

## General and Vocational Qualifications

## General Regulations for Approved Centres

1 September 2011 to 31 August 2012

Produced on behalf of:



Changes made to the contents of this booklet since the previous version (1 September 2010 to 31 August 2011) are highlighted for ease of 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, Edexcel, OCR and WJEC is provided on **page 20**.

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.

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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 JCO publications *Instructions for conducting controlled assessments*; *Instructions for conducting coursework* and *Instructions for conducting examinations*.

1.2 For the purposes of this document:

**An examination or assessment centre (the centre) is:**

- a school/college or other educational establishment; or
- a training organisation; or
- a large or small company;

**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 JCO 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.

1.4 The **examinations officer or quality assurance coordinator** 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, ELC, Basic Skills, Functional Skills, Key Skills and Project qualifications and Principal Learning units within Diploma qualifications, as offered by the JCO awarding bodies for the period 1 September 2011 to 31 August 2012.** 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, disability discrimination and freedom of information legislation.

1.6 These regulations should be read in conjunction with the statutory regulations, all Joint Council for Qualifications (JCQ) and awarding body publications, which may be found either on the Ofqual website [www.ofqual.gov.uk](http://www.ofqual.gov.uk), the JCQ website [www.jcq.org.uk](http://www.jcq.org.uk) or the 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, page 1**, of this document.

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;
- **the examinations officer or quality assurance coordinator** 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 examinations in June 2012, an application must be sent to each of the awarding bodies with whom entries will be made no later than 21 December 2011.

Where a centre is applying for additional recognition with an awarding body, 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 20**).
- 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 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, Edexcel, OCR 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, but which has one or more subsidiary sites where candidates take examinations from entries made by the hub centre.)

**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 and such a relationship is governed by 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 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.
- 3.13 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 that the centre has adequate facilities and resources with which to conduct external examinations or assessments.

### **Confidentiality**

#### **3.14 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, in any capacity, of any current or former awarding body examiners, moderators, awarders, external verifiers or other examining personnel, and not mention them in any form of literature issued in connection with the centre's programmes of assessment.

### **Retention of candidates' work**

#### **3.15 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.

### 3.16 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;
- 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

### 3.17 The awarding bodies will:

- in respect of the administration of candidates' examinations and assessments, communicate only with centres. 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 The statutory regulations set out what the awarding bodies must do to 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;
- 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, and where relevant issue 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;
- grant access arrangements as requested by centres in line with the JCQ *regulations* effective from 1 September 2011;
- 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;
- help ensure that centres carry out their procedures correctly and that instructions to centres have been followed.

### Reporting results

#### 4.3 The awarding bodies agree to:

- issue results and 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 *GCE examinations: Entry, Aggregation and Certification – Procedures and Rules, 1 September 2011 to 31 August 2012*;
- 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.
- 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:**
- **appoint an examinations officer/quality assurance coordinator 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 prepared to be available until 5.00 pm where afternoon examinations are taking place to ensure the prompt despatch of scripts and in the event of a centre inspection;  
(Centres **must** provide awarding bodies with an official school or college e-mail address rather than personal e-mail addresses, with the exception of an emergency contact.)
  - **respond accurately and promptly** to the National Centre Number Register annual update, confirming their details or informing 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, Edexcel, OCR and WJEC);
  - inform the National Centre Number Register, (as administered by OCR on behalf of the JCQ awarding bodies – AQA, CCEA, Edexcel, OCR and WJEC) **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 (as administered by OCR on behalf of the JCQ awarding bodies – AQA, CCEA, Edexcel, OCR and WJEC) **immediately** of any other changes in their circumstances that could affect their centre status;
  - establish effective operating policies when part of a consortium delivering a Diploma qualification. This will include a designated member of staff in charge of Diploma delivery within each centre and a named 14-19 coordinator. An exam policy should be created which formalises agreements between exam offices across a Diploma consortium. Standardised exam practices should be consistently applied across the consortium, with the roles and responsibilities of the home centre and assessment centre clearly defined;
  - 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 e.g. question papers and pre-release materials, either before the examination or after the examination, e.g. 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 policy on CRB 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 2011 to 31 August 2012*;
- co-operate with the JCQ Centre Inspection Service, and/or awarding body staff and/or regulatory authority when subject to inspection;
- ensure that all venues used for examinations and assessments, records, and secure storage facilities are open to inspection. (JCQ centre inspectors will present themselves to the centre and will identify themselves with an appropriate letter of authorisation/card.) The centre **must** ensure that the exams officer or a senior member of staff is available to accompany the inspector during his/her tour of the premises;
- 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 advice and instructions relevant to the examinations and assessments;
- 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;
- 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

### 5.4 The centre agrees to:

- 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 access 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;**
- have procedures in place for sharing information on learners' access arrangements with other consortium centres when delivering a Diploma qualification;
- 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 should include a duty to explore and provide access to suitable courses and make reasonable adjustments to the service the centre provides to disabled candidates.

