



ENJOY, LEARN, ACHIEVE

Exams Office

Archiving Policy

2017/18

This policy is annually reviewed to ensure that records are archived/retained in accordance with Data Protection Legislation 1998 and from May 2018 GDPR

Approved/reviewed by

Mrs K D Hardy.

Principal

Date of next review

January 2019

Key staff involved in the exams archiving process

Role	Name(s)
Exams Officer	Diane Browning
Exams Officer line manager	Sarah Woodward
Head of centre	Kathy Hardy
SENCo	Mr R Jones
Finance Manager	Sarah Kent
IT Manager	Sean Larkin
Head of Department(s)	S Benskin, R Clifton, J England, K Ferguson, R Khan, M Kruger, V Purdy, E 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.	Exam Room allocation filed along with Exam Rooms Seating Plans, Attendance Registers and daily dispatch logs. 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		Filed with Seating Plans and Daily Dispatch Logs in exam date order. 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.	Retained until the current academic year update is provided.	Destruction
Candidates' work	Non-examination assessment work (inc. controlled assessment, coursework, portfolios) returned to the centre after awarding body moderation.	Recorded 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) 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 or Confidential waste/shredding
Certificates		Unclaimed/uncollected certificates to be retained securely for a minimum of 12 months from date of issue. Retained and filed securely for 10 years at ELA [Reference GR 5]	Confidential waste/shredding
Certificate issue information	A record of certificates that have been issued to candidates.	[Reference GR 5] Retained for 10 years from the date of the Exam Season	Confidential waste/shredding
Confidential materials delivery logs	A log recording confidential materials delivered by awarding bodies to the centre	Retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry	Confidential waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	and issued to authorised staff.	has been completed, whichever is later.	
Confidential materials tracking logs	A log to track materials taken from or returned to secure storage throughout the time the material is confidential.	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
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service	Filed with Seating Plans and Attendance Registers in Exam Date order. 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
Entry information	Any hard copy information relating to candidates' entries.	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
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 incident logs	Logs recording any incidents or irregularities in exam rooms.	Incidents are Recorded in the Room Diary. 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
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 waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Examiner reports		Upon receipt 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.	
JCQ publications	Any hard copy publications provided by JCQ.	Retained until the current academic year update is provided.	Destruction
Moderator reports		Upon receipt 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.	Retained for JCQ inspection purposes for the relevant exam series and until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/shredding
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 is retained for 9 months following the outcome of the enquiry or any subsequent appeal. ATS consent is retained for 9 months from the date consent given. [Reference PRS 4 , appendix A and B]	Confidential waste/shredding
Post-results services: Tracking logs , 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.	Application forms, logs and outcome reports are retained for 1 year.	Confidential waste/shredding
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.	Immediately upon receipt scripts are issued to students/teaching staff who submitted the application. Where copies of scripts are downloaded by the centre, they are securely stored until they are no longer required. [Reference PRS 6]	Deleted when no longer required
Proof of postage – candidate	Proof of postage of sample of candidates' work	Retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry	Confidential waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
work	to awarding body moderators.	has been completed, whichever is later.	
Resolving clashes information	Any hard copy information relating to the resolution of a candidate's clash of exam papers or a timetable variation.	Filed with Seating Plans, Attendance Registers and Daily Dispatch Logs. 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
Results information	Broadsheets of results summarising candidate final grades by subject by exam series.	Records for current year + 6 years [Reference Records Management Toolkit for Schools]	Confidential waste/shredding
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	Filed in Exam Date Order with Attendance Registers and Daily dispatch logs. 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
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 is retained until after the publication of results. Applications retained on student file until Date of Birth + 25 years. [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.	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
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.	Retained until the issue of the GCE A level result for the candidate.	Confidential waste/shredding
Transferred candidate information	Any hard copy information relating to an application for a transferred candidate arrangement submitted to an awarding body	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)
	for a candidate.		
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.	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