

Bath Academy Exam Archiving Policy

2020-2021



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

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

Review Period	Staff	Date Current Policy
Annually	Vice principal & Examinations Officer	Sept 2020

The policy is next due for review in September 2021.

Vice Principal (Academic)

Exams Officer

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Date

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Key staff involved in the exams archiving process

Role	Name(s)
Exams Officer	Jan Whittaker
Exams Officer line manager	Liam Hocking (VP-Academic)
Head of centre	Tim Naylor
SENDCo	Penny McGee
Business Manager	Laura Willmington

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Exam access arrangements information	Any hard copy information kept by the EO relating to an access arrangement candidate	To be returned to ALS lead/SENCo as records owner at end of the candidate's final exam series. Keep in locked storage until 25 years from candidate's date of birth	Confidential waste/shredding
Attendance register copies	Both copy of awarding body register and school produced register	To be retained until after the deadline for RoRs or until any appeal, malpractice or other results enquiry has been completed, whichever is later. [Reference ICE 12, 22]	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.	Paper recycling
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. <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] <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> [Reference GR 3.15]	Confidential waste/shredding
Candidates' work; Including NEA work returned to the centre after awarding body moderation.	To be logged on return to the centre and immediately returned to subject staff as records owner.	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 review of moderation or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series. [Reference GR 3.15]	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)
Certificates	Candidate certificates issued by awarding bodies.	<p>Unclaimed/uncollected certificates to be retained securely for a minimum of 12 months from date of issue.</p> <p>[Reference GR5.14]</p> <p>Prior to 2018 unclaimed certificates stored in schools records archive until candidate reaches 25th years of age.</p>	Confidential destruction – keep a record of any certificates destroyed.
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	<p>To be retained for at least 4 years from the date of certificate destruction.</p> <p>Certificates 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. However, 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.</p> <p>[Reference GR 5.14]</p>	Confidential destruction
Certificate issue information	A record of certificates that have been issued to candidates.	<p>Certificates must be given to all candidates without delay and regardless of any disputes (such as non-payment of fees). Certificates must not be withheld without prior permission from an awarding body which will only be given in very exceptional circumstances.</p> <p>A record should be kept of the certificates that are issued; this is to be retained for at least 4 years from the date of certificate destruction.</p> <p>[Reference GR 5.14]</p>	Confidential destruction
Confidential materials: initial	Logs recording awarding body confidential exam materials received at the initial point of delivery	To be retained until after the deadline for RoRs, Review of moderation or until any appeal,	Paper recycling

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
point of delivery logs	in the centre to the point where these materials are securely issued to an authorised member of staff.	malpractice or other results enquiry has been completed, whichever is later.	
Confidential materials: receipt, secure movement and secure storage logs	A log to track materials taken from or returned to secure storage throughout the time the material is confidential.	To be retained until after the deadline for RoRs, review of moderation or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Paper recycling
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 5.3]	Confidential waste/shredding
Dispatch logs	Proof of dispatch of exam script packages to awarding body examiners covered by the <u>DfE (Standards & Testing Agency) yellow label service</u>	To be retained until after the deadline for RoRs, review of moderation or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Paper recycling
Entry information	Any hard copy information relating to candidates' entries.	To be retained until after the deadline for RoRs, review of moderation or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/shredding
Exam question papers	Question papers for timetabled written exams.	GCE & GCSE exam papers issued to heads of Departments 24 hours after the published starting time of the exam (and only when all candidates in the centre have completed the exam). [Reference GR 6.12] Oxbridge Admission exam papers will be destroyed in accordance with their written guidance.	Issued to subject staff or Confidential waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Exam room checklists & Invigilation arrangements	Checklists confirming exam room conditions and invigilation arrangements for each exam session.	To be retained until after the deadline for RoRs, review of moderation or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/shredding
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms, including abnormal environmental conditions.	To be retained until after the deadline for RoRs, review of moderation or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/shredding
Exam stationery	Awarding body exam stationery provided solely for the purpose of external exams.	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. [Reference ICE 30]	Confidential waste/shredding
Examiner reports		To be immediately provided to Vice Principal (Academic) for distribution to relevant teaching staff	
Finance information	Copy invoices for exams-related fees.	To be returned to Finance department as records owner at the end of the academic year.	
Invigilator and facilitator training records	Written record of all Invigilator training and attendance register. Currently kept electronically and in hard copy by EO.	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 retained on file until the deadline for reviews of marking, moderation has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. [Reference ICE 12]	Confidential waste/shredding
JCQ publications	Any hard copy publications provided by JCQ.	To be retained until the current academic year update is provided.	Paper recycling