5.5 The arrangements **must** be carried out in accordance with the following JCQ publication: *Access Arrangements, Reasonable Adjustments and Special Consideration, 1 September 2011 to 31 August 2012.*

## Candidates

### 5.6 The centre agrees to:

- ensure that the correct ULN for each Diploma learner is used with each CAB (Component Awarding Body) for all component qualifications, regardless of which centre is making the entry;
- 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) for each candidate entered for an examination or assessment and to ensure that the same UCI 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;

(A private candidate is responsible for his or her own entry which must be made through an approved awarding body 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.

- 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* poster is displayed in a prominent place for all candidates to see both inside and outside the examination room. The *JCQ Warning to Candidates* poster must be displayed in a prominent place for all candidates to see outside 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 should 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 may wish to 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 16, for more information**).

## Controlled Assessments, Coursework and Portfolios of Evidence

### 5.8 The centre agrees to:

- ensure that arrangements are in place to coordinate 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;
- ensure that for internally assessed Principal Learning units, clear roles and responsibilities have been established across the consortium for managing internal assessment, for example appointing a lead assessor;
- ensure that for internally assessed Principal Learning units, that the consortium has named and appropriately trained domain assessors as required by Component Awarding Bodies (CABs) for each line of learning offered;
- 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 required only if two or more member centres will be entering candidates for work that is centre assessed;
- submit centre-assessed marks and to despatch moderation samples, if required by the awarding body, by the published date;
- have in place an 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;
- **have in place a 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 enquiry (results, appeal or malpractice enquiry) has been completed, whichever is later. This includes materials stored electronically.

## 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;  
**(Awarding bodies will not withdraw unit results or subject awards after the publication of examination results.)**
- submit registrations, examination entries and certification claims by the deadline(s);  
**(With regard to entries for new 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.)**
- pay fees in the manner 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 *GCE examinations: Entry, Aggregation and Certification - Procedures and Rules, 1 September 2011 to 31 August 2012*;
- 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 qualified teachers to mark, and/or fully qualified assessors for the verification of centre-assessed components;
- have in place 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: *Instructions for conducting controlled assessments*; *Instructions for conducting coursework*; and *Instructions for conducting examinations, 1 September 2011 to 31 August 2012*. Any breach of such rules will be regarded as a breach of these regulations;
- keep records of all cases where overnight supervision is required in accordance with the JCQ publication *Instructions for conducting examinations, 1 September 2011 to 31 August 2012*;
- submit declarations for very late arrival of candidates for examinations, in accordance with the JCQ publication *Instructions for conducting examinations, 1 September 2011 to 31 August 2012*;
- submit any applications for special consideration where candidates meet the criteria as determined by the JCQ publication *Access Arrangements, Reasonable Adjustments and Special Consideration, 1 September 2011 to 31 August 2012*.

## Malpractice

### 5.11 The centre agrees to:

- report, as soon as it is discovered, by completing the appropriate documentation, any established, suspected or alleged case of malpractice. A report must be made to an awarding body whether involving a candidate (during external 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 in accordance with the JCQ publication *Suspected Malpractice in Examinations and Assessments: Policies and Procedures, 1 September 2011 to 31 August 2012* 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 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;
- prior to the official dates and times for the release of results to candidates, keep results 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 are compelled to release results to candidates upon receipt of a Subject Access Request.

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 16**) the awarding body is similarly compelled under the terms of the Data Protection Act to provide those results.

### Access to Scripts, Enquiries about Results and Appeals, and Late Subject Awards

#### 5.13 The centre agrees to:

- have in place procedures for 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 confirmed written consent for re-marking and access to scripts services offered by the awarding bodies;
- submit electronically requests 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 guide to the awarding bodies' appeals processes;
- ensure outcomes of enquiries about results and appeals are made known to candidates;
- publish a procedure to manage disputes when a candidate disagrees with a centre decision not to support an enquiry about results or an appeal;
- submit late subject awards for GCSE and GCE qualifications **by the deadline(s)**.

