

MEETING JCQ REQUIREMENTS

Confirm documentation in place		Yes/No
1	Escalation process (should the head of centre, or a member of the senior leadership team with oversight of examination and assessment administration, be absent) (GR 5.3)	
2	Child protection/safeguarding policy, including Disclosure and Barring Service (DBS) clearance (which satisfies current legislative requirements) (GR 5.3)	
3	Complaints policy (GR 5.3, 5.8)	
4	Conflicts of interest policy (GR 5.3)	
5	Data protection policy (GR 5.3)	
6	Equalities policy (GR 5.3)	
7	Contingency plan (which covers all aspects of examination/assessment administration and delivery) (GR 3.17, 5.3, ICE 15)	
8	Internal appeals procedure which must cover at least appeals regarding internal assessment decisions, access to post-results services and appeals, and centre decisions relating to access arrangements and special consideration (GR 5.3, 5.7, 5.13)	
9	Malpractice policy which covers all qualifications delivered by the centre (GR 5.3) The policy must detail how candidates are informed and advised to avoid committing malpractice in examinations/assessments, how suspected malpractice issues should be escalated within the centre and reported to the relevant awarding body. It must also acknowledge the use of AI (e.g. what AI is, when it may be used and how it should be acknowledged, the risks of using AI, what AI misuse is and how this will be treated as malpractice).	
10	Policy regarding the management of non-examination assessments including controlled assessments and coursework (GR 5.3, 5.7, NEA 1)	
11	Whistleblowing policy (GR 5.3)	
12	Policy on the use of word processors in examinations (GR 5.3, AARA 5.8)	
13	Process to check the qualifications of the centre's assessor(s) and that the correct procedures are followed (GR 5.4, AARA 7)	
14	Procedures to verify the identity of all candidates at the time of the examination or assessment (GR 5.9)	
15	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)	
16	Policy for dealing with an emergency evacuation of the examination room (ICE 25)	

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	Alternative Rooming Arrangements Policy (Exams)	
1b	Candidate Absence Policy	
1c	Candidate Late Arrival Policy	
1d	Food and Drink Policy (Exams)	
1e	Leaving the Examination Room Policy	
1f	Managing Behaviour Policy (Exams)	
1g	Overnight Supervision Arrangements Policy	
1h	Private Candidates Policy	
2	Access Arrangements Policy	
3	Certificate Issue Procedure and Retention Policy	
4	Exams Archiving Policy	
5	Lockdown Policy (Exams)	
6	Special Consideration Policy	

See **GOOD PRACTICE** Using the checklist

JCQ REQUIREMENTS

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

For information, the table below identifies the requirement in the relevant JCQ publication.

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:

AARA 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	
1	<p>Escalation process</p> <p>(GR 5.3d) It is the responsibility of the head of centre to ensure that their 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 and assessment administration, be absent...</p> <p>See as example, PGT or ESCALATION PROCESS TEMPLATE</p>
2	<p>Child protection/safeguarding policy, including Disclosure and Barring Service (DBS) clearance</p> <p>(GR 5.3z) It is the responsibility of the head of centre to ensure that their centre... has in place the following policies for inspection that must be reviewed and updated annually: ...a written child protection/safeguarding policy, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements</p> <p>See as example, CHILD PROTECTION/SAFEGUARDING POLICY (Exams) TEMPLATE</p>
3	<p>(Complaints policy)</p> <p>(GR 5.3z) It is the responsibility of the head of centre to ensure that their centre... has in place the following policies for inspection that must be reviewed and updated annually: ...a written complaints policy</p> <p>(GR 5.8) The centre will... draw to the attention of candidates and their parents/carers their written complaints policy which will cover general complaints regarding the centre's delivery or administration of a qualification and their internal appeals procedure.</p> <p>See as example, PGT or COMPLAINTS POLICY (Exams) TEMPLATE</p>
4	<p>Conflicts of interest policy</p> <p>(GR 5.3z) It is the responsibility of the head of centre to ensure that their centre... has in place the following policies for inspection that must be reviewed and updated annually: ...a written conflicts of interest policy</p> <p>See as example, PGT or EXAMS POLICY TEMPLATE (Conflicts of interest section)</p>
5	<p>Data protection policy</p> <p>(GR 5.3z) It is the responsibility of the head of centre to ensure that their centre... has in place the following policies for inspection that must be reviewed and updated annually: ...a written data protection policy</p> <p>See as example, DATA PROTECTION POLICY (Exams) TEMPLATE</p>
6	<p>Equalities policy</p> <p>(GR 5.3z) It is the responsibility of the head of centre to ensure that their centre... has in place the following policies for inspection that must be reviewed and updated annually: ...a written equalities policy</p> <p>(GR 5.4) The head of centre/senior leadership team will... recognise its duties towards disabled candidates, including private 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...</p> <p>†or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect</p> <p>See as example, EQUALITIES POLICY (Exams) TEMPLATE</p>
7	<p>Contingency plan</p> <p>(GR 5.3z) It is the responsibility of the head of centre to ensure that their centre... has in place the following policies for inspection that must be reviewed and updated annually: ...a written contingency plan which covers all aspects of examination/assessment administration and delivery</p> <p>(GR 3.17) All centres must have an up to date written contingency plan.</p>

