



# **Exams Archiving Policy**

Holbrook Academy

## Exams Archiving Policy

Centre name	Holbrook Academy
Centre number	19213
Date policy first created	23/01/2024
Current policy approved by	Louise Short
Current policy reviewed by	Louise Short
Date of next review	23/01/2025

## Key staff involved in the policy

Role	Name
Head of centre	George Anstee-Parry (acting)
Senior leader(s)	Kerrick Newstead (Exams) Sarah Watson David Sansom
Exams officer	Louise Short
ALS lead/SENCo	Kathryn Darby
IT manager	Kurtis Greateorex
Finance manager	Steve Hayes
Head(s) of department	Head of English Head of Art Head of Music Head of Drama Head of Health & Social Care Head of iMedia Head of Design Head of Food Head of Level 1 Project
Other staff (if applicable)	Reception Staff

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

References in this policy to GR, ICE, SC and PRS refer to the JCQ publications **General Regulations for Approved Centres, Instructions for conducting examinations, A guide to the special consideration**

**process and Post-Results Services.**

## **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

Where a particular record or information type is not held in, or not applicable to Holbrook Academy, this is indicated.

## **1. Access arrangements information**

### **Record(s) description**

Any hard copy information kept by the EO/SENCo relating to an access arrangement candidate.

### **Retention information/period**

To be returned to SENCo as records owner following enquiries about result relating to the season of the candidate's final exam series. (Usually the November following their exams sat in June).

### **Action at the end of retention period (method of disposal)**

Refer to Retention Schedule.

## **2. Alternative site arrangements**

### **Record(s) description**

Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.

### **Retention information/period**

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.

### **Action at the end of retention period (method of disposal)**

Confidential waste/shredding.

## **3. Attendance register copies**

### **Record(s) description**

Attendance register issued by the awarding body, any seating plan, incident log from each exam.

### **Retention information/period**

Records are kept in accordance with the requirements of ICE, sections 12, 22 (...keep signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination. 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.

### **Action at the end of retention period (method of disposal)**

Confidential waste/shredding.

## **4. Awarding body exams administration information**

### **Record(s) description**

Any hard copy publications provided by awarding bodies.

### **Retention information/period**

To be retained until the next academic year update is provided.

### **Action at the end of retention period (method of disposal)**

Normal office waste.

## **5. Candidates' scripts**

**Record(s) description**

The second securely stored contingency word processed scripts - see word processor policy.  
Any unwanted copies of scripts returned to the centre through the Access to Scripts (ATS) service.

**Retention information/period**

Word processed scripts - 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.

Unwanted copy of scripts - to be retained securely until the awarding body's earliest date for confidential disposal of unwanted scripts.

**Action at the end of retention period (method of disposal)**

Confidential waste/shredding.

**6. Candidates' work****Record(s) description**

Non-examination assessment work returned to the centre by the awarding body at the end of the moderation period.

**Retention information/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.

**Action at the end of retention period (method of disposal)**

Returned to candidates or secure disposal.

**7. Centre consortium arrangements for centre assessed work****Record(s) description**

Any hard copy information generated or relating to consortium arrangements for centre assessed work.  
Applications submitted online via CAP.

**Retention information/period**

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.

**Action at the end of retention period (method of disposal)**

Confidential disposal.

**8. Certificates****Record(s) description**

Candidate certificates issued by awarding bodies.

**Retention information/period**

To be retained for 6 years from the year of examination (year 11 in most cases)

**Action at the end of retention period (method of disposal)**

Confidential destruction and a record kept of those destroyed.

## **9. Certificate destruction information**

### **Record(s) description**

A record of unclaimed certificates which have been destroyed.

### **Retention information/period**

A record of certificates that have been destroyed should be retained for a minimum of four years from their date of destruction.

### **Action at the end of retention period (method of disposal)**

Confidential disposal.

## **10. Certificate issue information**

### **Record(s) description**

A record of certificates that have been issued.

### **Retention information/period**

To be retained for 10 years in accordance with points above re certificates and certificate destruction

### **Action at the end of retention period (method of disposal)**

Confidential disposal.

## **11. Confidential materials: initial point of delivery logs**

### **Record(s) description**

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.

### **Retention information/period**

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.

