

Exams Archiving Policy 2023/24

The Basildon Upper Academy

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Centre name	The Basildon Upper Academy
Centre number	16133
Date policy first created	01/11/2023
Current policy approved by	Rebecca Rees
Current policy reviewed by	Sophie Rowe
Date of next review	14/10/2024

Key staff involved in the policy

Role	Name
Head of centre	Rebecca Rees
Senior leader(s)	Sharon Szuszkiewicz
Exams officer	Sophie Rowe
ALS lead/SENCo	Victoria Oddy
IT manager	Jeff Archer
Finance manager	Hayley Loughlin
Head(s) of department	English - Natalie Fischer Maths - Madalina Stanciu Science - Zoe Radley Humanities - Lawrence Pickering Social Sciences - Aimee-Louise Taylor/ Kerry McCarthy Design & Technology - Katie Bowman PE - Nicola Moore Creative Arts - Diane Reynolds Languages - Caroline Gham-Boh Business/ Enterprises - Henry Williams
Other staff (if applicable)	

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 The Basildon Upper Academy, this is indicated.

1. Access arrangements information

Record(s) description

Any hard copy information kept by the exams officer relating to an access arrangement candidate is secure in the data office.

Information is also held electronically on our MIS system, so any access arrangements are reflected on an exam seating plan for the invigilators.

Retention information/period

Records returned to ALS lead SENCo as records owner at end of the candidates final exam series.

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

Information is removed from our MIS system, any hard copy records should be shredded and destroyed.

2. Alternative site arrangements

Record(s) description

When an alternative site arrangement is made and submitted online, the submission is printed out and kept in a folder. Where applicable, this should also be recorded electronically.

Retention information/period

As advised, at The Basildon Upper Academy, exam-related information is held at the very least, until after the deadline for reviews of results or any other results enquiries for the relevant series.

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

Information is removed from our MIS system, any hard copy records should be shredded and destroyed.

3. Attendance register copies

Record(s) description

Attendance registers are created and completed at the time of the exam by the invigilator, after the exam - these are given to the exams officer to file away.

Retention information/period

The exams officer will keep copies of attendance registers in case awarding bodies have any queries, e.g. if a candidate was present/ absent for an exam, or maybe a script has been lost - so attendance needs to be confirmed. The exams office will usually keep an store this until after the deadline for reviews of results have passed.

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

Attendance registers should be shredded once they are not needed.

4. Awarding body exams administration information

Record(s) description

These could be exam timetables, key dates or even examination posters with rules and regulations printed on them.

Retention information/period

Awarding body examination information is usually updated yearly as updates can be made which would mean the information is out of date. These should be refreshed every year before the examination series'.

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

After the retention period is passed, outdated exams information should be removed electronically and hard copies should be shredded.

5. Candidates' scripts

Record(s) description

If candidate scripts are returned to the centre, this should be stored securely until the retention period.

Retention information/period

The retention period for this would be after the deadline for review of results for the relevant series. The awarding body may have a specific retention period, if they do this must be adhered to.

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

Once the retention period has passed, the scripts must be shredded.

6. Candidates' work

Record(s) description

Non-examination assessment work is returned to the centre by the awarding body after moderation is complete.

Retention information/period

Records must be logged appropriately in regards to the moderation outcome. Work must be immediately returned to the department where they should securely store the work until the the deadline for appeals/ reviews of moderation has passed.

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

Work can either be returned to candidates upon request, or can be safely disposed of.

7. Centre consortium arrangements for centre assessed work

Record(s) description

Hard copy information generated or relating to consortium arrangements for centre assessed work. This could also be in relation to applications submitted online.

Retention information/period

Exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries.

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

Any hard copy records should be shredded and destroyed.

8. Certificates

Record(s) description

Candidate certificates which are issued by awarding bodies.

