**Guidance for Centres on Managing Conflicts of Interest**

**Introduction**

This document provides an overview on the measures that can be used to manage a member of staff who has a conflict of interest. It should be read alongside the JCQ document *General Regulations for Approved Centres*, which states that centres **must** inform the relevant awarding body of:

1. *Any members of staff who are taking qualifications at their own centre* ***which include internally assessed components/ units*** *(remember that other centres should be approached first- entering staff at the centre at which they work should be seen as a last resort)*
2. *Any members of staff who are teaching and preparing members of their own 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.***

The regulations state that centres must maintain clear records of all instances where:

1. *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;*
2. *Centre staff are taking qualifications at their centre which do not include internally assessed components/ units;*
3. *Centre staff are taking qualifications at other centres.*

Note that it is the responsibility of the Head of Centre to ensure that all conflicts of interest are reported and managed effectively, in order to protect the integrity of the examinations/ assessments concerned.

Where **internally assessed components/ units** are involved, any conflicts **must** be reported to AQA via the on line form. A list of the qualifications which include internally assessed components can be found in appendix A.

Note that once the form has been completed, AQA will **only contact centres if any further information is required, or if there are any concerns with the action the centre is taking with regard to managing the conflict of interest.**

Remember that you **do not** need to inform us of any conflicts involving subjects which **do not have an internally assessed component or unit**, but the Head of Centre **must** manage these conflicts and have records readily available for inspection, for example should a visiting JCQ inspector request to see them.

If a conflict comes to light that cannot be managed by the examples below, then advice should be obtained via emailing conflictsofinterest@aqa.org.uk

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\*N.B: also relevant for centre management of conflicts which do not have an internally assessed component

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| **Conflict: Staff member taking a subject with an internally assessed component/ unit at their own centre** | **Report to AQA using online form?** | **Yes** |
| As set out in the JCQ regulations, this is a ‘last resort’ scenario- ideally centre should make arrangements for the member of staff to take the qualification elsewhere. The centre will be required to demonstrate that attempts have been made to enter the staff member elsewhere when completing the online conflict of interests form.Note that if the centre is part of a multi-academy trust, the staff member could be entered at a different trust centre, as long as any required monitoring/ supervision is undertaken by the entering centre.If it has not been possible to enter the member of staff elsewhere, then strategies to manage this conflict include the following:* Arrangements should be made to ensure that the member of staff is not treated any differently to any other student;
* Access to the Centre Services should be restricted if the internally assessed component has any pre-release material relating to it/ to ensure the staff member cannot access any confidential materials in advance;
* If the member of staff is a member of the examinations team, then any access to secure storage should be restricted for the period during which they are taking examinations;
* The Head of Department/ member of the Senior Leadership Team must consider monitoring the completion and marking of the internally assessed component, as an additional check to ensure that the member of staff has been assessed fairly- this can be as part of an ongoing process of checks or as part of internal standardisation prior to submission of the marks/outcome to AQA.
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| Remember that this conflict does not need reporting to AQA if the subject does not have an internally-assessed component/ unit- however, the Head of Centre will need to put in place conflict management arrangements and have records available for inspection. The above strategies would also be suitable for this purpose. |

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| **Conflict:****Member of staff who is teaching/ preparing members of their own 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 an internally assessed component/ unit** | **Report to AQA using online form?** | **Yes** |
| It is important that this conflict is managed effectively to ensure that the member of staff and the centre can be protected from allegations of malpractice. Ideally, the relative should be allocated to a different teacher in the department, as this will effectively negate the conflict. However, if this is not possible, strategies to manage this conflict include the following:* Access to Centre Services should be restricted if the internally assessed component has any pre-release material relating to it/ to ensure the staff member cannot access any confidential materials in advance of the release date- access can be supervised by another member of staff.
* If the member of staff is also a member of the examinations team, then any access to secure storage should be restricted for the period during which they are taking examinations;
* The Head of Department/ member of the Senior Leadership Team must consider monitoring the completion and marking of the internally assessed component, as an additional check to ensure that the member of staff’s relative has been assessed fairly- this can be as part of an ongoing process of checks or as part of internal standardisation prior to submission of the marks/outcome to AQA.
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| Remember that this conflict does not need reporting to AQA if the subject does not have an internally-assessed component/ unit- however, the Head of Centre will need to put in place conflict management arrangements and have records available for inspection. The above strategies would also be suitable for this purpose. |