## Certificates

### 5.14 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) has been transferred to the awarding bodies for the purpose of examining and awarding qualifications.
- 6.3 It is recommended that centres bring to candidates' attention the JCQ *Notice to Candidates – Fair Processing, General and Vocational Qualifications*. This notice, which can be found within this document (**Appendix A, page 19**), should ideally be distributed to a candidate at the start of a course leading to a Diploma or Vocational qualification, or, where candidates are following unitised GCSE and/or GCE qualifications, when the first set of unit entries are submitted to awarding bodies for processing.
- 6.4 Awarding bodies may be required to provide data held to educational agencies such as DfE, WAG, DENI, Ofqual, HESA, UCAS, Local Authorities, Learning Records Service (LRS), YPLA, 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. Candidates may, on payment of the appropriate fee, obtain access to their personal data such as examination results (**see section 5.12, page 14**) by applying to the appropriate awarding body's data protection officer (**see page 18, contacts section**).

## Freedom of Information

- 6.7 Under the Freedom of Information Act 2000, the general public is allowed access to any recorded information held by public authorities.
- 6.8 This means centres or awarding bodies holding information on behalf of public authorities such as DfE or Ofqual must comply with the statutory rights of anyone who applies to see it. They must adopt and maintain a publication scheme setting out how the different classes of information are made available.
- 6.9 This obligation does not apply to centres or awarding bodies that are private entities or to centres' or awarding bodies' own information. The latter will be available for public scrutiny however, should it be passed to a public authority.

## Copyright

- 6.10 All awarding body question papers, on-screen assessments and computer-based assessments carry copyright. Unless stated otherwise in subject-specific documentation, centres may retain question papers for their own internal use in preparing future groups of candidates, such as mock examinations and other internal centre tests. **It is recommended that question papers are not released to centre personnel until 24 hours after the published finishing time for the examination.**
- 6.11 All candidate scripts or practical work carried out under examination conditions are the property of the respective awarding body and will not be returned to centres other than through the access to scripts arrangements.
- 6.12 The awarding bodies reserve the right to use extracts from examination scripts/centre-assessed material on an anonymous basis for educational presentations, material and products in accordance with copyright law, and to retain examples of centre-assessed work for archive purposes (e.g. standardising and guidance to teachers).
- 6.13 While the intellectual property copyright in relation to the production of controlled assessment, coursework or portfolio material remains with the candidate, awarding bodies own such material and therefore reserve the right to submit candidates' work to third party IT service providers, in order to detect potential and suspected malpractice. Any such submissions will be done in a way which protects the identity of the candidate.

## 7. Contacts

### **AQA**

Devas Street  
Manchester  
M15 6EX

[www.aqa.org.uk](http://www.aqa.org.uk)

### **CCEA**

29 Clarendon Road  
Clarendon Dock  
Belfast  
BT1 3BG

[www.ccea.org.uk](http://www.ccea.org.uk)

### **OCR**

1 Hills Road  
Cambridge  
CB1 2EU

[www.ocr.org.uk](http://www.ocr.org.uk)

### **City & Guilds**

1 Giltspur Street  
London  
EC1A 9DD

[www.cityandguilds.com](http://www.cityandguilds.com)

### **Edexcel**

Business Assurance Group  
One90 High Holborn  
London  
WC1V 7BH

[www.edexcel.com](http://www.edexcel.com)

### **WJEC**

245 Western Avenue  
Cardiff  
CF5 2YX

[www.wjec.co.uk](http://www.wjec.co.uk)



AQA      City & Guilds      CCEA      Edexcel      OCR      SQA      WJEC

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

### **Notice to Candidates – Fair Processing**

#### **General and Vocational Qualifications**

The JCO awarding bodies will process your personal data in accordance with the Data Protection Act 1998 and the Code of Practice issued by the examinations 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 will also be collected to support requests for access arrangements 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. 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, WAG, DENI, Ofqual, HESA, UCAS, Local Authorities, YPLA and Learning Records Service (LRS). Additionally, candidates' personal data may be provided to a central record of qualifications approved by awarding bodies for statistical and policy development purposes.
6. Awarding bodies are obliged to disclose the information that they hold about data subjects, (e.g. the candidates) to them within 40 days of receiving a formal request for disclosure. Candidates should make an application to the appropriate awarding body's data protection officer. Awarding bodies may charge a fee for this service.
7. If you have not reached the age of 16, you may first wish to discuss this Fair Processing Notice with your parent or legal guardian.