Retention information/period

At The Basildon Upper Academy we retain certificates for at least 12 months, which gives students plenty of time to collect their certificates. They will be informed by letter that we have them, then reminded further that they are ready to collect, they will also be informed that they are to be destroyed after 12 months. If the student does not collect them then they will be destroyed.

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

Certificates will be placed into a shredding bag and sealed, we then book a collection for the shredding bag to be collected and destroyed securely.

9. Certificate destruction information

Record(s) description

Once the 12 months have passed and we still have certificates left before we destroy them we ensure that a list is kept either electronically or as a hard copy - the list will include the names of the students and date of births of who have not collected and claimed.

Retention information/period

Any unclaimed certificates are to be destroyed after 12 months of the issue date.

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

Certificates will be placed into a shredding bag and sealed, we then book a collection for the shredding bag to be collected and destroyed securely.

10. Certificate issue information

Record(s) description

We keep a record of certificates that have been issued and collected by students so we are aware who has and hasn't collected their certificates.

Retention information/period

We maintain accurate contact details for previous students to ensure we can contact when when we have their certificates. A record of certificates issued is kept.

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

The record can simply be removed if electronic or shredded if its a hard copy.

11. Confidential materials: initial point of delivery logs

Record(s) description

A log is kept at reception for when deliveries arrive from awarding bodies. Then, the exams officer will also keep a log of what has arrived once the package has been opened up and the contents are stored accordingly.

Retention information/period

This information is usually retained until at least after the deadline for reviews of results.

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

Records can be removed or destroyed after the deadline of reviews of results.

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

Record(s) description

These are logs recording the secure movements of awarding body confidential exam materials packages by an authorised member of staff to the secure broom for transferal to the our secure storage facility.

Retention information/period

Exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results.

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

Logs should be disposed of by shredding or a shredding bag.

13. Conflicts of interest records

Record(s) description

Records are kept securely in the office which demonstrate conflicts of interest.

Retention information/period

Information should be retained up until they no longer attend the school.

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

Logs/ information should be disposed of by shredding or a shredding bag.

14. Dispatch logs

Record(s) description

Dispatch logs are tucked in with exam papers or exam materials/ stationery, they should be kept in a folder in case its needed for any enquiries.

Retention information/period

Exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results.

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

Logs/ information should be disposed of by shredding or a shredding bag.

15. Entry information

Record(s) description

When entries are made, spreadsheets are printed off and kept in a folder so we are aware of what entries have been made. Its also useful to keep to make sure that the correct entries have been made.

Retention information/period

Exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results.

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

Information sheets should be disposed of by shredding or a shredding bag.

16. Exam question papers

Record(s) description

When question papers arrive for written exams, they are immediately transported to the exams secure room and put in the secure storage up until 1 hour before the exam.

Retention information/period

For confidentially purposes, question papers must not be released to the centre personnel for use in accordance with the licence until after the awarding body's published finishing time for the exam.

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

Any spare papers after an exam can either be given to subject teachers, after the completed papers have been sent off - or must be destroyed accordingly.

17. Exam room checklists

Record(s) description

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

Retention information/period

Exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results

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

Room checklists should be disposed of and shredded.

18. Exam room incident logs

Record(s) description

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

Retention information/period

Exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results.

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

Incident logs should be disposed of and shredded.

19. Exam stationery

Record(s) description

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

Retention information/period

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

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

Destroy confidentially any out-of-date stationery.

20. Examiner reports

Record(s) description

Examiner reports are given to the exams officer, these are kept and filed securely. They can also be passed onto the Head of Departments.

Retention information/period

These records should be securely kept and retained for 6-12 months.

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

Records should be confidentially shredded.

21. Finance information

Record(s) description

Copy invoices for exams-related fees. These should be stored securely in the finance office and paid off before the due date.

Retention information/period

Records should be kept for 12 months.

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

Records should be confidentially shredded once the retention date passes.

22. Handling secure electronic materials logs

Record(s) description

Logs recording the arrangements applied when handling secure electronic materials provided to the centre and accessed by the exams officer.

Retention information/period

Exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results.

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

Records should be shredded once the retention period passes.

23. Invigilation arrangements

Record(s) description

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

Retention information/period

We ensure to keep this record until at least after the deadline for reviews of marking, in case any invigilators are asked to write statements in regards to any malpractice or any other incidents.

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

Records should be shredded when they are no longer needed.

24. Invigilator and facilitator training records

Record(s) description

In the exams office, we keep records of invigilators who attended any online or face to face training. This could be with certificates or signed sheets to prove who attended training.

Retention information/period

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 available for inspection and retained on file until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed.

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

Any hard copy records should be shredded when they are no longer needed.

25. Moderator reports

Record(s) description

Moderator reports are given to the exams officer, these are kept and filed securely. They can also be passed onto the Head of Departments.

Retention information/period

These should be stored securely and retained for 6-12 months.

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

Records should be confidentially shredded.

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

Exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results.

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

Any records should be shredded once the retention period has passed.

27. Overnight supervision information**Record(s) description**

Overnight Supervision Declaration form is downloaded from CAP for signing by the candidate, the supervisor and the head of centre.

Retention information/period

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.

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

Records should be shredded once retention period passes.

28. Post-results services: confirmation of candidate consent information**Record(s) description**

When a student requests a post-result service, they are asked to complete a JCQ consent form which is then given to the exams officer to file and record on the spreadsheet.

Retention information/period

Exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results.

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

Once the retention period passes, any records should be shredded.

29. Post-results services: request/outcome information**Record(s) description**

Requests and outcomes are logged onto a spreadsheet kept by the exams officer, when an outcome come in to the exams officer its recorded promptly.

Retention information/period

Exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results.

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

Electronic copies of the spreadsheet can be deleted after the retention date passes.

30. Post-results services: tracking logs**Record(s) description**

Post-results service requests are logged and tracked on a spreadsheet kept by the exams officer.

Retention information/period

Exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results.

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

Electronic copies of the spreadsheet can be deleted after the retention date passes.

31. Private candidate information

Record(s) description

Any hard copy information relating to private candidates' entries.

Retention information/period

Exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results.

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

Hard copies of records should be shredded.

32. Proof of postage - candidates' work

Record(s) description

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

Retention information/period

Must obtain proof of postage/despatch for each packet of scripts, which must be retained on the centre's files until the results are published, in case of loss or damage.

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

Hard copies of records should be shredded.

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

Exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries.

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

Hard copies of records should be shredded.

34. Results information

Record(s) description

Broadsheets of public examination results summarising candidate final grades by subject by exam series.

Retention information/period

Records for current year plus previous 6 years retained as a minimum.

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

Hard copies of records should be shredded. Electronic copies should be removed from any computer.

35. Seating plans

Record(s) description

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

Retention information/period

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. The centre 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.

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

Hard copies of records should be shredded. Electronic copies should be removed from any computer.

36. Second pair of eyes check forms

Record(s) description

Records of the check that must take place by a second person (additional to the person removing question paper packets from secure storage) immediately before a question paper packet is opened.

Retention information/period

Exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries.

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

Hard copies of records should be shredded. Electronic copies should be removed from any computer.

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 appropriate evidence signed by a senior leader.

Retention information/period

Records retained in accordance with the requirements of special considerations must be retained until after the publication of results.

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

Hard copies of records should be shredded. Electronic copies should be removed from any computer.

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

Exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries.

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

Hard copies of records should be shredded. Electronic copies should be removed from any computer.

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

Exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries.

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

Hard copies of records should be shredded. Electronic copies should be removed from any computer.

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

Exams-related information that is held in the centre is retained at the very least until after the deadline for reviews of results or other results enquiries.

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

Hard copies of records should be shredded. Electronic copies should be removed from any computer.

41a. Any other records/documentation/materials

Record(s) description

Retention information/period

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

41b. Any other records/documentation/materials

Record(s) description

Retention information/period

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

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