



Joint Council for
Qualifications

General and Vocational Qualifications

General Regulations for Approved Centres

1 September 2015 to 31 August 2016

Produced on behalf of:



PEARSON



Changes made to the contents of this booklet since the previous version (1 September 2014 to 31 August 2015) are highlighted for easy identification.

However, heads of centre, members of senior leadership teams and exam office personnel must familiarise themselves with the entire contents of the booklet.

A checklist for prospective examination centres who are seeking centre approval with AQA, CCEA, OCR, Pearson and/or WJEC is provided on **page 23**.

This checklist has been produced to ensure that centre staff are fully prepared for the pre-registration visit as conducted by the JCQ Centre Inspection Service.

Centres should note that any reference to 'JCQ' or 'Joint Council for Qualifications' within this document should be read as JCQ^{CIC} or the Joint Council for Qualifications^{CIC}.

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1 About these regulations

1.1 These regulations have been established to ensure that the integrity and security of the examination/assessment system is maintained at all times and is not brought into disrepute.

Centres **must** conduct examinations and assessments in accordance with these regulations and, where relevant, the JCQ publications:

- *Access Arrangements and Reasonable Adjustments;*
- *Instructions for conducting controlled assessments;*
- *Instructions for conducting coursework;*
- *Instructions for conducting examinations; and*
- ***Instructions for conducting non-examination assessments.***

A centre will have confirmed its readiness to adhere to these regulations when first registered as an approved centre. **All centres will be required to confirm, on an annual basis, that they are both aware of and adhering to the latest version of these regulations.**

This confirmation is managed as part of the National Centre Number Register (NCNR) annual update (see section 5.3, page 8).

Failure to respond to the NCNR annual update will result in your centre status being suspended and could lead to awarding bodies withdrawing their approval of your centre.

1.2 For the purposes of this document:

An examination or assessment centre (the centre) is approved and registered by one or more of the awarding bodies for the registration or entry of candidates to its examinations/assessments and for the conduct of those examinations/assessments.

A centre may be:

- **a school/college or other educational establishment comprising of a single site; or**
- **a training organisation or small company comprising of a single site; or**
- **a school/college with a range of buildings in close proximity; or**
- **a 'controlling agency' with one or more associated sites, called satellites, which may include franchise arrangements.**

Where a centre uses more than one building or site, these arrangements must conform with section 5 of the JCQ publication *Instructions for conducting examinations.*

1.3 The **head of centre** is the head of a school, the principal of a college or the chief officer of an institution which is approved by one or more of the awarding bodies as an examination/assessment centre. The head of centre is responsible to the awarding bodies for making sure all examinations/assessments are conducted according to the instructions, and the qualification specifications issued by the awarding bodies.

The head of centre may not appoint themselves as the examinations officer.

1.4 The **examinations officer or quality assurance co-ordinator** is the person appointed by a head of centre to act on behalf of the centre in matters relating to the administration of awarding body examinations and assessments.

1.5 **These general regulations apply to GCSE, GCE, AEA, FSMQ, ELC, Essential Skills (Wales), Functional Skills, Principal Learning and Project qualifications, as offered by the JCQ awarding bodies for the period 1 September 2015 to 31 August 2016.**
This document may also apply to other qualifications as specified by an awarding body.

The general regulations cover:

- the relationship between centres and awarding bodies;
- the responsibilities of awarding bodies in providing administrative, subject-specific assessment and quality assurance support for centres;
- the responsibilities of centres during preparations for examinations/assessments and post-examination/assessment activities;
- obligations arising from current data protection, equality and freedom of information legislation.

1.6 These regulations should be read in conjunction with:

- the regulator's *Code of Practice* ;
- the regulator's *General Conditions of Recognition* ;
- all Joint Council for Qualifications (JCQ) and awarding body publications.

These documents will be found on the Ofqual website www.gov.uk/ofqual the JCQ website www.jcq.org.uk or awarding body websites.

The JCQ documents may be supplemented from time to time by separate subject-specific instructions from the awarding bodies.

2 Who should read these regulations?

2.1 These regulations apply to examination and assessment centres that have been approved and registered by at least one of the JCQ awarding bodies **and** are taking any of the qualifications as defined in **section 1.5, as above**.

2.2 **They should be read, and referred to, by:**

- **the head of a school, the principal of a college, the chief officer of an institution or the chief executive of a company** registered with an awarding body as an examination/assessment centre;
- **members of the senior leadership team;**
- **the examinations officer or quality assurance co-ordinator** appointed by the head of centre.

3 The agreement between the centres and the awarding bodies

3.1 The regulations in this section cover the general relationship between the centre and the awarding bodies.

Centre status

3.2 **Prospective new centres should contact each awarding body that they wish to register or enter candidates with, in order to apply for approval as a centre. This application should be made by the head of centre well in advance of the respective entry deadline and no later than two months before the closing date for entries.** Where the examinations are on-demand, applications should be made in accordance with the awarding body's instructions.

For example, if a prospective new centre wishes to enter candidates for GCSE and GCE AS examinations in June 2016, an application must be sent to each of the awarding bodies with whom entries will be made no later than 21 December 2015.

Where a centre is applying for additional recognition with an awarding body, e.g. wishing to enter candidates for general qualifications in addition to existing vocational qualifications, an application **must** be made no later than two months before candidates are to undertake an examination/assessment. Approval for one qualification will not necessarily mean approval for other qualifications.

3.3 A checklist for prospective centres can be found within this document (**Appendix B, page 23**).

3.4 As part of the centre approval process for prospective new centres, an awarding body may, where appropriate, undertake a credit check.

3.5 **A centre must have:**

- **clear signage outside the main building;**
- **a reception which is permanently staffed between 8.30 am to 3.30 pm during term time;**
- **a designated office which is permanently staffed between 8.30 am to 3.30 pm during term time;** though extended hours may be required during an examination series (**see section 5.3, page 8**). (AQA, CCEA, OCR, Pearson and WJEC will reject any application for centre recognition where it is intended to operate a centre from a private residential address.)

