

General Regulations for Approved Centres

1 September 2023 to 31 August 2024

For the attention of heads of centre, senior leaders within schools and colleges and examination officers.

Produced on behalf of:





First published in 2023 by
Joint Council for Qualifications^{CIC}
Email: centresupport@jcq.org.uk

Available in pdf format from:

<https://www.jcq.org.uk/exams-office/general-regulations>

Centres are encouraged to access the interactive version of this document using the Centre Admin Portal (CAP). CAP is accessible via any of the awarding bodies' secure extranet sites.

Contents

Key changes for 2023-24	1
1 About these regulations	2
2 Who must read these regulations?.....	4
3 The agreement between centres and awarding bodies.....	5
Prospective centres	6
Centre status.....	6
Confidentiality	7
Retention of candidates' work	7
Communication.....	8
4 The responsibilities of awarding bodies.....	9
Administrative support for centres	9
Issuing results and certificates	9
Feedback to centres.....	10
Subject-specific support for centres.....	10
5 The responsibilities of centres	11
Centre management.....	11
Access arrangements and reasonable adjustments.....	14
Entries.....	15
Centre-assessed work	17
Candidate information.....	17
Conducting examinations and assessments.....	18
Malpractice.....	18
Results.....	19
Post-results services and appeals.....	19
Certificates.....	20
6 Personal data, freedom of information and copyright	21
Personal data	21
Freedom of information	22
Copyright.....	22
7 Contacts.....	

Key changes for 2023-24

Page number	Section	Paragraph	Summary of change
2	1	1.3	Clarification of the sections that heads of centre must be familiar with.
2		1.6	Addition of further qualifications to which the General Regulations apply.
3		1.11	Additional requirement for heads of centre to ensure requests from awarding bodies are responded to promptly.
4	2	2.3	Further details as to the role of the head of centre.
11	5	5.1	Requirement for centres to have appropriate controls to allow accurate data to be submitted to awarding bodies.
11		5.3c	Requirement for examination officers to have sufficient time to fulfil their role.
11		5.3f and g	Expanded requirements for external and internal governance arrangements at centres.
13 and 14		5.3z	Additional policies that centres must have available for inspection.
16		5.6f	Details as to which candidates should be entered as private candidates.
16		5.6g	Additional information about permissible multiple entries for Art and Design specifications.
16		5.6	Requirement that verifiable names should be used for candidate entries.

1 About these regulations

1.1

[Redacted]

[Redacted]

[Redacted]

[Redacted]

[Redacted]

- WJEC Level 1 and Level 2 General qualifications
- WJEC Level 1 and Level 2 Vocational Awards and Certificates
- **WJEC Level 1 and Level 2 Vocational Awards (Technical Awards)**
- WJEC Level 3 Applied Certificates, Diplomas and Extended Diplomas

1.7 Centres **must** conduct examinations and assessments in accordance with the G R and, where relevant, the following JCQ documents:

- a) A r r ;
- b) A Arr R A ;
- c) l r f r r r ;
- d) l r f r ;
- e) l r f r - ; and
- f) S M r P Pr r .

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

1.8 For the purposes of this document, an examination or assessment centre (the centre) is approved by one or more of the awarding bodies for the delivery of their qualifications.

Prospective new centres should refer to paragraph 3.2.

1.9 All heads of centres will be required to confirm, on an annual basis, that they are both aware of and adhering to the latest version of these regulations. This confirmation is managed as part of the National Centre Number Register (NCNR) Head of Centre declaration survey (see paragraph 5.3).

A head of centre **must not** delegate this resplem0159Tm(e))TJETEMC /P ŁLa6 ŁLan Tm[delega)5 (t)15.1 (e this r)25 (espl6rm6.n-GB)/MO

2 Who must read these regulations?

2.1 These regulations apply to centres that have been approved by at least one of the JCQ awarding bodies **and** will be entering candidates for any of the qualifications as defined in paragraph 1.6.

Prospective centres **must** familiarise themselves with this document.

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

- a) the head of centre;
- b) members of the senior leadership team;
- c) the examinations officer.

2.3 **The head of centre** is the individual who is accountable to the awarding bodies for ensuring that the centre is always compliant with the published JCQ regulations and awarding body requirements to ensure the security and integrity of the examinations/assessments. **This individual must have the authority to deploy the necessary resources to ensure that the centre is always compliant in meeting those published JCQ regulations and awarding body requirements.**

2.4 **The examinations officer** is the person appointed by the head of centre to act on behalf of, and be the main point of contact for, the centre in matters relating to the general administration of awarding body examinations and assessments.

