



Vocational Qualifications Booklet

General Regulations for Approved Centres

1 September 2021 to 31 August 2022

Heads of centre, members of senior leadership teams and exam office personnel must familiarise themselves with the entire contents of the booklet

A checklist for prospective examination centres who are seeking centre approval with CCEA, is provided on **page 23**.

This checklist has been produced to ensure that centre staff are fully prepared for the pre-registration visit as conducted by the CCEA Inspection Service.

Contents:

1	About These Regulations	1
2	Who Must Read These Regulations	2
3	The Agreement Between the Centres and CCEA	3
	Centre Status	
	Confidentiality	
	Retention of Candidates' work	
	Communication	
4	The Responsibilities of the Awarding Body (CCEA)	6
	Administrative Support for Centres	
	Reporting Results	
	Feedback to Centres	
	Subject-Specific Support for Centres	
5	The Responsibilities of Centres	8
	Centre Management	
	Access Arrangements and Reasonable Adjustments	
	Candidates	
	Coursework and Portfolios of Evidence	
	Registrations and Entries	
	During the Assessment	
	Malpractice	
	Post-Examination	
	Centre Management	
	Results	
	Post-Results Services and Appeals	
	Certificates	
6	Exchange of Data	16
	Data Protection	
	Freedom of Information	
	Copyright	
	Appendix A	
	JCQ Information for candidates – Privacy Notice, General and Vocational Qualifications	21
	Appendix B	
	Are you ready? – A checklist for prospective examination centres and where a centre has changed its address or secure storage arrangements	23

1 About These Regulations

- 1.1 These regulations have been established to ensure that the integrity and security of the vocational assessment system is maintained at all times and is not brought into disrepute.

These regulations are not in place to supersede the JCQ General Regulations for conducting Examinations and Assessment. Centres offering General Qualifications must operate in accordance with JCQ General Regulations and NCNR.

Centres **must** conduct assessments in accordance with these regulations and, where relevant, the JCQ publication:

- *Access Arrangements and Reasonable Adjustments*;

A centre will have confirmed its readiness to adhere to these regulations when first registered as an approved centre. **All 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 through CCEA Centre Support Service (centresupport@ccea.org.uk) (see section 5.3, page 8).

Failure to respond to the CCEA annual update will result in your centre status being suspended and could lead to CCEA withdrawing its approval of your centre.

- 1.2 For the purposes of this document:

A vocational centre (the centre) is approved and registered by CCEA for the registration or entry of candidates to its vocational assessments and for the conduct of those assessments.

A centre may be:

- a school/college or other educational establishment comprising of a single site; or
- a training organisation or small company comprising of a single site; or
- a school/college with a range of buildings in close proximity; or
- a 'controlling agency' with one or more associated sites, called satellites, which may include franchise arrangements.

- 1.3 The **head of centre** is the head of a school, the principal of a college or the chief officer of an institution which is approved by CCEA as a vocational centre. The head of centre is responsible to CCEA for making sure all assessments are conducted according to the instructions and the qualification specifications issued by CCEA.
- 1.4 The **examinations officer/assessment co-ordinator** is the person appointed by a head of centre to act on behalf of the centre in matters relating to the administration of awarding body examinations and assessment.

- 1.5 These general regulations apply to all vocational qualifications: Occupational Studies, OLA and CoPE, for the period 1 September 2021 to 31 August 2022.

The general regulations cover:

- the relationship between centres and CCEA;
- the responsibilities of CCEA in providing administrative, qualification-specific assessment and assessment support for centres;
- the responsibilities of centres during preparations for assessments and post- assessment activities; and
- obligations arising from current data protection, equality and freedom of information legislation.

- 1.6 These regulations should be read in conjunction with:

- the regulator's *Code of Practice* ;
- the regulator's *General Conditions of Recognition* ; and
- all Joint Council for Qualifications (JCQ) and CCEA publications.

These documents will be found on the Ofqual website www.gov.uk/ofqual; the JCQ website www.jcq.org.uk; or CCEA's website www.ccea.org.uk.

The JCQ documents may be supplemented from time to time by separate qualification-specific instructions from CCEA.

2 Who Must Read These Regulations?

- 2.1 These regulations apply to vocational centres that have been approved and registered by CCEA **and** are taking any of the qualifications as defined in **section 1.5, as above**.

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

- the head of centre;
- members of the senior leadership team;
- the examinations officer or quality assurance co-ordinator appointed by the head of centre.

- 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.

- 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 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.

3 The Agreement Between the Centres and CCEA

3.1 The regulations in this section cover the general relationship between the centre and CCEA.

Centre Status

3.2 Prospective new centres must contact CCEA advising that they wish to register or enter candidates in order to apply for approval as a centre.

This application must be made by the head of centre no later than five months before the closing date for entries. Where the assessments are on-demand, applications must be made in accordance with CCEA's instructions.

For example, if a prospective new centre wishes to enter candidates for examinations in June 2022, an application **must** be sent to CCEA **no later than 30 September 2021**.

Where a centre is applying for additional recognition with an awarding body, e.g. wishing to enter candidates for general qualifications in addition to existing vocational qualifications, a separate application **must** be made to CCEA no later than two months before candidates are to undertake an examination/assessment. Approval for one qualification will not necessarily mean approval for other qualifications.

