



Kirkbie Kendal School Academy Trust

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“Kirkbie Kendal School promotes the safeguarding and welfare of children in its care; all policies and procedures support the Child Protection Policy.”

Review Sheet

The information in the table below details earlier versions of this document with a brief description of each review and how to distinguish amendments made since the previous version date (if any).

<u>Version</u>	<u>Date</u>	<u>Description</u>
1.1	Curriculum 12 Feb 19	General updates to bring in line with legislation/exam board requirements Addition of new section: Use of Word Processors in Exams
1.2	Curriculum 11 Feb 20	Changes to Section 3 Exam Seasons & Timetable to reflect current practice
1.3	SLT 25 Jan 21 Curriculum 9 Feb 21	A substantial number of amendments made to reflect improved internal controls, therefore tracked changes were not used
1.4	SLT 31.01.22 Curric 9 Feb 22	No changes
1.5	SLT 06.02.23 for Curric 08.02.23	1 change to separate invigilation heading (re separate room) on page 20
1.6	SLT 11.09.23 and 06.11.23 for Curric 6.12.23	Section 7.2 – Exam Days. Added paragraph on methods used to identify candidates Section 8.3 – Added process for appealing against a centre decision not to submit an application for Special Consideration Section 10 – Results and Post Results rewritten to reflect updated internal and AB processes Appendix 3 – Exam Access Arrangements – added process for appealing against a centre decision not to submit an application for an Exam Access Arrangement, Appendix 3 – Exam Access Arrangements – added clarification for spelling and grammar check to be enabled as allowed in certain scenarios by JCQ regulations Appendix 4 – Whistleblowing (Exams) added as per JCQ regulations Appendix 5 – Exam Contingency Arrangements – NEW appendix Appendix 6 – Malpractice – NEW appendix Appendix 7 – Conflict of Interest – NEW appendix

Examinations Policy

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The purpose of this Exam Policy is:

- to ensure the planning and management of exams is conducted efficiently and in the best interest of candidates;
- to ensure the operation of an efficient exam system with clear guidelines for all relevant staff.

It is the responsibility of everyone involved in the centre's exam processes to read, understand and implement this policy. If anything in this policy inadvertently contradicts the JCQ policy and procedures then the JCQ procedures will be followed.

This Exams Policy will be reviewed annually.

This Exams Policy will be reviewed by the Deputy Headteacher (Curriculum), Exams Officer and Governors.

1. Exam responsibilities

The Headteacher is responsible for:

Overall responsibility for the school as an exam centre:

- advice on appeals and re-marks;
- reporting all suspicions or actual incidents of malpractice. Refer to the JCQ document *Suspected Malpractice in Examinations and Assessments*.

The Exams Officer is responsible for:

Managing the administration of public and internal exams and analysis of exam results including:

- advising the senior leadership team, Heads of Departments/subject leads and class tutors and other relevant support staff on annual exam timetables and application procedures as set by the various exam boards;
- overseeing the production and distribution to staff, and candidates of an annual calendar for all exams in which candidates will be involved and communicates regularly with staff concerning imminent deadlines and events;
- ensuring that candidates are informed of their exam timetable;
- informing HoDs of deadlines for the submission of coursework marks;
- maintaining systems and processes to support the timely entry of candidates for exams;
- receiving, checking and storing securely all exam papers and completed scripts and ensuring that scripts are dispatched as per guidelines;
- administering access arrangements and makes applications for special consideration using the JCQ's *A Guide to the Special Consideration Process and Access Arrangements and Reasonable Adjustments*;
- identifying and managing exam timetable clashes;
- accounting for income and expenditures relating to all exam costs/charges;
- managing the recruitment, training and monitoring of a team of exams invigilators responsible for the conduct of exams in liaison with their line manager;
- Offering advice on future procedural improvements;
- Use analytics such as SISRA and ALPS to provide information to HoDs, HoYs, Teachers in charge and SLT where appropriate;

- submitting candidates' coursework marks, tracking despatch and storing returned coursework and any other material required by the appropriate awarding bodies correctly and on schedule;
- arranging dissemination of both exam results and certificates to candidates
- in consultation with HoD/teachers i/c arrange any appeals/re-mark requests.

Heads of Departments/subject leads are responsible for:

Guidance and pastoral oversight of candidates who are unsure about exam entries or amendments to entries.

- Accurate completion of coursework mark sheets and declaration sheets;
- Accurate completion of entry and all other mark sheets and adherence to deadlines as set by the Exams Officer;
- Involvement and decisions on post-result procedures.

The Lead CEIAG is responsible for:

- Guidance and careers information.

Teachers are responsible for:

- Supplying accurate information on entries, coursework and controlled assessments/internally assessed work as required by the Head of Department/subject lead and/or Exams Officer;
- Notification of access arrangements (as soon as possible after the start of the course);
- Submission of candidate names to Heads of Departments/subject leads.

The SENCo is responsible for:

- Administration of access arrangements;
- Identification and testing of candidates' requirements for access arrangements and notifying the Exams Officer in good time to ensure exam day arrangements are in place;
- Provision of additional support — with spelling, reading, mathematics, dyslexia or essential skills, hearing impairment, English for speakers of other languages, IT equipment — to help candidates achieve their course aims;
- Process any necessary applications in order to gain approval (if required);
- Working with the Exams Officer to provide the access arrangements required by candidates in exam rooms.

Lead invigilator/invigilators are responsible for:

- Assisting the Exams Officer in the efficient running of exams according to JCQ regulations;
- Collection of exam papers and other material from the exams office before the start of the exam;
- Completion and signing of seating plans;
- Notifying the Exams Officer of any absent candidates before the exam starts;
- Collection of all exam papers in the correct order at the end of the exam and their return to the exams office.

Candidates are responsible for:

- Checking subject entries and signing for them;
- Understanding coursework regulations and signing a declaration that authenticates the coursework as their own;
- Ensuring they conduct themselves in all exams according to the JCQ regulations.

Administrative staff are responsible for:

- Supporting the input of data;
- Posting of exam papers.

2. The statutory tests and qualifications offered

The statutory tests and qualifications offered at this school are decided by the Headteacher, Deputy Head (Curriculum) and the Heads of Departments/subject leads.

