



**Queen Katharine**  
Academy

# Exams archiving policy

2022/23

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

Approved/reviewed by	
Kirsty Cleworth Julie Aukland	
Date of next review	Oct 2023

## Key staff involved in the exams archiving process

Role	Name(s)
Exams Officer	<b>Louise Setchfield</b>
Exams Officer line manager (Senior Leader)	<b>Kirsty Cleworth</b> <b>Julie Aukland</b>
Head of centre	<b>Jane Driver</b>
SENDCo	<b>Jo Hammond</b>
Subject Leads	<b>All</b>

## 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**

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 SENDCo as records owner at end of the candidate's final exam series.	<b>Duplicates are shredded. Originals kept by SENDCo</b>
Alternative Site Arrangements	Any hard copy information generated on an alternative site arrangement. Notifications submitted on line via CAP	To be retained until the next Academic Year Summer Exams Season	Confidential Waste/Shredding
Attendance register copies	Attendance registers/Seating plans	QKA 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. QKA 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 <a href="#">ICE 12,22</a> ]	Confidential waste/shredding
Awarding body exams administrative information	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	Confidential destruction
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.  <i>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.</i> [Reference <a href="#">PRS 6</a> ]  <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>  [Reference <a href="#">GR 3</a> ]	Confidential disposal
Candidates' work	Non-examination assessment work returned to the centre by the awarding body at the end of the moderation period.	To be logged on return to the centre 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)	Returned to candidates or safe disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		<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 <i>Instructions for conducting non - examination assessments</i> <a href="https://www.jcq.org.uk/exams-office/non-examination-assessments">https://www.jcq.org.uk/exams-office/non-examination-assessments</a> [Reference GR 3]</p>	
Certificates	<b>Candidates certificates issued by awarding bodies</b>	(Reference GR 5.14: ...retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue)	Confidential destruction
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	<p>QKA will destroy any unclaimed certificates after retaining them for a minimum of 12 months. They will 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 will be retained for four years from their date of destruction. However, candidates will 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; <i>(Where an awarding body issues a replacement certificate, or a Certifying Statement of Results, this will provide an accurate and complete record of results for all qualifications covered by the original certificate... return any certificates requested by the awarding bodies.</i> [Reference GR 5.14]</p>	Confidential destruction
Certificate issue information	A record of certificates that have been issued to candidates.	<p>QKA will 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</p>	

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		record is kept of the certificates that are issued; They are signed for with a date. [Reference <a href="#">GR 5</a> ]	
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.	Current academic year + 3 months	<b>Securely destroyed</b>
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	Current academic year + 3 months	<b>Securely destroyed</b>
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 5.3</a> ]	
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>	Kept until RORs or resolution of any enquiry of the Exam Series to which the log relates – usually the current academic year + 3 months	Log Book kept indefinitely or until end of Academic Year
Entry information	Any hard copy information relating to candidates' entries.	End of the Academic Year + 3 months	Confidential waste/shredding
Exam question papers	Question papers for timetabled written exams.	(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. For CCEA examinations question papers must not be released until 24 hours after the published finishing time for the examination.)	Issued to subject staff

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		(Reference GR 6.13: ...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 access to question papers by authorised centre personnel for the purpose of conducting examinations...)	
Exam room checklists	Checklists confirming room conditions and invigilation arrangements for each exam room.	To be retained until after the deadline for RORs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.  [Reference <a href="#">ICE 6</a> ]	Disposal
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms.	To be retained until after the deadline for RORs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/Shredding
Exam stationery	Awarding Body Exams Stationery is provided solely for the purpose of external exams	QKA will 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 <a href="#">ICE 30</a> ]	Confidential disposal
Examiner reports		(Where/if provided) To be immediately provided to Head of Department as records owner.	
Invigilation arrangements	See <i>Exam room checklists</i>		
Invigilator and facilitator training records	Hard copy register	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 marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.  [Reference <a href="#">ICE 12</a> ]	<b>Confidential Waste</b>

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Moderator reports	Photocopy to be filed in Exams Office	Where printed from electronic copy are to be immediately provided to Subject Leads as records owner.	
Moderation Return Logs	Logs recording the return of candidates' work to the centre by the awarding body at the end of the moderation period	Indefinitely	
Overnight supervision information	JCQ form <i>Timetable variation and confidentiality declaration for overnight supervision</i> for any candidate eligible for these arrangements.	QKA will keep for inspection all completed forms available 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 in hard copy paper format and must not be sent to an awarding body, unless specifically requested;  [Reference <a href="#">ICE 8</a> ]	
Post-results services: confirmation of candidate consent information	Hard copy or email record of 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.  [Reference <a href="#">PRS 4</a> , <a href="#">plus</a> Appendix A and B]	<b>Confidential Waste/Shredding</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.	<b>Kept for following Academic year</b>	<b>Confidential waste/shredding</b>
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 <a href="#">PRS 6</a> ]	Confidential disposal
Private candidate information	Any hard copy information relating to private candidates' entries.	<b>Kept until RORs/Outcomes are resolved</b>	<b>Confidential waste/shredding</b>

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Proof of postage – candidates' work	<p>Proof of postage of sample of candidates' work submitted to awarding body moderators.</p> <p>(Proof of postage of candidates' scripts to awarding body examiners/markers)</p>	<p>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 <a href="#">ICE 29</a>]</p>	<b>General Disposal</b>
Resolving timetable clashes information	Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers	Current Academic year + 3 months	Confidential disposal
Results information	Broadsheets of <b>public examination</b> results summarising candidate final grades by subject by exam series.	<p>Records for current year plus previous 6 years to be retained as a minimum.</p> <p>[Reference <a href="#">Records Management Toolkit for Schools</a>]</p>	Confidential Disposal
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	<p>QKA will 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. QKA 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.</p> <p>[Reference <a href="#">ICE 12</a>]</p>	<b>Confidential waste/shredding</b>
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 by an awarding body for quality assurance purposes. A centre may be asked by an awarding body to provide signed evidence,</p>	



Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		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 <a href="#">SC 6</a> ]	
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.	To be retained until after the deadline for RORs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	<b>Confidential waste/shredding</b>
Transferred candidate arrangements	Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP.	To be retained until the transfer arrangements are confirmed by the awarding body.	<b>Confidential waste/shredding</b>
Very late arrival reports/outcomes	Any hard copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP.	To be retained until after the deadline for RORs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	<b>Confidential waste/shredding</b>