3.6 **Groups of centres are not permitted to register a 'hub' centre in order to take question papers to an alternative site without further reference to an awarding body.** (A hub centre is defined as one which has no provision for candidates to take examinations/assessments at its registered address. Candidates will take examinations from entries made by the hub centre at one or more subsidiary sites.)

The awarding body will review such an arrangement within the context of section 5 of the JCQ publication *Instructions for conducting examinations*.

3.7 When registering a centre, the awarding bodies are entering into a relationship with the centre only. That relationship is governed by the contract between each awarding body and the centre, these regulations and any other relevant documents issued by the JCQ, awarding bodies or the regulators.

3.8 A school, college or other educational establishment, a training provider or a company approved and registered as an examination/assessment centre **must** be able to meet the conditions set out in these regulations and relevant qualification specific criteria.

3.9 An awarding body reserves the right to withdraw approval either for the delivery of a specific qualification or centre approval for all qualifications at any time, if the centre has not complied with any part of the awarding body's regulations which are in force at the time. An awarding body additionally reserves the right to withdraw centre approval where continued approval would bring the examination/assessment system into disrepute. The awarding body reserves the right to notify the other JCQ awarding bodies of such actions.

3.10 The awarding bodies reserve the right to withdraw approval of inactive centres or those centres which fail to respond to the National Centre Number Register annual update.
(See section 5.3, page 8).

3.11 The awarding bodies reserve the right to withdraw approval of those centres which do not meet the awarding body's current approval criteria.

3.12 In the event of a centre ceasing to operate it **must** take all reasonable steps to protect the interests of the candidates. It **must** also notify **each** of the awarding bodies it is approved by.

3.13 In the event that the centre withdraws from its role in delivering a qualification, the awarding body will take all reasonable steps to protect the interests of the candidates.

3.14 The fact that a centre is registered for the conduct of an awarding body's examinations and/or assessments shall not be stated in, or implied by, any letter-heading, prospectus, brochure, website, advertisement or other literature issued by the centre in connection with its courses or assessment programmes, unless specific permission from the awarding body has been given to do so. The use of a JCQ awarding body logo on any centre literature or website is not permitted.

3.15 Such information may be given to enquirers on request, provided that it is done in a manner which cannot be interpreted to mean anything other than that the awarding body is satisfied the centre has adequate facilities and resources with which to conduct examinations or assessments.

Confidentiality

3.16 **The centre will:**

- keep confidential the names and addresses of examiners, moderators, external verifiers and any other awarding body examining/assessment personnel;
- keep confidential the centre's employment of, in any capacity, any current or former JCQ centre inspectors, awarding body examiners, moderators, awarders, external verifiers or other examining personnel, and not to mention them in any form of literature issued in connection with the centre's programmes of assessment.

Retention of candidates' work

3.17 The awarding bodies will:

- unless otherwise stated, return centre-assessed work to centres after the publication of results;
- reserve the right to retain samples of centre-assessed work for archive purposes even where work is normally returned to centres and to retain all centre-assessed work, scripts and associated materials which have been the subject of an irregularity or malpractice investigation;
- assume ownership of all written scripts, tapes of speaking tests and video recordings of performances carried out under formal examination conditions and will not return externally assessed controlled assessments, coursework or examination scripts to centres except where requested under access to scripts arrangements;
- retain examples of scripts and associated materials to demonstrate standards and for reference by awarders in future years;
- allow centres to return to candidates their portfolios of evidence of achievement following verification;
- dispose of all scripts and the verified work of candidates after those required for access to scripts, enquiries about results, appeals and research purposes have been extracted. Scripts and verified work of candidates will be disposed of in a confidential manner.

3.18 It is the responsibility of centres to:

- keep live controlled assessments and candidates' coursework secure and confidential at all times whilst in their possession.** It is not acceptable for teaching staff to share live controlled assessments or coursework with candidates. Live controlled assessments or coursework is defined as any controlled assessment or coursework on a topic which has been set either by an awarding body, or the centre for a current or future examination series. The work may have been completed in a previous year or is in preparation for the present or future series;
(Centres should refer to the JCQ document *Notice to Centres – Teachers sharing controlled assessments and coursework with candidates*. This document is available on the JCQ website - <http://www.jcq.org.uk/exams-office/controlled-assessments/>)
- store safely and securely controlled assessments, coursework or portfolios retained in, or returned to, the centre up to and including the deadline for the submission of enquiries about results and until any enquiry or malpractice investigation has been resolved;
- ensure that when GCSE, GCE and Principal Learning 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.

Communication

3.19 The awarding bodies will:

- only communicate with centres regarding examination administration.**

Awarding bodies will not communicate with candidates or their parents/carers/guardians except in exceptional circumstances and at their discretion. Correspondence on any aspect of a candidate's examination or assessment will be conducted between the awarding body and the head of the centre, his/her deputy or the examinations officer responsible for the candidate's entry or registration.

4 The responsibilities of the awarding bodies

4.1 Section 2 of the *GCSE, GCE, Principal Learning and Project Code of Practice*, May 2011, sets out how the awarding bodies must make their relationship with centres clear and streamlined.

Administrative support for centres

4.2 The awarding bodies agree to:

- provide documentation and guidance on a centre's responsibilities when managing, administering and assuring the quality of an examination or qualification;
- issue moderation procedures that they will undertake (or that will be undertaken on their behalf) which allow for the marking of assessments by centres to be monitored, ensure assessments meet the required standards and allow for any adjustments to marks to be made;
- provide dates of examinations, key dates for examination administration, administrative guides, question papers and examination materials;
- inform centres how to submit registrations and entries, process centres' registrations and entries and, where appropriate, collect estimated grades;

N.B. Centres should note that the acceptance of candidate entries and/or registrations by an awarding body, including private candidates, does not mean that a legal relationship has been entered into between the awarding body and those candidates.