	<p>The contingency plan must cover all aspects of examination/assessment administration and delivery. Senior leaders must have robust contingency arrangements in place that will minimise the risk to examination/assessment administration and delivery and any averse impact on candidates.</p> <p>The plan must cover the following scenarios...</p> <p>(ICE 1.5) All centres must have 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 centre, examinations officer or SENCo is absent at a critical stage of the examination cycle. The examination contingency plan should reinforce procedures in the event of the centre being unavailable for examinations owing to an unforeseen emergency.</p> <p>See as example, PGT or CONTINGENCY PLAN TEMPLATE</p>
8	<p>Internal appeals procedure which must cover at least:</p> <ul style="list-style-type: none"> - appeals regarding internal assessment decisions - access to post-results services and appeals - centre decisions relating to access arrangements and special consideration <p>(GR 5.3z) It is the responsibility of the head of centre to ensure that their centre... has in place the following policies for inspection that must be reviewed and updated annually: ...a written internal appeals procedure which must cover at least appeals regarding internal assessment decisions, access to post-result services and appeals, and centre decisions relating to access arrangements and special consideration</p> <p>(GR 5.7) The centre will... 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... 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...</p> <p>(NEA 1) Additionally, each centre must have available for inspection an internal appeals procedure relating to internal assessment decisions.</p> <p>(GR 5.13) 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 an application for a clerical re-check, a review of marking, a review of moderation or an appeal...</p> <p>See as example, PGT (Internal Assessment Decisions / Reviews of Results/Appeals / Access arrangements, special consideration and other administrative issues) or INTERNAL APPEALS PROCEDURE TEMPLATE</p>
9	<p>Malpractice policy which covers all qualifications delivered by the centre</p> <p>(GR 5.3z) It is the responsibility of the head of centre to ensure that their centre... has in place the following policies for inspection that must be reviewed and updated annually: ...a written malpractice policy which covers all qualifications delivered by the centre. The policy must detail how candidates are informed and advised to avoid committing malpractice in examinations/assessments, how suspected malpractice issues should be escalated within the centre and reported to the relevant awarding body. It must also acknowledge the use of AI (e.g. what AI is, when it may be used and how it should be acknowledged, the risks of using AI, what AI misuse is and how this will be treated as malpractice).</p> <p>See as example, PGT or EXAMS POLICY TEMPLATE (Malpractice section)</p>
10	<p>Policy regarding the management of non-examination assessments including controlled assessments and coursework</p> <p>(GR 5.3z) It is the responsibility of the head of centre to ensure that their centre... has in place the following policies for inspection that must be reviewed and updated annually: ...a written policy regarding the management of non-examination assessments including controlled assessments and coursework. (For CCEA GCSE centres this would be a written controlled assessments policy.)</p> <p>(GR 5.7) The centre will... have in place and be available for inspection purposes, a written policy regarding the management of non-examination assessments including controlled assessments and coursework. (For CCEA GCSE centres this would be a written controlled assessments policy.)</p> <p>(NEA 1) Awarding bodies require each centre to have a non-examination assessment policy in place to:</p> <ul style="list-style-type: none"> • cover procedures for planning and managing non-examination assessments • define staff roles and responsibilities for non-examination assessments • manage risks associated with non-examination assessments. <p>A JCQ Centre Inspector will ask the examinations officer to confirm that such a policy is in place. Guidance provided in this document will help the head of centre to ensure that the centre's policy is fit for purpose.</p> <p>See as example, PGT or NON-EXAMINATION ASSESSMENT POLICY TEMPLATE</p>
11	<p>Whistleblowing policy</p> <p>(GR 5.3z) It is the responsibility of the head of centre to ensure that their centre... has in place the following policies for inspection that must be reviewed and updated annually: ...a written whistleblowing policy</p> <p>See as example, WHISTLEBLOWING POLICY (Exams) TEMPLATE</p>
12	<p>Policy on the use of word processors in examinations</p> <p>(GR 5.3z) It is the responsibility of the head of centre to ensure that their centre... has in place the following policies for inspection that must be reviewed and updated annually: ...a written policy on the use of word processors in examinations</p> <p>(AARA 5.8) A member of the centre's senior leadership team must produce a word processor policy, specific to the centre, which details the criteria the centre uses to award and allocate word processors for examinations and assessments. This policy must be available for inspection.</p> <p>See as example, PGT or WORD PROCESSOR POLICY (Exams) TEMPLATE</p>