2.5 **The headteacher/Principal on site (the head of centre) may not appoint themselves as the examinations officer.** A head of centre and an examinations officer are two distinct and separate roles.

2.6 The head of centre and/or examinations officer may operate across more than one centre. In such cases the head of centre **must** ensure there is suitable senior leadership team support in place, so they can meet their obligations across all centres for which they are responsible (see paragraph 5.3a). The head of centre **must** ensure that these arrangements are covered by their examination contingency plan (see paragraph 5.3z).

3 The agreement between centres and awarding bodies

3.1 The approval of a centre by an awarding body signals the start of a contractual relationship which is governed by the contract between the awarding body and the centre, these regulations and any other documents published by the JCQ, the awarding bodies or the regulators.

Approval with one awarding body does not imply, and will not necessarily lead to, approval with another.

Approved centres **must** be able to meet the conditions set out in these regulations and any specific qualification criteria.

Where a centre uses a third party to deliver any part of a qualification (including the assessments), it **must** maintain oversight of, and responsibility for, the delivery of the qualification in accordance with these regulations and awarding body requirements. Centres **must** have in place a written agreement with the third party. This will ensure there is a shared understanding of the arrangement and will manage the risk of failure by the third party to deliver the expected service. The centre **must** ensure that a copy of the written agreement is available for inspection if requested by the awarding body.

The table below identifies examples of the key third party arrangements that must be covered, along with acceptable exclusions.

Third party arrangements	Exclusions from third party arrangements
Teaching and learning conducted by third party.	Arrangements with another centre on the NCNR standard register, e.g. consortium arrangements; teachers employed through an agency as a temporary arrangement to cover staff absence.
Marking/grading and authentication of candidates' work which will be submitted to awarding bodies and will contribute to the awarding of a component/unit or overall qualification.	Arrangements with another centre on the NCNR standard register, e.g. consortium arrangements.
Support services provided by third parties – invigilation, facilitation of access arrangements, e.g. readers and scribes.	Invigilators and those facilitating access arrangements, e.g. readers and scribes, contracted directly by the centre.
Assessors for candidates with learning difficulties requiring access arrangements/reasonable adjustments.	An access arrangements assessor who has been contracted directly by the centre to assess candidates with learning difficulties.

Third Party arrangements **do not** include:

-

Prospective centres

3.2

[Redacted content]

[Redacted content]

3.10 In the event of a centre ceasing to operate it **must** take all reasonable steps to protect the interests of the candidates. The centre **must** also notify **each** of the awarding bodies it is approved by at the earliest opportunity. The awarding body will take all reasonable steps to

3.15 It is the responsibility of centres to:

- a) keep live non-examination assessments, including controlled assessments, coursework and portfolios, secure and confidential at all times whilst in their possession. It **is not** acceptable for teaching staff to share the live work of candidates with other candidates. Live non-examination assessment, including controlled assessments and coursework, is defined as any work on a topic which has been set either by an awarding body or the centre for a current or future examination series even if the work was completed in a previous year;
- b) store safely and securely all non-examination assessments, including controlled assessments, coursework or portfolios, retained in, or returned to, the centre until the deadline for a review of moderation has passed or until a review of moderation, an appeal or a malpractice investigation has been completed, whichever is later. This includes materials stored electronically. See paragraph 4.8 of the JCQ document *Information for Centres* :

<https://www.jcq.org.uk/exams-office/non-examination-assessments>
- c) ensure that when 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

- 3.16** Centres **must not** advise parents/candidates to contact awarding bodies/JCQ directly. If contacted, the awarding body/JCQ will direct the parent/candidate back to the centre.

Correspondence on any aspect of a candidate's examination or assessment will be conducted between the awarding body and the head of the centre, a member of the senior leadership team or the examinations officer.

Private candidates may approach an awarding body regarding the availability of past papers, post-results services and appeals.

4 The responsibilities of awarding bodies

- 4.1 The awarding bodies will make their processes with centres clear and streamlined as required by the qualification regulators.

Administrative support for centres

4.2 The awarding bodies will:

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

(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.)
- e) provide general procedures and documentation relating to the administration of controlled assessments, coursework, non-examination assessments and portfolios;
- f) provide, where relevant, subject-specific instructions and mark sheets;
- g) provide, through the JCQ document *Instructions for the conduct of written examinations and on-screen assessments*, instructions for the conduct of written examinations and on-screen assessments;
- h) process applications for access arrangements and reasonable adjustments, as referred to by centres, in line with the JCQ document *Access Arrangements and Reasonable Adjustments*. Applications will be processed efficiently and within the relevant timescales;
- i) ensure that nothing in the 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 local requirements **must** be followed by the centre;
- j) publish customer service statements and monitor their performance;
- k) assist centres to carry out their procedures correctly and ensure that awarding body instructions are followed.