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| **Conflict: Exams office staff member has a member 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 an examination or assessment either at the centre itself or at another centre (i.e. subject without internally-assessed component)** | **Report to AQA using online form?** | **No** |
| In such cases, in accordance with the published JCQ regulations, it is important that the centre maintains a record detailing the measures in place to mitigate the risks. It is strongly recommended that the record should be signed by the member of staff and the Head of Centre. If one of the requirements is for the conflict to be monitored, then the person instructed to do the monitoring should also sign the record. Remember that the record may be inspected by a JCQ Centre Inspector as part of a routine visit, and may be requested in the event of concerns being reported to an awarding body. The records **must** be retained until the deadlines for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed (whichever is later). Maintaining such records and implementing the agreed mitigation measures will protect both the school and the member of staff should any allegations be made against them.In the event of a conflict of this nature, AQA would recommend that the following measures would be appropriate:* The exams officer/member of the exams office staff should not enter the exam store room without direct supervision;
* The exams officer/administrator should not handle/ have any access to papers that their relative/close family friend is taking. This includes before, during and after the exam and completed candidate scripts. Another member of the exams team should assist with/ complete the packaging of the completed papers to return to AQA;
* The exams officer/administrator should have their Nexus extranet access monitored and removed on the morning of the affected examinations to ensure that the paper cannot be accessed electronically;
* The exams officer/ administrator should not have access to the candidate’s results on EDI day or on results day, so that they do not see the results before the candidate;
* The member of staff should not have any access to the live papers before, during or after the exam(s) in question;
* The member of staff should avoid contact with the candidate before the exams.
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# **Appendix A: List of A Level and GCSE subjects with internally-assessed components (AQA)**

**GCSE**

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| **Spec Code** | **Subject** | **Component(s)** |
| 8201-8206 | Art and Design | 8201/C, 8202/C, 8203/C, 8204/C, 8205/C, 8206/C |
| 8236 | Dance | 8236/C |
| 8552 | Design and Technology | 8552/CE |
| 8261 | Drama | 8261/C, 8261/XE |
| 8852 | Engineering | 8852/CE |
| 8700 | English Language | 8700/C |
| 8585 | Food Preparation and Nutrition | 8585/CE |
| 8572 | Media Studies | 8572/C |
| 8271 | Music | 8271/PE, 8271/CE |
| 8582 | Physical Education  | 8582/C |

**ELC**

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| **Spec Code** | **Subject** | **Component(s)** |
| 5970 | Step up to English (Silver Step) | 5972/1, 5972/2 |
| 5970 | Step up to English (Gold Step) | 5973/1, 5973/2 |
| 5930 | Mathematics | 5930 |
| 5960 | Science | 5961, 5962 |

**FCSE**

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| **Spec Code** | **Subject** | **Component(s)** |
| 8971/2/3 | Chinese (Mandarin) | 8971. 8972, 8973 |
| 8956/7/8 | French | 8956, 8957, 8958 |
| 8966/7/8 | German | 8966, 8967, 8968 |
| 8996/7/8 | Spanish | 8996, 8997, 8998 |

**Functional Skills**

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| **Spec Code** | **Subject** | **Component(s)** |
| 8720 | English Level 1 | 8720S |
| 8735 | English level 2 | 8725S |

**Level 1/2 Project**

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| **Spec Code** | **Subject** | **Component(s)** |
| 7991 | Level 1 Foundation Project | 7991 |
| 7992 | Level 2 Higher project | 7992 |

**Tech Award**

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| **Spec Code** | **Subject** | **Component(s)** |
| 3745 | Performing Arts | PER1, PER2 |

**AS/ A Level**

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| **Spec Code** | **Subject** | **Component(s)** |
| 7241-7246 | Art (AS) | 7241, 7242, 7243, 7244, 7245, 7246 |
| 7201-7206 | Art (A Level) | 7201, 7202, 7203, 7204, 7205, 7206 |
| 7402 | Biology (A Level) | 7402/C |
| 7405 | Chemistry (A Level) | 7405/C |
| 7517 | Computer Science | 7517/C |
| 7236/7237 | Dance | 7236/X (AS), 7237 (A Level) |
| 7561/7562 | D&T Fashion and Textiles | 7561/C (AS), 7562/C (A Level) |
| 7551/7552 | D&T Product Design | 7551/C (AS), 7552/C (A Level) |
| 7261/7262 | Drama and Theatre | 7261 (AS), 7262 (A Level) |
| 7702 | English Language | 7702/C |
| 7707 | English Language and Literature | 7707/C |
| 7712 | English Literature A | 7712/C |
| 7717 | English Literature B | 7717/C |
| 7037 | Geography | 7037/C |
| 7042 | History | 7042/C |
| 7571/7572 | Media Studies | 7571/C (AS), 7572/C (A Level) |
| 7271 | Music (AS) | 7271/P, 7271/C |
| 7272 | Music (A Level) | 7272/P, 7272/C |
| 7581/7582 | Physical Education | 7581/C (AS), 7582/C (A Level) |
| 7408 | Physics | 7408/C |

**Extended Project/ Certificate and Extended Certificate**

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| **Spec Code** | **Subject** | **Component(s)** |
| 7993 | Level 3 Extended Project | 7993 |
| 1830 | Certificate in Applied Business | ABS2, ABS5, ABS6, ABS7, ABS8 |
| 1775 | Certificate in Applied Science | ASC2, ASC5, ASC6A, ASC6B, ASC6C |