- provide general procedures and documentation relating to the administration of controlled assessments, coursework and portfolios;
- provide, where relevant, subject-specific instructions and mark sheets;
- provide through the JCQ publication *Instructions for conducting examinations* instructions for the conduct of written examinations and on-screen assessments;
- process applications for access arrangements and reasonable adjustments, as requested by centres, in line with the JCQ publication *Access Arrangements and Reasonable Adjustments* effective from 1 September 2015. Applications will be processed efficiently and within the relevant timescales;
- ensure that nothing in the particular instructions that they may issue shall in any way affect the responsibility of the centre for health, safety and safe working under current legislation and local government by-laws. Any particular local requirements must be followed by the centre;
- issue customer service statements and monitor their performance;
- assist centres to carry out their procedures correctly and that instructions have been followed.

Reporting results

4.3 The awarding bodies agree to:

- issue results to centres via A2C and awarding body secure extranet sites;
- issue results in a new name following gender re-assignment, or a released prisoner being given a new identity, or a witness protection case, upon receipt of appropriate documentation. The accompanying documentation will be treated in the strictest of confidence;
- issue certificates which are presented clearly;
(The results are owned by the awarding body. An awarding body has the right to amend a candidate's provisional result(s) prior to the issuing of a certificate.)
- transfer a certificated GCE AS award from a previous examination series between awarding bodies and/or specifications subject to the operating rules as detailed in the JCQ publication *Information for centres – 2015/16: Arrangements for GCE AS candidates transferring between specifications or awarding bodies midway through a GCE A-level course* ;
- investigate and report the outcome of enquiries about results and appeals;
- hold an archive of candidates' results.

Feedback to centres

4.4 The awarding bodies agree to:

- provide a mechanism for receiving and responding to comments from centres and others about their examinations and assessments.

Subject-specific support for centres

4.5 The awarding bodies agree to:

- provide information on the examination/assessment specifications available;
- provide advance notice of the withdrawal of qualifications, subjects or units;
- provide detailed specifications for each qualification offered;
- provide access to specialist advice and guidance;
- provide appropriate support materials;
- offer a programme of training for specifications;
- respond to requests for information or advice about any aspect of specification provision.

4.6 All specifications and related services are provided in accordance with the requirements of the appropriate regulators.

5 The responsibilities of centres

Centre management

- 5.1 The head of centre **must** be familiar with the system of public examinations/assessments which operates in the United Kingdom. The head of centre **must** ensure compliance with the published regulations in order to deliver the qualification(s).
- 5.2 All centres newly registered must have suitable Internet access to enable them to make full use of the awarding bodies' extranet sites for examination administration purposes.

5.3 The centre agrees to:

- deliver the qualification, as required by the awarding body, in accordance with the Equality Act 2010 (or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect);
- appoint an examinations officer/quality assurance co-ordinator to act on behalf of the centre in matters relating to the administration of examinations and assessments;
- ensure that the examinations officer receives appropriate training in order to facilitate the effective delivery of examinations and assessments within the centre;
- provide contact details and an address to which all correspondence in connection with the administration of examinations and assessments can be directed. **This must be the registered address of the centre and should be permanently staffed between 8.30 am to 3.30 pm during term time.** A senior member of staff or a member of the exams office **must** be available until such time that all afternoon examinations have been completed, examination scripts despatched or placed in secure storage for despatch the next working day;

(Centres **must** provide awarding bodies with an official school or college e-mail address and landline telephone number. Personal e-mail addresses such as 'yahoo', 'hotmail' and 'gmail', and mobile telephone numbers **are not acceptable**. Emergency contact details **must** also be provided. These may be a mobile telephone number or personal e-mail.)

- **respond accurately and promptly to the National Centre Number Register annual update**, confirming they are both aware of and adhering to the latest version of these regulations;
- confirm their details or inform the awarding bodies of any changes to their contact details through the National Centre Number Register (as administered by OCR on behalf of the JCQ awarding bodies – AQA, CCEA, OCR, Pearson and WJEC);
- inform the National Centre Number Register Team **immediately** (e-mail address – ncnocr@ocr.org.uk) **if any changes occur after the National Centre Number Register annual update has taken place**;
- inform the National Centre Number Register Team (e-mail address – ncnocr@ocr.org.uk) **no later than 6 weeks prior to moving to a new address or changing secure storage facilities in light of a substantial new build**; (A change of address or a substantial new build, resulting in revised arrangements for the centre's secure storage facilities will lead to a new centre inspection.)
- inform the National Centre Number Register Team **immediately** of any other changes in their circumstances that could affect their centre status;

- inform the awarding bodies of any members of centre staff who are either sitting examinations and assessments or teaching and preparing members of their family for examinations and assessments. Awarding bodies should also be informed where children of exams office staff are being entered for examinations and assessments;

