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Company Registration Number: 10745840 (England and Wales)

Ethos Academy Trust

# Archiving Policy 2023- 2024



Nurturing inclusive learning communities



<b>1</b>	<b>Summary</b>	This policy outlines what type information/records are to be held by the exams office and the duration these should be kept. It also outlines the action to be taken at the end of the retention period.			
<b>2</b>	<b>Responsible person</b>	Exam Officer			
<b>3</b>	<b>Accountable ELT member</b>	Rebecca Smith			
<b>4</b>	<b>Applies to</b>	Ethos College			
<b>5</b>	<b>Trustees and/or individuals who have overseen development of this policy</b>	N/A			
<b>6</b>	<b>Headteachers/Service Heads who were consulted and have given approval (if applicable)</b>	Rebecca Smith			
<b>8</b>	<b>Ratifying committee(s) and date of final approval</b>	Head Teacher			
<b>9</b>	<b>Version Number</b>	1.2			
<b>10</b>	<b>Available on</b>	Every	Y	Trust Website	N
				Academy Website	Y
				Staff Portal	N
<b>11</b>	<b>Related documents (if applicable)</b>				
<b>12</b>	<b>Disseminated to</b>	Ethos College			
<b>13</b>	<b>Date of implementation (when shared)</b>	14/12/2023			
<b>14</b>	<b>Date of next formal review</b>	November 2024			
<b>15</b>	<b>Consulted with Recognised Trade Unions</b>	N/A			

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Date	Version	Action	Summary of changes
1/10/2023	1.2		No changes

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## **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
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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 retained for a period of nine years (i.e. until the candidate reaches the age of 25)	Confidential destruction
Alternative site arrangements	Any hard copy information generated on an alternative site arrangement. Notifications submitted online via CAP.	To be retained until after the deadline for reviews of marking or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential destruction
Assessment evidence (BTEC and Functional Skills)	All candidate work entered for assessment	To be retained for a period of three years	Confidential destruction
Attendance register copies	Duplicate copies of attendance registers provided by awarding bodies for each exam	To be retained until after the deadline for reviews of marking or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential destruction
Awarding body administrative information	Any hard copy publications provided by awarding bodies.	To be retained until the current academic year update is provided.	General disposal
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.	Confidential destruction
Candidates' work	Non-examination assessment work returned to the centre after the end of the moderation period.	To be logged on return to the centre. 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). The work will then be returned to subject staff as records owner.	Returned to candidates or safe disposal
Certificates	Candidate certificates issued by awarding bodies.	Unclaimed/uncollected certificates to be retained securely for a minimum of 12 months from date of issue.	Confidential destruction
Certificate destruction information	A record of unclaimed certificates that have been destroyed.	To be retained for six years from the date of certificate destruction.	Confidential destruction
Certificate issue information	A record of certificates that have been issued to candidates.	To be retained for six years from the date of issue	Confidential destruction

