



Title:	Exams Archiving and certificate retention Policy
Internal Reference:	L4L-GY-037
Approved by:	Sara Meller
Issue Date:	September 2020
Version No:	V1
Review Date:	September 2022

Exams Archiving and Certificate Retention Policy

This policy is reviewed annually to ensure compliance with current regulations

Key staff involved in the exams archiving process

Role	Name(s)
Principal	Claire Smith
Director	Sara Morris
Exams Officer	Tala Alhuraibat
SENCo	Gwyneth Little

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 Principal relating to an access arrangement candidate.	To be returned to SENCo as records owner at end of the candidate's final exam series.	Confidential waste/shredding
Attendance register copies		To be 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.	To be retained until the current academic year update is provided.	Confidential waste
Candidates' scripts	Exam scripts	Exam papers are retained until the end of the exam day or next working day, where they are then posted to the relevant exam board	Returned to awarding body
Candidates' work	Non-examination assessment work (inc. controlled assessment, coursework, portfolios) returned to the centre after awarding body moderation.	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
Certificates	Candidate certificates issued by awarding bodies.	Unclaimed/uncollected certificates to be retained securely for a minimum of 12 months from date of issue. [Reference GR 5]	Confidential waste
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	To be retained for 4 years from the date of certificate destruction. [Reference GR 5]	Confidential waste
Certificate issue information	A record of certificates that have been issued to candidates.	[Reference GR 5] Stored on L4L's MIS system under each learner's record Hard copy of certificates received kept for 1 year by Principal	Confidential waste

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Confidential materials delivery logs	A log recording confidential materials delivered by awarding bodies to the centre and issued to authorised staff.	Retained in Exams Office for 1 year	Confidential waste
Confidential materials tracking logs	A log to track materials taken from or returned to secure storage throughout the time the material is confidential.	Retained in Exams Office for 1 year	Confidential waste
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service	Retained in Exams Office for 1 year	Confidential waste
Entry information	Any hard copy information relating to candidates' entries.	1 year in Exams Office	Confidential waste
Exam question papers	Question papers for timetabled written exams.	Teaching staff may read 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]	All papers returned to Awarding body as per instructions; none retained in Centre
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. [Reference ICE 6]	Confidential waste
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms.	retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later. Where necessary, as per instructions, Awarding Bodies informed [Reference ICE 6]	Confidential waste

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Exam stationery		When awarding body or JCQ common stationery is considered surplus or is out-of-date it will be disposed of. Return unused stationery to the secure storage facility or secure room until needed for a future examination. [Reference ICE page 4 and ICE 23]	Confidential waste
Examiner reports		To be immediately emailed to Team Leaders and relevant tutors as records owner.	No hard copies made
Finance information	Copy invoices for exams-related fees emailed directly to Finance	To be returned to Finance Lead as records owner at the end of the academic year –	No hard copies made
Invigilation arrangements	See <i>Exam room checklists</i>		
JCQ publications	Any hard copy publications provided by JCQ or copied by Principal	To be retained until the current academic year update is provided.	Confidential waste
Moderator reports		To be immediately emailed to Team Leader as records owner.	No hard copies taken
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 waste
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 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]	Confidential waste
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 until appropriate deadline – hard copies only taken if requested by Awarding Body	Confidential waste

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
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 are securely stored (including any electronic versions) until they are no longer required. [Reference PRS 6]	Confidential waste
Post-results services: tracking logs	A log tracking to resolution all post-results service requests submitted to awarding bodies. No hard copy kept		Files deleted annually
Private candidate information	N/A		
Proof of postage – candidate work	Proof of postage of sample of candidates' work to awarding body moderators.	Retained for 1 year in Exams Office	Confidential waste
Resolving clashes information	Any hard copy information relating to the resolution of a candidate's clash of exam papers or a timetable variation.		N/A
Results information	Hard copies attached to exam pack information	Records for current year plus previous 6 years to be retained as a minimum. (MIS system) [Reference Records Management Toolkit for Schools]	Shredded / Confidential waste
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. – Retained by Exams Office for 1 year [Reference ICE 6]	Confidential waste
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 any hard copy evidence supporting a candidate's absence from an exam is kept until after the publication of results. [Reference SC 6]	Confidential waste
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.	Any hard copies retained for 1 year by Exams Office	Confidential waste

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Transferred candidate information	Any hard copy information relating to an application for a transferred candidate arrangement submitted to an awarding body for a candidate.	Retained until the transfer arrangements are confirmed by the awarding body.- attached to results issued and stored in Exams Office for 1 year	Confidential waste
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 in Exams Office for 1 year	Confidential waste