



Exmouth
Community
College
Academy Trust

EXAMS ARCHIVING POLICY

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Written by	Exams Office Model
Reviewed by	Cirstie Rennie
Ratified by	Curriculum Committee
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Exams Archiving Policy

Exmouth Community College

Exams Archiving Policy

Centre Name	Exmouth Community College
Centre Number	54269
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Key staff involved in the policy

Role	Name
Head of Centre	Mr Tom Inman
Senior leader(s)	Ms. Rebecca Beaumont
Exams officer	Mrs Cirstie Rennie
ALS lead/SENCo	Miss Heather Lee-Joy (from April 2024)
IT manager	
Finance manager	
Head(s) of department	As appropriate
Other staff (if applicable)	

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

References in this policy to GR, ICE, SC and PRS refer to the JCQ publications **General Regulations for Approved Centres**, **Instructions for conducting examinations**, **A guide to the special consideration process** and **Post-Results Services**.

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/data retention policy

Where a particular record or information type is not held in, or not applicable to Exmouth Community College, this is indicated.

1. Access arrangements information

Record(s) description

Any hard copy information kept by the EO relating to an access arrangement candidate.

Retention information/period

To be retained for 12 months (as may be required by FE College)

Action at the end of retention period (method of disposal)

Confidential waste/shredding.

2. Alternative site arrangements

Record(s) description

Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.

Retention information/period

Held until the end of the post results period of the academic year.

Action at the end of retention period (method of disposal)

Confidential waste/shredding.

3. Attendance register copies

Record(s) description

Attendance register and seating plan.

Retention information/period

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]

Action at the end of retention period (method of disposal)

Confidential waste/shredding.

4. Awarding body exams administration information

Record(s) description

Any hard copy publications provided by awarding bodies.

Retention information/period

To be retained until the current academic year update is provided.

Action at the end of retention period (method of disposal)

Confidential waste/shredding.

5. Candidates' scripts

Record(s) description

Any unwanted copies of scripts returned to the centre through the Access to Scripts (ATS) service.

Retention information/period

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 PRS 6]

When scripts that have been returned under access to scripts arrangements are no longer required, they must be disposed of in a confidential manner, but no earlier than the dates specified by the awarding bodies...

[Reference GR 3.15]

Action at the end of retention period (method of disposal)

Confidential disposal.

6. Candidates' work

Record(s) description

Non-examination assessment work (inc. controlled assessment, coursework, portfolios) returned to the centre after awarding body moderation.

Retention information/period

Exams Office to retain until after the deadline for RoMs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series. Work will then be returned to the Head of Department [Reference GR 3.15] .

Work that did not form part of the moderation sample (including materials stored electronically) to be stored safely and securely by the relevant department until after the deadline for RoMs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series.

[Reference GR 3, 5]

Action at the end of retention period (method of disposal)

Returned to candidates or safe disposal.

7. Centre consortium arrangements for centre assessed work

Record(s) description

N/A

Retention information/period

N/A

Action at the end of retention period (method of disposal)

N/A

8. Certificates

Record(s) description

Candidate certificates issued by awarding bodies.

Retention information/period

Unclaimed/uncollected certificates to be retained securely for a minimum of 5 years from date of issue. [Reference GR 5.14]

Action at the end of retention period (method of disposal)

Confidential destruction.

9. Certificate destruction information

Record(s) description

A record of unclaimed certificates that have been destroyed.

Retention information/period

To be retained for 4 years from the date of certificate destruction.
[Reference GR 5]

Action at the end of retention period (method of disposal)

Confidential destruction.

10. Certificate issue information

Record(s) description

A record of certificates that have been issued to candidates.

Retention information/period

To be retained for 5 years [Reference GR 5]

Action at the end of retention period (method of disposal)

Confidential destruction.

11. Confidential materials: initial point of delivery logs

Record(s) description

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.

Retention information/period

To be retained until after the deadline for RoMs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series.