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Moderator reports		To be immediately provided to Vice Principal (Academic) for distribution to relevant teaching staff	
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 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 (for the exam series).	Confidential waste/shredding
Overnight supervision information	The JCQ Overnight Supervision form is completed online using CAP. The JCQ Overnight Supervision Declaration form is downloaded from CAP for signing by the candidate, the supervisor and the head of centre	Keep all completed forms available for inspection until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later. Forms may be stored electronically or in hard copy paper format and must not be sent to an awarding body, unless specifically requested... [Reference (ICE 8)]	Confidential waste/shredding
Post-results services: confirmation of candidate consent information	Hard copy or email record of candidate consent for an RoR or ATS request to be submitted to an awarding body	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. 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. This form should be retained on the centre's files for at least six months. [Reference PRS 4, appendix A and B]	Confidential waste/shredding
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 at least six months following the outcome of the enquiry or any subsequent appeal	Confidential waste/shredding

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 for education purposes, they must be securely stored (including any electronic versions) until they are no longer required.	Confidential disposal
Post-results services: tracking logs	A log tracking to resolution all post-results service requests submitted to awarding bodies.	Kept on file electronically by EO	Confidential waste/shredding
Private candidate information	Any hard copy information relating to private candidates' entries.	To be retained for at least six months following the outcome of any enquiry or subsequent appeal	Confidential waste/shredding
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 for at least six months following the outcome of any enquiry or subsequent appeal Centre uses 'Yellow Label' Despatch for all but CIE/IGCSE scripts when proof of postage form is completed. All records are kept by EO until at least six months following the outcome of any enquiry or subsequent appeal [ICE 29]	Confidential waste/shredding
Resolving timetable clashes information	Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers or a timetable variation.	To be retained for at least six months following the outcome of any enquiry or subsequent appeal	Confidential waste/shredding
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. [Reference <i>Records Management Toolkit for Schools</i>] Prior to 2012 results information stored in schools records archive until candidate reaches 25 th birthday.	Confidential waste/shredding
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	To be retained until after the deadline for RoRs, moderation or until any appeal, malpractice or other results enquiry has been completed, whichever is later. [Reference ICE 12]	Confidential waste/shredding

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
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.	All applications must be supported by signed evidence produced by a member of the senior leadership team. The centre must retain this evidence until after the publication of results. [Reference SC 6]	Confidential waste/shredding
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.	To be retained for at least 4 years or until any time penalty imposed has expired.	Confidential waste/shredding
Transfer of credit information	Any hard copy information relating to a GCE AS transfer of credit arrangement (for a legacy unitised GCE AS specification) application submitted to an awarding body for a candidate.	To be retained until after the deadline for RoRs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/shredding
Transferred candidate arrangements	Any hard copy information relating to an application for a transferred candidate arrangement submitted to an awarding body on line via CAP.	To be retained until after the deadline for RoRs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential waste/shredding
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; reports submitted on line via CAP.	To be retained until after the deadline for RoRs or until any appeal, malpractice or other results enquiry has been completed, whichever is later	Confidential waste/shredding
Word processed candidates' scripts	Scripts produced by candidates using word processors	To be deleted immediately following receipt of hard copy by exam office	Deletion