Exam Office until the end of the exam series or until all enquiries, appeals and moderation have taken place.	
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> [Reference GR 6]	Issued to subject staff
Exam room checklists	Checklists confirming exam room conditions and invigilation arrangements for each exam session.	Kept by the EO until the end of the exam series and moderation and appeals have all be resolved.	

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 for each exam session.	Kept by the EO until the end of the exam series and moderation and appeals have all be resolved.	
Exam stationery	Awarding body exam stationery provided solely for the purpose of external exams.	<p><i>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.</i></p> <p><i>Any surplus or out-of-date stationery will be confidentially destroyed.</i></p> <p>[Reference ICE 30]</p>	Confidential destruction
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	Training records, certificates and other proof of invigilator training.	<p><i>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.</i></p> <p><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 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></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.	
Moderator reports		To be immediately provided to head of department as records owner.	

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Moderation returns logs	Logs recording the return of candidates' work to the centre by the awarding body at the end of the moderation period	Until the end of the Appeal process.	
Overnight supervision information	JCQ form <i>Timetable variation and confidentiality declaration for overnight supervision</i> for any candidate eligible for these arrangements.	<i>...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;</i> [Reference ICE 8]	
Post-results services: confirmation of candidate consent information	Hard copy or email record of required candidate consent	<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> 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: 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.		All kept on Secure Awarding body sites.
Post-results services: tracking logs	Logs tracking to resolution all post-results service requests submitted to awarding bodies.	Kept for 6 months after resolution.	
Private candidate information	Any hard copy information relating to private candidates' entries.		

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Proof of postage – candidates' work	<p>Proof of postage of sample of candidates' work submitted to awarding body moderators.</p> <p>(Proof of postage of candidates' scripts to awarding body examiners/markers)</p>	<p>Exam material sent to the moderators are sent via tracked Royal mail. Proof of postage is kept at least until the end of moderation period.</p> <p><i>(Centres not involved in the secure despatch of exam scripts service:</i></p> <p><i>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.)</i></p> <p>[Reference ICE 29]]</p>	
Resolving timetable clashes information	Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers	All done on Sims. Lettrs sent to candidates kept on School Network until the end of the appeal process.	
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.	
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	<p><i>...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.</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>	Confidential disposal/ shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		<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>	
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.	Kept until the end of the appeal process.	
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.	
Transferred candidate arrangements	Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP.	To be retained until the end of the appeal process.	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.	To be retained until the end of the appeal process.	Confidential waste/ shredding