Action at the end of retention period (method of disposal)

Confidential destruction.

12. Confidential materials: receipt, secure movement and secure storage logs

Record(s) description

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 of the materials are confidential.

Retention information/period

To be retained until after the deadline for RoMs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series.

Action at the end of retention period (method of disposal)

Confidential destruction.

13. Conflicts of interest records

Record(s) description

Records demonstrating the management of conflicts of Interest.

Retention information/period

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. [Reference GR 5]

Action at the end of retention period (method of disposal)

Confidential destruction.

14. Dispatch logs**Record(s) description**

Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service

Retention information/period

To be retained until after the deadline for RoMs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series.

Action at the end of retention period (method of disposal)

Confidential destruction.

15. Entry information**Record(s) description**

Any hard copy information relating to candidates' entries.

Retention information/period

To be retained until after the deadline for RoMs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series.

Action at the end of retention period (method of disposal)

Confidential destruction.

16. Exam question papers**Record(s) description**

Question papers for timetabled written exams.

Retention information/period

Can be issued to teaching staff after the published finishing time of the exam and only when all candidates in the centre have completed the exam, unless specific awarding body instructions detailing additional restrictions have been received.

[Reference ICE 16 and GR 5,6]

Action at the end of retention period (method of disposal)

Issued to subject staff.

17. Exam room checklists**Record(s) description**

Exam register, seating plan, incident log.

Retention information/period

Retained until the end of post results period.

Action at the end of retention period (method of disposal)

Confidential disposal.

18. Exam room incident logs**Record(s) description**

Logs recording any incidents or irregularities in exam rooms.

Retention information/period

To be retained until after the deadline for RoMs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

[Reference ICE 6]

Action at the end of retention period (method of disposal)

Confidential destruction.

19. Exam stationery**Record(s) description**

Awarding body exam stationery provided solely for the purpose of external exams.

Retention information/period

Unused stationery will be returned to the secure storage facility or secure room until needed for future examination. Surplus stationery will not be used for internal school tests, mock examinations and non-examination assessments. Any out of date stationery will be confidentially destroyed

[Reference ICE page 4 and ICE 23]

Action at the end of retention period (method of disposal)

Confidential disposal.

20. Examiner reports**Record(s) description**

Reports provided by the exam boards.

Retention information/period

To be immediately provided to head of department as records owner.

Action at the end of retention period (method of disposal)

Confidential disposal.

21. Finance information**Record(s) description**

Copy invoices for exams-related fees.

Retention information/period

To be signed off by EO and returned to the Finance Department.

Action at the end of retention period (method of disposal)

Confidential disposal.

22. Handling secure electronic materials logs

Record(s) description

Logs recording the arrangements applied when handling secure electronic materials provided to the centre and access by the exams officer (or other authorised member of centre staff).

Retention information/period

Retained until the end of post results period.

Action at the end of retention period (method of disposal)

Confidential disposal.

23. Invigilation arrangements

Record(s) description

Exam register, seating plan, incident log.

Retention information/period

Retained until the end of post results period.

Action at the end of retention period (method of disposal)

Confidential disposal.

24. Invigilator and facilitator training records

Record(s) description

On site and online training provided and recorded both in paper form and electronically.

Retention information/period

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 results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

A record of the content of the training given to invigilators and those facilitating an access arrangement for a candidate under examination conditions will be 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, 13]

Action at the end of retention period (method of disposal)

Confidential disposal.

25. Moderator reports

Record(s) description

Reports provided by the exam boards.

Retention information/period

(Where printed from electronic copy) To be immediately provided to head of department as records owner.

Action at the end of retention period (method of disposal)

Confidential disposal.

26. Moderation return logs

Record(s) description

Logs recording the return of candidate's work to the centre by the awarding body at the end of the moderation period

Retention information/period

Kept until the end of the following academic year

Action at the end of retention period (method of disposal)

Confidential disposal.

