Policy/Procedures Checklist 2021/22

Meeting JCQ requirements

	Confirm documentation in place	Yes/No
1	Examination contingency plan (which covers all aspects of examination administration) (GR 5.3, ICE 15)	
1a	Escalation process (should the head of centre, or a member of the senior leadership team with oversight of examination administration, be absent) (GR 5.3)	
2a	Internal appeals procedure (relating to internal assessment decisions) (GR 5.3, 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 5.3, 5.13)	
3	Management of GCE and GCSE non-examination assessments policy (GR 5.3, 5.7; NEA 1)	
4	Policy for dealing with an emergency evacuation of the examination room (ICE 25)	
5	Policy on the use of word processors in examinations (GR 5.3, AA 5.8) 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, clerical re-checks, reviews of marking, reviews of moderation and appeals to the awarding bodies (GR 5.13)	
9	Process to check the qualifications of the centre's assessor(s) and that the correct procedures are followed (GR 5.4; AA 7)	
10	Child protection/safeguarding policy, including Disclosure and Barring Service (DBS) clearance (GR 5.3)	
11	Data protection policy (GR 5.3)	
12	Equalities policy (GR 5.3)	

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

Good practice

Confirm any documentation in place		Yes/No
1	**Exams Policy**	
Policies/procedures relating to the conduct of exams:		
1a	Candidate Absence Policy	
1b	Candidate Late Arrival Policy	
1c	Food and Drink Policy (Exams)	
1d	Leaving the Examination Room Policy	
1e	Managing Behaviour Policy (Exams)	
1f	Overnight Supervision Arrangements Policy	
1g	Separate Invigilation Policy	
2	Access Arrangements Policy	
3	Certificate Issue Procedure and Retention Policy	
4	Conflicts of Interest Policy (Exams)	
5	Exams Archiving Policy	
6	Lockdown Policy (Exams)	
7	Malpractice Policy (Exams)	
8	Special Consideration Policy	

See **Good practice Using the checklist**

Using the checklist

JCQ regulations require centres to have documentation in place as listed in the checklist.

This documentation may be checked during a general inspection visit by the JCQ **Centre Inspection Service** (CIS) or during additional inspection visits as deemed appropriate by the CIS.

Use the checklist (on page 1) to confirm 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

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

Signposts to interactive templates provided by **The Exams Office** in the Policy Generator Tool (PGT) and/or as Word templates are also referenced as example. These templates are provided to support centres in documenting required policies/procedures.

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

	JCQ requirements	Ref.
1	**Examination contingency plan** It is the responsibility of the **head of centre** to ensure that his/her centre... has in place the following policies available for inspection... 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 should reinforce procedures in the event of the centre being unavailable for examinations, or on results day, owing to an unforeseen emergency... See as example: ▷ PGT or Exam Contingency Plan template	GR 5.3
1a	**Escalation process** It is the responsibility of the **head of centre** to ensure that his/her centre... has in place a **written** escalation process should the head of centre, or a member of the senior leadership team with oversight of examination administration, be absent... See as example: ▷ PGT or Escalation Process template	GR 5.3
2a	**Internal appeals procedure** (relating to internal assessment decisions) It is the responsibility of the **head of centre** to ensure that his/her centre... has in place the following policies available for inspection… a written internal appeals procedure... 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… The centre **must** inform candidates of their centre assessed marks as a candidate can 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. See as example: ▷ PGT or Internal Appeals Procedures template	GR 5.3 GR 5.7 NEA 6 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) It is the responsibility of the **head of centre** to ensure that his/her centre... has in place the following policies available for inspection… a written internal appeals procedure... 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 re-check, a review of marking, a review of moderation or an appeal... See as example:	GR 5.3 GR 5.13