(If a candidate is entered for an awarding body's examinations at a centre where a relative is employed, the head of centre **must** ensure that during the examination series the candidate's relative does not have unaccompanied access to examination materials. For example, question papers, pre-release materials and answer scripts. If the relative in question is the centre's examinations officer, then appropriate arrangements **must** be made to ensure that another person is present for all of the administrative arrangements relating to the candidate's examinations. For example, any application for special consideration must be authorised by a member of centre staff other than the candidate's relative.)
- have in place a **written** examination contingency plan/examinations policy which covers all aspects of examination administration. This will allow members of the senior leadership team to have a robust contingency plan in place, minimising risk to examination administration, should the examinations officer be absent at a crucial stage of the examination cycle;
- have in place a **written** policy on DBS (Disclosure and Barring Service) clearance which satisfies current legislative requirements;
- make arrangements to receive, check and store question papers and examination material safely and securely at all times and for as long as required in accordance with the JCQ publication *Instructions for conducting examinations 1 September 2015 to 31 August 2016*;
- **take all reasonable steps to maintain the integrity of the examinations/assessments, including the security of all assessment materials;**
- co-operate with the JCQ Centre Inspection Service, and/or an awarding body and/or regulatory authority when subject to inspection and/or investigation, and take all reasonable steps to comply with all requests for information or documentation made by an awarding body or regulatory authority as soon as is practical;
- assist an awarding body in carrying out any reasonable monitoring activities;
- ensure that all venues used for examinations and assessments, records and secure storage facilities are open to inspection. (JCQ centre inspectors will identify themselves with an appropriate letter of authorisation/card.) The Inspector **must** be accompanied throughout his/her tour of the premises, including inspection of the centre's secure storage facility;

(AQA, CCEA, OCR, Pearson and WJEC, through the JCQ Centre Inspection Service, have agreed a common set of sanctions in the event of an Inspector identifying that the centre has not complied with the published JCQ regulations.)
- inform the JCQ Centre Inspection Service using the JCQ *Alternative Site form* of any alternative sites that will be used to conduct examinations and/or assessments;
- make arrangements to receive and issue material received from the awarding bodies to staff and candidates, and notify them of any advice and instructions relevant to the examinations and assessments;

Where a centre fails to respond to requests from the JCQ Centre Inspection Service and/or the National Centre Number Register Team, the awarding bodies reserve the right not to despatch secure assessment materials.

- submit in accordance with awarding bodies' instructions, information they may reasonably require in relation to their examinations and assessments, returning all subject-specific forms by the required date;
- allow candidates access to relevant pre-release materials, on or as soon as possible after the date specified by the awarding bodies;
- create examination/assessment conditions, including on-screen and computer-based assessments, which ensure that the work submitted is that of the candidate alone using only the items/materials specified;
- retain a workforce of an appropriate size and competence, including sufficient managerial and other resource, to undertake the delivery of the qualification as required by an awarding body. This includes taking reasonable steps to ensure occupational competence where this is required for the assessment of specific qualifications;
- ensure that candidates have had adequate recent laboratory experience, or relevant training where required by the subject concerned;
- ensure that local health and safety rules are in place and that the centre is adequately covered for public liability claims.

Access arrangements and reasonable adjustments

5.4 The centre agrees to:

- ensure that it will recruit with integrity with regard to both general and vocational qualifications;
- ensure that learners will **in an accessible format** have the correct information and advice on their selected qualification(s) and that the qualification(s) will meet their needs. The recruitment process **must** include the centre assessing each potential learner and making justifiable and professional judgements about the learner's potential to successfully complete the examinations/assessments and achieve the qualification(s). The centre's assessment **must** identify, where appropriate, the support that will be made available to the learner to facilitate access to examinations/assessments;
- ensure that where a candidate with a learning difficulty requires an assessment of his/her needs, he/she is assessed by an appropriately qualified specialist assessor **as appointed by the head of centre**;
- have a **written** process in place to not only check the qualifications of those assessing candidates but that the assessment process is administered correctly;
- assist the awarding bodies in the discharge of their duty to make reasonable adjustments by requesting access arrangements, where required, and effectively implementing those arrangements once approved;
- submit any applications for access arrangements or reasonable adjustments ensuring that appropriate documentary evidence is held on file to substantiate such an arrangement and is open to inspection. For GCSE and GCE qualifications, a JCQ centre inspector will sample a centre's applications;
- ensure that for GCSE and GCE qualifications, a file is presented which **must** contain for each application the downloaded approval for the respective arrangement(s), supporting evidence of need (where required) and a signed data protection notice. This information **must** be available for inspection at the venue where the candidate is taking the examination;
- submit requests for modified papers by the due date;
- recognise its duties towards disabled candidates as defined under the terms of the Equality Act 2010†. This **must** include a duty to explore and provide access to suitable courses, submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates. A **written** disability policy setting out how the centre seeks to comply with the Equality Act 2010† and fully supporting disabled candidates **must** be available for inspection purposes.

†or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect

5.5 The arrangements **must** be carried out in accordance with the following JCQ publication: *Access Arrangements and Reasonable Adjustments, 1 September 2015 to 31 August 2016*.

Advice: Schools should familiarise themselves with the document published by the Equalities and Human Rights Commission (EHRC) *Reasonable adjustments for disabled pupils – Auxiliary Aids, Technical Guidance*
<http://www.equalityhumanrights.com/legal-and-policy/equality-act/equality-act-codes-of-practice/>

N.B. If a JCQ centre inspection reveals deficient performance by a centre in respect of its role in requesting and/or implementing access arrangements, an awarding body will take decisive action. Ultimately, an awarding body might have to withdraw approval for a centre. This would be where a centre has clearly failed to comply with its obligations in respect of identifying the need for, requesting and implementing access arrangements.

Candidates

5.6 The centre agrees to:

- register or enter candidates for an examination or assessment in accordance with the awarding bodies' published procedures for that qualification;
- maintain a unique candidate identifier (UCI) or unique learner number (ULN) for each candidate entered for an examination or assessment and to ensure that the same UCI or ULN is used consistently for the candidate over time to enable aggregation of units and qualifications;
- enter candidates who are usually following general qualifications at that centre as internal candidates;
- enter a candidate not in attendance at a centre who is following a general qualification as a private candidate and, where necessary, will inform the centre at which the candidate is registered of the entries made;

(A private candidate is responsible for his or her own entry which **must** be made through an accredited centre in the United Kingdom. A candidate may not be entered as both an internal and a private candidate at the same centre in the same examination series.)

N.B. Awarding bodies do not accept entries directly from private candidates; they will only accept entries made through an accredited centre. Further advice should be sought from the relevant awarding body who may maintain a list of centres who have indicated a willingness to accommodate private candidates.