27. Overnight supervision information**Record(s) description**

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

Retention information/period

To be retained for JCQ inspection purposes for the relevant exam series. The form must be 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. Forms may be stored electronically or in hard copy format and must not be sent to an awarding body, unless specifically requested.

Action at the end of retention period (method of disposal)

Confidential disposal

28. Post-results services: confirmation of candidate consent information**Record(s) description**

Hard copy or email record of candidate consent for an RoM or ATS

Retention information/period

RoM consent forms 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 4.2, appendix A and B] Hard copy or email record of candidate consent for an RoM or ATS

Action at the end of retention period (method of disposal)

Confidential disposal.

29. Post-results services: request/outcome information**Record(s) description**

Any hard copy information relating to a post-results service request (RoMs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body.

Retention information/period

RoM consent forms or emails from candidates 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]

Action at the end of retention period (method of disposal)

Confidential disposal.

30. Post-results services: tracking logs**Record(s) description**

Shared spreadsheet tracking post result service requests and outcomes.

Retention information/period

Records kept securely, electronic copy archived.

Action at the end of retention period (method of disposal)

Confidential disposal.

31. Private candidate information**Record(s) description**

Any hard copy information relating to private candidates' entries.

Retention information/period

To be retained until after the deadline for RoMs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

[Reference ICE 6]

Action at the end of retention period (method of disposal)

Confidential destruction.

32. Proof of postage - candidates' work**Record(s) description**

Proof of postage of sample of candidates' work submitted to awarding body moderators.

Retention information/period

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 centre's 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])

Action at the end of retention period (method of disposal)

Confidential destruction.

33. Resolving timetable clashes**Record(s) description**

Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers or a timetable variation.

Retention information/period

To be retained until after the deadline for RoMs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

[Reference ICE 6]

Action at the end of retention period (method of disposal)

Confidential destruction.

34. Results information

Record(s) description

Any hard copy information relating to a post-results service request (RoMs, appeals, ATS) submitted to an awarding body for a candidate and outcome information from the awarding body.

Retention information/period

RoM consent forms or emails from candidates 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]

Action at the end of retention period (method of disposal)

Confidential disposal.

35. Seating plans

Record(s) description

Plans showing the seating arrangements of all candidates for every exam taken.

Retention information/period

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 results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

[Reference ICE 12]

Action at the end of retention period (method of disposal)

Confidential destruction.

36. Second pair of eyes check forms

Record(s) description

Logs recording the arrangements applied when handling secure electronic materials provided to the centre and access by the exams officer (or other authorised member of centre staff).

Retention information/period

Retained until the end of post results period.

Action at the end of retention period (method of disposal)

Confidential disposal.

37. Special consideration information

Record(s) description

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

Retention information/period

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.

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 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.

[Reference SC 6]

Action at the end of retention period (method of disposal)

Confidential destruction.

38. Suspected malpractice reports/outcomes

Record(s) description

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.

Retention information/period

To be retained until after the deadline for RoMs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

[Reference ICE 6]

Action at the end of retention period (method of disposal)

Confidential destruction.

39. Transferred candidate arrangements

Record(s) description

Any hard copy information relating to an application for a transferred candidate arrangement submitted to an awarding body for a candidate.

Retention information/period

To be retained until the transfer arrangements are confirmed by the awarding body.

Action at the end of retention period (method of disposal)

Confidential destruction.

40. Very late arrival reports/outcomes

Record(s) description

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.

Retention information/period

To be retained until after the deadline for RoMs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

[Reference ICE 6]

Action at the end of retention period (method of disposal)

Confidential destruction.

41a. Any other records/documentation/materials

Record(s) description

N/A

Retention information/period

N/A

Action at the end of retention period (method of disposal)

N/A

41b. Any other records/documentation/materials

Record(s) description

N/A

Retention information/period

N/A

Action at the end of retention period (method of disposal)

N/A

Changes 2023/2024

New record types added - **22. Handling secure electronic materials logs** and **36. Second pair of eyes check records/forms**

Centre-specific changes

N/A