3.3 A checklist for prospective centres can be found within this document (**Appendix B, page 23**).

3.4 As part of the centre approval process for prospective new centres, CCEA may, where appropriate, undertake a credit check.

3.5 A centre must:

- clear signage outside the main building;
- have an appropriate office for conducting administrative functions and a named contact available between 8.30 am to 3.30 pm during term time. CCEA, will reject any application for centre recognition where it is intended to operate a centre from a private residential address.
- a secure storage unit;
- appropriate accommodation to support the size of the cohorts being taught.

3.6 **Groups of centres are not permitted to register a centre purely for administrative purposes only in order to take question papers to an alternative site.**

Centres are only permitted to take question papers to an alternative site where the published criteria for an alternative site arrangement has been met. The JCQ Centre Inspection Service **must** be informed using CAP, Centre Admin Portal, which allows centres to process alternative site arrangements, centre consortium arrangements, overnight supervision arrangements, transferred candidate arrangements and very late arrivals on-line.

3.7 When registering a centre, CCEA is entering into a relationship with the centre only. That relationship is governed by the contract between CCEA and the centre, these regulations and any other relevant documents issued by the JCQ, CCEA, or the regulators.

3.8 A school, college or other educational establishment, a training provider or a company approved and registered as an examination/assessment centre **must** be able to meet the conditions set out in these regulations and relevant qualification specific criteria.

- 3.9** CCEA reserves the right to withdraw approval either for the delivery of a specific qualification or centre approval for all qualifications at any time, if the centre has not complied with any part of CCEA's regulations which are in force at the time. CCEA additionally reserves the right to withdraw centre approval where continued approval would bring the assessment system into disrepute. CCEA reserves the right to notify the other JCQ awarding bodies of such actions.
- 3.10** CCEA reserves the right to withdraw approval of inactive centres or those centres which fail to respond to the CCEA vocational register annual update (**see section 5.3, page 8**).
- 3.11** CCEA reserves the right to withdraw approval of those centres which do not meet its current approval criteria.
- 3.12** In the event of a centre ceasing to operate, it **must** take all reasonable steps to protect the interests of the candidates. It **must** also notify **CCEA's Compliance team**.
- 3.13** In the event that the centre withdraws from its role in delivering a qualification, CCEA will take all reasonable steps to protect the interests of the candidates.
- 3.14** Centre approval does not automatically allow a centre to state or imply awarding body approval in published material online.
Permission must be sought from CCEA. This will also extend to the use of CCEA's logo.
- 3.15** Such information may be given to enquirers on request, provided that it is done in a manner which cannot be interpreted to mean anything other than that CCEA is satisfied the centre has adequate facilities and resources with which to conduct vocational assessments.

Confidentiality

3.16 The centre will:

- keep confidential the names and addresses of examiners, moderators, external verifiers and any other CCEA personnel. This also extends to email addresses of awarding body/JCQ personnel;
- not forward e-mails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites such as Facebook, Twitter, Snapchat, LinkedIn etc;
- keep confidential the centre's employment of, in any capacity, any current or former JCQ and CCEA centre inspectors, awarding body examiners, moderators, awarders, external verifiers or other personnel; and not to mention this relationship in any form of literature issued in connection with the centre's programmes of assessment or promotional material.

- 3.17** The centre may share information and data with other centres which are members of the consortium or Academy Trust provided it complies with these confidentiality obligations.
All centres which are part of the consortium or Academy Trust must be aware of these obligations.

Retention of Candidates' Work

3.18 CCEA will:

- unless otherwise stated, return centre-assessed work to centres after the publication of results;
- reserve the right to retain samples of centre-assessed work for archive purposes even where work is normally returned to centres and to retain all centre-assessed work, and associated materials which have been the subject of an irregularity or malpractice investigation;
- assume ownership of all written scripts and candidates' work submitted electronically (where applicable).
- retain examples of assessment materials to demonstrate standards; and for reference by awarders in future years; and
- permit centres to return to candidates their portfolios of evidence of achievement following verification unless these are part of a malpractice investigation.
- dispose of all scripts and the verified work of candidates after those required for access to scripts, reviews of marking, appeals, 'live' malpractice cases and research purposes have been extracted. Scripts and verified work of candidates will be disposed of in a confidential manner

3.19 It is the responsibility of centres to:

- **keep live assessments and candidates' coursework and portfolios, secure and confidential at all times whilst in their possession.** It is not acceptable for teaching staff to share live coursework of a candidate with other candidates.
Live coursework is defined as any coursework on a topic which has been set either by CCEA, or the centre for a current or future examination series. The work may have been completed in a previous year or is in preparation for the present or future series;

(Centres should refer to the JCQ document *Notice to Centres – Teachers sharing controlled assessments and coursework with candidates*. This document is available on the JCQ website <http://www.jcq.org.uk/exams-office/controlled-assessments/>). See paragraph 4.8 of the JCQ publication *Instructions for conducting non-examination assessments* <https://www.jcq.org.uk/exams-office/non-examination-assessments>

- store safely and securely, coursework or portfolios retained in, or returned to, the centre up to and including the deadline for service 3 re-moderation or until any enquiry or malpractice investigation has been resolved.

Communication

3.20 CCEA will:

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.

Will not communicate with candidates or their parents/carers regarding examination administration except in exceptional circumstances and at its discretion. Therefore, centres **must not** advise parents/candidates to contact CCEA directly.

