



**St Hugh's School**

**Exams Archiving Policy**  
**2019/20**

## Key staff involved in the exams archiving process

Role	Name(s)
Exams Officer	Donna Millward
Exams Officer line manager (Senior Leader)	Tracy Millard
Head of centre	Tracy Millard
Finance Manager	Zoe Lifsey
IT Manager	Shane Kilby
Data Officer	Emma Patrick

### 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 EO as records owner at end of the candidate's final exam series. Information held securely for 3 years following exam series.	Confidential waste/shredding
Alternative site arrangements	Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.	To be returned to EO as records owner at end of the candidate's final exam series. Information held securely for 3 years following exam series.	Confidential waste/shredding
Attendance register copies		Kept 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 <u>ICE</u> 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.	Recycling
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.  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.  [Reference <u>PRS</u> 6]	Confidential waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		<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 <a href="#">GR 3</a>]</p>	
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 malpractice investigation has been completed, whichever is later (for the exam series).</p> <p>[Reference <a href="#">GR 3</a>]</p>	Returned to candidates or confidential waste/shredding
Certificates	Candidate certificates issued by awarding bodies.	<p>Retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue. Certificates will be retained for 7 years from the date of issue until the candidate is 25.</p> <p>[Reference <a href="#">GR 5</a>]</p>	Confidential waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	To be retained for 4 years from the date of certificate destruction. [Reference <a href="#">GR 5</a> ]	Confidential waste/shredding
Certificate issue information	A record of certificates that have been issued.	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 for 4 years [Reference <a href="#">GR 5</a> ]	Confidential waste/shredding
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 stored safely and securely until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series.	Confidential waste/shredding
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	To be stored safely and securely until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series.	Confidential waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	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		
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> [Reference <a href="#">GR 5</a> ]	Confidential waste/shredding
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the <a href="#">DfE (Standards &amp; Testing Agency) yellow label service</a>	To be stored safely and securely until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series.	Confidential waste/shredding
Entry information	Any hard copy information relating to candidates' entries.	To be kept in securely stored Exams File for 3 years.	Confidential waste/shredding
Exam question papers	Question papers for timetabled written exams.	For confidentiality purposes question papers must not be released to centre personnel for use in accordance with the above licence until after	Issued to subject staff

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		<p>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.</p> <p>[Reference <u>GR 6</u>]</p>	
Exam room checklists	Checklists confirming exam room conditions and invigilation arrangements for each exam session.	To be stored safely and securely until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series.	Confidential waste/shredding
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms for each exam session.	To be stored safely and securely until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series.	Confidential waste/shredding
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 <u>ICE 30</u>]</p>	Confidential waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Examiner reports		To be immediately provided to head of department as records owner. Copy kept by EO.	
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>See 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 and available for inspection 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 for inspection 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 <u>ICE</u> 12, 13]</p>	Confidential waste/shredding
Moderator reports		Where printed from an electronic copy, to be immediately provided to head of department as records owner. Copy kept by EO/DO in exams	



Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		file (3 year secure storage).	
Moderation returns logs	Logs recording the return of candidates' work to the centre by the awarding body at the end of the moderation period	Kept by EO/DO in exams file (3 year secure storage).	Confidential waste/shredding
Overnight supervision information	JCQ form Timetable variation and confidentiality declaration for overnight supervision for any candidate eligible for these arrangements.	Kept 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 <u>ICE</u> 8]	Confidential waste/shredding
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 <u>PRS</u> 4, appendix A and B]	Confidential waste/shredding

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.	Retained for at least six months following the outcome of the enquiry or any subsequent appeal.	Confidential waste/shredding
Post-results services: tracking logs	Logs tracking to resolution all post-results service requests submitted to awarding bodies.	Retained for 12 months after the deadline for EARs.	Electronic deletion
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)	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
Resolving timetable clashes information	Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers	Retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Electronic deletion
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 waste/shredding
Seating plans	Plans showing the seating arrangements of all candidates for	Retained until after the deadline for EARs or until any appeal, malpractice or other results	Confidential waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	every exam taken.	enquiry has been completed, whichever is later.	
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>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 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.</p> <p>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 signed evidence, produced by a member of the senior leadership 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.</p> <p>[Reference <u>SC 6</u>]</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	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

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	information from the awarding body.		
Transferred candidate arrangements	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.	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
Very late arrival reports/outcomes	Any hard copy information relating to a very late arrival report submitted to an awarding body for a candidate and outcome information from the awarding body. Applications submitted online via CAP.	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