The statutory tests and qualifications offered are GCSE, A levels, BTEC, Cambridge Technicals and Cambridge Nationals.

The subjects offered for these qualifications in any academic year may be found on the school's website. If there has been a change of specification from the previous year, the Exams Officer must be informed by Heads of Departments/subject leads and this will be updated on the website. Informing the Exams Officer of changes to specifications is the responsibility of the subject leader.

3. Exam seasons and timetables**3.1 Exam seasons**

Internal exams are calendared on the Assessment and Reporting calendar.

External exams follow schedules set by JCQ and examination boards. External on demand examinations are scheduled throughout the year.

All internal exams administered by the Exams Officer are held under external exam conditions. Internal exams held within subject areas are administered by school staff.

Which exam series are used in the centre is decided by the Headteacher, Deputy Headteacher (Curriculum) and Heads of Department/subject lead.

3.2 Timetables

The Exams Officer will circulate the exam timetables for both external and internal exams once these are confirmed.

4. Entries, entry details, late entries and retakes

4.1 Entries

Candidates are selected for their exam entries by the Heads of Department/subject leads and the subject teachers.

In exceptional circumstances the school may accept entries from external candidates but reserves the right to refuse.

4.2 Late entries

Entry deadlines are circulated to Heads of Department/subject leads via email by the Exams Officer.

Late entries are authorised by Heads of Department/subject leads, subject teachers and Exams Officer. **Late entry fees will be charged to departments.**

4.3 Resits

Discussion on students resitting exams will be made in consultation with the candidates, subject teachers and the Exams Officer.

(See also section 5: Exam fees)

5. Exam fees

GCSE initial registration and entry exam fees are paid by the school.

Post-16 initial registration and entry exam fees are paid by the school.

Late entry or amendment fees are paid by the departments.

Candidates or departments will not be charged for changes of tier, withdrawals made by the proper procedures or alterations arising from administrative processes, provided these are made within the time allowed by the awarding bodies.

As per the school Charging and Remissions Policy, parents/carers will be invoiced for 'wasted' exam fees where candidates fail to sit an exam or meet the necessary controlled assessment/internally assessed work requirements without current medical evidence for absence.

This policy will be available on the school website for candidates and parents/carers at the start of GCSE and Post-16 courses.

Retake fees for first and any subsequent retakes are paid by the candidates.
(See also section 4.3: Retakes)

Candidates must pay the exam board fees for any post result services made at their request.

(See also section 11.2: Enquiries about results [EARs])

6. The Equality Act, special needs and access arrangements

All exam centre staff must ensure that they meet the requirements of any equality legislation.

The centre will comply with the legislation, including making reasonable adjustments to the service that they provide to candidates in accordance with requirements defined by the legislation, awarding bodies and JCQ.

6.1 Equality Act 2010

The Equality Act 2010 extends the application of disability discrimination to general qualifications. All exam centre staff must ensure that the access arrangements and special consideration regulations and guidance are consistent with the law.

6.2 Special Needs

A candidate's special needs requirements are determined by a combination of appropriate staff and agencies.

The SENCo will inform subject teachers of candidates with special educational needs who are embarking on a course leading to an exam, and the date of that exam. The SENCo can then inform individual staff of any special arrangements that individual candidates may be granted during the course and in the exam.

6.3 Access arrangements

Making special arrangements for candidates to take exams is the responsibility of the SENCo and the Exams Officer.

Ensuring there is appropriate evidence for a candidate's access arrangements is firstly given by the class teachers who pass this information to the SENCo.

Submitting completed access arrangement applications to the awarding bodies is the responsibility of the Exams Officer.

Rooming for access arrangement candidates will be arranged by the SENCo with the Exams Officer.

Invigilation and support for access arrangement candidates will be organised by the SENCo with the Exams Officer.

Further details about Examination Access Arrangements can be found in Appendix 3 below.

7. Managing invigilators and exam days

7.1 Managing invigilators

External invigilators will be used for exam supervision. They will normally be used for all exams arranged by the Exams Officer.

Securing the necessary DBS clearance for new invigilators is the responsibility of the Exams Officer in liaison with the Business Manager.

DBS fees for securing such clearance are paid by the school.

Invigilators are timetabled and briefed by the Exams Officer.

7.2 Exam days

The Exams Officer will book all exam rooms after liaison with other users and make the question papers, other exam stationery and materials available for the invigilator.

Site management is responsible for setting up the allocated rooms under the direction of the Exams Officer.

The following will be used to assist in the identification of candidates:

1. Seating plans produced by the Exams Officer are used by invigilators to cross-check names of candidates
2. Head of Year and/or teaching staff present outside the exam room
3. A copy of the student list report including photographs for the relevant year group included in each invigilation box for reference during the exam series

The lead invigilator will start all exams in accordance with JCQ guidelines.

Subject staff may be present at the start of the exam to assist with identification of candidates but must not advise on which questions are to be attempted and must NOT have sight of an open exam paper otherwise they would have to stay in the exam room for one hour after the start of the exam. Any person present at the start of the exam must be in accordance with the rules defined by JCQ concerning who is allowed in the exam room and what they can do.

In practical exams subject teachers may be on hand in case of any technical difficulties and will be in accordance with JCQ guidelines.

Exam papers must not be read by subject teachers or removed from the exam room before the end of a session. Papers will be distributed to Heads of Departments/subject leads at the end of the exam session.

8. Candidates, clash candidates and special consideration

8.1 Candidates

The Exams Officer will provide written information to candidates in advance of each exam series.

The school's published rules on acceptable dress, behaviour and candidates' use of mobile phones and all electronic devices apply at all times.

Candidates' personal belongings remain their own responsibility and the school accepts no liability for their loss or damage.

Disruptive candidates are dealt with in accordance with JCQ guidelines. Invigilators will log any disruptive behaviour and use 'red alert' if necessary.

Candidates may leave the exam room for a genuine purpose requiring an immediate return to the exam room, in which case a member of staff must accompany them and this must be logged.

The Exams Officer/Reception staff will attempt to contact any candidate who is not present at the start of an exam and deal with them in accordance with JCQ guidelines.