- enter candidates under names that can be verified against suitable identification such as a birth certificate, passport or driver's licence. **You may need to check that the name the candidate is using within the centre is his/her legal name rather than a 'known as' name.** This will help to prevent issues at a later date when the candidate may need to verify that he/she is the person named on the certificate;
- verify the identity of all students that they enter for examinations or assessments. The centre **must** be satisfied that all candidate identities have been checked, whether as part of the initial registration process, or in the case of private candidates through a verification process which involves photo-ID.

5.7 The centre agrees to:

- make arrangements to notify candidates, including any private candidates entered through the centre, of their examination entries and the dates and times of their examinations/assessments;
- ensure that, in relation to examinations, the JCQ *Mobile Phone and Warning to Candidates* posters are displayed in a prominent place for all candidates to see prior to entering the examination room;
- ensure that the JCQ *Information for candidates* (controlled assessments, coursework, on-screen tests and written examinations) are **distributed to all candidates whether electronically or in hard copy format prior to assessments and/or examinations taking place.** Candidates **must** also be made aware of the content of the JCQ *Mobile Phone and Warning to Candidates* posters;

N.B: It is permissible for each of the JCQ *Information for candidates* to be placed on the centre's website and for the respective link to be e-mailed to candidates, with an appropriately worded message. The centre should follow this up with a briefing session or a special assembly led by the relevant Head of Year or an Assistant Head.

The briefing session would reinforce what candidates must and must not do when sitting written examinations and/or on-screen tests, and when producing coursework and/or controlled assessments.

A centre may provide candidates with a copy of the JCQ *Information for candidates* in a language other than English, Irish or Welsh.

- ensure that all candidate data where required by the awarding body has been supplied to the awarding bodies within the terms of the Data Protection Act 1998 and the Freedom of Information Act 2000, and that candidates have been properly informed that this data has been transferred to the awarding bodies (see section 6, page 17, for more information).

Controlled assessments, coursework and portfolios of evidence

5.8 The centre agrees to:

- ensure that arrangements are in place to co-ordinate and standardise all marking of centre-assessed components and to ensure that candidates' centre-assessed work is produced, authenticated and marked, or assessed and quality assured in accordance with the awarding bodies' instructions;
- notify awarding bodies of a consortium of centres with joint teaching arrangements for GCSE and/or GCE qualifications, so that the candidates for each specification can be treated as a single group for the moderation of centre-assessed work. This is only required if two or more member centres will be entering candidates for work that is centre assessed;
- take reasonable steps to ensure that all associated administrative tasks are completed in an accurate and timely manner. For example, marks are correctly calculated, recorded and submitted by the published date. **It is the responsibility of the centre to carefully check the marks it is submitting to an awarding body;**
- submit centre-assessed marks and to despatch moderation samples, if required by the awarding body, by the published date. **It is the responsibility of the centre to ensure that moderators receive the correct samples of work to review;**
- have in place, and be available for inspection purposes, a **written** internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are made widely available and accessible to all candidates;
(A centre may place its internal appeals procedure on the school/college website or alternatively, the document may be made available to candidates upon request.)
- have in place, and be available for inspection purposes, a **written** policy with regard to the management of controlled assessments;
- use only current assessment materials/tasks to assess candidates' knowledge and skills (in cases where the awarding body provides such material);
- store safely and securely all controlled assessments, coursework or portfolios until the deadline for an enquiry about results has passed or until any appeal, malpractice or results enquiry has been completed, whichever is later. This includes materials stored electronically.

Advice: A centre should print off its internal appeals procedure and its policy relating to the management of controlled assessments, place them in plastic wallets and store in a ring binder so that they are available as and when required for inspection purposes.

Registrations and entries

5.9 The centre agrees to:

- observe the awarding bodies' terms and conditions for the entry and withdrawal of candidates for their examinations and assessments;
(The awarding bodies will not allow centres to withdraw subject entries or subject awards after the release of examination results to centres.)
- submit registrations, examination entries and certification claims by the deadline(s);
(With regard to entries for unitised GCSE specifications, centres **must** ensure that a minimum of 40% of the total marks are taken in the final exam series when cash-in/certification is applied for.)
†This only applies to centres outside of England entering candidates for unitised GCSE specifications.
- pay fees as instructed and at the time specified by the awarding bodies;
- submit any applications for GCE AS transfer of credit arrangements in accordance with the JCQ publication *Information for centres – 2015/16: Arrangements for GCE AS candidates transferring between specifications or awarding bodies midway through a GCE A-level course* ;
- submit any applications for transferred candidate arrangements in accordance with the JCQ document *Guidance notes concerning Transferred Candidates*.

During the examination/assessment

5.10 The centre agrees to:

- provide suitable accommodation and facilities for all examinations and assessments, including centre-assessed work;
- provide fully trained invigilators for examinations, including on-screen and computer based assessments;
- provide fully trained Oral Language Modifiers, practical assistants, readers, scribes and Sign Language Interpreters for examinations where permitted in accordance with the JCQ publication *Access Arrangements and Reasonable Adjustments* ;
- provide fully qualified teachers to mark, and/or fully qualified assessors for the verification of centre-assessed components;
- have in place **written** procedures to verify the identity of **all** candidates at the time of the examination or assessment;
- conduct all examinations/assessments governed by these regulations in accordance with the following JCQ publications for the academic year 2015/16:
Access Arrangements and Reasonable Adjustments, Instructions for conducting controlled assessments, Instructions for conducting coursework, Instructions for conducting examinations, Instructions for conducting non-examination assessments ;
- keep records for inspection purposes of all cases where overnight supervision is required in accordance with the JCQ publication *Instructions for conducting examinations, 1 September 2015 to 31 August 2016* ;
- submit declarations for very late arrival of candidates for examinations, in accordance with the JCQ publication *Instructions for conducting examinations, 1 September 2015 to 31 August 2016* ;
- submit any applications for special consideration where candidates meet the published criteria.

