



Holbrook Academy

Exams Archiving Policy 2020/21

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| Date Approved | |
| Signed | |
| Date of Next Review | Summer term 2021 |

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

Key staff involved in the exams archiving process

| Role | Name(s) |
|--|--------------------------|
| Exams officer | Mrs E Anderson |
| Exams officer line manager (Senior leader) | Mr P Hart |
| Head of centre | Mr T Maltby |
| IT manager | Mr J Watson |
| SENCO | Mr F Anstee-Parry |
| Finance manager | Mrs S Rogers |

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 Retention Schedule

| 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. Refer to Retention Schedule | Refer to Retention Schedule |
| Alternative site arrangements | Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP. | To be retained until after the deadline for reviews of marking or until any appeal, malpractice enquiry or other results enquiry has been completed, whichever is later. | Confidential waste/shredding |
| Attendance register copies | | To be retained until after the deadline for reviews of marking or until any appeal, malpractice enquiry or other results enquiry has been completed, whichever is later. | Confidential waste/shredding |
| Awarding body administrative information | Any hard copy publications provided by awarding bodies. | To be retained until the next academic year update is provided. | Normal office waste |
| 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. | 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. or To be stored safely and securely along with work that did not form part of the moderation sample (including materials stored electronically) To be retained until after the deadline for reviews of marking or until any appeal, malpractice enquiry or other results enquiry has been completed, whichever is later. | Returned to candidates or secure disposal |
| Centre consortium arrangements for centre assessed work | Any hard copy information generated or relating to consortium arrangements for centre assessed work. Applications submitted online via CAP. | To be retained until after the deadline for reviews of marking or until any appeal, malpractice enquiry or other results enquiry has been completed, whichever is later. | Confidential disposal |

| Record type | Record(s) description (where required) | Retention information/period | Action at end of retention period (method of disposal) |
|--|---|--|---|
| Certificates | Candidate certificates issued by awarding bodies. | To be retained for 6 years from the year of examination (year 11 in most cases) | Confidential destruction and a record kept of those destroyed |
| Certificate destruction information | A record of unclaimed certificates which have been destroyed. | To be retained for 4 years from the date of destruction. | Confidential disposal |
| Certificate issue information | A record of certificates that have been issued. | To be retained for 10 years in accordance with points above re certificates and certificate destruction | 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. | To be retained until after the deadline for reviews of marking or until any appeal, malpractice enquiry or other results enquiry has been completed, whichever is later. | Confidential destruction |
| 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 | To be retained until after the deadline for reviews of marking or until any appeal, malpractice enquiry or other results enquiry has been completed, whichever is later. | Confidential destruction |
| Conflicts of Interest records | Records demonstrating the management of Conflicts of Interest | To be retained until after the deadline for reviews of marking or until any appeal, malpractice enquiry or other results enquiry has been completed, whichever is later. | Confidential destruction |
| Dispatch logs | Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service | To be retained until after the deadline for reviews of marking or until any appeal, malpractice enquiry or other results enquiry has been completed, whichever is later. | Confidential destruction |
| Entry information | Any hard copy information relating to candidates' entries. | To be retained until after the deadline for reviews of marking or until any appeal, malpractice enquiry | Confidential destruction |

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| | | or other results enquiry has been completed, whichever is later. | |
| Exam question papers | Question papers for timetabled written exams. | To be retained securely until the published finishing time or until all candidates have completed the exam, whichever is the later and all scripts have been packed up ready for despatch. | Issued to subject staff |
| Exam room checklists | Checklists confirming exam room conditions and invigilation arrangements for each exam session. | To be retained until after the deadline for reviews of marking or until any appeal, malpractice enquiry 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. | To be retained until after the deadline for reviews of marking or until any appeal, malpractice enquiry or other results enquiry has been completed, whichever is later. | Confidential destruction |
| Exam stationery | Awarding body exam stationery provided solely for the purpose of external exams. | Stored securely in the exam cupboard. Retain until informed by awarding body that current stock is obsolete. | Confidential destruction if required |
| Examiner reports | | (Where/if provided) To be immediately provided to head of department as records owner. A copy to be kept by the Exams Office with exam results. | Confidential destruction |
| Invigilation arrangements | | To be retained until after the deadline for reviews of marking or until any appeal, malpractice enquiry or other results enquiry has been completed, whichever is later. | Confidential destruction |
| Invigilator and facilitator training records | | To be retained until after the deadline for reviews of marking or until any appeal, malpractice enquiry or other results enquiry has been completed or until training for next academic year has been completed and evidenced, whichever is later. | Confidential destruction |
| Moderator reports | | (Where/if provided) To be immediately provided to head of department as records owner. A copy to be kept by the Exams Office with exam results. | Confidential destruction |

| Record type | Record(s) description (where required) | Retention information/period | Action at end of retention period (method of disposal) |
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| Moderation returns logs | Logs recording the return of candidates' work to the centre by the awarding body at the end of the moderation period | To be retained for 1 year | Confidential destruction |
| Overnight supervision information | Any hard copy information relating to overnight supervision arrangements. Reports submitted online via CAP. | To be retained until after the deadline for reviews of marking or until any appeal, malpractice enquiry or other results enquiry has been completed, whichever is later. | Confidential destruction |
| Post-results services: confirmation of candidate consent information | Hard copy or email record of required candidate consent | 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. | Confidential destruction |
| 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. | To be retained for 6 years from the year of examination (year 11 in most cases) | Confidential destruction |
| Post-results services: tracking logs | Logs tracking to resolution all post-results service requests submitted to awarding bodies. | To be retained for 6 years from the year of examination (year 11 in most cases) | Confidential destruction |
| Private candidate information | Any hard copy information relating to private candidates' entries. | To be retained until after the deadline for reviews of marking or until any appeal, malpractice enquiry or other results enquiry has been completed, whichever is later. | Confidential destruction |
| 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) | To be retained until after the deadline for reviews of marking or until any appeal, malpractice enquiry or other results enquiry has been completed, whichever is later. | Normal office waste |
| Resolving timetable clashes information | Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers | To be retained until after the deadline for reviews of marking or until any appeal, malpractice enquiry or other results enquiry has been completed, whichever is later. | Confidential destruction |

| Record type | Record(s) description (where required) | Retention information/period | Action at end of retention period (method of disposal) |
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| Results information | Broadsheets of results summarising candidate final grades by subject by exam series. | Records to be retained for current year plus 20 years as a minimum. | Confidential destruction |
| Seating plans | Plans showing the seating arrangements of all candidates for every exam taken. | To be retained until after the deadline for reviews of marking or until any appeal, malpractice enquiry or other results enquiry has been completed, whichever is later. | Confidential destruction |
| 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. | Records to be retained for current year plus 6 years as a minimum. | Confidential destruction |
| 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. | Records to be retained for current year plus 6 years as a minimum. | Confidential destruction |
| Transferred candidate arrangements | Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP. | To be retained until after the deadline for reviews of marking or until any appeal, malpractice enquiry or other results enquiry has been completed, whichever is later. | Confidential destruction |
| 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 reviews of marking or until any appeal, malpractice enquiry or other results enquiry has been completed, whichever is later. | Confidential destruction |