Correspondence on any aspect of a candidate's examination or assessment will be conducted between CCEA 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 post-results services and appeals.

4 The Responsibilities of the Awarding Body (CCEA)

- 4.1** The General Conditions of Recognition 9 Condition C2, '*arrangements with centres*', sets out how the awarding bodies must make their relationship with centres clear and streamlined. CCEA will comply with this and make its relationship with centres clear and streamlined.

Administrative Support for Centres

4.2 CCEA agrees to:

- provide documentation and guidance on a centre's responsibilities when managing, administering and assuring the quality of an assessment or qualification;
 - 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;
 - provide key dates of assessment and assessment administration; and inform centres how to submit and process registrations and entries.
- N.B. Centres should note that the acceptance of candidate entries and/or registrations by an awarding body, including private candidates, does not mean that a legal relationship has been entered into between the awarding body and those candidates;**
- provide general procedures and documentation relating to the administration of coursework and portfolios;
 - provide, where relevant, qualification-specific instructions and associated documentation;
 - process applications for access arrangements and reasonable adjustments, as requested by centres, in line with the JCQ publication *Access Arrangements and Reasonable Adjustments* effective from 1 September 2017. Applications will be processed efficiently and within the relevant timescales;
 - ensure that nothing in the instructions that it issues shall in any way affect the responsibility of the centre for health, safety and safe working under current legislation and local government by-laws. Any particular local requirements must be followed by the centre;
 - issue customer service statements and monitor its performance; and
 - assist centres to carry out JCQ and CCEA procedures and instructions correctly.

Reporting Results

4.3 CCEA agrees to:

- issue results to centres via EDI/A2C/hard copy (where relevant) and awarding body secure extranet sites;
- issue results in a new name following gender re-assignment, or a released prisoner being given a new identity, or a witness protection programme, upon receipt of appropriate documentation. The accompanying documentation will be treated in the strictest of confidence;
- issue certificates which are presented clearly;
(The results are owned by the awarding body. An awarding body has the right to amend a candidate's provisional result(s) prior to the issuing of a certificate.)
- investigate and report the outcome of re-moderations and appeals; and
- hold an archive of candidates' results.

Feedback to Centres

4.4 CCEA agrees to:

- provide a mechanism for receiving and responding to comments from centres and other stakeholders about its examinations and assessments.

Subject-Specific Support for Centres

4.5 CCEA agrees to:

- provide information on specifications available for its vocational qualifications;
- provide advance notice of the withdrawal of qualifications, subjects or units;
- provide detailed specifications for each vocational qualification offered;
- provide access to specialist advice and guidance;
- provide appropriate support materials;
- offer a programme of training for vocational qualification specifications; and
- respond to requests for information or advice about any aspect of specification provision.

4.6 All specifications and related services are provided in accordance with the requirements of the appropriate regulators.

5 The Responsibilities of Centres

Centre Management

5.1 The **head of centre must** be familiar with the system of public examinations/assessments which operates in the United Kingdom. The head of centre **must** ensure compliance with the published regulations in order to deliver the qualification(s).

5.2 All centres newly registered must have suitable Internet access to enable them to make full use of the awarding bodies' extranet sites for assessment administration purposes.

5.3 It is the responsibility of the head of centre to ensure that his/her centre:

- delivers the qualification, as required by the awarding body, in accordance with the Equality Act 2010 (or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect); 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;
- enables the relevant senior leader(s), the examinations officer and the SENCo to receive appropriate training and support in order to facilitate the effective delivery of examinations and assessment
- manages Conflicts of Interest by informing the awarding bodies, before the published deadline for entries, of:

- any members of centre staff who are taking qualifications at their own centre which include internally assessed components/units;

- any members of centre staff who are teaching and preparing members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) for qualifications which include internally assessed components/units; and

maintains clear records of all instances where:

- exams office staff have members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) being entered for examinations and assessments either at the centre itself or other centres;

- centre staff are taking qualifications at their centre which do not include internally assessed components/units;

- centre staff are taking qualifications at other centres.

The head of centre must ensure that the records include details of the measures taken to mitigate any potential risk to the integrity of the qualifications affected. The records may be inspected by a JCQ Centre Inspector and/or awarding body staff. They might be requested in the event of concerns being reported to an awarding body. The records must be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

- appoint an examinations officer/assessment co-ordinator to act on behalf of the centre in matters relating to the administration of examinations and assessments;

- ensure that the examinations officer/assessment co-ordinator receives appropriate training in order to facilitate the effective delivery of examinations and assessments within the centre;
- provide contact details and an address to which all correspondence in connection with the administration of assessments can be directed. **This must be the registered** address of the centre. (Centres must provide CCEA with an official school, college or training centre e-mail address and landline telephone number. Emergency contact details **must** also be provided. These may be a mobile telephone number or personal e-mail);
- **respond accurately and promptly to CCEA’s annual update**, confirming they are both aware of, and adhering to, the latest version of these regulations;
- confirm their details or inform CCEA of any changes to their contact details through the CCEA Compliance Team
- inform CCEA **immediately** (centresupport@ccea.org.uk) **if any changes occur after the annual update has taken place**;
- inform CCEA (centresupport@ccea.org.uk) **no later than 6 weeks prior to moving to a new address or a re-location of the secure storage facility**; (As a result of this notification a centre inspection will take place.) **or changing secure storage facilities in light of a substantial new build** (a change of address or a substantial new build, resulting in revised arrangements will lead to a new centre inspection);
- informs CCEA **immediately** of any other changes in its circumstances that could affect its centre status;
- informs CCEA **before the associated entries are submitted** of any members of centre staff who are either sitting assessments or teaching and preparing members of their family for assessments. CCEA should also be informed where children of exams office staff are being entered for assessments;

If a candidate is entered for an awarding body’s examinations at a centre where a relative is employed, the head of centre **must** ensure that during the examination series the candidate’s relative **does not** have unaccompanied access to examination materials. For example, question papers, pre-release materials and answer scripts.