Issuing results and certificates

4.3 The awarding bodies will:

- a) issue results to centres via A2C and awarding body secure extranet sites on the published dates;
- b) issue certificates which are presented clearly and reflect the full name of the candidate entered with the awarding body at the time of the examination series;
- c) issue certificates in a new name following gender re-assignment, or a released prisoner being given a new identity, or a witness protection case, upon receipt of appropriate documentation. The documentation will be treated in the strictest of confidence;
- d) investigate and report the outcome of reviews of results and appeals;
- e) hold an archive of candidates' results.

Feedback to centres

4.4 The awarding bodies will 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 will:

- a) provide advance notice of the withdrawal of qualifications, subjects or units;
- b) provide detailed specifications for each qualification offered;
- c) provide access to specialist advice and guidance;
- d) provide appropriate support materials;
- e) offer a programme of training for specifications;
- f) respond to requests for information or advice about any aspect of specification delivery.

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 ensure:

- a) compliance with the published JCO regulations and awarding body requirements to deliver the qualification(s);
- b) appropriate controls are in place which allow accurate data to be submitted to the awarding bodies, e.g. entries, internally assessed marks;
- c) all reasonable steps are taken to comply with requests for information or documentation madeLang (en-GB)/MCID 96 BDn8 87.165.g. entrictualTex/P LM The

[Redacted text block]

[Redacted text block]

[Redacted text block]

h)

Policies available for inspection

z) 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;
- a written complaints policy;
- a written conflicts of interest policy;
- a written data protection policy;
- a written equalities policy;
- 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 where the head of

a [redacted]
[redacted]

[redacted]
[redacted]
[redacted]
[redacted]
[redacted]

Entries

5.6 The centre will:

a)

[Redacted text]

Where entries are made for WJEC Level 1 and Level 2 Vocational Awards (Technical Awards) specifications, centres **must** ensure that a minimum of 40% of the total marks are taken in the final examination series when cashing in/certification is applied for, which **must** be satisfied by the external unit – please refer to the relevant specification for details.

†This only applies to centres outside of England entering candidates for unitised GCSE specifications.

- d) maintain a Unique Candidate Identifier (UCI) or Unique Learner Number (ULN) for each candidate entered for an examination or assessment and to ensure that the same UCI or ULN is used consistently for the candidate over time to enable aggregation of units and qualifications;

(see <https://www.jcq.org.uk/exams-office/entries/unique-candidate-identifiers-uci/>)

- e) enter candidates who are on roll at the centre as internal candidates;

- f) enter a candidate who has not received any tuition at the centre as a private candidate. A candidate who is re-sitting a qualification should be entered as a private candidate if he/she is not receiving any tuition at the time entries are submitted.

(A private candidate is responsible for his or her own tuition;

[Redacted text block]

Candidates should be entered under names that can be verified against suitable identification such as a birth certificate, a driver's licence or a passport to prevent problems in the future. For example, if a candidate needs to confirm their results to a third party or obtain a replacement certificate. Whilst the centre is best placed to understand the candidate's circumstances and make an informed decision, a candidate should only be entered under alternative names in exceptional circumstances.

Centre-assessed work

(Controlled assessments, coursework, non-examination assessments and portfolios of evidence)

5.7 The centre will:

- a) notify awarding bodies of a consortium of centres with joint teaching arrangements for GCE and/or GCSE qualifications. This will allow the candidates for each specification to be treated as a single group for the moderation of centre-assessed work. This is only required if two or more member centres will be entering candidates for work that is centre assessed;
- b) use only current assessment materials/tasks to assess candidates' knowledge and skills (in cases where the awarding body provides such material);
- c) before submitting marks to the awarding body inform candidates of their centre assessed marks and allow a candidate to request a review of the centre's marking;
(see <https://www.jcq.org.uk/exams-office/non-examination-assessments/>)
- d) take reasonable steps to ensure that all associated administrative tasks are completed in an accurate and timely manner, e.g. marks are correctly calculated, recorded and submitted by the published date. It is the responsibility of the centre to carefully check the marks it is submitting to an awarding body;
- e) submit centre-assessed marks and to despatch moderation samples, if required by the awarding body, by the published date. It is the responsibility of the centre to ensure that moderators receive the correct samples of work to review;
- f) 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;
- g) have in place and be available for inspection purposes, 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.)