8.2 Clash candidates

The Exams Officer will be responsible as necessary for identifying escorts, identifying a secure venue and arranging overnight stays.

8.3 Special consideration

Should a candidate be too ill to sit an exam, suffer bereavement or other trauma or be taken ill during the exam itself, it is the candidate's responsibility to alert the school, or the exam invigilator, to that effect.

Any special consideration claim must be supported by appropriate evidence within five days of the exam, for example a letter from the candidate's doctor. The Exams Officer needs to be clear that the information provided justifies special consideration.

The Exams Officer will then complete the appropriate special consideration form and send to the relevant body as per JCQ guidance

If a candidate wishes to appeal against a centre decision not to apply for special consideration on their behalf, an appeal must be made in writing to the Headteacher within three days of the decision having been communicated and at the latest, five days before the special consideration deadline date as published by the relevant awarding body (details of this date can be provided by the Exams Officer).

9. Controlled Assessment/Internally Assessed Work and appeals against internal assessments

9.1 Controlled Assessment/Internally Assessed Work

Candidates who have to prepare portfolios should do so by the end of the course or school-defined date.

Heads of Departments/subject leads will ensure all coursework is ready for despatch at the correct time and the Exams Officer will keep a record of what has been sent when and to whom.

Heads of Departments/subject leads will ensure all Controlled Assessment/internally assessed work marks are ready to be submitted to the awarding body before the due date.

Marks for all Controlled Assessments/internally assessed work are provided to the Exams Officer by subject teachers/Heads of Departments/subject leads.

Heads of Departments/subject leads are expected to keep all Controlled Assessments/internally assessed work in a secure place until after the final date for enquiries about results.

Candidates are advised to read and refer to the Appeals Policy if they are dissatisfied with their outcome.

Externally assessed Controlled Assessments will be treated as examination scripts for the purposes of enquiries about results.

Centres can request a post results review of moderation to ensure the assessment criteria has been fairly, reliably and consistently applied (only available when centre marks have been adjusted by the moderator).

9.2 Appeals against internal assessments

The school is obliged to publish a separate procedure on this subject (Internal Assessment Appeal Policy), which is available from the Exams Office and on the school's website. The main points are:

- appeals will only be entertained if they apply to the process leading to an assessment. There is no appeal against the mark or grade awarded;
- candidates may appeal if they feel their coursework has been assessed unfairly, inconsistently or not in accordance with the specification for the qualification;
- appeals should be made in writing by 30th April in the year of certification to the Headteacher, who will decide whether the process used conformed to the necessary requirements;
- the Head of Centre's findings will be notified in writing, copied to the Exams Officer and recorded for awarding body inspection.

10. Results, enquiries about results (EARs) and access to scripts (ATS)

10.1 Results

Candidates will receive individual results slips on results days in person at the school. Arrangements for the school to be open on results days are made by the Head of Centre. The provision of staff on results days is the responsibility of the Head of Centre.

10.2 Post Results Services

Supplying information for candidates and staff on the post-results services provided by awarding bodies and the fees charged is the responsibility of the Exams Officer.

10.2.1 Enquiries about Results (EARs)

Enquiries about Results, including clerical re-checks, reviews of marking and subsequent appeals, may be requested by centre staff or candidates if there are reasonable grounds for believing there has been an error in marking.

If a candidate requests an EAR they will be charged the appropriate exam board costs. If centre staff request the EAR, the department budget will be charged.

Prior to any EAR being submitted, candidate consent must be obtained by the relevant Head of Department by completion of a Post-Results Authorisation Form, together with any associated payment. By giving their consent, candidates accept that their grade may be raised, confirmed or lowered. All EARs are submitted to the awarding body by the Exams Officer, to comply with the external deadline for each awarding body and service.

EARs are tracked to conclusion by the Exams Officer, who informs candidates and relevant centre staff of the outcomes, and updates centre results information.

A centre-decision not to submit an EAR may be appealed by a candidate, as outlined in the internal assessment appeals policy.

10.2.2 Access to Scripts (ATS)

After the release of results, candidates may request the return of papers within the deadline provided by the exam board.

Centre staff may also request scripts for investigation or for teaching and learning purposes.

The process for managing ATS requests, including obtaining candidate consent and any associated payment, is the same as that outlined above for EARs.

11. Use of Word Processors in Exams

Introduction

The use of word processors in examinations and assessments is reviewed annually, on the publication of updated JCQ regulations and guidance contained in the publications *Access Arrangements (AA) and Reasonable Adjustments* and *Instructions for Conducting Examinations*. References to 'AA' relate to the most recent JCQ Access Arrangements and 'Reasonable Adjustments and ICE' to the most recent JCQ Instructions for conducting examinations.

Centre specific processes

- Teaching staff at Kirkbie Kendal School are asked to identify students who use a word processor during Years 9, 10 and 11 as their normal way of working.
- Student needs are assessed and evaluated and if a student's needs have changed these will be identified and the need met with the provision of a word processor.
- Access arrangements are applied for and that will include the use of a word processor.
- The ICT department can provide the necessary equipment upon request, with a minimum of one week's notice via e-mailing allicthelpdesk@kksa.co.uk.

Laptops, word processors and other programmes or equipment.

Kirkbie Kendal School ensures that:

- Word processors are used as a typewriter; standard formatting software is acceptable;
- Laptops/word processors have been cleared of any previously stored data, as is any portable storage medium used;
- No unauthorised memory stick is used by a candidate;
- Where required and only when there is an extreme emergency, candidates are provided with a memory stick, which has been cleared of any previously stored data, by a nominated member of centre staff;
- Word processors are in good working order at the time of the examination and all computers are checked prior to the examination;
- Laptops or word processors are positioned in such a way that other candidates are not disturbed and cannot read the screen;
- Where a candidate using a word processor is accommodated in a single candidate room, a separate invigilator is used;
- Documents are printed after the examination is over;
- Candidates verify that the work printed is their own;
- Word processed scripts are inserted in or attached to any answer booklet which contains some of the answers (and according to instructions issued by the individual awarding body);
- Word processors are used to produce scripts under secure conditions, and if they are not then the centre is aware that they may be refused by the awarding body;

- Laptops or word processors are not used to perform skills which are being assessed;
- Laptops or word processors are not connected to an intranet, the internet or any other means of communication;
- Candidates are not given access to prohibited applications such as a calculator or spreadsheet etc (according to instructions issued by the individual awarding body);
- Predictive text software or any automatic spelling and grammar checker is disabled;
- Voice recognition technology is not included on word processors;
- Word processors are not used on the candidate's behalf by a third party unless the candidate has permission to use a scribe.