If the relative in question is the centre’s examinations officer, then appropriate arrangements **must** be made to ensure that another person is present for all of the administrative arrangements relating to the candidate’s examinations. (For example, any application for special consideration must be authorised by a member of centre staff other than the candidate’s relative.)

Heads of centre **must** note that entering members of centre staff for qualifications at their own centre **must be as a last resort** in cases where the member of centre staff is unable to find another centre.

The head of centre **must** ensure that during the examination series the member of centre staff is treated as per any other candidate entered for that examination, does not have access to examination materials and does not receive any preferential treatment.

- have in place a **written** contingency plan which covers all aspects of assessment 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 readily available for inspection purposes**;

(The examination contingency plan should also reinforce procedures in the event of the centre being unavailable for examinations owing to an unforeseen emergency.)

- have in place a **written** child protection/safeguarding policy, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements;
- has appropriate accommodation to support the size of the cohorts being taught, including appropriate accommodation for candidates requiring access arrangements;
- take **all reasonable steps to maintain the integrity of the assessments, including the security of all assessment materials**;
- co-operate with CCEA Centre Inspection Service, and/or an awarding body and/or regulatory authority when subject to inspection and/or investigation, and take all reasonable steps to comply with all requests for information or documentation made by an awarding body or regulatory authority as soon as is practical;
- assist an awarding body in carrying out any reasonable monitoring activities;
- ensure that all venues used for assessments, records and secure storage facilities are open to inspection. CCEA centre inspectors will identify themselves with an appropriate letter of authorisation/card. The Inspector **must** be accompanied throughout his/her tour of the premises.

(The awarding bodies have agreed a common set of sanctions where a centre has not complied with the published JCQ regulations. **Appendix 4** of the JCQ publication Suspected Malpractice in Examinations and Assessments – Policies and Procedures lists a series of indicative sanctions against centres.)

- inform CCEA Centre Examiner Support Team using the JCQ *Alternative Site form* of any alternative sites that will be used to conduct assessments;
- make arrangements to receive and issue material received from CCEA to staff and candidates; and notify them of any advice and instructions relevant to the assessments;

Where a centre fails to respond to requests from the CCEA Centre Inspection Service and/or the CCEA Registration Team, the awarding body reserves the right not to despatch assessment materials.

- submit in accordance with awarding body' instructions, information they may reasonably require in relation to their assessments, returning all subject-specific forms by the required date;
- allow candidates access to relevant pre-release materials on or as soon as possible after the date specified by the awarding bodies;
- create assessment conditions, including on-screen and computer-based assessments, which ensure that the work submitted is that of the candidate alone using only the items/materials specified;
- retain a workforce of an appropriate size and competence, including sufficient managerial and other resource, to undertake the delivery of the qualification as required by an awarding body. This includes taking reasonable steps to ensure occupational competence where this is required for the assessment of specific qualifications;
- ensure that candidates have had adequate experience in the relevant practical environment, or relevant training where required by the qualification concerned;
- ensure that local health and safety rules are in place and that the centre is adequately covered for public liability claims.

Access Arrangements and Reasonable Adjustments

5.4 The head of centre/senior leadership team agrees to:

- appoint a SENCo who will determine appropriate arrangements for candidates with learning difficulties and disabilities;
- ensure that it will recruit with integrity with regard to vocational qualifications;
- ensure that learners will **in an accessible format** have the correct information and advice on their selected qualification(s) and that the qualification(s) will meet their needs. The recruitment process **must** include the centre assessing each potential learner and making justifiable and professional judgements about the learner's potential to successfully complete the examinations/assessments and achieve the qualification(s). The centre's assessment **must** identify, where appropriate, the support that will be made available to the learner to facilitate access to/assessments;
- undertake the necessary and appropriate steps to gather an appropriate picture of need and demonstrate normal way of working for a private candidate. **This includes distance learners and home educated students.** The centre, where required, **must** lead on the assessment process. The candidate **must** be assessed by the centre's appointed assessor. In some instances, depending on his/her needs, the candidate may have to be assessed away from the centre, for example at home. **The centre must comply with the obligation to identify the need for, request and implement access arrangements;**
- ensure that where a candidate with a learning difficulty requires an assessment of his/her needs, he/she is assessed by an appropriately qualified specialist assessor **as appointed by the head of centre;**
- have a **written** process in place to not only check the qualifications of those assessing candidates but that the assessment process is administered correctly;
- assist the awarding body in the discharge of its duty to make reasonable adjustments by requesting access arrangements, where required, and fully supports the SENCo in effectively implementing those arrangements once approved;
- submit any applications for access arrangements or reasonable adjustments by the published deadline ensuring that appropriate documentary evidence is held on file to substantiate such an arrangement and is open to inspection;
- ensure that a file is retained by the SENCo which **must** contain for each application supporting evidence of need (where required) and a signed data protection notice;
- 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. A **written** disability policy setting out how the centre seeks to comply with the Equality Act 2010† and fully supporting disabled candidates **must** be available for inspection purposes.