13	<p>Process to check the qualifications of the centre's assessor(s) and that the correct procedures are followed</p> <p>(GR 5.4) 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 document <i>Access Arrangements and Reasonable Adjustments</i>...</p> <p>(AARA 7.3) ...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.</p> <p>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)</p>
14	<p>Procedures to verify the identity of all candidates at the time of the examination or assessment</p> <p>(GR 5.9) The centre will... have in place written procedures to verify the identity of all candidates at the time of the examination or assessment...</p> <p>(ICE 16) Centres must have a written procedure which details how the identity of all candidates sitting examinations will be confirmed. Invigilators must establish the identity of all candidates sitting examinations, in accordance with the written procedure.</p> <p>See as example, PGT or EXAMS POLICY TEMPLATE (Candidate Identification Procedure section)</p>
15	<p>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</p> <p>(GR 5.13) 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 prior to the issue of results...</p> <p>See as example, PGT or EXAMS POLICY TEMPLATE (Access to Scripts, Reviews of Results and Appeals Procedures section)</p>
16	<p>Policy for dealing with an emergency evacuation of the examination room</p> <p>(ICE 25) 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.</p> <p>See as example, PGT or EMERGENCY EVACUATION POLICY (Exams) TEMPLATE</p>

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	<p>Exams Policy</p> <p>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</p> <p style="text-align: right;">See as example, EXAMS POLICY TEMPLATE</p> <p>(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)</p>
Policies/procedures relating to the conduct of exams:	
1a	<p>Alternative Rooming Arrangements Policy (Exams)</p> <p>In certain circumstances, a candidate may be eligible to take exams in alternative rooming arrangements. Centres may also receive requests from candidates (and/or parents/carers) to take their exams in alternative rooms. Having a documented policy ensures:</p> <ul style="list-style-type: none"> the criteria for candidates granted alternative rooming arrangements is clear and complies with JCQ regulations the centre can demonstrate the policy if asked/challenged by a candidate (and/or parent/carer) <p>(ICE 14) Alternative rooming arrangements, e.g. a room for a smaller group of candidates with similar needs</p> <p>A candidate may only take their examinations in a smaller environment away from the main examination room where they have an established difficulty - see section 5.16 of the JCQ document <i>Access Arrangements and Reasonable Adjustments...</i></p> <p>See as example, PGT or EXAMS POLICY TEMPLATE (Alternative Rooming Arrangements Policy section)</p>
1b	<p>Candidate Absence Policy</p> <p>Centres will have different strategies for dealing with unauthorised absences from exams. Having a documented policy ensures:</p> <ul style="list-style-type: none"> 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) <p>(ICE 22) 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.</p> <p>See as example, PGT or EXAMS POLICY TEMPLATE (Candidate Absence Policy section)</p>
1c	<p>Candidate Late Arrival Policy</p> <p>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:</p> <ul style="list-style-type: none"> 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) <p>(ICE 21) 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.</p> <p>A candidate who arrives late, and is permitted by the centre to sit the examination, must be allowed the full time for the examination.</p> <p>See as example, PGT or EXAMS POLICY TEMPLATE (Candidate Late Arrival Policy section)</p>

