Policy/procedures checklist 2018/19

Meeting JCQ requirements

Confirm documentation in place		Yes/No
	A signed copy of the head of centre's declaration for the academic year 2018/19 (GR 1.5)	
1	Examination contingency plan (which covers all aspects of exam administration) (GR 5.3)	
2a	Internal appeals procedure (relating to internal assessment decisions) (GR 5.7: NEA 1)	
2b	Internal appeals procedure (to manage disputes when a candidate disagrees with a centre decision not to support a review of results or an appeal) (GR 5.13)	
3	Management of GCE and GCSE non-examination assessments policy (GR 5.7; NEA 1)	
4	Policy for dealing with an emergency evacuation of the examination room (ICE 25)	
5	A statement detailing the criteria the centre uses to award and allocate word processors for examinations (AA 5.8)	
6	Complaints and appeals procedure (GR 5.8)	
7	Procedures to verify the identity of all candidates at the time of the examination or assessment (GR 5.9)	
8	Procedures for how the centre will deal with candidates' requests for access to scripts, reviews of results and appeals to the awarding bodies (GR 5.13)	
9	Process to check the qualifications of the centre's assessor and that the correct procedures are followed (GR 5.4; AA 7.3)	
10	Child protection/safeguarding policy, including Disclosure and Barring Service (DBS) clearance (GR 5.3)	
11	Data protection policy (GR 1.2)	
12	Disability policy (GR 1.2)	

See **JCQ requirements** **Using the checklist** to confirm references in relevant JCQ publications to the above requirements

Policy/procedures checklist 2018/19

Good practice

	Confirm any documentation in place	Yes/No
1	Exams policy	
2	Policy on the use of word processers in examinations	
3	Policy for dealing with candidates arriving late for examinations	
4	Policy for dealing with candidates who are absent from examinations	
5	Separate invigilation within the centre policy	
6	Food and drink in exam rooms policy	
7	Managing behaviour in exam rooms policy/procedure	
8	Access arrangements policy	
9	Special consideration policy	
10	Exams archiving policy	
11	Retention of certificates policy (this may form part of the exams archiving policy)	
12	Lockdown policy (specific to exams)	

See **Good practice** **Using the checklist**

JCQ requirements

Using the checklist

JCQ regulations require centres to provide documentation as listed in the checklist

The head of centre declaration plus those listed 1-5 are at least required for JCQ general inspection purposes. Inspectors may also ask to see those listed 6-12 during additional inspection visits or if they identify/observe any specific weaknesses in a centre's processes during a general inspection visit.

Use the checklist to confirm JCQ requirements are met in your centre (by indicating **Yes** or **No**)

No indicates action is required in your centre to ensure JCQ requirements are met

For information, the table below identifies where each requirement is referenced in JCQ publications.

TEO templates are also referenced as example where applicable. These templates are intended to support centres in documenting required policies/procedures.

Abbreviations used in this information

TEO   *The Exams Office*

JCQ publications   AA   *Access Arrangements and Reasonable Adjustments*
                        GR   *General Regulations for Approved Centres*
                        ICE   *Instructions for Conducting Examinations*
                        NEA   *Instructions for conducting non-examination assessments*
                        PRS   *Post-Results Services*

JCQ requirements		JCQ ref.
	"A signed copy of the head of centre's declaration for the academic year 2018/19 must be held on file, available for inspection, as it will be an integral part of the centre inspection. An electronic version of the head of centre's declaration, with an electronic signature, is permissible."	GR 1.5
1	*"It is the responsibility of the head of centre to ensure that his/her centre…has in place a written examination contingency plan which covers all aspects of examination administration. This will allow members of the senior leadership team to act immediately in the event of an emergency or staff absence. The examination contingency plan must be available for inspection purposes;* *(The examination contingency plan should also reinforce procedures in the event of the centre being unavailable for examinations or on results day owing to an unforeseen emergency.)"* As example: Exam Contingency Plan template	GR 5.3
2a	*"The centre will…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 communicated, made widely available and accessible to all candidates;* *Note:* *The centre must inform candidates of their centre assessed marks. A candidate is allowed to request a review of the centre's marking before marks are submitted to the awarding body."* *"…Additionally, each centre must have available for inspection an internal appeals procedure relating to internal assessment decisions."* As example: Internal Appeals Procedures template	GR 5.7 NEA 1

2b	*"The centre will… 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 a clerical check, a review of marking, a review of moderation 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.)"* As example: Internal Appeals Procedures template	GR 5.13
3	*"The centre will…have in place and be available for inspection purposes, a written policy with regard to the management of GCE and GCSE non-examination assessments; (For CCEA GCSE centres this would be a written controlled assessments policy.)"* *"The JCQ requires each centre to have a non-examination assessment policy in place:* *• to cover procedures for planning and managing non-examination assessments;* *• to define staff roles and responsibilities with respect to non-examination assessments;* *• to manage risks associated with non-examination assessments.* *A JCQ Centre Inspector will ask the examinations officer to confirm that such a policy is in place. The guidance provided in this document will help the head of centre to ensure that the centre's policy is fit for purpose. The policy will need to cover all types of non-examination assessment."* As example: Non-examination Assessment Policy template	GR 5.7 NEA 1
4	*"When dealing with emergencies you must be aware of your centre's policy and, where appropriate, any instructions from relevant local or national agencies.* *Reference should also be made to the following document -* https://www.gov.uk/government/publications/bomb-threats-guidance/procedures-for-handling-bombthreats *You must have a written centre policy for dealing with an emergency evacuation of the examination room, which will be subject to inspection by the JCQ Centre Inspection Service."* As example: Emergency Evacuation Policy (exams) template	ICE 25
5	*"A member of the centre's senior leadership team must produce a statement for inspection purposes which details the criteria the centre uses to award and allocate word processors for examinations."* As example: Exams Policy template (Access arrangements policy) and/or Access Arrangements Policy template / Disability Policy (exams) template / Word Processor Policy template	AA 5.8
6	*"The centre will…draw to the attention of candidates and their parents/carers their written complaints and appeals procedure which will cover general complaints regarding the centre's delivery or administration of a qualification."* As example: Complaints and Appeals Procedure template	GR 5.8
7	*"The centre will…have in place written procedures to verify the identity of all candidates at the time of the examination or assessment…"* As example: Exams Policy template (Verifying candidate identity procedure)	GR 5.9
8	*"The centre will…have in place written procedures for how it will deal with candidates' requests for access to scripts, clerical checks, reviews of marking, reviews of moderation and appeals to the awarding bodies. Details of these procedures must be made widely available*	GR 5.13

	and accessible to all candidates. Candidates must be made aware of the arrangements for post-results services before they sit any examinations and the accessibility of senior members of centre staff immediately after the publication of results;	
	"Senior members of centre staff must be accessible to candidates immediately after the publication of results so that results may be discussed and decisions made on the submission of enquiries. Candidates must be informed of the periods during which centre staff will be available so that they may plan accordingly."	PRS 4.1
	As example: Exams Policy template (Access to scripts, reviews of results and appeals procedures)	
9	*"The head of centre/senior leadership team will…have a written process in place to not only check the qualification(s) of their assessor(s) but that the correct procedures are followed as per Chapter 7 of the JCQ publication Access Arrangements and Reasonable Adjustments…"*	GR 5.4
	"Evidence of the assessor's qualification(s) must be held on file for inspection purposes and be presented to the JCQ Centre Inspector by the SENCo."	AA 7.3
	As example: Exams Policy template (Access arrangements policy) and/or Access Arrangements Policy template / Disability Policy (exams) template	
10	*"It is the responsibility of the head of centre to ensure that his/her centre …has in place a written child protection/safeguarding policy, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements…"*	GR 5.3
	This is a centre-wide policy which should include information particular to exams	
	As example: Exams Policy template (Child protection/Safeguarding policy)	
11	*"The General Regulations cover…obligations arising from current data protection, equality and freedom of information legislation. However, the general regulations are not intended to be relied upon to ensure compliance with the legislation (Section 6).*	GR 1.2
	A centre will have confirmed its readiness to adhere to these regulations when first approved as a centre (see Section 3, page 4)."	
	This is a centre-wide policy which should include information particular to exams	
	As example: Exams Policy template (Data protection policy) and/or GDPR Policy (exams) template	
12	*"The General Regulations cover…obligations arising from current data protection, equality and freedom of information legislation. However, the general regulations are not intended to be relied upon to ensure compliance with the legislation (Section 6).*	GR 1.2
	A centre will have confirmed its readiness to adhere to these regulations when first approved as a centre (see Section 3, page 4)".	
	"The head of centre/senior leadership team will…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; †or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect…	GR 5.4
	This is a centre-wide policy which should include information particular to the centre's obligations in respect of identifying the need for, requesting and implementing access arrangements and the conduct of exams	
	As example: Exams Policy template (Access arrangements policy; Disability policy) and/or Access Arrangements Policy template / Disability Policy (exams) template	

The Exams Office
Supporting Exams Officers

*This document is provided for members of The Exams Office **only** and must not be shared beyond use in your centre*

Policy/procedures checklist (2018/19)
Hyperlinks and references provided in this document were correct as at August 2018

Good practice

Using the checklist

As an option, use the checklist to confirm any good practice in your centre (by indicating **Yes** or **No**)

No indicates good practice may need to be further considered in your centre

For information, the table below identifies
- ▶ where the JCQ recommended/good practice is referenced in JCQ publications
- ▶ why TEO are suggesting good practice

TEO templates are also referenced as example where applicable. These templates are intended to support centres in documenting good practice policies/procedures.

A good practice policy can be a simple statement confirming how a situation is managed in an individual centre or can be more detailed describing the procedures a centre follows in a situation.

Abbreviations used in this information

TEO	*The Exams Office*	JCQ publications	AA	*Access Arrangements and Reasonable Adjustments*
			ICE	*Instructions for Conducting Examinations*

	Good practice	JCQ ref.
1	An overarching policy provides one single point of reference covering all aspects of the exams management and administration process, informs the exam contingency plan should this need to be invoked, and signposts to/includes reference to all other exams related policies and procedures in place in the centre	n/a
2	*"It is strongly recommended that a centre has a policy on the use of word processors which it can articulate to parents/carers. Principally, that a word processor cannot simply be granted to a candidate because he/she now wants to type rather than write in examinations or can work faster on a keyboard, or because he/she uses a laptop at home.* *The use of a word processor must reflect the candidate's normal way of working within the centre. For example, where the curriculum is delivered electronically and the centre provides word processors to all candidates."* As example: Exams Policy template (Word processor policy (exams)) and/or Word Processor Policy template	AA 5.8
3	Having a documented policy ensures all staff involved in the exams process understand how candidates arriving late to an exam will be dealt with As example: Exams Policy template (Candidate late arrival policy)	n/a
4	Having a documented policy ensures all staff involved in the exams process understand how candidates absent from an exam will be dealt with As example: Exams Policy template (Candidate absence policy)	n/a
5	Having a documented policy ensures criteria for candidates granted separate invigilation within the centre is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms	n/a

*This document is provided for members of The Exams Office **only** and must not be shared beyond use in your centre*

Policy/procedures checklist (2018/19)
Hyperlinks and references provided in this document were correct as at August 2018

	As example: **Exams Policy template** (Separate invigilation within the centre)	
6	*"Food and drink may be allowed in the examination room at the discretion of the head of centre. However, this is on the condition that any food or drink brought into the examination room whether by the candidate or the centre is free from packaging and all labels are removed from drink containers"* As this is at the discretion of the head of centre, having a clear documented policy ensures information relating to food and drink that may be allowed in your centre's exam rooms is clear, understood and followed As example: **Exams Policy template** (Food and drink in exam rooms)	**ICE** 18.2
7	Having a documented policy/procedure on how behaviour in exam rooms is managed ensures staff conducting exams understand the process to be followed As example: **Exams Policy template** (Managing behaviour)	n/a
8	Having a policy is way of documenting all aspects of the access arrangements process (identifying the need for, requesting and implementing arrangements) in one central point of reference and providing written evidence of the process for checking the qualification(s) of assessors and confirming the procedures followed in the centre meet the requirements *"The head of centre/senior leadership team will…have a written process in place to not only check the qualification(s) of their assessor(s) but that the correct procedures are followed as per Chapter 7 of the JCQ publication Access Arrangements and Reasonable Adjustments…"* As example: **Exams Policy template** (Access arrangements policy) and/or **Access Arrangements Policy template**	**GR** 5.4
9	Having a policy is way of documenting all aspects of the special consideration process together in one place As example: **Exams Policy template** (Special consideration policy) and/or **Special Consideration Policy template**	n/a
10	Having a policy is a way of documenting the information/records held in the exams office, the retention period and method of disposal As example: **Exams Policy template** (Exams archiving policy) and/or **Exams Archiving Policy template**	n/a
11	Having a policy is way of documenting how long unclaimed/uncollected certificates are retained ensuring consistency in your centre and enabling certificate enquiries to be effectively dealt with by any member of staff As example: **Exams Policy template** (Retention of certificates policy)	n/a
12	Having a specific policy and procedures (relating to before, during or at the end of an exam) to supplement any centre-wide lockdown policy/procedures to ensure the safety of candidates, exams office staff, invigilators, access arrangement facilitators etc. whilst as far as possible maintaining the integrity and security of the exam As example: **Lockdown Policy (exams) template**	n/a