

Exams archiving policy

2019/20

This policy is annually reviewed to ensure that records are archived/retained in accordance with current requirements

Approved/reviewed by	
TH	
Date of next review	Jan 2021

Key staff involved in the exams archiving process

Role	Name(s)
Exams officer	Ms Kirsty Wilson
Exams Officer line manager (Senior Leader)	Mr Tom Hilton
Head of centre	Mr Chris Price
IT manager	Dr Martha Hawes
SEnCo	Ali Donaldson
Finance Manager	Ms Emma Saunders
IT Manager	Ms Gill Martin, Mr Darren Holland, Ms Rachel Brown, Miss Vicky Hathaway, Mr Joel Brisk, Ms Sian Roberts, Mme Flo Sherrington, Mr Ben Wallington, Mrs Ellie Hollindale, Ms Leanne Dorn, Mrs Jo Nash
Head of Department(s)	Ms Kirsty Wilson

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.	To be retained until deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/shredding
Attendance register copies		<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	.	To be retained until the current academic year update is provided.	Confidential disposal
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] <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> [Reference GR 3]	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)	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)
		<p>...store safely and securely all non-examination assessments, including controlled assessments, coursework or portfolios, retained in, or returned to, the centre 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. This includes materials stored electronically. See paragraph 4.8 of the JCQ publication <i>Instructions for conducting non - examination assessments</i> https://www.jcq.org.uk/exams-office/non-examination-assessments [Reference GR 3]</p>	
Centre consortium arrangements for centre assessed work	Any hard copy information generated or relating to consortium arrangements for centre assessed work. Applications submitted online via CAP.	To be retained until deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential destruction
Certificates	Candidate certificates issued by awarding bodies.	<p>Unclaimed/uncollected certificates under secure conditions for a minimum of 12 months from the date of issue</p> <p>[Reference GR 5]</p>	Confidential destruction
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	<p>... To be retained for 4 years from the date of certificate destruction</p> <p>[Reference GR 5]</p>	Confidential destruction
Certificate issue information	A record of certificates that have been issued.	<p>To be retained for 4 years from the date of issue</p> <p>[Reference GR 5]</p>	Confidential destruction
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 until EARs have been received	Shredded after release of exam results for relevant series

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of 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	For current exam series, logs are retained with reception on North Site and Caretakers' hut.	Shredded after release of exam results for relevant series
Conflicts of Interest records	Records demonstrating the management of Conflicts of Interest	Stored securely online until all post results and appeals procedures have been concluded [Reference GR 5]	Confidential destruction
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service	Retained in exams office	Shredded after release of exam results for relevant series
Entry information	Any hard copy information relating to candidates' entries.	Retained by exams office	Confidential disposal after all EARs have been received
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 GR 6]	Issued to subject staff
Exam room checklists	Checklists confirming exam room conditions and invigilation arrangements for each exam session.	To be retained until the deadline for EARs or the resolution of any outstanding enquiries/appeals for the relevant exams series	
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms for each exam session.	Recorded within incident book	

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.	When awarding body or JCQ common stationery is considered surplus or is out-of-date it will be disposed of. [Reference ICE 30]	Confidential destruction
Examiner reports		(Where/if provided) 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		All records stored in exams office 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, 13]	
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	Retained deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later	Confidential disposal
Overnight supervision information	JCQ form Timetable variation and confidentiality declaration for overnight supervision for any candidate eligible for these arrangements.	All records stored in exams office 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 8]	Confidential disposal after all EARs received
Post-results services: confirmation of candidate consent information	Hard copy or email record of required candidate consent	Consent forms or e-mails from candidates are stored in exams office for six months following the outcome of the clerical re-check or review of marking or any subsequent appeal. The	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		awarding bodies reserve the right to inspect such documentation. [Reference PRS 4 , 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.	Retained in exams office for one academic year	Confidential disposal
Post-results services: tracking logs	Logs tracking to resolution all post-results service requests submitted to awarding bodies.	Retained in exams office for one academic year	Confidential disposal
Private candidate information	Any hard copy information relating to private candidates' entries.	Retained in exams office	Confidential disposal
Proof of postage – candidates' work	Proof of postage of sample of candidates' work submitted to awarding body moderators. (Proof of postage of candidates' scripts to awarding body examiners/markers)	<i>Retained by North Site reception</i>	
Resolving timetable clashes information	Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers	Retained by Exams Office until all EARs have been received	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.	The Cherwell School retains paper copies of results for more than six years
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	To be kept until the deadline for EARs and the resolution of any outstanding enquiries/appeals for the relevant exams series. [Reference ICE 12]	Confidential disposal
Special consideration information	Any hard copy information relating to a special consideration request and supporting	Evidence supporting an on-line special consideration application and	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	evidence submitted to an awarding body for a candidate.	evidence supporting a candidate's absence from an exam must be kept until after the publication of results. [Reference SC 6]	
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.	Retained by exams office for one academic year	Confidential disposal
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 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.	Retained by exams office for one academic year	Confidential disposal