Candidate information

5.8 The centre will:

- a) notify candidates, including any private candidates entered through the centre, of their examination entries and the dates and times of their examinations/assessments;
 - b) ensure that in relation to examinations, the JCQ *Useful Information* and *Workbooks* posters are displayed in a prominent place for all candidates to see
-

- d) ensure that all candidate data where required by the awarding body has been supplied to the awarding bodies within the terms of the General Data Protection Regulation, the Data Protection Act 2018 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, for more information);
- e) draw to the attention of candidates and their parents/carers their **written** complaints policy and internal appeals procedure which will cover general complaints regarding the centre's delivery or administration of a qualification.

Conducting examinations and assessments

5.9 The centre will:

- a) provide suitable accommodation and facilities for all examinations and assessments, including centre-assessed work, computer based and on-screen assessments, ensuring that the work submitted is that of the candidate alone using only the items/materials specified;
- b) provide fully trained invigilators for examinations, including computer based and on-screen assessments;

(When contracting supply staff to act as invigilators, the head of centre **must** ensure that such persons are competent and fully trained, understanding what is and what is not permissible.)
- c) provide fully trained Communication Professionals, Language Modifiers, practical assistants, readers and scribes for examinations where permitted in accordance with the JCQ document

- c) as required by an awarding body, gather evidence of any instances of alleged or suspected malpractice (which includes maladministration) in accordance with the JCQ document *Standardisation of Practice, IS 2023 31A 2024* and provide such information and advice as the awarding body may reasonably require.

Results

5.12 The centre will:

- a) keep results entirely confidential and restricted to the head of centre, examinations officer and key members of teaching staff within the centre (at the discretion of the head of centre), the consortium or Multi Academy Trust, until the official dates and times of release of results to candidates. The centre should refer to the JCQ document *Notification of Results*:

<https://www.jcq.org.uk/exams-office/results-and-certification/>

- b) distribute provisional statements of results to **all** candidates 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.

Post-results services and appeals

5.13 The centre will:

- a) 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 prior to the issue of results;
- b) ensure that senior members of centre staff are available immediately after the publication of results;
- c) ensure that all internal candidates are made aware that all post-results service requests must be made through the centre;
- d) ensure that candidates have provided their **written consent** for clerical re-checks, reviews of marking, and any subsequent appeal, and access to scripts services offered by the awarding bodies **after** the publication of examination results;
- e) submit requests electronically for clerical re-checks, reviews of marking, reviews of moderation and access to scripts **by the published deadline(s)** in accordance with the JCQ document *Post-Results Services*;
- f) submit requests for appeals in accordance with the JCQ document *Appeals*;
- g) ensure outcomes of clerical re-checks, reviews of marking, reviews of moderation and appeals are made known to candidates as soon as possible;
- h) **have available for inspection purposes** and draw to the attention of candidates and their parents/carers, a **written** internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support an application for a clerical re-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.)
- i) submit late subject awards for unitised GCE AS and A-level qualifications **by the published deadline**.

6 Personal data, freedom of information and copyright

Personal data

6.1 The delivery of examinations and assessments involve centres and awarding bodies processing a significant amount of personal data (i.e. information from which a living individual might be identified). It is important that both centres and awarding bodies comply with the requirements of the UK General Data Protection Regulation and the Data Protection Act 2018 or law relating to personal data in any jurisdiction in which the awarding body or centre are operating.

In these *Guidance for Regulators* reference is made to 'data protection legislation'. This is intended to refer to UK GDPR, the Data Protection Act 2018 and any statutory codes of practice issued by the Information Commissioner in relation to such legislation.

6.2 Centres **must** bring to candidates' attention the JCO document *Information for the Agency for Higher and Vocational Education*. This publication should be distributed to all candidates at the start of a course leading to a vocational qualification, or, where candidates are following GCE and GCSE qualifications, when the entries are submitted to awarding bodies for processing.

6.3

Freedom of information

- 6.9 Under the Freedom of Information Act 2000, the general public is allowed access to any recorded information held by public authorities, unless such information is exempted in accordance with the provisions of the Act.
- 6.10 This means centres or awarding bodies who are public authorities within the meaning of the Act **must** consider requests for information in accordance with the provisions of the Act. Centres who are public authorities **must** consult with the relevant awarding bodies before disclosing, pursuant to the Freedom of Information Act, any information received from an awarding body.
- 6.11 Centres and awarding bodies that are not public authorities (as defined by the Freedom of

vi. a candidate shall be entitled to notify the awarding body, by means of a notice to the centre, that he or she wishes to terminate the awarding body's rights referred to in section 6.15(ii) (b), (c) and it shall be in discretion of the awarding body whether or not to terminate such rights: **and**

vii. a candidate is not entitled to terminate the awarding body's rights referred to in section 6.15(ii) (a).

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

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