	▷ PGT or Internal Appeals Procedures template	
3	**Management of GCE and GCSE non-examination assessments policy** It is the responsibility of the **head of centre** to ensure that his/her centre... has in place the following policies available for inspection… a written policy regarding the management of GCE and GCSE non-examination assessments. (For CCEA GCSE centres this would be a written controlled assessments policy.)	GR 5.3
	The centre will… have in place the following policies available for inspection... a written policy regarding the management of GCE and GCSE non-examination assessments. (For CCEA GCSE centres this would be a **written** controlled assessments policy.)	GR 5.7
	The awarding bodies 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 for 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. See as example: ▷ PGT or Non-examination Assessment Policy template	NEA 1
4	**Policy for dealing with an emergency evacuation of the examination room** …Centres 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… See as example: ▷ PGT or Emergency Evacuation Policy (Exams) template	ICE 25
5	**Policy on the use of word processors in examinations** **A statement detailing the criteria the centre uses to award and allocate word processors for examinations** It is the responsibility of the **head of centre** to ensure that his/her centre... has in place the following policies available for inspection... a written policy on the use of word processors in examinations.	GR 5.3
	A centre **must** have a policy on the use of word processors. 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.	AA 5.8
	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. The centre may wish to set out the particular types of candidates which it considers would benefit from the use of a word processor. For example, a candidate with… 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. See as example: ▷ PGT or Word Processor Policy (Exams) template	
6	**Complaints and appeals procedure** 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. See as example: ▷ PGT or Complaints and Appeals Procedure (Exams) template	GR 5.8
7	**Procedures to verify the identity of all candidates at the time of the examination or assessment** The centre will… have in place **written** procedures to verify the identity of **all** candidates at the time of the examination or assessment… See as example: ▷ PGT or Exams Policy template (section **Candidate Identification Procedure**)	GR 5.9
8	**Procedures for how the centre will deal with candidates' requests for access to scripts, reviews of results, reviews of moderation and appeals to the awarding bodies** The centre will… have in place **written** procedures for how it will deal with candidates' requests for access to scripts, clerical re-checks, reviews of marking, reviews of moderation and appeals to the awarding bodies. Details of these procedures **must** be 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 senior members of centre staff are available immediately after the publication of results	GR 5.13

	See as example: ▷ PGT or Exams Policy template (section **Access to Scripts, Reviews of Results and Appeals Procedures**)	
9	**Process to check the qualifications of the centre's assessor(s) and that the correct procedures are followed** 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 in Chapter 7 of the JCQ publication *Access Arrangements and Reasonable Adjustments*… The head of centre is responsible for: • the quality of the access arrangements process within his or her centre; **and** • the appointment of assessors, checking the qualifications of those assessing candidates (e.g. photocopy of certificate or printout of screenshot of HCPC or SASC registration)… … 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. See as example: ▷ PGT or Access Arrangements Policy template (where sections are provided for centres to record how the qualification(s) of their assessor(s) are checked/evidenced and the procedures that are followed)	GR 5.4 AA 7.3
10	**Child protection/safeguarding policy, including Disclosure and Barring Service (DBS) clearance** It is the responsibility of the **head of centre** to ensure that his/her centre... has in place the following policies available for inspection… a written child protection/safeguarding policy, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements... See as example: ▷ Child Protection/Safeguarding Policy (Exams) template	GR 5.3
11	**Data protection policy** It is the responsibility of the **head of centre** to ensure that his/her centre... has in place the following policies available for inspection… a written data protection policy... See as example: ▷ Data Protection Policy (Exams) template	GR 5.3
12	**Equalities policy** It is the responsibility of the **head of centre** to ensure that his/her centre... has in place the following policies available for inspection… a written equalities policy …delivers qualifications, as required by the awarding body, in accordance with relevant equality legislation. This includes but is not limited to ensuring that qualifications are made available to all candidates capable of undertaking them and seeking reasonable adjustments for disabled candidates... **The head of centre/senior leadership team will**… recognise its duties towards disabled candidates, ensuring compliance with all aspects of the Equality Act 2010†, particularly Section 20 (7). This **must** include a duty to explore and provide access to suitable courses, through the access arrangements process submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates. Where the centre is under a duty to make a reasonable adjustment, the centre **must not** charge a disabled candidate any additional fee in relation to the adjustment or aid; †or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect See as example: ▷ Equalities Policy (Exams) template	GR 5.3 GR 5.3 GR 5.4

Good practice

Using the checklist

As an option, use the checklist (on page 2) to confirm 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 why good practice is being suggested, and (where relevant) information to which this relates as referenced in JCQ publications.

Signposts to interactive templates provided by **The Exams Office** in the Policy Generator Tool (PGT) and/or as Word documents are also referenced as example. These templates are provided to support centres in documenting good practice policies/procedures or to address specific issues within the centre.