Centre specific processes

Candidates using word processors (including laptops) are internally accommodated in the following manner:

- Where appropriate single candidate rooms will be provided;
- Where more than one laptop or word processor is in use, candidates will be seated singly in a planned room;
- Where more than one laptop/word processor is in use and the examination requires the use of sound, candidates will be provided with headphones so that examination rules are followed and the school is in full compliance.

Allocating word processors

Appropriate exam-compliant word processors will be allocated by the IT department in liaison with the exams officer and the Learning Support department. In exceptional circumstances where the number of appropriate word processors may be insufficient for the cohort of candidates approved to use them in an exam session, the cohort will be split into two groups. One group will sit the exam earlier than or later than the published start time. The security of the exam will be maintained at all times and candidates will be supervised in line with the ICE.

12. Certificates

Certificates are collected in person. A statement of entries is included in the envelope of certificates which lists the all the certificates included. A separate statement of entries is signed by the person collecting confirming the certificates collected. This is retained by the centre until the candidate is 25 years of age.

Certificates may be collected on behalf of a candidate by a third party, provided they have written authorisation to do so.

Certificates are not withheld from candidates who owe fees.

The centre retains certificates for 12 months and they are then returned by recorded delivery to the exam boards.

Links with other policies:

Internal Assessment Appeal Policy
 JCQ Policy & Guidelines
 Charging & Remissions Policy
 SEND Policy

EXAM ENTRIES PROCEDURE

This is the procedure we intend to follow for the submission of exam entries by Heads of Departments/subject leads.

1. A set list will be sent to each Head of Department/subject lead with a deadline for return.
2. The completed list of entries must be returned to the Exams Officer.
3. The students will then be entered for those exams from the set list.
4. Before this is sent to the examination body it will be returned to the Head of Department/subject lead for verification.
5. Once this verification is received by the Exams Officer, they will make any changes requested and submit them to the examining body. (At this point we are committed and there is a substantial charge made by the examination bodies for any changes).
6. Any further changes to examination entries and the costs involved will be charged to the department concerned.

Close attention to student exam entries would be appreciated because the charges incurred result in significant reductions to funds available to be allocated to subject areas.

APPENDIX 2

KKS CHARGING POLICY

ACTIVITY	COMMENT
Re-scrutiny of exam results	Parents/Carers to pay the exam board charges incurred by school
Remarking requested by parent/student	Parent/student to pay charges
Remarking requested by subject department	Charged to subject dept allocation
Withdrawal from exam by parent/student	Parent/student to be charged
Withdrawal from exam by school	Charged to subject department
Recovery of wasted exam fees	Parent/student to be charged
Re-sit of external exam modules all levels	Parent/student to pay exam re-sit fees
If resit requested by subject department	Charged to subject dept allocation

EXAMINATION ACCESS ARRANGEMENTS POLICY

Introduction

This is intended as a guidance document with teachers and parents being the target audience.

The Examination Access Arrangements Policy explains the actions taken to ensure inclusion throughout the school for all students with additional learning needs (ALN), including those with formally diagnosed Special Educational Needs and Disabilities (SEND).

Definitions

The term **Additional Learning Need** is used as an umbrella term to incorporate ALL students known to be receiving intervention or Learning Support provision, including those pupils identified as having SEND, plus those receiving differentiation in class.

Disability

Section 6 of the Equality Act 2010 defines **disability** as a *'physical or mental impairment which has a substantial and long term adverse effect on someone's ability to carry out normal day to day activities'*.

Special Educational Needs

A candidate has "special educational needs" as defined in the SEND code of practice: 0 to 25 years. Children have special educational needs if they have a learning difficulty or disability which calls for special educational provision to be made for them.

The Equality Act 2010 definition of disability includes substantial and long-term sensory impairments such as those affecting sight or hearing, mental health difficulties and long-term health conditions such as asthma, diabetes, epilepsy and cancer. Children and young people with such conditions do not necessarily have SEN, but there is a significant overlap between disabled children and young people and those with SEN.

What are Access Arrangements?

Access arrangements are agreed before an assessment. They allow students to demonstrate their skills, knowledge and understanding without changing the demands of the assessment. The intention behind access arrangements is to meet the particular needs of a candidate without affecting the integrity of the assessment.

Access arrangements are the principal way in which Awarding Bodies comply with the duty under the Equality Act 2010 to make 'reasonable adjustments'.

Reasonable Adjustments

The Equality Act 2010 requires an Awarding Body to make reasonable adjustments where a disabled person would be at a substantial disadvantage in undertaking an assessment. A reasonable adjustment for a particular person may be unique to that individual and may not be included in the list of available Access Arrangements.

How reasonable the adjustment is will depend upon a number of factors including the needs of the disabled candidate/learner. An adjustment may not be considered reasonable if it involves unreasonable costs, timeframes or affects the security or integrity of the assessment. There is no duty on the Awarding Bodies to make any adjustment to the assessment objectives being tested in an assessment.

Access Arrangements at KKS

KKS aims to ensure that all students have equal access to examinations and are neither advantaged nor disadvantaged over their peers by any long term, substantial SEND/or ALN which fall into the following four categories: -

1. *Communication and interaction.*
2. *Cognition and learning.*
3. *Social, emotional and mental health.*
4. *Sensory and/or physical needs.*

We will do this by applying the rules for Access Arrangements as set out in the most recent Joint Council for Qualifications guidelines. These are updated every year on the 1st September and run through until 31st August. The currently released document will always be the first reference point in determining the correct access arrangement for a student. We believe it is important to abide by the JCQ regulations, so that there is parity in how access arrangements are awarded throughout a student's secondary schooling.

