



Whitby School

Exams Archiving Policy

School Governance Status

This policy is reviewed annually to ensure compliance with current regulations.

Review dates	By Whom	Approval date
March 2018	Staff and Governors	19 March 2018
January 2019	Staff and Governors	22 January 2019
March 2022	Staff and Governors	22 March 2022
January 2023	Staff and Governors	7 February 2023
December 2023	Staff and Governors	9 January 2024
February 2025	Staff and Governors	1 April 2025
January 2026	Staff and Governors	23 March 2026

Signed by Chair:

Key staff involved in the exams archiving process

Role	Name(s)
Exams Officer	Gill Teasdale
Exams Officer line manager (Data Manager)	Nick Tindall
Head of centre	Susan Boyd
SENCo	Hazel Kirk
Finance Manager	Jackie Hunter
IT Manager	Tom Hutchinson

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.	To be returned to SENCo as records owner at end of the candidate's final exam series.	Confidential destruction
Alternative site arrangements	Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.	Destroyed once RoR deadline has passed & during next academic year	Confidential disposal
Attendance register copies		Destroyed once RoR deadline has passed & during next academic year	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 destruction
Candidates' scripts	Any unwanted copies of scripts returned to the centre through the Access to Scripts (ATS) service.	<p>To be retained securely until the awarding body's earliest date for confidential disposal of unwanted scripts.</p> <p><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 PRS 6]</p> <p><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></p> <p>[Reference GR 3]</p>	Confidential disposal
Candidates' work	Non-examination assessment work (inc. controlled assessment, coursework, portfolios) returned to the centre after awarding body moderation.	<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>(Reference GR 3.15: ...store safely and securely all non-examination assessments, including controlled</p>	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)
		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	
Certificates	Candidate certificates issued by awarding bodies.	Unclaimed/uncollected certificates to be retained securely for a minimum of 5 years from date of issue.	Confidential destruction
Certificate issue information	A record of certificates that have been issued to candidates.	Ongoing	Confidential disposal
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	(Reference GR 5.14 : ...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. This record should list the candidate number, the awarding body, the qualification(s) and the examination series. 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...)	
Confidential materials delivery logs	A log recording confidential materials delivered by awarding bodies to the centre and issued to authorised staff.	Ongoing	Confidential disposal
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.	Ongoing	Confidential disposal
Confidential materials: receipt, secure movement, checking 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	Ongoing	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	in the secure storage facility by the exams officer (or other authorised member of centre staff) throughout the period the materials are confidential. (Including for example, the handling of confidential MFL Listening materials)		
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 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]	Confidential disposal
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service	Ongoing	Confidential disposal
Entry information	Any hard copy information relating to candidates' entries.	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 question papers	Question papers for timetabled written exams.	(Reference ICE 31 : Unused question papers must not be released to any individual until 24 hours after the awarding body's published finishing time for the examination. Where a candidate is sitting an examination scheduled for the afternoon session on the following morning under an overnight supervision arrangement, unused question papers for that examination must not be released to any individual until the candidate has completed that examination.) (Reference GR 6.13 : ...For confidentiality purposes, unused question papers must not be released to any individual for use in accordance with paragraph 6.12 until 24 hours after the awarding body's published finishing time for the examination. Where a candidate is sitting an examination scheduled for the afternoon session on the following morning with an overnight supervision arrangement, unused question papers for that examination must not be released to any individual until the candidate has completed that examination.)	Issued to centre staff

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		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 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.	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
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.	<p>(Reference ICE 5, 18: In order to avoid potential breaches of security, care must be taken to ensure that the correct question paper packets are opened.</p> <p>In addition to the person removing the question paper packets from secure storage (e.g. an invigilator), another member of centre staff must check the day, date, time, subject, unit or component and tier of entry (if applicable) immediately before a question paper packet is opened. This second pair of eyes check must be recorded.)</p>	Confidential destruction
Exam stationery	Awarding body exam stationery provided solely for the purpose of external exams	<i>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.</i>	Confidential disposal
Examiner reports		(Where/if provided) To be immediately provided to head of department as records owner.	Confidential disposal
Finance information	Copy invoices for exams-related fees.	To be returned to Finance department as records owner at the end of the academic year.	
Handling secure electronic materials logs	(Where used by the centre) Logs recording the arrangements applied when handling secure electronic materials provided to the centre and		

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	accessed by the exams officer (or other authorised member of centre staff)		
Invigilation arrangements		<p><i>. A record of the content of the training given to invigilators 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.</i></p> <p><i>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.</i></p>	Confidential disposal
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	Ongoing	Confidential disposal
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.	Confidential disposal
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	<p><i>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.</i></p> <p><i>This form should be retained on the centre's files for at least six months following the outcome of the</i></p>	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		<p><i>clerical re-check, review of marking or any subsequent appeal.</i></p> <p><i>This form should be retained on the centre's files for at least six months</i></p>	
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.	Retained for 12 months	Confidential disposal
Post-results services: tracking logs	A log tracking to resolution all post-results service requests submitted to awarding bodies.	Electronic copy	Confidential disposal
Private candidate information	Any hard copy information relating to private candidates' entries.	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 disposal
Proof of postage – candidate work	Proof of postage of sample of candidates' work to awarding body moderators.		Confidential disposal
Resilience arrangements: Evidence of candidate performance	The collection of evidence of student performance to ensure resilience in the qualifications system	<p>(Reference Ofqual Guidance on collecting evidence of student performance to ensure resilience in the qualifications system:</p> <p>Retention of the work</p> <p>Student work, either the original or a copy, must always be retained by the centre. Student work can be retained digitally or physically. Students may be given copies, or the original work, where this would support their study.)</p>	
Resolving clashes information	Any hard copy information relating to the resolution of a candidate's clash of exam papers or a timetable variation.	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 disposal
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.	Confidential disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
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.	Confidential disposal
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><i>Where a candidate is present but disadvantaged for a timetabled written examination 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, 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.</i></p> <p><i>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, 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.</i></p>	Confidential disposal
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.	Kept in Exams Office for reference	Confidential disposal
Transferred candidate information	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.	Confidential disposal
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 disposal