1d	<p>Food and Drink Policy (Exams)</p> <p>Allowing food and drink in an exam room is at the head of centre's discretion. Having a documented policy ensures:</p> <ul style="list-style-type: none"> • 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) <p>(ICE 18) Food and drink may be allowed in the examination room at the discretion of the head of centre. To enable invigilators to check these items quickly and efficiently:</p> <ul style="list-style-type: none"> • food brought into the examination room by the candidate must be free of packaging and in a transparent container; • drink bottles must be transparent with all labels removed which would include transparent, reusable plastic bottles. <p>See as example, PGT or EXAMS POLICY TEMPLATE (Food and Drink Policy (Exams) section)</p>
1e	<p>Leaving the Examination Room Policy</p> <p>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:</p> <ul style="list-style-type: none"> • 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) <p>(ICE 23) 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.</p> <p>Candidates can only leave the examination room where necessary or where supervised rest breaks have been granted by the SENCo. The centre must ensure that candidates who leave the room do not have access to any unauthorised materials.</p> <p>Candidates may be allowed extra time at the discretion of the centre to compensate for their temporary absence.</p> <p>See as example, PGT or EXAMS POLICY TEMPLATE (Leaving the Examination Room Policy section)</p>
1f	<p>Managing Behaviour Policy (Exams)</p> <p>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</p> <p>(ICE 24) Where a candidate is being disruptive, the invigilator must warn the candidate that they 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...</p> <p>...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.</p> <p>See as example, PGT or EXAMS POLICY TEMPLATE (Managing Behaviour Policy section)</p>
1g	<p>Overnight Supervision Arrangements Policy</p> <p>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:</p> <ul style="list-style-type: none"> • 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) <p>(ICE 8) <i>Overnight supervision arrangements should only be applied as a last resort and once all other options have been exhausted...</i></p> <p>...candidates may, at the centre's discretion, be allowed to take an examination scheduled for the afternoon session the following morning, including Saturdays (see paragraph 8.8). Candidates are not allowed to take examinations on an earlier day than that scheduled on the timetable...</p> <p>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 email, internet, online streaming services, printed media, radio, social media (including messaging apps), telephone and television.</p> <p>See as example, PGT or EXAMS POLICY TEMPLATE (Overnight Supervision Arrangements Policy section)</p>
1h	<p>Private Candidates Policy</p> <p>Whether a centre accepts private candidates is a centre decision. Having a documented policy will:</p> <ul style="list-style-type: none"> • support any member of centre staff dealing with a query in confirming if the centre considers accepting private candidates or not • confirm any particular conditions in place before any entry from a private candidate would be considered for acceptance • detail how the private candidates process is managed in the centre <p>See as example, EXAMS POLICY TEMPLATE (Private Candidates Policy section)</p>

2	<p>Access Arrangements Policy</p> <p>Having a policy is a 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</p> <p>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</p> <p>See as example, PGT or ACCESS ARRANGEMENTS POLICY TEMPLATE</p>
3	<p>Certificate Issue Procedure and Retention Policy</p> <p>Having a procedure/policy is a 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</p> <p>See as example, PGT or EXAMS POLICY TEMPLATE (Certificate Issue Procedure and Retention Policy section)</p>
4	<p>Exams Archiving Policy</p> <p>Having a policy is a way of documenting the information/records held in the exams office, detailing the retention period and method of disposal</p> <p>See as example, PGT or EXAMS ARCHIVING POLICY TEMPLATE</p>
5	<p>Lockdown Policy (Exams)</p> <p>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</p> <p>See as example, PGT or LOCKDOWN POLICY (Exams) TEMPLATE</p>
6	<p>Special Consideration Policy</p> <p>Having a policy is a way of documenting all aspects of the special consideration process together in one place as a central point of reference</p> <p>See as example, PGT or SPECIAL CONSIDERATION POLICY TEMPLATE</p>