We will use every opportunity to identify students' needs from their first contact with the school. Professional reports are requested that demonstrate a SEND/ALN and a recommendation for a reasonable adjustment to be made to meet the student's needs and the type of access arrangements that are appropriate. Access arrangements reflect the support that is usually given to the student in the classroom (within reason), internal exams and mock examinations. This is commonly referred to as 'normal way of working'.

When might students need to be given Exam Access Arrangements?

An Exam Access Arrangement (EAA) is a provision or type of support given to a student (subject to exam board approval) in an exam, where a particular need has been identified and is provided so that the student has appropriate access to the exam.

What evidence is needed to apply for EAA?

There are a number of pieces of evidence that can be used to apply for EAA to the Joint Council for Qualifications (JCQ):

- Form 8 report from a Specialist Teacher or Specialist Assessor completed no earlier than the beginning of year 9
- Previous EAA from Primary Schools/other education providers (*please note a Form 8 will still need to be completed for GCSE and A-level examinations*)
- Subject teachers – examples of work as appropriate, examples of differentiation applied due to long term need
- Results of baseline tests e.g. reading/comprehension age, writing tests, standardised psychometric testing

Private Educational Psychologists' Reports

A growing number of parents have their children assessed by private educational psychologists and submit the reports to the SENCO as evidence that their child should be awarded extra time, or an additional form of EAA. These assessment reports are often very detailed but also cost a significant amount of money. This means that parents who are unable to obtain a private report through their financial circumstances are put at a disadvantage. As an exam centre we must be consistent in our decisions and ensure that no student is '*either given an unfair advantage or be disadvantaged*' by any arrangements in place. Often private educational psychologists recommend that children should receive EAA which can be in conflict with the history of need seen in school, or which would not be considered as reasonable adjustments given the nature of the child's SEND/ALN.

The school will consult private assessments provided that:

- a) the parents have informed us that a private assessment is taking place

b) the details of the private assessor, including details of their appropriate qualifications, have been passed on to the school

A private assessment, even if it meets the criteria outlined above, will only be accepted as an application for an internal investigation into an access arrangement, and the existence of such an assessment does not constitute a guarantee that an access arrangement will be granted, especially if it conflicts with the stipulation for normal way of working.

If the advice of the private assessor for EAA conflicts with the centre tester (a member of staff holding a current formally recognised qualification enabling them to assess for EAA) then the recommendations of the centre tester will take precedence.

Procedures

How students would be identified for Exam Access Arrangements:

- Pupils who have a history of requiring interventions offered by KKS Learning Support Department;
- Pupils with an EHCP
- Parental referral
- Subject teacher referral
- Information from previous school/education provider

An important principle is that just because a student has received EAA in the past, it does not necessarily follow that they will continue to receive EAA as their needs may very well have changed.

Parental Referral

Parents can contact the school to ask for advice about testing if they have concerns with the progress and learning of their child. Once contact has been made with the parent, the SENCO will investigate their concerns by sending a “round robin” to the child’s teachers to gain information. Following this, a decision will be made as to whether it is appropriate to test a student.

Teacher Referral

As with Parental Referrals, teachers can refer a student to the SENCO where they have concerns about the learning and progress of a student in their class. All of the student’s current teachers will be asked to give feedback to gain information, and following this a decision will be made as to whether to test a student for EAA.

How do staff and parents know whether a student has EAA?

- Teaching and support staff can access the EAA Support Plan.
- Staff are informed of changes to the EAA list via email
- Parents will be contacted by the SENCO to inform them to what EAA their child is entitled to.
- Students will be asked to sign a Data Protection form and the EAA to be applied for will be explained to them.

How are Exam Access Arrangements applied for?

Students need to be tested at each Key Stage for EAA. Just because they were entitled to EAA at KS2 does not automatically entitle them to it at KS3, KS4 or KS5.

The member of staff qualified to assess for access arrangements will use a variety of nationally recognised tests such as:

- Comprehensive Test of Phonological Processing 2nd Edition (CTOPP2)
- WIATT III
- Detailed Assessment of Speed of Handwriting (DASH)

This is not an exhaustive list, and is subject to change, as the assessments are replaced/updated periodically in line with current practice. The test that the assessor uses depends very much upon the type of barrier to learning that the student may have. Following a report produced by the assessor an application is made to the Awarding Bodies for permission to implement the specified arrangement(s).

There are some considerations with this access arrangement application:

- The authorisation granted by the Awarding Bodies lasts 26 months, therefore it is prudent to assess and apply for EAA in the April/May of Year 9 in order that any permitted exam access arrangements are in place for the full GCSE period of both Year 10 and 11.
- A reapplication must be made in Year 12 in order to cover Year 12 and 13. The current JCQ regulations must be abided too.
- There is a deadline imposed by the Awarding Bodies for when exam access arrangements can be applied for.

“Normal way of working” is a very important principle, sometimes even considered the *most* important. An application for EAA made late in Year 11 or Year 13 lacks validity as there is little evidence of whatever EAA is granted being the “normal way of working”. However, significant concerns raised in Year 11 or Year 13 will still be investigated. In these situations, greater weight will be given to in-school evidence such as Teacher Referrals and academic and EAA assessment results.

While Parental Referrals are valuable, the phenomenon of issues being suddenly and unexpectedly raised in the weeks and months before external examinations is a valid concern, and it is highly likely that EAA will not be granted at such a late stage.

What are the procedures for processing an application?

Once the tests have been conducted and there is a recommendation from the tester for EAA, the SENCO or Exam Officer then applies to the Awarding Bodies. The feedback is instant at this point the EAA is added to the SEN list and the parents are informed of the EAA.

If a student wishes to appeal against a centre decision not to grant an access arrangement, an appeal must be made in writing to the Headteacher within seven days of the decision having been communicated.

