



Lumen Academy

Embrace

Educate

Empower

Escalation Process

Policy Date: September 2024

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Document History

Version	Status		Date	Author	Summary Changes
V1			Sep 24	M Sethi	

Introduction

In terms of internal governance arrangements, it is the responsibility of the head of centre to ensure that Lumen Academy 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.

This process also supports Lumen Academy 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.

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 DSL. Main areas of compliance relate to:

The agreement between the centre and awarding bodies

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

The responsibility of the centre:

- 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

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

Entries and Pre-exams

Responsibility for ensuring compliance will be escalated to DSL.

Main areas of compliance relate to:

- The responsibility of the centre
- 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 variation
- Guidance Notes – Centre Consortium Arrangements
- Information for candidates documents
- Exam Room Posters

During examinations/assessments

Exam time

Responsibility for ensuring compliance will be escalated to DSL to work closely with the lead invigilator. The centre will also place H&S representative to work with the DSL 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

After examinations/assessments

Results and Post-Results

Responsibility for ensuring compliance will be escalated to DSL. The centre also has in place H&S representative and the SENCO from the 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.

Main areas of compliance relate to:

The responsibility of the centre

- 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)

Reviewed By:	Monika Sethi	September 2026
Next Review Date:		September 2027
Approved by Director:		1 st September 2026
Signed:		

A handwritten signature in black ink, appearing to read 'Monika Sethi', with a stylized, cursive script.

Monika Sethi
Principal and Director