†for any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect.

- 5.5 The arrangements **must** be carried out in accordance with the following JCQ publication:
Access Arrangements and Reasonable Adjustments, 1 September 2017 to 31 August 2018.

Advice: Schools should familiarise themselves with the document published by the Equalities and Human Rights Commission (EHRC) *Reasonable adjustments for disabled pupils – Auxiliary Aids, Technical Guidance*
<http://www.equalityhumanrights.com/legal-and-policy/equality-act/equality-act-codes-of-practice/>

N.B. If CCEA identifies deficient performance by a centre in respect of its role in requesting and/or implementing access arrangements, an awarding body will take decisive action. Ultimately, an awarding body might have to withdraw approval for a centre. This would be where a centre has clearly failed to comply with its obligations in respect of identifying the need for, requesting and implementing access arrangements.

Candidates' entries

5.6 The centre agrees to:

- observe each awarding body's terms and conditions for the entry and withdrawal of candidates for their examinations and assessments. The centre must observe any regulatory requirements for the qualification;
- register or enter candidates for an assessment in accordance with the awarding body's published procedures for that qualification;
- 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. An Awarding body does not accept entries directly from private candidates; they will only accept entries made through an accredited centre. Enter candidates under names that can be verified against suitable identification such as a birth certificate, passport or driver's licence. **You may need to check that the name the candidate is using within the centre is his/her legal name rather than a 'known as' name.** This will help to prevent issues at a later date when the candidate may need to verify that he/she is the person named on the certificate;
- pay fees as instructed and at the time specified by CCEA;
- verify the identity of all candidates that they enter for assessments. The centre **must** be satisfied that all candidate identities have been checked, whether as part of the initial registration process, or in the case of private candidates through a verification process which involves photo-ID.
- treat **all candidates** equally, **including private candidates**, throughout the examination process. This would also extend to post-results services and appeals.

5.7 The centre agrees to:

- make arrangements to notify candidates, through the centre, of their entries and the dates and times of their assessments;
- ensure that the JCQ *Information for candidates* (coursework, on-screen tests, social media and written examinations) are distributed to all candidates whether electronically or in hard copy format prior to assessments taking place. N.B. It is permissible for each of the JCQ *Information for candidates* to be placed on the centre's website and for the respective link to be e-mailed to candidates, with an appropriately worded message. The centre should follow

this up with a briefing session or a special assembly led by the relevant Head of Year or an Assistant Head.

The briefing session would reinforce what candidates must and must not do when taking assessment and/or on-screen tests, and when producing coursework.

A centre may provide candidates with a copy of the JCQ *Information for candidates in a language other than English, Irish or Welsh*;

- ensure that all candidate data where required by the awarding body has been supplied to the awarding body within the terms of the Data Protection Act 1998 and from when it comes into force the General Data Protection Regulations, and the Freedom of Information Act 2000, and that candidates have been properly informed that this data has been transferred to the awarding bodies (see section 6, page 15, for more information).
- 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.

Coursework and Portfolios of Evidence

5.8 The centre agrees to:

- ensure that arrangements are in place to co-ordinate and standardise all marking of centre-assessed components and to ensure that candidates' centre-assessed work is produced, authenticated and marked, or assessed and quality assured in accordance with the awarding body instructions. This applies to both internal and private candidates;
- notify the awarding body of a consortium of centres with joint teaching arrangements, so that the candidates for each qualification can 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;
- take reasonable steps to ensure that all associated administrative tasks are completed in an accurate and timely manner. For example, 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;
- 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;
- 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; (A centre may place its internal appeals procedure on the school/college/training centre website or alternatively, the document may be made available to candidates upon request.)
- use only current assessment materials/tasks to assess candidates' knowledge and skills (in cases where the awarding body provides such material);
- store safely and securely all coursework or portfolios until the deadline for a re-moderation request has passed or until any appeal, malpractice or results enquiry has been completed, whichever is later. This includes materials stored electronically.

The centre must inform candidates of their centre assessed marks as a candidate is allowed to request a review of the centre's marking before marks are submitted to the awarding body.

Registrations and Entries

5.9 The centre agrees to:

- observe the awarding body terms and conditions for the entry and withdrawal of candidates for their assessments. **The awarding body will not allow centres to withdraw entries or awards after the release of results to centres;**
- submit registrations, entries and certification claims by the deadline(s); and
- pay fees as instructed and at the time specified by the awarding body.

During the Assessment

5.10 The centre agrees to:

- provide suitable accommodation and facilities for all assessments, including centre-assessed work;
- provide fully trained Oral Language Modifiers, practical assistants, readers, scribes and Sign Language Interpreters for examinations where permitted in accordance with the JCQ publication *Access Arrangements and Reasonable Adjustments* ;
- provide fully qualified teachers to mark, and/or fully qualified assessors for the verification of centre-assessed components;
- have in place **written** procedures to verify the identity of **all** candidates at the time of the assessment;
- conduct all assessments governed by these regulations in accordance with the following JCQ publication for the academic year 2018/17:
Access Arrangements and Reasonable Adjustments;
and the CCEA instructions for the relevant vocational qualification;
- submit any applications for special consideration where candidates meet the published criteria.