The application will require evidence of need, and the centre needs to hold evidence in its files that can be inspected at short notice. This can include:

- Recommendations by teachers
- Educational psychologists’ reports
- Letters from outside agencies such as CAMHS (Children and Adolescent Mental Health Services), hospitals or doctors
- Education, Health and Care Plans (EHCP)
- Evidence that the EAA applied for is ‘normal way of working’
- Permission from the Awarding Bodies for the arrangement(s) requires:
- A signed copy of the Form 8 report by the designated tester
- A data protection form signed by the student

Deadlines for submitting applications for access arrangements and modified papers on-line for GCSE and GCE qualifications

Access arrangements may cover the entire course and for GCSE and GCE qualifications **must** be processed using access arrangements online **as early as possible**.

The dates are set by the JCQ and we will endeavour to test students after the dates published but they will not receive dispensation for that period. This is due to allocation of time to test late entries.

The deadline set by the JCQ is final, late entries may incur further inspections by the JCQ.

The decision to apply for access arrangements is based upon evidence of a history of need, history of provision and a specialist assessor access arrangements report.

Common access arrangements

An explanation of assessment scores - In the following arrangements, when scores are referred to, these are the standardised scores from testing for access arrangements. They are standardised to 100 being the average for the age group of that student, with a standard deviation of 15. In other words, 67% of students will have scores from 85 to 115, with approximately 84% of students scoring 85 or above.

Access arrangements are considered for students in the 16% with a score of 84 or below, for two different needs from assessments. Or, introduced in 2021- one score of below 85, and one between 85 - 89.

Where possible, these scores will be obtained and put onto Form 8 via testing in school from a qualified assessor teacher.

25% Extra Time – the student is granted an additional 25% extra time for the examination, usually to compensate for a below average processing, reading or comprehension speed (a score of 84 or less in appropriate standardised testing). This is evidenced by Form 8 and work gathered in school to demonstrate the normal way of working.

Rest breaks – The need for this must be known to the teachers and Leadership Team at the school. A Note of need must be provided by the SENCO and supported with professional evidence. The student is allowed to “pause” the exam for brief periods of time. This is often to compensate for physical issues (e.g. a recently sprained wrist causing discomfort when writing), calming down (e.g. if the student is prone to panic attacks, or suffers from ADHD and needs to re-focus) or extreme cases of exam anxiety. This access arrangement is discretionary and can be withdrawn at any time.

Separate invigilation - in a smaller room away from the main exam room, with other pupils – the student is invigilated separately from the rest of the students sitting the exam. While it is very common for educational psychologists to recommend this, it is viewed as a “last resort” option, due to the impact upon rooming and staffing. Students who have been granted this arrangement have received it due to medical issues (e.g. visual impairment requiring specific environmental adjustments), and specific learning needs (e.g. complex combinations of multiple severe learning needs such as ADHD, ASD and OCD). Separate invigilation will not be considered in the vast majority of cases as very often the student will be sitting normal internal assessments with their classmates, and therefore the evidence of need and evidence for “normal way of working” is not there.

Use of assistive technologies

In all cases, the student must be used to using the assistive technologies, and must ideally have started no later than the beginning of Year 10. It is envisioned that where possible, the provision for the use of assistive technologies is in place from Year 9 onwards.

Laptops – if a student uses a laptop in their day-to-day lessons, then it is their normal way of working and may be allowed the use of one in an examination. The laptop will be provided with a “clean” image, with external communications disabled, and spelling and grammar checking disabled, unless permitted under section 5.7.5 of the JCQ publication *Access Arrangements (AA) and Reasonable Adjustments*.

Scribes and Readers –Both arrangements require a degree of familiarity between the student and the scribe/reader and need to be in place from Year 9 onwards at the very latest in order to be effective.

(Jan 2022)

WHISTLEBLOWING (EXAMS) POLICY

Introduction

Whistleblowing at Kirkbie Kendal School is encouraged, not penalised, and staff are made aware that they have a duty to report any concerns they have about the conduct of examinations.

The head of centre and governing board at Kirkbie Kendal School aim to create and maintain an approach to examinations that reflects an ethical culture, and encourages staff and students to be aware of and report practices that could compromise the integrity and security of examinations.

- In compliance with section 5.11 of the JCQ's **General Regulations for Approved Centres**¹, Kirkbie Kendal School will:
- take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after assessments have taken place
- inform the awarding body **immediately** of any alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, by completing the appropriate documentation
- as required by an awarding body, gather evidence of any instances of alleged or suspected malpractice (which includes maladministration) in accordance with the JCQ publication **Suspected Malpractice: Policies and Procedures**² and provide such information and advice as the awarding body may reasonably require

This policy requirement has been added within **General Regulations for Approved Centres** in response to the recommendations within the report of the *Independent Commission on Examination Malpractice*³.

This policy sets out the whistleblowing procedures at Kirkbie Kendal School. It has been reviewed by the head of centre, who is responsible for handling any cases of whistleblowing. They are fully aware of the contents of this policy and will escalate any instances of malpractice to the relevant awarding body/bodies.

This policy also sets out the principles which allow members of centre staff and students to feel confident in reporting instances of actual, alleged or suspected malpractice to relevant members of senior leadership.

Purpose of the policy

This policy:

- encourages individuals to raise concerns, which will be fully investigated by appropriately trained and experienced individuals
- identifies how to report concerns

¹ Reference www.jcq.org.uk/exams-office/general-regulations/

² Reference www.jcq.org.uk/exams-office/malpractice/

³ Reference www.jcq.org.uk/examination-system/imc-home/

- explains how such concerns will be investigated and sets expectations regarding the reporting of outcomes
- provides details of relevant bodies to whom concerns about wrongdoing can be reported, including awarding organisations and regulators
- includes a commitment to do everything reasonable to protect the reporter's identity, if requested
- sets out how those raising concerns will be supported.

This policy also details the steps that could be taken by an individual involved in the management, administration and/or conducting of examinations if [Centre name] fails to comply with its obligation to report any alleged, suspected or actual incidents of malpractice or maladministration.

The Whistleblower

A whistle-blower is defined as a person who reports an actual or potential wrongdoing and is protected by the Public Interest Disclosure Act 1998, providing they are acting in the public interest.

If the person raising the issue is a worker, this will be considered as whistleblowing. This includes agency staff and contractors.

Reporting

If a member of centre staff involved in the management, administration and/or conducting of examinations (such as exams officer, exams assistant or invigilator), a student or a member of the public (such as a parent/carer) has a concern or reason to believe that malpractice has or will occur in an examination or assessment, concerns should normally be raised initially with a member of the Senior Leadership Team.

However, there may be times when it may be more appropriate to refer the issue direct to the governing board, most often when the allegation is against the head of centre.

Examples of malpractice

In addition to the centre wide Whistleblowing Policy, this exams-specific policy, includes reference to exams-related breaches including, but not limited to, the following:

- Failure to comply with exam regulations as set out by the Joint Council for Qualifications (JCQ) and its awarding bodies
- A security breach of the examination paper
- Conduct of centre staff which undermines the integrity of the examination
- Unfair treatment of candidates by either giving an advantage to a candidate/group of candidates (e.g. by permitting a candidate an access arrangement which is not supported by appropriate evidence), or disadvantaging candidates by not providing access to the appropriate conditions (providing a 'level playing field')
- Possible fraud and corruption (e.g. accessing the exam paper prior to the exam to aid teaching and learning)
- Abuse of authority (e.g. the head of centre/members of the senior leadership team overriding JCQ and awarding body regulations)
- Other conduct which may be interpreted as malpractice/maladministration

Whistleblowing procedure

If the individual does not feel safe raising the issue/reporting malpractice within the centre, or they have done so and are concerned that no action has been taken, that individual could consider making their disclosure⁴ to a malpractice expert at the awarding body for the qualification where malpractice is suspected.

For members of centre staff, it is likely that the Public Interest Disclosure Act (PIDA)⁵ offers you legal protection from being dismissed or penalised for raising certain serious concerns ('blowing the whistle'). Whistleblowing rights under PIDA are day one rights⁶. This means that the worker does not need the same two years' service that is needed for other employment rights.

In order to investigate concerns effectively, the awarding body should be provided with as much information as possible/is relevant, which may include:

- The qualifications and subjects involved
- The centre involved
- The names of staff/candidates involved
- The regulations breached/specific nature of suspected malpractice
- When and where the suspected malpractice occurred
- Whether multiple examination series are affected
- If the issue has been reported to the centre and what the outcome was
- How the issue became apparent

Members of the public are not protected by PIDA, but the awarding body will make every effort to protect their identity if that is what they wish, unless the awarding body is legally obliged to release it⁷.

Alternatively, a worker could consider making a disclosure to Ofqual⁸ as a prescribed body for whistleblowing to raise a concern about wrongdoing, risk or malpractice.

Anonymity

In some circumstances, the whistle-blower might find it difficult to raise concerns with the nominated member of the senior leadership team. If a concern is raised anonymously, the issue may not be able to be taken further if insufficient information has been provided. In such instances, and if appropriate, the allegation may be disclosed to a union representative, who could then be required to report the concern without disclosing its source. Alternatively, whistle-blowers or others with concerns about potential malpractice can report the matter direct to Ofqual, who is identified as a 'prescribed body'⁹. Awarding organisations are not prescribed bodies under whistleblowing legislation; however, awarding organisation investigation teams do give those reporting concerns the opportunity for anonymity.

A whistle-blower can give his/her name, but may also request confidentiality; the person receiving the information should make every effort to protect the identity of the whistle-blower.

⁴ Reference www.jcq.org.uk/exams-office/malpractice/public-interest-disclosure-act/

⁵ Reference **Public Interest Disclosure Act 1998** www.legislation.gov.uk/ukpga/1998/23/contents

⁶ Reference <https://protect-advice.org.uk/pida/>

⁷ Reference www.ocr.org.uk/administration/general-qualifications/assessment/malpractice/whistleblowing/

⁸ Reference www.gov.uk/guidance/ofquals-whistleblowing-policy

⁹ Reference www.gov.uk/government/publications/blowing-the-whistle-list-of-prescribed-people-and-bodies--2/whistleblowing-list-of-prescribed-people-and-bodies

Students

Students at Kirkbie Kendal School are made to feel comfortable discussing/reporting malpractice issues of which they are aware. The regulations surrounding their assessments, and wider academic integrity, will be reiterated to students who are undertaking, or who are about to undertake, their courses of study.

Exam Contingency Plan NEW

Key staff involved in the plan

Head of centre:	Mr Harris
Senior leader(s):	Mrs Barker, Mr Hebson,
Exams Officer:	Exams Officer
ALS lead/SENCo:	SENCo
Other staff (if applicable):	Not Applicable

This plan is reviewed and updated annually to ensure that exam contingency planning at Kirkbie Kendal School is managed in accordance with current requirements and regulations.

Purpose of the plan

- This plan examines potential risks and issues that could cause disruption to the exam process.
- By outlining actions/procedures to be invoked in case of disruption it is intended to mitigate the impact these disruptions have on our exam process at Kirkbie Kendal School.
- Alongside internal processes this plan is informed by the Ofqual **Exam system contingency plan: England, Wales and Northern Ireland** which provides guidance in the publication, 'What schools and colleges and other centres should do if exams or other assessments are seriously disrupted' and the **JCQ Joint Contingency Plan** for the Examination System in England, Wales and Northern Ireland.
- This plan details how Kirkbie Kendal School complies with the JCQ's **General Regulations for Approved Centres** (section 5.3, Centre management) by having in place 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 staff absence. The examination contingency plan should reinforce procedures in the event of the centre being unavailable for examinations, or on results day, owing to an unforeseen emergency. The potential impact of a cyber-attack should also be considered. **Operating across more than one centre**

This does not apply to this centre
Possible causes of disruption to the exam process

1. Exams officer absence at key points in the exam process (exam cycle)

Criteria for implementation of the plan

Key tasks required in the management and administration of the exam cycle not undertaken including:

Planning

- annual data collection exercise not undertaken to collate information on qualifications and awarding body specifications being delivered
- annual exams plan not produced identifying essential key tasks, key dates and deadlines
- sufficient invigilators not recruited

Entries

- awarding bodies not being informed of early/estimated entries which prompts release of early information required by teaching staff
- candidates not being entered with awarding bodies for external exams/assessment
- awarding body entry deadlines missed or late or other penalty fees being incurred