A good practice policy can be a simple statement confirming how a situation is managed or can be more detailed describing the procedures followed in a particular situation.

JCQ publications
GR General Regulations for Approved Centres   ICE Instructions for conducting examinations

Good practice
1   **Exams Policy** An overarching wraparound policy document provides one single point of reference covering all aspects of the exams management and administration process, informs the exam contingency plan (by detailing exam cycle procedures/roles and responsibilities) should this need to be invoked, and signposts to/includes reference to all other exams related policies and procedures in place in the centre See as example: ▷   Exams Policy template   As a wraparound document, an interactive template is not provided in the PGT and is only made available as a Word template for customising/editing by centres should they choose to use it
Policies/procedures relating to the conduct of exams:

1a   Candidate Absence Policy
 	
Centres will likely have different strategies for dealing with unauthorised absences from exams. Having a documented policy ensures:
  • candidates are aware of what they need to do if they are likely to be absent from an exam
  • staff involved in the exams process understand how absent candidates who have not contacted the centre regarding their absence will be managed at the time of the exam
  • the centre can demonstrate the policy if asked/challenged by a candidate (and/or parent/carer)
 	
Once candidates are seated and have started the examination, complete the attendance register. This will allow for the identification of absent candidates who can be contacted as to their whereabouts.(ICE 22)
 	
See as example:
▷   PGT or Exams Policy template (section **Candidate Absence Policy**)

1b   Candidate Late Arrival Policy
 	
Permitting candidates who arrive after the start of an exam to enter the exam room and sit the exam is at the centre's discretion. Having a documented policy ensures:
  • candidates are aware of what will or won't happen should they arrive late
  • staff involved in the exams process understand how this will be managed at the time of the exam
  • the centre can demonstrate the policy if asked/challenged by a candidate (and/or parent/carer)
 	
A candidate who arrives after the start of the examination may be allowed to enter the examination room and sit the examination. This is entirely at the discretion of the centre.
 	
A candidate who arrives late, and is permitted by the centre to sit the examination, must be allowed the full time for the examination... (ICE 21)
 	
See as example:
▷   PGT or Exams Policy template (section **Candidate Late Arrival Policy**)

1c	**Food and Drink Policy (Exams)**
	Allowing food and drink in an exam room is at the head of centre's discretion. Having a documented policy ensures:
	• candidates are clear on what is or what is not allowed
	• staff involved in the exams process are aware of what is and what is not allowed and how this will be managed at the time of the exam
	• the centre can demonstrate the policy if asked/challenged by a candidate (and/or parent/carer)
	Food and drink may be allowed in the examination room at the discretion of the head of centre. However, any food or drink brought into the examination room by the candidate or the centre must be free from packaging and all labels removed from drink containers (ICE 18)
	See as example:
	▷ PGT or Exams Policy template (section **Food and Drink Policy** (Exams)
1d	**Leaving the Examination Room Policy**
	Allowing time to be compensated where a candidate leaves the exam room temporarily, accompanied by a member of centre staff, is at the discretion centre. Having a documented policy ensures:
	• candidates are aware of the centre's arrangements where time may or may not be compensated for any temporary absence from the exam room
	• staff involved in the exams process understand how this will be managed at the time of the exam
	• the centre can demonstrate the policy if asked/challenged by a candidate (and/or parent/carer)
	Candidates who are allowed to leave the examination room temporarily must be accompanied by a member of centre staff. This must not be the candidate's subject teacher or a subject expert for the examination in question. Those candidates may be allowed extra time at the discretion of the centre to compensate for their temporary absence. (ICE 23)
	See as example:
	▷ PGT or Exams Policy template (section **Leaving the Examination Room Policy**)
1e	**Managing Behaviour Policy (Exams)**
	Having a documented policy/procedure on how behaviour in exam rooms is managed ensures staff conducting exams understand the process to be followed and candidates are aware of the possible consequences of any disruptive actions
	Where a candidate is being disruptive, the invigilator must warn the candidate that he/she may be removed from the examination room. The candidate must also be warned that the awarding body will be informed and may decide to penalise them, which could include disqualification…
	…The head of centre has the authority to remove a candidate from the examination room, but should only do so if the candidate would disrupt others by remaining in the room. (ICE 24)
	See as example:
	▷ PGT or Exams Policy template (section **Managing Behaviour Policy**)
1f	**Overnight Supervision Arrangements Policy**
	Allowing a candidate to take an exam paper the following morning due to an eligible overnight supervision arrangement is at the discretion of the centre. Having a documented policy ensures:
	• the correct procedure is followed
	• appropriate arrangements are put in place
	• candidates (and/or parents/carers) understand when, or indeed if, appropriate arrangements can/will be made
	• the centre can demonstrate the policy if asked/challenged by a candidate (and/or parent/carer)
	Overnight supervision arrangements should only be applied as a last resort and once all other options have been exhausted…
	…**candidates may, at the centre's discretion, be allowed to take an examination the following morning, including Saturdays (see paragraph 8.5). Candidates are not allowed to take examinations on an earlier day than that scheduled on the timetable**…
	The overnight supervision arrangements must ensure that the candidate does not have advance warning of the content of the examination deferred until the following morning. This means the candidate must not meet or communicate with anyone who may have knowledge of the content. This includes any form of electronic communication/storage device, e.g. telephone (both landline and mobile), email, internet and social media. It also extends to television and radio, which could report key details of the day's examinations. (ICE 8)
	See as example:
	▷ PGT or Exams Policy template (section **Overnight Supervision Arrangements Policy**)
1g	**Separate Invigilation Policy**
	In certain circumstances, a candidate with 'an established difficulty' may be eligible to take exams under separate invigilation. Centres may also receive requests from candidates (and/or parents/carers) to take their exams under separate invigilation (in a separate room with 1:1 invigilation). Having a documented policy ensures:

	- the criteria for candidates granted separate invigilation within the centre is clear and complies with JCQ regulations - the centre can demonstrate the policy if asked/challenged by a candidate (and/or parent/carer) A candidate may only take their examinations under separate invigilation within the centre where he/she has an established difficulty - see section 5.16 of the JCQ publication *Access Arrangements and Reasonable Adjustments…* (ICE 14) It may also be useful to include within this, the centre's policy for candidates seated in a 'small' room, 'access arrangements' room etc. (i.e. taking exams separate to the main cohort) See as example: ▷ PGT or Exams Policy template (section **Separate Invigilation Policy**)
2	**Access Arrangements Policy** Having a policy is way of documenting all aspects of the access arrangements process (identifying the need for, requesting and implementing arrangements) together in one place as one central point of reference This policy could also provide a place to record the process for checking the qualification(s) of assessors and confirming the procedures followed in the centre meet the requirements See as example: ▷ PGT or Access Arrangements Policy template / Equalities Policy (Exams) template
3	**Certificate Issue Procedure and Retention Policy** Having a procedure/policy is way of documenting how certificates are issued and how long unclaimed/uncollected certificates are retained, ensuring JCQ regulations (GR 5.14) are met, also ensuring consistency in the centre enabling certificate enquiries to be effectively dealt with by any member of staff See as example: ▷ PGT or Exams Policy template (section **Certificate Issue Procedure and Retention Policy**)
4	**Conflicts of Interest Policy (Exams)** Having a policy is a way of documenting how any potential conflicts are identified in the centre and managed in accordance with the regulations See as example: ▷ PGT or Exams Policy template (section **Conflicts of Interest Policy**)
5	**Exams Archiving Policy** Having a policy is a way of documenting the information/records held in the exams office, detailing the retention period and method of disposal See as example: ▷ PGT or Exams Archiving Policy template
6	**Lockdown Policy (Exams)** Having a specific policy and procedures in place (relating to before, during or at the end of an exam) ensures 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. This would provide a supplement to any centre-wide lockdown policy/procedures already in place See as example: ▷ PGT or Lockdown Policy (Exams) template
7	**Malpractice Policy (Exams)** Having a policy is a way of documenting how all reasonable steps are taken to prevent the occurrence of any malpractice (which includes maladministration) before, during and after examinations and report and investigate as detailed according to the requirements. See as example: ▷ PGT or Exams Policy template (section **Malpractice Policy**)
8	**Special Consideration Policy** Having a policy is way of documenting all aspects of the special consideration process together in one place as a central point of reference See as example: ▷ PGT or Special Consideration Policy template