Malpractice

5.11 The centre agrees to:

- notify an awarding body **at the earliest opportunity**, by completing the appropriate documentation, of any established, suspected or alleged case of malpractice (which includes maladministration);
Notification must be made to an awarding body whether involving a candidate (during examinations or following the authentication of controlled assessment, coursework or verification of other assessed qualifications) or malpractice or maladministration by a member of staff;
- investigate any instances of suspected malpractice (which includes maladministration) in accordance with the JCQ publication *Suspected Malpractice in Examinations and Assessments: Policies and Procedures, 1 September 2015 to 31 August 2016* and provide such information and advice as the awarding body may reasonably require.

Post-examination

Centre management

5.12 In relation to externally assessed examinations, the centre agrees to:

- keep scripts secure from the time they are collected from candidates until they are despatched to the examiners or the awarding bodies;
- despatch scripts without delay on the day of the examination. If scripts have to be retained overnight they **must** be kept under secure conditions and despatched the next working day;
- respect the confidentiality of scripts by not allowing them to be read or photocopied by any person prior to marking, without the permission of the awarding body;
- follow the instructions issued by an individual awarding body relating to the use of question papers for vocational qualifications after the examination has taken place.

Results

5.13 The centre agrees to:

- prior to the official dates and times for the release of results to candidates, keep result files and their contents **entirely confidential** to the head of centre, examinations office staff and those teaching staff who, in the opinion of the head of centre, need to be aware of the information;
- distribute provisional statements of results to **all** candidates, either electronically or in hard copy, without delay and regardless of any disputes (such as non-payment of fees).

Centres are not permitted to withhold provisional results from candidates under any circumstances. Under the terms of the Data Protection Act centres that receive a Subject Access Request are compelled to release results to candidates within timescales prescribed by the Data Protection Act.

Alternatively, if a candidate makes a Subject Access Request directly to an awarding body in order to obtain his/her examination results, (see section 6.6, page 17) the awarding body is similarly compelled under the terms of the Data Protection Act to provide those results within timescales prescribed by the Data Protection Act.

Post-Results Services and Appeals

5.14 The centre agrees to:

- have in place **written** procedures for how it will deal with candidates' access to scripts, enquiries about results and appeals to the awarding bodies and to ensure that details of these procedures are made widely available and accessible to all candidates. Candidates must be made aware of the arrangements for post-results services **before** they sit any examinations;
- ensure that all internal candidates are made aware that all post-results service requests must be made through the centre;

(Private candidates may submit applications for access to scripts, enquiries about results and appeals directly to the relevant awarding body.)
- ensure that candidates have provided their **written consent** for re-marking and access to scripts services offered by the awarding bodies;
- submit requests electronically for enquiries about results and access to scripts **by the deadline(s)** in accordance with the JCQ publication *Post-Results Services*;
- submit requests for appeals in accordance with the JCQ publication *A guide to the awarding bodies' appeals processes*;
- ensure outcomes of enquiries about results and appeals are made known to candidates;
- have available for inspection purposes and draw to the attention of candidates and their parents/carers, a **written** internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support an enquiry about results or an appeal;

(A centre may place its internal appeals procedure on the school/college website or alternatively the document may be made available to candidates upon request.)
- submit late subject awards for unitised GCE qualifications **by the deadline(s)**.

Certificates

5.15 The centre agrees to:

- 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;
- retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue;
- 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;
- return any certificates requested by the awarding bodies. Certificates remain the property of the awarding bodies at all times.

6 Exchange of data

6.1 The obligations of centres and the awarding bodies with regard to the transfer and holding of personal data during the examination process may be found in the Data Protection Act 1998 and the Freedom of Information Act 2000.

Data Protection

6.2 Centres **must** inform candidates that relevant personal data (name, date of birth, gender) will be transferred to the awarding bodies for the purpose of examining and awarding qualifications.

6.3 Centres **must** bring to candidates' attention the JCQ document *Information for candidates – Privacy Notice, General and Vocational Qualifications* (see **Appendix A, page 21**). This document should ideally be distributed to a candidate at the start of a course leading to a vocational qualification, or, where candidates are following GCSE and GCE qualifications, when the entries are submitted to awarding bodies for processing.

6.4 Awarding bodies may be required to provide personal data held to educational agencies such as DfE, WG, DENI, Ofqual, HESA, UCAS, Local Authorities, Learning Records Service (LRS), Education Funding Agency (EFA), or to a central record of qualifications approved by the awarding bodies, for statistical and policy development purposes. Awarding bodies maintain a comprehensive archive record of candidates' examination results. The purpose is to provide an audit trail of the results certificated and to maintain an accurate record of an individual's achievements. It is the responsibility of centres to ensure that candidates are made aware of this.

6.5 The Learning Records Service (LRS) will provide learners aged 14 and over with a unique learner number (ULN). An internet facility will provide and hold a ULN for every person in education and training aged 14 and over.

The ULN will remain with the learner for life, supporting the learner in building a record of their participation and achievements. Learners will be able to manage access to their own learning and achievement data, whilst awarding bodies will be able to publish and maintain a learner's achievement data.

6.6 Awarding bodies must also make the personal data they hold available to candidates when requested, subject to the application of any relevant exemptions within the Data Protection Act. Candidates may, on payment of the appropriate fee, obtain access to their personal data such as examination results (see **section 5.13, page 15**) by applying to the appropriate awarding body's data protection officer (see **page 20, contacts section**).

6.7 Data protection laws acknowledge that an examination certificate is a contemporaneous record of achievement. The fact that an individual's name might have changed since the date of issue of the certificate does not render it inaccurate for the purposes of the Data Protection Act 1998.