Malpractice

5.11 The centre agrees to:

- take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during the course of and after examinations have taken place
- notify an awarding body **immediately**, by completing the appropriate documentation, **of any alleged, suspected or actual incidents of malpractice** (which includes maladministration);
Notification must be made to an awarding body whether involving a candidate (during assessment or following the authentication of coursework or verification of other assessed qualifications) or malpractice or maladministration by a member of staff.
- investigate any instances of suspected malpractice (which includes maladministration) in accordance with the JCQ publication *Suspected Malpractice in Examinations and Assessments: Policies and Procedures, 1 September 2017 to 31 August 2018* and provide such information and advice as the awarding body may reasonably require.

Post-Examination

Centre Management

5.12 In relation to externally assessed examinations, the centre agrees to:

- keep scripts secure from the time they are collected from candidates until they are despatched to the awarding body or to the examiner;
- despatch scripts without delay on the day of the examination. If scripts have to be retained overnight they **must** be kept under secure conditions and despatched the next working day;
- respect the confidentiality of scripts by not allowing them to be read or photocopied by any person prior to marking, without the permission of the awarding body; • follow the instructions issued by an individual awarding body relating to the use of question papers for vocational qualifications after the examination has taken place.

Results

5.13 The centre agrees to:

- prior to the official dates and times for the release of results to candidates, keep result files and their contents **entirely confidential** to the head of centre, office staff and those senior members of staff and teaching staff within the centre and/or the consortium/Academy Trust who, in the opinion of the head of centre, need to be aware of the information;
- distribute provisional statements of results to **all** candidates, either electronically or in hard copy, without delay and regardless of any disputes (such as non-payment of fees).

Centres are not permitted to withhold provisional results from candidates under any circumstances. Under the terms of the Data Protection Act centres that receive a Subject Access Request are compelled to release results to candidates within timescales prescribed by the Data Protection Act†.

Alternatively, if a candidate makes a Subject Access Request directly to an awarding body in order to obtain his/her examination results, (**see section 6.7, page 22**) the awarding body is similarly compelled under the terms of the Data Protection Act† to provide those results within timescales prescribed by the Data Protection Act†.

† and from when it comes into force the General Data Protection Regulation.

Post-Results Services and Appeals

5.13 The centre agrees to:

- have in place **written** procedures for how it will deal with service 3 requests and appeals to the awarding body and to ensure that details of these procedures are made widely available and accessible to all candidates. Candidates must be made aware of the arrangements for post-results services **before** they take any assessment; and the accessibility of senior members of centre staff immediately after the publication of results.
- ensure that all candidates, including private candidates are made aware that all post-results service requests must be made through the centre;

- ensure that candidates have provided their **written consent** for clerical checks, reviews of marking and access to scripts services offered by the awarding bodies **after the publication of examination results**;
- submit requests for re-moderation **by the deadline(s)**;
- submit requests for appeals in accordance with the JCQ publication *A guide to the awarding bodies' appeals processes* ;
- ensure outcomes of re-moderation and appeals are made known to candidates;
- 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 enquiry about results or an appeal. A centre may place its internal appeals procedure on the school/college/training centre website or alternatively the document may be made available to candidates upon request.

Certificates

5.14 The centre agrees to:

- distribute certificates to **all** candidates without delay and regardless of any disputes (such as non-payment of fees). **Certificates must not be withheld without prior permission from an awarding body which will only be given in very exceptional circumstances.** A record should be kept of the certificates that are issued;
- retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue;
- destroy any unclaimed certificates after retaining them for a minimum of 12 months. They must be destroyed in a confidential manner. Centres that do not have a means of destroying certificates confidentially may return them to the respective awarding body. A record of certificates that have been destroyed should be retained for four years from their date of destruction. However, **candidates should be informed that some awarding bodies do not offer a replacement certificate service.** In such circumstances the awarding body will issue a Certifying Statement of Results;
- return any certificates requested by the awarding bodies. Certificates remain the property of the awarding bodies at all times.

6 Exchange of Data

6.1 The obligations of centres and the awarding body with regard to the transfer and holding of personal data during the examination process may be in the General Data Protection Regulation and the Data Protection Act 2018.

As at the date of reviewing these regulations, the UK is a member of the European Union and the General Data Protection Regulation has direct effect within the UK. Elsewhere in these General Regulations reference is made to 'data protection legislation'. This is intended to refer to the law currently set out in the General Data Protection Regulation and domestic legislation.

Data Protection

6.2 Centres **must** inform candidates that relevant personal data (name, date of birth, gender) will be transferred to the awarding body for the purpose of examining and awarding qualifications and that such personal data, together with the examination results and outcomes of any reviews of marking, reviews of moderation and appeals may be shared with the consortium or Academy Trust.

