

Appendix 11 – Exams Archiving Strategy 2023/4

Key staff involved in the exams archiving process

Role	Name(s)
Exams officer	Miss N Harding
Exams officer line manager (Senior leader)	Mrs J Mist
Head of centre	Mrs M Mincher
IT manager	Mr A Brookes
SENDCo	Miss N Bannister
Finance manager	Mrs K Benton
Subject Leader(s)	Various

Purpose of the strategy

The purpose of this strategy 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

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 end of the candidate's final exam series.	
Alternative site arrangements	Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.		
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 exams administration information	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	
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 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... (Reference 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 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)</p> <p>...store safely and securely all non-examination assessments, including controlled assessments, coursework or portfolios, retained in, or returned to, the centre 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. This includes materials stored electronically. See paragraph 4.8 of the JCQ publication Instructions for conducting non - examination assessments https://www.jcq.org.uk/exams-office/non-examination-assessments (Reference GR 3.15)</p>	Returned to candidates or safe disposal
Certificates	Candidate certificates issued by awarding bodies.	Retain all unclaimed certificates under secure conditions for 36 months from the date of issue	Returned to the AB
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	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	Certificate destruction information

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		<p>Certifying Statement of Results, this will provide an accurate and complete record of results for all qualifications covered by the original certificate.</p> <p>Return any certificates requested by the awarding bodies. Certificates always remain the property of the awarding bodies. (Reference GR 5.14)</p>	
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... (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.		Confidential destruction after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.
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		Confidential destruction after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.
Conflicts 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	

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		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 5.3)	
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service		Confidential destruction after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.
Entry information	Any hard copy information relating to candidates' entries.		Confidential destruction after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.
Exam question papers	Question papers for timetabled written exams.	<p>(Reference ICE 31: Question papers must not be released to centre personnel until after 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.</p> <p>For CCEA examinations question papers must not be released until 24 hours after the published finishing time for the examination.)</p> <p>...For confidentiality 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 case of a timetable variation, until all candidates within the centre have completed the examination. This does not restrict</p>	Issued to subject staff

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		access to question papers by authorised centre personnel for the purpose of conducting examinations... (Reference GR 6.13)	
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.	Confidential destruction
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms for each exam session.		Confidential destruction after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.
Exam stationery	Awarding body exam stationery provided solely for the purpose of external exams.	...return unused stationery to the secure storage facility or secure room 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. (Reference ICE 30)	Confidential destruction
Examiner reports		(Where/if provided) 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	See <i>Exam room checklists</i>		
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	

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		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)	
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 candidates' work to the centre by the awarding body at the end of the moderation period		
Overnight supervision information	<p>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</p> <p>Any hard copy information relating to overnight supervision arrangements. Reports submitted online via CAP.</p>	...keep all completed forms 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. Forms may be stored electronically or in hard copy paper format and must not be sent to an awarding body, unless specifically requested... (Reference ICE 8)	Confidential destruction after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.
Post-results services: confirmation of candidate consent information	Hard copy or email record of required candidate consent	<p>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.</p> <p>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.</p>	

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		This form should be retained on the centre's files for at least six months. (Reference PRS 4 , plus appendix A and B)	
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.		
Post-results services: tracking logs	Logs tracking to resolution all post-results service requests submitted to awarding bodies.		
Private candidate information	Any hard copy information relating to private candidates' entries.		Confidential disposal after 3 years
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)	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 will 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)	
Resolving timetable clashes information	Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers		Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Results information	Broadsheets of public examination results summarising candidate final grades by subject by exam series.	Records for current year plus previous 6 years to be retained as a minimum.	
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)	
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.	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. (Reference SC 6)	Confidential disposal
Suspected malpractice reports/outcomes	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.		Confidential destruction after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.
Transferred candidate arrangements	Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP.		
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 destruction after the deadline for EARs or until any appeal, malpractice or other results

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			enquiry has been completed, whichever is later.
- 22. Handling secure electronic materials logs	Logs recording the arrangements applied when handling secure electronic materials provided to the centre and accessed by the exams officer (or other authorised member of centre staff)	Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series).	Confidential destruction after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.
36. Second pair of eyes check records/forms	Records of the check that must take place by a second person (additional to the person removing question paper packets from secure storage) immediately before a question paper packet is opened.	Where specific retention information is not provided by JCQ or other authorised organisation, it is suggested as good practice that exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries (or the resolution of any outstanding reviews/appeals or malpractice investigations) for the relevant exams series).	Confidential destruction after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.