Freedom of Information

- 6.8 Under the Freedom of Information Act 2000, the general public is allowed access to any recorded information held by public authorities, unless such information is exempted in accordance with the provisions of the Act.
- 6.9 This means centres or awarding bodies who are public authorities within the meaning of the Act must consider requests for information in accordance with the provisions of the Act. They must adopt and maintain a publication scheme setting out how the different classes of information are made available.
- 6.10 This obligation does not apply to centres or awarding bodies that are private entities. However, information held on behalf of other public authorities such as DfE or Ofqual will also fall within the scope of the Act. Centres and awarding bodies should co-operate with the relevant authority in respect of any request for such information.

Copyright

- 6.11 The copyright in all question papers, on-screen assessments and computer-based assessments created by an awarding body belongs to that awarding body. Unless otherwise expressly stated in any question papers which are subject-specific, the awarding bodies grant the centres a non-exclusive, non-transferrable licence to use the question papers for the purpose only of preparing future groups of candidates for mock examinations and other internal centre tests.
- 6.12 For confidentiality purposes, **it is recommended that question papers are not released to centre personnel for use in accordance with the above licence until 24 hours after the published finishing time for the examination**. This does not restrict access to question papers by authorised centre personnel for the purpose of conducting examinations.
- 6.13 Materials that are submitted by candidates for assessment may include any form of written work, audio and visual materials, computer programmes and data ("Assessment Materials"). The copyright in any assessment materials created by a candidate belongs to him/her.
- 6.14 Each centre will procure from each of its candidates to grant the awarding body a non-exclusive, royalty-free licence to use their assessment materials (the "Assessment Licence") on the following terms:
 - i. the assessment licence becomes effective on submission, in any medium or form, by the candidate of the applicable assessment materials;
 - ii. the awarding body is entitled to use such assessment materials for the purpose of:
 - a. assessing such candidates and their assessment materials ("Candidate Assessment"); **and**
 - b. providing education and training services to others;
 - iii. the awarding body is entitled to grant any sub-licences of its rights under section 6.14(ii):
 - a. to third party examiners for the purpose of candidate assessment; **and**
 - b. to third party IT service providers for the purpose of detecting potential and suspected malpractice;

- iv. the awarding body and its sub-licensees are entitled, for purposes of exercising their rights under the assessment licence, to reproduce the assessment materials in any form or medium and in whole or in part;
- v. the awarding body is entitled, for the purpose of providing education and training services to others, to modify, translate or otherwise change the assessment materials to meet particular needs;
- vi. a candidate shall be entitled to notify the awarding body, by means of a notice to the centre, that he or she wishes to terminate the awarding body's rights referred to in section 6.14(ii)(b), and it shall be in discretion of the awarding body whether or not to terminate such rights; **and**
- vii. a candidate is not entitled to terminate the awarding body's rights referred to in section 6.14(ii)(a).

6.15 The assessment materials will either be assessed internally by teachers in the centres (whose marks will be moderated) or externally by examiners. Any such assessment materials will be anonymised to ensure that the candidates cannot be identified. Where a centre or third party is in possession of any assessment materials for the purposes of candidate assessment, such assessment materials will be held on behalf of the awarding body, and the centre or third party shall not acquire any rights therein other than granted pursuant to the assessment licence.

6.16 The awarding body will, in using any assessment materials for the purpose of providing education and training services to others pursuant to the assessment licence, before publishing or otherwise disclosing such assessment materials to any third party in any medium or form, anonymise such assessment materials to ensure that the candidates cannot be identified.

6.17 Each centre must promptly submit to the relevant awarding body any notice given by a candidate referred to in section 6.14(vi).

6.18 Subject to section 6.14, the physical medium on which any assessment material is recorded will be the property of the awarding body to whom it is submitted (the "**Property**"). The property will not be returned to centres other than through the access to scripts arrangements set out in section 5.14.

7. Contacts

AQA

Devas Street
Manchester
M15 6EX

www.aqa.org.uk

City & Guilds

1 Giltspur Street
London
EC1A 9DD

www.cityandguilds.com

CCEA

29 Clarendon Road
Clarendon Dock
Belfast BT1 3BG

www.ccea.org.uk

OCR

1 Hills Road
Cambridge
CB1 2EU

www.ocr.org.uk

Pearson

One90 High Holborn
London WC1V 7BH

www.edexcel.com

WJEC

245 Western Avenue
Cardiff
CF5 2YX

www.wjec.co.uk

Appendix A



Produced on behalf of: AQA, City & Guilds, CCEA, OCR, Pearson and WJEC

Information for candidates – Privacy Notice

General and Vocational qualifications

The JCQ awarding bodies will process your personal data in accordance with the Data Protection Act 1998 and the *Code of Practice* issued by the qualification regulators of England, Wales and Northern Ireland.

Awarding bodies will undertake the following administrative activities in relation to the processing and exchange of candidates' personal data:

1. Personal data relating to the name(s), date of birth, gender, unique candidate identifier (UCI) and unique learner number (ULN) of an individual candidate will always be collected by an awarding body for the purposes of examining and awarding qualifications. In some cases additional information, which may include sensitive personal data relating to health, will also be collected to support requests for access arrangements and reasonable adjustments and/or special consideration. Such personal data will be supplemented by the results of examinations and assessments undertaken by the respective candidate.
2. A candidate's personal data will only be collected from registered examination centres in the context of examination entries and/or certification claims.
3. Such data collected will not be used by an awarding body other than for the administration of the examinations process, conducting assessments and the certification of results claims.
4. Personal data within candidates' work will be collected and processed by an awarding body for the purposes of marking, issuing of examination results and providing candidates with access to post-results services. Examination results will be retained for a minimum of forty years.

In order for an awarding body to achieve this, some personal information may be transferred to third parties such as examiners, who may in some instances, reside outside the European Economic Area.