- 6.3** Centres **must** bring to candidates' attention the JCQ document *Information for candidates – Privacy Notice, General and Vocational Qualifications* (see **Appendix A, page 21**). This document should ideally be distributed to a candidate at the start of a course leading to a vocational qualification, when the entries are submitted to awarding bodies for processing.
- 6.4** The head of centre or a member of the senior leadership team **must** advise any person involved in administering, teaching or completing examinations/assessments that where malpractice is suspected or alleged their personal data may be shared with other awarding bodies, the qualifications regulator or professional bodies in accordance with the JCQ publication *Suspected Malpractice in Examinations and Assessments – Policies and Procedures*.
- 6.5** Awarding bodies may be required to provide a candidate's personal data held to educational agencies such as DENI, Ofqual, DEL, Local Authorities, Learning Records Service (LRS), or to a central record of qualifications approved by the awarding body, for statistical and policy development purposes. The Awarding body maintains a comprehensive archive record of candidates' examination results. The purpose is to provide an audit trail of the results certificated and to maintain an accurate record of an individual's achievements. It is the responsibility of centres to ensure that candidates are made aware of this.
- 6.6** The Learning Records Service (LRS) will provide learners aged 14 and over with a unique learner number (ULN). An internet facility will provide and hold a ULN for every person in education and training aged 14 and over.
- The ULN will remain with the learner for life, supporting the learner in building a record of their participation and achievements. Learners will be able to manage access to their own learning and achievement data, whilst awarding bodies will be able to publish and maintain a learner's achievement data.
- 6.7** The awarding body must also make the personal data they hold available to candidates when requested, subject to the application of any relevant exemptions within the Data Protection Act and, from when it comes into force, the General Data Protection Regulations. Candidates may, on payment of the appropriate fee, obtain access to their personal data such as examination results (see **section 5.12, page 13**) by applying to the appropriate awarding body's data protection officer.
- 6.8** Data protection laws acknowledge that an examination certificate is a contemporaneous record of achievement. The fact that an individual's name might have changed since the date of issue of the certificate does not render it inaccurate for the purposes of the Data Protection Act 1998 and, from when it comes into force, the General Data Protection Regulations.

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 the awarding body who are public authorities within the meaning of the Act must consider requests for information in accordance with the provisions of the Act. They must adopt and maintain a publication scheme setting out how the different classes of information are made available.

6.11 Information held on behalf of other public authorities such as DENI, DEL or Ofqual will also fall within the scope of the Act. Centres and awarding bodies should co-operate with the relevant authority in respect of any request for such information.

Copyright

6.12 The copyright in all question papers, on-screen assessments and computer-based assessments created by an awarding body belongs to that awarding body. Unless otherwise expressly stated in any assessments which are qualifications-specific, the awarding body grants the centres a non-exclusive, non-transferrable licence to use assessments for the purpose only of preparing future groups of candidates for mock examinations and other internal centre tests.

6.13 For confidentiality purposes question papers must not be released to centre personnel for use in accordance with the above licence until after the awarding body's published finishing **time** for the examination or, in the case of a timetable variation, until all candidates within the centre have completed the examination.

This does not restrict access to question papers by authorised centre personnel for the purpose of conducting examinations.

6.14 Materials that are submitted by candidates for assessment may include any form of written work, audio and visual materials, computer programmes and data ("**Assessment Materials**"). The copyright in any assessment materials created by a candidate belongs to him/her.

6.15 Each centre will procure from each of its candidates to grant the awarding body a non-exclusive, royalty-free licence to use their assessment materials (the "**Assessment Licence**") on the following terms:

- (i) the assessment licence becomes effective on submission, in any medium or form, by the candidate of the applicable assessment materials;
- (ii) the awarding body is entitled to use such assessment materials for the purpose of:
 - (a) assessing such candidates and their assessment materials ("**Candidate Assessment**");
 - and**
 - (b) providing education and training services to others;
 - (c) research.

the awarding body is entitled to grant any sub-licences of its rights under section 6.15(ii):

- (d) to third party examiners for the purpose of candidate assessment; **and**
- (e) to third party IT service providers for the purpose of detecting potential and suspected malpractice;
- (iii) the awarding body and its sub-licensees are entitled, for purposes of exercising their rights under the assessment licence, to reproduce the assessment materials in any form or medium and in whole or in part;
- (iv) the awarding body is entitled, for the purpose of providing education and training services to others, to modify, translate or otherwise change the assessment materials to meet particular needs;
- (v) 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), and it shall be in discretion of the awarding body whether or not to terminate such rights; **and**

- (vi) 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, and 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.
- 6.18** The awarding body will, in using any assessment materials for the purpose of providing education and training services to others pursuant to the assessment licence, before publishing or otherwise disclosing such assessment materials to any third party in any medium or form, anonymise such assessment materials to ensure that the candidates cannot be identified.
- 6.19** Each centre must promptly submit to the relevant awarding body any notice given by a candidate referred to in section 6.15(vi).
- 6.20** Subject to section 6.15, the physical medium on which any assessment material is recorded will be the property of the awarding body to whom it is submitted (the "**Property**"). The property will not be returned to centres other than through the access to scripts arrangements set out in section 5.13.

Appendix A



Information for candidates – Privacy Notice

Vocational qualifications

CCEA will process your personal data in accordance with the Data Protection Act 2018 and, from when it comes into force, the General Data Protection Regulations and the *Code of Practice* issued by the qualification regulators of England, Wales and Northern Ireland.