<p>Confidential materials: initial point of delivery logs</p>	<p>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.</p>	<p style="text-align: center;"><i>Nurturing inclusive learning communities</i></p> <p>To be retained until after the deadline for reviews of marking or until any appeal, malpractice or other results enquiry has been completed, whichever is later.</p>	<p>Confidential destruction</p>
<p>Confidential materials: Receipt, secure movement and secure storage logs</p>	<p>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</p>	<p>To be retained until after the deadline for reviews of marking or until any appeal, malpractice or other results enquiry has been completed, whichever is later.</p>	<p>Confidential destruction</p>
<p>Conflicts of Interest records</p>	<p>A record of staff responses to the conflict of interest questions and additional information where risks need to be declared/recorded</p>	<p>To be retained until after the deadline for reviews of marking or until any appeal, malpractice or other results enquiry has been completed, whichever is later.</p>	<p>Confidential destruction</p>
<p>Dispatch logs</p>	<p>Proof of dispatch of exam script packages to awarding body examiners covered by the DfE (Standards &amp; Testing Agency) yellow label service</p>	<p>To be retained until after the deadline for reviews of marking or until any appeal, malpractice or other results enquiry has been completed, whichever is later.</p>	<p>Confidential destruction</p>
<p>Entry information</p>	<p>Any hard copy information relating to candidates' entries.</p>	<p>To be retained until after the deadline for reviews of marking or until any appeal, malpractice or other results enquiry has been completed, whichever is later.</p>	<p>Confidential destruction</p>
<p>Exam question papers</p>	<p>Question papers for timetabled written exams.</p>	<p>Issued to teaching staff after the published finishing time of the exam and only when all candidates in the centre have completed the exam.</p> <p>Instructions issued by an individual awarding body relating to the use of question papers for vocational qualifications after the examination has taken place are followed.</p>	<p>Confidential destruction when papers are not required by teaching staff</p> <p>Confidential destruction where awarding body instructions do not permit teaching staff to have copies</p>
<p>Exam room checklists / invigilation records</p>	<p>Checklists confirming exam room conditions and invigilation arrangements for each exam session.</p>	<p>To be retained until after the deadline for reviews of marking or until any appeal, malpractice or other results enquiry has been completed, whichever is later.</p>	<p>Confidential destruction</p>
<p>Exam room incident logs</p>	<p>Logs recording any incidents or irregularities in exam rooms for each exam session.</p>	<p>To be retained until after the deadline for reviews of marking or until any appeal, malpractice or other results enquiry has been completed, whichever is later.</p>	<p>Confidential destruction</p>

Exam stationery	Awarding body exam stationery provided solely for the purpose of external exams.	<p style="text-align: center; color: #800080; font-size: small;">Nurturing inclusive learning communities</p> <p>Unused stationery will be returned to the centre's secure room until needed for a future examination. Surplus stationery will not be used for internal school tests, mock examinations and non-examination assessments.</p> <p>When awarding body or JCQ common stationery is considered surplus or is out-of-date it will be confidentially destroyed.</p>	Confidential destruction
Examiner reports	Feedback from examiners	Where provided, to be immediately provided to relevant teacher as records owner (copy to their line manager)	n/a
Finance information	Copy invoices for exams-related fees.	To be returned to Finance Officer as records owner at the end of the academic year.	n/a
Invigilator and facilitator training records	Training content and attendance register for invigilator training sessions	A record of the content of the training given to invigilators and those facilitating an access arrangement for a candidate under examination conditions is 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.	Confidential destruction
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 for a period of 12 months.	Confidential destruction
Moderator reports	Feedback from moderators	Where provided, to be immediately provided to relevant teacher as records owner (copy to their line manager)	n/a
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	To be retained until after the deadline for reviews of marking 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 will not be sent to an awarding body, unless specifically requested;	Confidential destruction
Post-results services: confirmation of candidate consent information	Hard copy or email record of required candidate consent	Consent forms or emails from candidates are retained by the centre 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. Access to Scripts consent is retained for at least six months from the date consent given.	Confidential destruction

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 destruction
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 destruction
Proof of postage – candidates' work	Proof of postage of samples of candidates' work submitted to awarding body moderators.	To be retained until the sample is returned by the moderator	Confidential destruction
Resolving timetable clashes information	Any hard copy information relating to the resolution of a candidate's clash of timetabled exam papers.	To be retained until after the deadline for reviews of marking or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential destruction
Results information	Broadsheets of results summarising candidate final grades by subject by exam series.	Records for current year plus previous six years to be retained as a minimum.	Confidential destruction
Seating plans	Plans showing the seating arrangements of all candidates for every exam taken.	To be retained until after the deadline for reviews of marking or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential destruction
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.	Signed evidence supporting an online special consideration application and signed evidence supporting a candidate's absence from an exam is kept until after the publication of results.	Confidential destruction
Suspected malpractice reports/outcomes	Any hard copy information relating to a suspected malpractice investigation/report submitted to an awarding body and outcome information from the awarding body.	To be retained until after the deadline for reviews of marking or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential destruction
Transferred candidate arrangements	Any hard copy information relating to a transferred candidate arrangement. Applications submitted online via CAP	To be retained until after the deadline for reviews of marking or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential destruction
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 reviews of marking or until any appeal, malpractice or other results enquiry has been completed, whichever is later.	Confidential destruction