### **Action at the end of retention period (method of disposal)**

Confidential destruction.

## **12. Confidential materials: receipt, secure movement and secure storage logs**

### **Record(s) description**

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

### **Retention information/period**

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.

### **Action at the end of retention period (method of disposal)**

Confidential destruction.

## **13. Conflicts of interest records**

**Record(s) description**

Hard copy records demonstrating the management of Conflicts of Interest.

**Retention information/period**

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.

**Action at the end of retention period (method of disposal)**

Confidential destruction.

**14. Dispatch logs****Record(s) description**

Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards & Testing Agency) yellow label service.

**Retention information/period**

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.

**Action at the end of retention period (method of disposal)**

Confidential destruction.

**15. Entry information****Record(s) description**

Any hard copy information relating to candidates' entries.

**Retention information/period**

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.

**Action at the end of retention period (method of disposal)**

Confidential destruction

**16. Exam question papers****Record(s) description**

Surplus question papers from timetabled written exams.

**Retention information/period**

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 dispatch.

**Action at the end of retention period (method of disposal)**

Issued to subject staff.

**17. Exam room checklists****Record(s) description**

Checklists confirming exam room conditions and invigilation arrangements for each exam session.

**Retention information/period**

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.



**Action at the end of retention period (method of disposal)**

Confidential destruction.

**18. Exam room incident logs****Record(s) description**

Logs recording any incidents or irregularities in exam rooms for each exam session.

**Retention information/period**

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.

**Action at the end of retention period (method of disposal)**

Confidential destruction.

**19. Exam stationery****Record(s) description**

Awarding body exam stationery provided solely for the purpose of external exams.

**Retention information/period**

Stored securely in the exam cupboard. Retain until informed by awarding body that current stock is obsolete.

**Action at the end of retention period (method of disposal)**

Confidential destruction if required.

**20. Examiner reports****Record(s) description**

Examiner reports following an subject exam. (Need to be downloaded from awarding body website).

**Retention information/period**

(Where/if provided) To be immediately provided to head of department as records owner.

**Action at the end of retention period (method of disposal)**

Confidential destruction.

**21. Finance information****Record(s) description**

Copy invoices for exams-related fees.

**Retention information/period**

Records returned to Finance department as records owner.

**Action at the end of retention period (method of disposal)**

confidential disposal.

**22. Handling secure electronic materials logs****Record(s) description**

(Where used by the centre) Logs recording the arrangements applied when handling secure electronic materials provided to the centre and accessed by the exams officer (or other authorised member of centre staff).

**Retention information/period**

To be retained at the very least until after the deadline for reviews of results or other results enquiries or the resolution of any outstanding reviews/appeals or malpractice investigations for the relevant exams series.

**Action at the end of retention period (method of disposal)**

confidential disposal.

**23. Invigilation arrangements****Record(s) description**

Invigilation schedule, (which invigilator in which room).

**Retention information/period**

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.

**Action at the end of retention period (method of disposal)**

confidential disposal.

**24. Invigilator and facilitator training records****Record(s) description**

Materials used to train invigilators.

**Retention information/period**

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 for the duration of employment to show on-going training.

**Action at the end of retention period (method of disposal)**

confidential disposal.

**25. Moderator reports****Record(s) description**

A report from the person who moderated the subject NEA to feedback on compliance with the assessment criteria & marking accuracy.

**Retention information/period**

(Where/if provided) To be immediately provided to head of department as records owner.

**Action at the end of retention period (method of disposal)**

Confidential destruction.

**26. Moderation return logs****Record(s) description**

Logs recording the return of candidates' work to the centre by the awarding body at the end of the moderation period.

**Retention information/period**

To be retained for 1 year.

**Action at the end of retention period (method of disposal)**

Confidential destruction.

## **27. Overnight supervision information**

### **Record(s) description**

Any hard copy information relating to overnight supervision arrangements. Reports submitted online via CAP.

### **Retention information/period**

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

### **Action at the end of retention period (method of disposal)**

Confidential destruction.

## **28. Post-results services: confirmation of candidate consent information**

### **Record(s) description**

Hard copy or email record of required candidate consent

### **Retention information/period**

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.

### **Action at the end of retention period (method of disposal)**

Confidential destruction.