The awarding body will undertake the following administrative activities in relation to the processing and exchange of candidates' personal data:

- 1** Personal data relating to the name(s), date of birth, gender, unique candidate identifier (UCI) and unique learner number (ULN) of an individual candidate will always be collected by an awarding body for the purposes of examining and awarding qualifications. In some cases additional information, which may include sensitive personal data relating to health, will also be collected to support requests for access arrangements and reasonable adjustments and/or special consideration. Such personal data will be supplemented by the results of examinations and assessments undertaken by the respective candidate.
- 2** A candidate's personal data will only be collected from registered examination centres in the context of examination entries and/or certification claims.
- 3** Such data collected will not be used by an awarding body other than for the administration of the examinations process, conducting assessments and the certification of results claims. Candidates' personal data including examination results and outcomes of any reviews of marking, reviews of moderation and appeals may be shared by the awarding body with the centre which entered the candidates, as well as within a consortium or Academy Trust of which the centre is a member.
- 4** Personal data within candidates' work will be collected and processed by an awarding body for the purposes of marking, issuing of assessment results and providing candidates with access to service 3. Examination results will be retained for a minimum of forty years.

In order for an awarding body to achieve this, some personal information may be transferred to third parties such as examiners, who may in some instances, reside outside the European Economic Area.

- 5** The awarding body may be required to provide a candidate's personal data to educational agencies such as DE, DEL Ofqual, UCAS, Local Authorities, and Learning Records Service (LRS). Additionally, candidates' personal data may be provided to a central record of qualifications approved by the awarding bodies for statistical and policy development purposes.
- 6** Some of the information candidates supply will be used Learning Records Office (LRO) to issue/verify a candidate's Unique Learner Number (ULN) and update/check a candidate's Personal Learning Record.

The LRO may share a candidate's ULN and Personal Learning Record with other education related organisations, such as a careers service, a candidate's school, college or training organisation Government Departments and public bodies responsible for education. Further details of how information is processed and shared can be found at:

<http://www.learningrecordsservice.org.uk/>

- 7 Awarding bodies are obliged to confirm what personal data is held, what it is held for, to whom the data are to/may be disclosed, and disclose the information that they hold about data subjects, (e.g. the candidates) within 40 days of receiving a formal request for disclosure, subject to the application of any relevant exemptions under the Data Protection Act 1998.

Candidates should make an application to the CCEA's data protection officer. CCEA may charge a fee for this service.

- 8 If you have not reached the age of 16, you may first wish to discuss this Privacy Notice with your parent or legal guardian.

CCEA, Department of Education (DE), Department of Employment & Learning (DEL), Local Authorities, the Office of the Qualifications and Examinations Regulation (Ofqual) and Ofsted, are all 'data controllers' under the Data Protection Act 1998 in that they determine the purpose(s) for which 'personal data' (information about living individuals from which they can be identified) is processed and the way in which that processing is undertaken.

It is a requirement for data controllers to provide data subjects (individuals who are the subject of personal data) with details of who they are, the purposes for which they process the personal data, and any other information that is necessary to make the processing of the personal data secure and accurate, including any third parties to whom it may be passed to.

Appendix B



Are you ready?

A checklist for prospective vocational centres or where a centre has changed its address or secure storage arrangements

Vocational centres **must** ensure a completed copy of this checklist is returned to CCEA

An inspection will only take place on receipt of the completed form.

If your response to a question indicates that you are not yet ready as a prospective examination centre, you **must** seek advice from the relevant awarding body.

Should another inspection become necessary in view of inaccurate information being submitted, the awarding bodies reserve the right to levy a fee.

General requirements	Centre is ready	Centre is not ready
Does the centre have a full understanding of and is prepared to abide by the CCEA publication <i>Vocational Qualifications General Regulations for Approved Centres</i> ?	Yes	No
Does the centre have a full understanding of and is prepared to abide by the following JCQ publication? <i>Access Arrangements and Reasonable Adjustments</i>	Yes	No
Do you have a designated business address with an office and a key contact available between 8.30 am to 3.30 pm during term time?	Yes	No
Will the centre be open and staff available for an inspection visit in the next two to four weeks?	Yes	No
Are you applying for centre approval no later than five months before the entry deadline for the first vocational series?	Yes	No
Is there a safe/secure cabinet in place for storage of confidential materials/students work?	Yes	No
Have you determined appropriate arrangements for receiving and storing confidential materials as issued by the awarding body?	Yes	No
Do you have sufficient and suitable accommodation within your centre for candidates to undertake assessments and, where appropriate, facilities for on-screen tests?	Yes	No

General requirements (continued)	Centre is ready	Centre is not ready
Where appropriate, do you have the required facilities for practical assessments?	Yes	No
Is there a named member of staff who will act as the examinations officer/assessment co-ordinator?	Yes	No
Is there a named member of staff who will act as the Special Educational Needs Co-ordinator (the SENCo)?	Yes	No
Do you have arrangements in place for assessing candidates who may require access arrangements, i.e. a specialist assessor approved by the head of centre ?	Yes	No
Do you have broadband internet access in order to facilitate electronic transactions with the awarding bodies?	Yes	No
Do you have an official centre e-mail address?	Yes	No
Do you have a written child protection policy/safeguarding policy?	Yes	No
Do you have a written complaints and appeals procedure?	Yes	No
Do you have a written data protection policy?	Yes	No
Do you have a written examination contingency plan?	Yes	No
Do you have a written internal appeals procedure?	Yes	No
Do you have a written disability policy demonstrating compliance with the Equality Act 2010? †	Yes	No

†for any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect