



# Escalation Process

Sir Thomas Rich's

## Escalation Process

Centre Name	Sir Thomas Rich's
Centre Number	57143
Date process first created	21/11/2023
Current process approved by	Jo Tyler (EO)
Current process reviewed by	Senior Management Team (SMT), Governors' Curriculum and Evaluation Committee
Date of next review	20/12/2024

## Key staff involved in the process

Role	Name
Head of Centre	Matthew Morgan
Senior leader(s)	Dave Dempsey, Matthew Lynch
Exams officer	Jo Tyler
Other staff (if applicable)	Senior Management Team (SMT), Governors' Curriculum and Evaluation Committee

This process is reviewed and updated annually to ensure compliance with current requirements and regulations.

Reference in the process to **GR** relates to relevant sections of the current JCQ publication **General Regulations for Approved Centres**.

## **Introduction**

In terms of internal governance arrangements, it is the responsibility of the head of centre to ensure that Sir Thomas Rich's has in place a written escalation process should the head of centre, or a member of the senior leadership team with oversight of examination administration, be absent (GR 5.3).

This process also supports Sir Thomas Rich's being able to confirm to an awarding body the external governance arrangements so that the awarding body has confidence in the integrity of centre activities such as the delivery of qualifications and the conducting of examinations and assessments. (GR 5.3)

## **Purpose of the process**

The purpose of the process is to confirm where responsibility will be escalated to ensure continued compliance with JCQ regulations.

## **Before examinations/assessments**

### **Planning**

Responsibility for ensuring compliance will be escalated to Dave Dempsey (Senior Assistant Headteacher/Deputy HoC)

Matt Lynch (Deputy Headteacher)

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Main areas of compliance relate to:

The agreement between the centre and awarding bodies (GR 3)

- Third party agreements
- Centre status
- Confidentiality
- Retention of candidates' work
- Communication

The responsibility of the centre (GR 5): Centre management

- Recruitment, selection, training and support
- External and internal governance arrangements
- Delivery of qualifications
- Public liability
- Conflicts of interest
- Controlled assessments, coursework and non-examination assessments
- Security of assessment materials
- National Centre Number Register
- Centre inspections
- Policies available for inspection

Personal data, freedom of information and copyright (GR 6)

Reference information:

To support understanding of the regulations and requirements, the following JCQ publications will be referenced:

- General Regulations for Approved Centres
- Instructions for conducting examinations
- Access Arrangements and Reasonable Adjustments
- Instructions for conducting coursework
- Instructions for conducting non-examination assessments
- Suspected Malpractice – Policies and Procedures
- A guide to the special consideration process

Additional JCQ publications for reference:

- JCQ Centre Inspection Service Changes

Centre-specific reference information:

Not applicable.

### **Entries and Pre-exams**

Responsibility for ensuring compliance will be escalated to Dave Dempsey (Senior Assistant Headteacher/Deputy HoC)  
Matt Lynch (Deputy Headteacher).

Main areas of compliance relate to:

The responsibility of the centre (GR 5)

- Access arrangements and reasonable adjustments
- Entries (including ensuring appropriate controls are in place which allow accurate entries to be submitted to the awarding bodies)
- Centre assessed work (including ensuring appropriate controls are in place which allow accurate internally assessed marks to be submitted to the awarding bodies)
- Candidate information

Reference information:

To support understanding of the regulations and requirements, sections of relevant JCQ publications will be specifically referenced including:

- General Regulations for Approved Centres (section 5)
- Instructions for conducting examinations (sections 1-15)
- Access Arrangements and Reasonable Adjustments (sections 6-8)

Additional JCQ publications for reference:

- Key dates
- Guidance Notes for Transferred Candidates
- Alternative Site guidance notes

- Guidance notes for overnight supervision of candidates with a timetable variatio
- Guidance Notes – Centre Consortium Arrangements
- Information for candidates documents
- Exam Room Posters

Centre-specific reference information:

Not applicable.

## **During examinations/assessments**

### **Exam time**

Responsibility for ensuring compliance will be escalated to Dave Dempsey (Senior Assistant Headteacher/Deputy HoC)  
Matt Lynch (Deputy Headteacher).

The centre also has in place has in place a member of the senior leadership team who will provide support and guidance to the examinations officer and ensure that the integrity and security of examinations and assessments is maintained throughout an examination series.

Main areas of compliance relate to:

The agreement between the centre and the awarding bodies (GR 3)

- Retention of candidates' work

The responsibility of the centre (GR 5)

- Conducting examinations and assessments
- Malpractice

Reference information:

To support understanding of the regulations and requirements, sections of relevant JCQ publications will be specifically referenced including:

- General Regulations for Approved Centres (sections 3, 5)
- Instructions for conducting examinations (sections 16-31)
- Access Arrangements and Reasonable Adjustments (section 8)
- A guide to the special consideration process (sections 2-7)

Additional JCQ publications for reference:

- Guidance Notes – Very Late Arrival

Centre-specific reference information:

Dave Dempsey (Senior Assistant Headteacher/Deputy HoC)  
Matt Lynch (Deputy Headteacher)

## **After examinations/assessments**

### **Results and Post-Results**

As a contingency to enable the prompt handling of urgent issues only, the centre responds to the awarding bodies' request for information regarding the contact details of a senior member of staff (which might include a personal mobile number and/or email address). This will ensure that any urgent matters which might adversely affect candidates which arise outside of term time, and which potentially put qualification awards at risk, can be addressed by awarding bodies with the support of that member of staff. The head of centre will ensure that this member of staff has the necessary authority to mobilise resources to provide this support, which might include resolving issues within the centre itself (GR 5.3)

Responsibility for ensuring compliance will be escalated to Dave Dempsey (Senior Assistant Headteacher/Deputy HoC)  
Matt Lynch (Deputy Headteacher).

Main areas of compliance relate to:

The responsibility of the centre (GR 5)

- Results
- Post-results services and appeals
- Certificates

Reference information:

To support understanding of the regulations and requirements, sections of relevant JCQ publications will be specifically referenced including:

- General Regulations for Approved Centres (section 5)

Additional JCQ publications for reference:

- JCQ Release of results notice
- JCQ Post-Results Services (Information and guidance to centres)
- JCQ Appeals Booklet (A guide to the awarding bodies' appeals processes)

Centre-specific reference information:

Not applicable.

## Changes 2023/2024

(Added) Under **Purpose of the process**: This process also supports [centre name] being able to confirm to an awarding body the external governance arrangements so that the awarding body has confidence in the integrity of centre activities such as the delivery of qualifications and the conducting of examinations and assessments.

(Changed) Headings under **Centre management**: to reflect changes in GR 5 - Recruitment, selection, training and support - External and internal governance arrangements

(Added to) **Entries** (including ensuring appropriate controls are in place which allow accurate entries to be submitted to the awarding bodies) and to Centre assessed work (including ensuring appropriate controls are in place which allow accurate internally assessed marks to be submitted to the awarding bodies)

(Added) Under **During examinations**: The centre also has in place a member of the senior leadership team who will provide support and guidance to the examinations officer and ensure that the integrity and security of examinations and assessments is maintained throughout an examination series.

~~(Added) Under **After examinations**: The centre also has in place two members of the senior leadership team who will act as an emergency point of contact for the awarding bodies. They have the authority to liaise across the centre and ensure that any issues, queries, raised by an awarding body are successfully resolved prior to the publication of results. The head of centre is required to provide this information on an annual basis to the National Centre Number Team.~~

**(27/09/2023) (Deleted the above and reworded in a new statement field)** As a contingency to enable the prompt handling of urgent issues only, the centre responds to the awarding bodies' request for information regarding the contact details of a senior member of staff (which might include a personal mobile number and/or email address). This will ensure that any urgent matters which might adversely affect candidates which arise outside of term time, and which potentially put qualification awards at risk, can be addressed by awarding bodies with the support of that member of staff. The head of centre will ensure that this member of staff has the necessary authority to mobilise resources to provide this support, which might include resolving issues within the centre itself (GR 5.3)

## Centre-specific changes

Upon review in November 2023, no centre-specific updates or changes were applicable to this document.)