Awarding bodies, schools, Department for Education (DfE), Welsh Assembly Government (WAG), 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 fair, including any third parties to whom it may be passed on. This is referred to as a 'fair processing notice'.



AQA City & Guilds CCEA Edexcel OCR SQA WJEC

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

**Are you ready?**

**A checklist for prospective examination centres**

This checklist has been specifically written for prospective examination centres and acts as a supplement to this publication (*General Regulations for Approved Centres*) and the JCQ publication *Instructions for conducting examinations*. It has been produced to ensure that centre staff are fully prepared for the pre-registration visit, as conducted by the JCQ Centre Inspection Service. The checklist will be of benefit to those members of staff involved in the application process to become a registered centre and those members of staff who will have responsibility for the administration and conduct of examinations and assessments.

**A prospective examination centre must ensure that all of the points on the checklist have been met prior to seeking centre approval with an awarding body.**

General Requirements	Centre is ready	Centre is not ready
Is the centre familiar with, and do staff understand, the JCQ publication <i>General Regulations for Approved Centres</i> ?	Yes	No
Is the centre familiar with, and do staff understand, the JCQ publication <i>Instructions for conducting examinations</i> ?	Yes	No
Is the centre familiar with, and do staff understand, the following JCQ publications? <ul style="list-style-type: none"> <li>• <i>Access Arrangements, Reasonable Adjustments and Special Consideration</i></li> <li>• <i>Instructions for conducting controlled assessments</i></li> <li>• <i>Instructions for conducting coursework</i></li> <li>• <i>Suspected Malpractice in Examinations and Assessments</i></li> </ul>	Yes	No
Do you have a designated business address with an office 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 2 to 4 weeks?	Yes	No
Are you applying for centre approval at least 2 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

<b>General Requirements (continued)</b>	<b>Centre is ready</b>	<b>Centre is not ready</b>
Have you determined appropriate arrangements for receiving and storing confidential materials as issued by an awarding body?	<b>Yes</b>	<b>No</b>
Do you have sufficient and suitable accommodation within your centre for candidates to sit written examinations and, where appropriate, facilities for on-screen tests?	<b>Yes</b>	<b>No</b>
Where appropriate, do you have the required facilities for any practical examinations, e.g. laboratory facilities?	<b>Yes</b>	<b>No</b>
Is there a named member of staff who will act as the examinations officer?	<b>Yes</b>	<b>No</b>
Do you have arrangements in place for assessing candidates who may require access arrangements, such as an approved specialist teacher?	<b>Yes</b>	<b>No</b>
Do you have broadband internet access in order to facilitate electronic transactions with the awarding bodies?	<b>Yes</b>	<b>No</b>
Do you have a child protection policy?	<b>Yes</b>	<b>No</b>
Do you have a data protection policy?	<b>Yes</b>	<b>No</b>
<b>Location of secure storage unit</b>	<b>Centre is ready</b>	<b>Centre is not ready</b>
Is the location of the secure storage unit the exams office or is it accessed through the exams office?	<b>Yes</b>	<b>No</b>
Can the location of the secure storage unit be accessed via a corridor or via another room (not the exams office)?	<b>No</b>	<b>Yes</b>
Does the location of the secure storage unit have solid walls or reinforced stud walls?	<b>Yes</b>	<b>No</b>
If the location of the secure storage unit is on the ground floor and has external windows have bars been fitted or is the room alarmed (preferably with sensor alarms on the windows)?	<b>Yes</b>	<b>No</b>
Is the door to the location of the secure storage unit of solid construction?	<b>Yes</b>	<b>No</b>
Does the door have a security lock (e.g. a five lever mortice or keypad)?	<b>Yes</b>	<b>No</b>
Are there no more than two to three key/code holders for the location of the secure storage unit?	<b>Yes</b>	<b>No</b>
Is the location of the secure storage unit shared with staff who are not part of the exams office?	<b>No</b>	<b>Yes</b>
<b>Secure Storage Unit</b>	<b>Centre is ready</b>	<b>Centre is not ready</b>
Is one of the following going to be used to store question papers: <ul style="list-style-type: none"> <li>• A strong, non-portable safe</li> <li>• A non-portable security cabinet</li> <li>• A metal (filing) cabinet which is bolted to the floor or a wall and has an external locking bar</li> <li>• A walk-in store room with a metal shutter/security screen in front of the door or open shelving</li> </ul>	<b>Yes</b>	<b>No</b>