



Q3 Academy

Exams Archiving & Retention of Certificates Policy

2017 - 2018

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

Approved/reviewed by	
Mr M Arnall (Head of Centre)	
Date of next review	Oct 2018

Key staff involved in the exams archiving process

Role	Name(s)
Exams Officer	Mrs C Busby
Exams Officer line manager (Senior Leader)	Mrs E Blake
Head of centre	Mr M Arnull
SENCo	Mrs E Hooper
Finance Manager	Mrs N Greensill
IT Manager	Mr M Moody

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 (As suggested by exam boards)	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 waste/shredding.
Attendance register copies	Any hard copy registers	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 6,15]	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' work	Non-examination assessment work (inc. controlled assessment, coursework, portfolios) returned to the centre after awarding body moderation.	To be 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) until after the deadline for EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series. [Reference GR 3, 5]	Returned to candidates/subject staff or safe disposal.
Certificates	Certificates will be retained by the centre for a set period of time. Record of certificates will be kept on file.	Unclaimed/uncollected certificates to be retained securely for a minimum of 12 months from date of issue. [Reference GR 5]	Confidential destruction
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 GR 5]	Confidential destruction.
Certificate issue information	A record of certificates that have been issued to candidates.	[Reference GR 5]	Retained securely

Record type	Record(s) description (where required)	Retention information/period (As suggested by exam boards)	Action at end of retention period (method of disposal)
Confidential materials delivery logs	A log recording confidential materials delivered by awarding bodies to the centre and issued to authorised staff.	No requirement to retain	Confidential destruction.
Confidential materials tracking logs	A log to track materials taken from or returned to secure storage throughout the time the material is confidential.	One Year/end of exam season	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	One Year/end of exam season	Confidential destruction.
Entry information	Any hard copy information relating to candidates' entries.	One year after exam season	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. 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 ICE 16 and GR 5,6]	
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. [Reference ICE 6]	Confidential waste/shredding.
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	Confidential waste/shredding

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		enquiry has been completed, whichever is later. [Reference ICE 6]	
Exam stationery		When awarding body or JCQ common stationery is considered surplus or is out-of-date it will be disposed of. [Reference ICE page 4 and ICE 23]	Confidential disposal.
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	<i>See Exam room checklists</i>		
JCQ publications	Any hard copy publications provided by JCQ.	To be retained until the current academic year update is provided.	Confidential waste/shredding.
Moderator reports		To be immediately provided to head of department as records owner.	
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.	
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	EAR 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 waste/shredding.

Record type	Record(s) description (where required)	Retention information/period (As suggested by exam boards)	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 (EARs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body.		
Post-results services: scripts provided by ATS service	Copies of exam scripts (or an electronic image of the script) returned to the centre by the awarding body/copies downloaded by the centre where the awarding body provides online access to scripts.	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.		
Private candidate information	Any hard copy information relating to private candidates' entries.		
Proof of postage – candidate work	Proof of postage of sample of candidates' work to awarding body moderators.		
Resolving clashes information	Any hard copy information relating to the resolution of a candidate's clash of exam papers or a timetable variation.		
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. [Reference Records Management Toolkit for Schools]	
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.	

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		[Reference ICE 6]	
Special consideration information	Any hard copy information relating to a special consideration request and supporting evidence submitted to an awarding body for a candidate.	Evidence supporting an on-line special consideration application and evidence supporting a candidate's absence from an exam must be kept until after the publication of results. [Reference SC 6]	Confidential waste/shredding.
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.		
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 information	Any hard copy information relating to an application for a transferred candidate arrangement submitted to an awarding body for a candidate.	To be retained until the transfer arrangements are confirmed by the awarding body.	
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.		