

Isaac Newton Academy

# Exams archiving policy

2020/21

## Key Staff

| Role  | Names  |
|---|--|
| Head of Centre  | The Principal  |
| Exams Officer line manager (Assistant Principal: data and assessment) | Mark Crowther-Green  |
| Data and Exams Manager  | Aidan Rothnie  |
| SENCo   | David Wilson   |
| SLT Members   | Sugra Alibhai; Paul Morton-Kemp; Tam Broadway; Eva McEvoy; Leanne Abbott-Jones; Gareth Marshall-Jones; Nichola West; Alex Clift-Matthews; Patrick Ball; Greg Coughlin; and David Beattie |

## 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) |
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| 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 the end of the candidate's final exam series  |  |
| Alternative site arrangements                          | Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP   |   |  |
| Attendance register copies                             |  | To 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   | Confidential disposal                                  |
| Awarding body 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 the 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.<br><br>To be stored safely and securely along with work that did not form part of the moderation sample (including materials stored electronically) 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) | Returned to candidates or safe disposal                |
| Certificates   | Candidate certificates issued by awarding bodies   | Two years from the date of issue  | Confidential disposal                                  |
| Certificate destruction information                    | A record of unclaimed certificates that have been destroyed  | Four years from the date of destruction of the certificates   |  |
| 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 | To 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   | Confidential disposal                                  |

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|   | room for transferal to the centre's secure storage facility   |  |                         |
| 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 the deadline for reviews of marking has passed or until any appeal, malpractice, or other results enquiry has been completed, whichever is later                                | Confidential disposal   |
| Conflicts of Interest records   | Records demonstrating the management of Conflicts of Interest   | To 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                                | 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 the deadline for reviews of marking has passed 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 the deadline for reviews of marking has passed 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  | To be held by exams staff until the day after the published date of the exam, whereupon it shall be sent to subject staff  | Issued to subject staff |
| Exam room checklists  | Checklists confirming exam room conditions and invigilation arrangements for each exam session  | To 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                                | Confidential disposal   |
| Exam room incident logs   | Logs recording any incidents or irregularities in exam rooms for each exam session  | To 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                                | Confidential disposal   |
| Exam stationery   | Awarding body exam stationery provided solely for the purpose of external exams   | Unused stationery will be returned to the centre's secure storage facility or secure room until needed for a future examination. Surplus stationery must not be used for internal school tests, mock | Confidential disposal   |

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|  |   | examinations, and non-examination assessments.<br>Surplus or out-of-date stationery will be confidentially destroyed  |                       |
| Examiner reports   |   | To be immediately provided to head of department as records owner   |                       |
| Finance information  | Copy invoices for exams-related fees  | To be filed immediately by the Finance department as part of usual invoice file storage   |                       |
| Invigilation arrangements  | See <i>Exam room checklists</i>   |   |                       |
| Invigilator and facilitator training records                         | Records of the content of the training provided to invigilators and facilitators of access arrangements   | To 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 | Confidential disposal |
| Moderator reports  |   | To be immediately provided to head of department as records owner. Exams officer to hold copies on file   |                       |
| Moderation returns logs  | Logs recording the return of candidates' work to the centre by the awarding body at the end of the moderation period  |   |                       |
| Overnight supervision information                                    | JCQ form <i>Timetable variation and confidentiality declaration for overnight supervision</i> for any candidate eligible for these arrangements   | To 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 | Confidential disposal |
| Post-results services: confirmation of candidate consent information | Hard copy or email record of required candidate consent   | Consent forms to be retained for at least six months following the outcome of the enquiry or any subsequent appeal.   | Confidential disposal |
| 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 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, they must be securely stored (including any electronic versions) until they are no longer required                | Confidential disposal |

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| Post-results services: tracking logs    | Logs tracking to resolution all post-results service requests submitted to awarding bodies  | To be retained for at least six months following the outcome of the enquiry or any subsequent appeal.  | Confidential disposal |
| Proof of postage – candidate work       | Proof of postage of sample of candidates' work submitted to awarding body moderators  | To 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          | Confidential disposal |
| Resolving timetable clashes information | Any hard copy information relating to the resolution of a candidate's clash of exam papers or a timetable variation   | To 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          | Confidential disposal |
| Results information                     | Broadsheets of results summarizing candidate final grades by subject by exam series   | Records for current year plus previous six years to be retained as a minimum   |                       |
| Seating plans                           | Plans showing the seating arrangements of all candidates for every exam taken   | 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 |
| Attendance registers                    | Copies of the attendance registers received from the awarding bodies, filled in, and returned   | 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 |
| Special consideration information       | Any hard copy information relating to a special consideration request and supporting evidence submitted to an awarding body for a candidate                               | Evidence supporting an online special consideration application and evidence supporting a candidate's absence from an exam must be kept until after the publication of results | Confidential disposal |
| 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                             | Confidential disposal |
| Transferred candidate arrangements      | Any hard copy information relating to an application for a transferred candidate arrangement. Applications submitted online via CAP                                       | To be retained until the transfer arrangements are confirmed by the awarding body  | Confidential disposal |
| 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             | 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 |
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Reviewed June 2020