5. Awarding bodies may be required to provide a candidate's personal data to educational agencies such as DfE, WG, DENI, The Skills Funding Agency, Ofqual, HESA, UCAS, Local Authorities, EFA and Learning Records Service (LRS). Additionally, candidates' personal data may be provided to a central record of qualifications approved by the awarding bodies for statistical and policy development purposes.

6. Some of the information candidates supply will be used by the Skills Funding Agency to fulfil its statutory functions, issue/verify a candidate's Unique Learner Number (ULN) and update/check a candidate's Personal Learning Record.

The Skills Funding Agency may share a candidate's ULN and Personal Learning Record with other education related organisations, such as a careers service, a candidate's school or college, Government Departments and public bodies responsible for education. Further details of how information is processed and shared can be found at:

<http://www.learningrecordservice.org.uk/>

7. Awarding bodies are obliged to confirm what personal data is held, what it is held for, to whom the data are to/may be disclosed, and disclose the information that they hold about data subjects, (e.g. the candidates) within 40 days of receiving a formal request for disclosure, subject to the application of any relevant exemptions under the Data Protection Act 1998.

Candidates should make an application to the appropriate awarding body's data protection officer. Awarding bodies may charge a fee for this service.

8. If you have not reached the age of 16, you may first wish to discuss this Privacy Notice with your parent or legal guardian.

Awarding bodies, schools, Department for Education (DfE), Welsh Government (WG), Department of Education Northern Ireland (DENI), Local Authorities, the Office of the Qualifications and Examinations Regulation (Ofqual), Ofsted, and Skills Funding Agency (SFA) are all 'data controllers' under the Data Protection Act 1998 in that they determine the purpose(s) for which 'personal data' (information about living individuals from which they can be identified) is processed and the way in which that processing is undertaken.

It is a requirement for data controllers to provide data subjects (individuals who are the subject of personal data) with details of who they are, the purposes for which they process the personal data, and any other information that is necessary to make the processing of the personal data secure and accurate, including any third parties to whom it may be passed to.

Appendix B



Produced on behalf of: AQA, CCEA, OCR, Pearson and WJEC

Are you ready?

A checklist for prospective examination centres or where a centre has changed its address or secure storage arrangements

Examination centres **must** ensure a completed copy of this checklist is returned to either the awarding body it is seeking approval with, or the National Centre Number Register Team following notification of a change of address or secure storage arrangements.

An inspection will only take place on receipt of the completed form.

Please note that until a satisfactory inspection has taken place, confidential materials such as question papers will not be despatched.

General requirements	Centre is ready	Centre is not ready
Does the centre have a full understanding of and is prepared to abide by the JCQ publication <i>General Regulations for Approved Centres</i> ?	Yes	No
Does the centre have a full understanding of and is prepared to abide by the JCQ publication <i>Instructions for conducting examinations</i> ?	Yes	No
Does the centre have a full understanding of and is prepared to abide by the following JCQ publications? <ul style="list-style-type: none">• <i>Access Arrangements and Reasonable Adjustments</i>• <i>Instructions for conducting controlled assessments</i>• <i>Instructions for conducting coursework</i>• <i>Instructions for conducting non-examination assessments</i>• <i>Suspected Malpractice in Examinations and Assessments</i>	Yes	No
Do you have a designated business address with an office and reception which will be permanently staffed between 8.30 am to 3.30 pm during term time?	Yes	No
Will the centre be open and staff available for an inspection visit in the next two to four weeks?	Yes	No
Are you applying for centre approval at least two months before the entry deadline for the first exam series?	Yes	No
Are the secure storage arrangements at the centre already constructed?	Yes	No
Is a safe/secure cabinet in place?	Yes	No

General requirements (continued)	Centre is ready	Centre is not ready
Have you determined appropriate arrangements for receiving and storing confidential materials as issued by an awarding body?	Yes	No
Do you have sufficient and suitable accommodation within your centre for candidates to sit written examinations and, where appropriate, facilities for on-screen tests?	Yes	No
Where appropriate, do you have the required facilities for any practical examinations, e.g. laboratory facilities?	Yes	No
Is there a named member of staff who will act as the examinations officer? (not the head of centre)	Yes	No
Do you have arrangements in place for assessing candidates who may require access arrangements, i.e. a specialist assessor approved by the head of centre?	Yes	No
Do you have broadband internet access in order to facilitate electronic transactions with the awarding bodies?	Yes	No
Do you have an official centre e-mail address?	Yes	No
Do you have a written child protection policy?	Yes	No
Do you have a written data protection policy?	Yes	No
Do you have a written disability policy demonstrating compliance with the Equality Act 2010? †	Yes	No
Location of secure storage unit	Centre is ready	Centre is not ready
Is the secure storage unit in an area solely assigned to examinations?	Yes	No
Is the secure storage unit located at your proposed registered centre address?	Yes	No
Does the location of the secure storage unit have solid walls or reinforced stud walls?	Yes	No
If the location of the secure storage unit is on the ground floor and has windows, have bars been fitted or is the room alarmed (preferably with sensor alarms on the windows)?	Yes	No
Is the door to the location of the secure storage unit of solid construction?	Yes	No
Does the door have a security lock (e.g. a five lever mortice or keypad)?	Yes	No
Are there no more than four key/code holders for the location of the secure storage unit?	Yes	No
Is the location of the secure storage unit shared with staff who are not part of the exams office?	No	Yes

†or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect

Secure storage unit	Centre is ready	Centre is not ready
<p>Is one of the following going to be used to store question papers?</p> <ul style="list-style-type: none"> • Strong, non-portable safe; • Non-portable security cabinet with multi point locking system; • Metal cabinet with full length external locking bar, bolted to wall or floor; • Metal security screen, e.g. roll down shutter, directly in front of open shelving. 	Yes	No