



Priory School Exams Archiving Policy

2020 - 2021

This policy is reviewed annually to ensure compliance with current regulations

Approved/reviewed by	
Julian Ashworth	
Date of next review	December 2021

Key staff involved in the exams archiving process

Role	Name(s)
Exams Officer	Fiona Harris
Exams Officer line manager (Senior Leader)	Julian Ashworth
Head of centre	Tony Smith
ALS Lead/ SENCo	Roxy Miremadi Jo Nulty
Finance Manager	Ian Fines
IT Manager	Nick Hockin
Head of Department(s)	Subject Leaders and Curriculum Leaders

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

Where specific retention period information is provided, this is based on information referenced in the JCQ publications *General Regulations for Approved Centres (GR)*, *Instructions for conducting examinations (ICE)*, *A guide to the special consideration process (SC)*, and *Post-Results Services (PRS)*.

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 ALS Lead/ SENCo as records owner at the end of the candidate's final exam series.	To be retained for twelve years in line with local authority retention periods.
Alternative site arrangements	Any hard copy information generated on an alternative site arrangement. Notifications submitted online vis CAP.	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 waste / shredding
Attendance register copies		...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. The centre 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. [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.	Regular waste disposal
Candidate's 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. Where teachers have used copies of candidate's 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. [PRS 6] ...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...[GR 3.15]	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Candidates' work	Non-examination assessment work (including controlled assessment, coursework, portfolios) 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 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> <p>[Reference GR 3, 5]</p>	Returned to candidates or safe disposal
Certificates		<p>Unclaimed/uncollected certificates to be retained securely for a minimum of 12 months from date of issue.</p> <p>[Reference GR 5.14]</p>	Confidential destruction
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	<p>...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... (Where an awarding body issues a replacement certificate, or a Certifying Statement of Results, this will provide an accurate and complete record of results for all qualifications covered by the original certificate... return any certificates requested by the awarding bodies. Certificates remain the property of the awarding bodies at all times (Reference GR5.14)</p>	Confidential destruction
Certificate issue information	A record of certificates that have been issued.	<p>...distribute certificates to all candidates without delay and regardless of any disputes (such as non-payment of fees). Certificates must not be withheld</p>	Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		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 5.14]	
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 for the exam season	Regular waste 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	To be retained for the exam season	Regular waste disposal
Conflict of Interest records	Records demonstrating the management of conflicts of interest	...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. [GR 5.3]	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 the exam season	Regular waste disposal
Entry information	Any hard copy information relating to candidates' entries.	To be retained for the exam season	Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Exam question papers	Question papers for timetabled written exams.	...for confidentially 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 cases of a timetabled 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... (Reference GR 6.12)	Issued to subject staff, the day following the examination
Exam room checklists	Checklists confirming exam room conditions and invigilation arrangements for each exam session.	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later. [Reference ICE 6]	Confidential destruction
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms for each exam session.	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later. [Reference ICE 6]	Confidential destruction
Exam stationery	Awarding body exam stationery provided solely for the purpose of external exams.	Unused stationery to be returned to the 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... destroy confidentially any out of date stationery [ICE 30]	Secure storage / Confidential disposal
Examiner reports		(Where provided) to be immediately provided to head of department as records owner.	
Finance information	Copy invoices for exams-related fees.	To be retained by the Finance department in line with local authority requirements	Confidential destruction
Invigilation arrangements	See <i>Exam room checklists</i>	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

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		[Reference ICE 6]	
Invigilator and facilitator training records		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 (Reference ICE 12)	Confidential waste
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 candidate's work to the centre by the awarding body at the end of the moderation period.		Confidential waste
Overnight supervision information	The JCQ Overnight Supervision form is completed online using CAP. The JCQ Overnight Supervision Declaration form is downloaded from CAP for signing by the candidate, the supervisor and the head of centre	To be retained for JCQ inspection purposes for the relevant exam series. Keep all completed forms 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. [ICE 8]	Confidential destruction
Post-results services: confirmation of candidate consent information	Hard copy or email record of required candidate consent	Consent forms or emails from candidates must be retained 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. 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. This form should be retained on the centre's files for at least six months [Reference PRS 4 , appendix A and B]	Confidential destruction

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 (RoRs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body.	Where copies of scripts are retained by the centre, they must be securely stored (including any electronic versions) until they are no longer required. [Reference PRS 6]	Confidential disposal
Post-results services: tracking logs	A log tracking to resolution all post-results service requests submitted to awarding bodies.	RoR 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 4 , appendix A and B]	Confidential destruction
Private candidate information	Any hard copy information relating to private candidates' entries.	To be retained until after the deadline for RoRs or until any appeal, malpractice or other results enquiry has been completed, whichever is later. [Reference ICE 6]	Confidential destruction
Proof of postage – candidate work	Proof of postage of sample of candidates' work to awarding body moderators. (Proof of postage of candidates scripts to awarding body examiners/ markers)	Centres not involved in the secure despatch of exam scripts service... must obtain proof of postage/ despatch for each packet of scripts, which must be retained on the centres 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 destruction
Resolving timetable 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 RoRs or until any appeal, malpractice or other results enquiry has been completed, whichever is later. [Reference ICE 6]	Confidential destruction
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.	IT – destruction of records no longer required

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		[Reference Records Management Toolkit for Schools]	
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 awarding bodies may need to refer to these records. The centre 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... (Reference ICE 12)	Confidential destruction
Special consideration information	Any hard copy information relating to a special consideration application which has been submitted to an awarding body for a candidate and signed evidence produced by a senior leader in support of the application.	<p>All applications must be supported by signed evidence produced by a member of the senior leadership team. The centre must retain this evidence until after the publication of results.</p> <p>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 senior leadership team, in support of an application. The centre must retain evidence until after the publication of results.</p> <p>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 senior leadership, in support of the application.</p> <p>The centre must retain evidence supporting a candidate's absence from an examination until after the publication of results. [SC 6]</p>	Confidential destruction
Suspected malpractice reports/outcomes	Any hard copy information relating to a suspected malpractice investigation/report		Confidential destruction

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	submitted to an awarding body and outcome information from the awarding body.		
Transferred candidate information	Any hard copy information relating to an application for a transferred candidate arrangement submitted to an awarding body for a candidate. Applications submitted online via CAP.		Confidential waste
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 waste