## **29. Post-results services: request/outcome information**

### **Record(s) description**

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.

### **Retention information/period**

Results to be updated in SIMS via a results mark sheet. Paperwork to be retained for 6 years from the year of examination (year 11 in most cases)

### **Action at the end of retention period (method of disposal)**

Confidential destruction.

## **30. Post-results services: tracking logs**

### **Record(s) description**

Logs tracking to resolution all post-results service requests submitted to awarding bodies.

### **Retention information/period**

To be retained for 6 years from the year of examination (year 11 in most cases)

### **Action at the end of retention period (method of disposal)**

Confidential destruction.

## **31. Private candidate information**

### **Record(s) description**

Any hard copy information relating to private candidates' entries.

**Retention information/period**

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.

**Action at the end of retention period (method of disposal)**

Confidential destruction.

**32. Proof of postage - candidates' work****Record(s) description**

Proof of postage of sample of candidates' work submitted to awarding body moderators.  
(Proof of postage of candidates' scripts to awarding body examiners/markers)

**Retention information/period**

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.

**Action at the end of retention period (method of disposal)**

Normal office waste.

**33. Resolving timetable clashes****Record(s) description**

Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers

**Retention information/period**

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.

**Action at the end of retention period (method of disposal)**

Confidential destruction.

**34. Results information****Record(s) description**

Any results information, hard copy results not collected, broadsheets, results by subject etc. all other digital records relating to results.

**Retention information/period**

Hard copy results not collected - beginning of term, additional copies can be run if required.  
All other records are digital therefore, at least 6 years, or software obsolete.

**Action at the end of retention period (method of disposal)**

Confidential destruction.

**35. Seating plans****Record(s) description**

Plans showing the seating arrangements of all candidates for every exam taken.

**Retention information/period**

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.

**Action at the end of retention period (method of disposal)**

Confidential destruction.

### **36. Second pair of eyes check forms**

#### **Record(s) description**

Log signed by the EO & Lead Invigilator recorded that exam packets have been double checked prior to opening the exam packets for the schedule exam. Check - correct code, tier, date.

#### **Retention information/period**

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.

#### **Action at the end of retention period (method of disposal)**

Confidential destruction.

### **37. Special consideration information**

#### **Record(s) description**

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. Email evidence to be deleted.

#### **Retention information/period**

Records retained in accordance with the requirements of SC, section 6.  
Evidence to be retained until after the publication of results.

#### **Action at the end of retention period (method of disposal)**

Confidential destruction.

### **38. Suspected malpractice reports/outcomes**

#### **Record(s) description**

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.

#### **Retention information/period**

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.

#### **Action at the end of retention period (method of disposal)**

Confidential destruction.

### **39. Transferred candidate arrangements**

#### **Record(s) description**

Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP.

#### **Retention information/period**

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.

#### **Action at the end of retention period (method of disposal)**

Confidential destruction.

## **40. Very late arrival reports/outcomes**

### **Record(s) description**

Any hard copy information relating to a candidate arriving very late to an exam. Reports submitted online via CAP.

### **Retention information/period**

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.

### **Action at the end of retention period (method of disposal)**

Confidential destruction.

## **41a. Any other records/documentation/materials**

### **Record(s) description**

Mock exam paper evidence held from the 'rigid mock season' to be run under the DFE guidance for contingency. To be held January of year 11.

To include all seating plans, incident logs.

Special consideration logs for contingency.

Malpractice records for contingency.

### **Retention information/period**

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.

### **Action at the end of retention period (method of disposal)**

Confidential destruction.

## **41b. Any other records/documentation/materials**

### **Record(s) description**

Any other hard copy data relating to mock as well as external exams.

### **Retention information/period**

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.

### **Action at the end of retention period (method of disposal)**

Confidential destruction.

## **Changes 2023/2024**

New record types added - **22. Handling secure electronic materials logs** and **36. Second pair of eyes check records/forms**

### **Centre-specific changes**

The addition of the 'rigid mock season' under DFE contingency, retention of mock papers. (41a)

Retention of some records reduced from 6 years to 'following enquiries about results' as not a requirement to keep for 6 years. Only exam results need to be kept for a minimum of 6 years.