



Holbrook Academy

Exams Archiving Policy 2021/22

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 T Goldney
Exams officer line manager (Senior leader)	Mr K Newstead
Head of centre	Mr T Maltby
IT manager	Mr C Rankine
SENCO	Mrs S Watson
Finance manager	Mr S Hayes

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

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		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)
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)
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