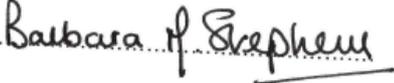




ENERGY COAST UTC

(EXAMINATION) ARCHIVING POLICY

Approved: Barbara Stephens, Chair of Governors

Signed: 

Date: April 2023

Date for Review: April 2024

Revision History:

Revision History			
Revision	Date	Owner	Summary of Changes
1	November 2017	DW	NEW
2	December 2018	DW	Reviewed
3	December 2019	DW	Minor updates
4	April 2023	DW	Minor updates
5			

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 EO relating to an access arrangement candidate.	To be returned to SENCo as records owner at end of the candidate's final exam series.	
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 destruction
Awarding body exam administrative information	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	
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]	Confidential destruction
Candidates' work	Non-examination assessment work returned to the centre after awarding body moderation.	To be logged 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 EARs or the resolution of any outstanding enquiry/appeal or malpractice investigations for the exam series. [Reference GR 3, 5]	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.	<i>...retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue</i> [Reference GR 5]	Confidential destruction
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	<i>...destroy any unclaimed certificates after retaining them for a minimum of 12 months. They 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;</i> [Reference GR 5]	Confidential destruction
Certificate issue information	A record of certificates that have been issued to candidates.	<i>...distribute certificates 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. A record should be kept of the certificates that are issued;</i> [Reference GR 5]	
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 EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	
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	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
	placed in the secure storage facility by the exams officer (or other authorised member of centre staff) throughout the period the materials are confidential		
Conflict of Interest Records	Records demonstrating the management of Conflicts of Interest	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential disposal
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 EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential disposal
Entry information	Any hard copy information relating to candidates' entries.	To be retained until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential disposal
Exam question papers	Question papers for timetabled written exams.	<i>For confidentiality purposes question papers must not be released to centre personnel for use in accordance with the above licence until after the awarding body's published finishing time for the examination or, in the case of a timetable variation, until all candidates within the centre have completed the examination. This does not restrict access to question papers by authorised centre personnel for the purpose of conducting examinations.</i> [Reference GR 6]	
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 disposal
Exam room incident logs	Logs recording any incidents or irregularities in exam rooms.	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 disposal

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
Exam stationery	Awarding body exam stationery provided solely for the purpose of external exams.	<i>...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...</i> [Reference ICE 30]	Confidential destruction
Examiner reports		To be immediately provided to head of department as records owner.	
Finance information	Copy invoices for exams-related fees.	To be returned to Finance department as records owner at the end of the academic year.	
Invigilation arrangements	See <i>Exam room checklists</i>		
Invigilator and facilitator training records		<p><i>A record of the content of the training given to invigilators must be retained on file until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.</i></p> <p><i>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 has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.</i></p> <p>[Reference ICE 12, 13]</p>	
Moderator reports		To be immediately provided to head of department as records owner.	
Post-results services: confirmation of candidate consent information	Hard copy or email record of required candidate consent	<p><i>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.</i></p> <p>ATS consent to be retained for at least six months from the date consent given.</p>	

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		[Reference PRS 4 , appendix A and B]	
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 must be securely stored (including any electronic versions) until they are no longer required. [Reference PRS 6]	Confidential disposal
Post-results services: tracking logs	Log tracking to resolution all post-results service requests submitted to awarding bodies.		
Private candidate information	Any hard copy information relating to private candidates' entries.	Records for current year plus previous 6 years to be retained as a minimum. [Reference Records Management Toolkit for Schools]	Confidential disposal
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 Records Management Toolkit for Schools]	
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	<i>...keep signed records of the seating plan, the invigilation arrangements and the centre's copies of the attendance registers for each examination. The awarding bodies may need to refer to these records. You must keep them until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.</i> [Reference ICE 6]	
Special consideration information	Any hard copy information relating to a special consideration request and supporting evidence submitted to an awarding body for a candidate.	<i>Where a candidate is present but disadvantaged for a timetabled written examination a proportion of cases will be sampled by an awarding body for quality assurance purposes. A centre may be asked by an awarding body to provide signed evidence, produced by a member of the senior leadership team, in support of an application. The centre must retain evidence supporting an on-line special consideration application until after the publication of results.</i> <i>Where a candidate is absent from an examination for an acceptable reason a proportion of cases will be sampled</i>	

Record type	Record(s) description (where required)	Retention information/period	Action at end of retention period (method of disposal)
		<i>by an awarding body for quality assurance purposes. A centre may be asked by an awarding body to provide signed evidence, produced by a member of the senior leadership team, in support of an application. [Reference SC 6]</i>	
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 until after the deadline for EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later. [Reference ICE 6]	
Transferred candidate arrangements	Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP.	To be retained until the transfer arrangements are confirmed by the awarding body.	
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 EARs or until any appeal, malpractice or other results enquiry has been completed, whichever is later. [Reference ICE 6]	