Pre-exams

- Invigilators not trained or updated on changes to instructions for conducting exams
- Exam timetabling, rooming allocation; and invigilation schedules not prepared
- Candidates not briefed on exams timetables and awarding body information form candidates
- Confidential exam/assessment materials and candidates' work not stored under required secure conditions
- Internal assessment marks and samples of candidates' work not submitted to awarding bodies/external moderators

Exam Time

- Exam time exams/assessments not taken under the conditions prescribed by awarding bodies
- required reports/requests not submitted to awarding bodies during exam/assessment periods, for example very late
- arrival, suspected malpractice, special consideration
- candidates' scripts not dispatched as required for marking to awarding bodies

Results and post-results

- access to examination results affecting the distribution of results to candidates
- the facilitation of post-results services

Other criteria

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will:

- Office manager and at least one other member of SLT to have a good working knowledge of exams processes and systems (including full access to the exam board portals) by completing online or face to face training delivered by Awarding Bodies (ABs), The Exams Office (TEO) and other relevant organisations

- Visibility of key dates, deadlines and tasks in shared documents and the Exams Officer desk diary
- Exams Officer to provide regular email and "show and tell" updates to the Office Manager of work in progress and key processes
- Use of shared tracking spreadsheets for exam absence and incidents, special consideration applications and post-results requests
- Awarding bodies to be kept informed of any missed deadlines or tasks and advice followed on actions required
- Priority given to any tasks where the impact on student qualifications is greatest, in cases where not all tasks can be completed with the staffing or resources available

2. ALS lead/SENCo extended absence at key points in the exam process (exam cycle)

Criteria for implementation of the plan

Key tasks required in the management and administration of the access arrangements process within the exam cycle not undertaken including:

Planning

- candidates not tested/assessed to identify potential access arrangement requirements
- centre fails to recognise its duties towards disabled candidates as defined under the terms of the Equality Act 2010
- evidence of need and evidence to support normal way of working not collated

Pre-exams

- approval for access arrangements not applied for to the awarding body
- centre-delegated arrangements not put in place
- modified paper requirements not identified in a timely manner to enable ordering to meet external deadline
- staff (facilitators) providing support to access arrangement candidates not allocated and trained

Exam time

- access arrangement - candidate support not arranged

Other criteria

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will undertake the following:

- TAs and Exams Officer to work with the SLT link to the Exams Officer and SENCo to identify candidates where applications for access arrangement's / reasonable adjustments maybe required and make arrangements for testing and applications.
- Seek support from other SENCos in the SLF.
- The employment of outside agencies and professionals might be required to assist in the process of access arrangement testing.

3. Teaching staff extended absence at key points in the exam process (exam cycle)

Criteria for implementation of the plan

Key tasks not undertaken including:

- Early/estimated entry information not provided to the exams officer on time; resulting in pre-release information not being received
- Final entry information not provided to the exams officer on time; resulting in candidates not being entered for exams/assessments or being entered late/late or other penalty fees being charged by awarding bodies
- Non-examination assessment tasks not set/issued/taken by candidates as scheduled
- Candidates not being informed of centre assessed marks before marks are submitted to the awarding body and therefore not being able to consider appealing internal assessment decisions and requesting a review of the centre's marking
- Internal assessment marks and candidates' work not provided to meet awarding body submission deadlines

Other criteria

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will undertake the following:

- Head of Centre to employ supply / temporary staff to cover staff absence in the short-term, ensuring that required assessment tasks are completed.
- Subject specialists and leaders from the SLT to support T&L activities in the absence of the subject leaders and aid in the completion of all assessment activity.

4. Invigilators - lack of appropriately trained invigilators or invigilator absence

Criteria for implementation of the plan

- Failure to recruit and train sufficient invigilators to conduct exams
- Invigilator shortage on peak exam days
- Invigilator absence on the day of an exam

Other criteria

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will:

- Use invigilators regularly for mock exams during the academic year to engage and retain experienced invigilators and provide peer mentoring for new invigilators
- Use mock exams as a benchmark for the number of invigilators required for each cohort so that potential shortages are acknowledged and addressed prior to the summer exam series
- Establish availability and plan invigilator staffing sufficiently in advance of the summer series (2-3 months) to identify potential shortages and allow time for (re)training of internal staff as invigilators where necessary

- Use the invigilator scheduling tool to dynamically track invigilator availability, and to publish ad hoc or last-minute shifts that need to be filled
- Inform Awarding Bodies of any issues impacting the ratio of invigilators: students

5. Exam rooms - lack of appropriate rooms or main venue(s) unavailable at short notice

Criteria for implementation of the plan

- Exams officer unable to identify sufficient/appropriate rooms during exams timetable planning
- Insufficient rooms available on peak exam days
- Main exam venues unavailable due to an unexpected incident at exam time

Other criteria

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will:

- (where main exam venue(s) unavailable due to an unexpected incident at exam time) where possible, make use of other available rooms within the centre, prioritising candidates whose progression will be severely delayed if they do not take their exam or timetabled assessment when planned
- identify whether the exam or timetabled assessment can be sat at an alternative venue, in agreement with the relevant awarding body
- (where main exam venue(s) unavailable due to an unexpected incident at exam time) where possible, move to alternative venue, prioritising candidates whose progression will be severely delayed if they do not take their exam or timetabled assessment when planned

Alternative venue details

- communicate with candidates (and where appropriate, parents/carers) any changes to the exam or assessment
- timetable or venue communicate with candidates (and where appropriate, parents/carers) any changes to the exam or assessment timetable or to the venue

Communication details

- Edulink
- phone or email
- in person via form tutors or subject teachers
- ensure the secure transportation of question papers or assessment materials to the alternative venue
- (after the exam) consider whether any candidate's ability to take the assessment or demonstrate their level of attainment has been materially affected and, if so, apply for special consideration

Other centre actions

No other actions identified

6. Cyber-attack

Criteria for implementation of the plan

- Where a cyber-attack may compromise any aspect of delivery

Other criteria

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will undertake the following:

- Exams Officer will work with the Network Manager and make contact with the relevant Awarding Body to seek further guidance.
- SLT will monitor the situation and take any action required as directed by the Awarding Body.

7. Failure of IT systems

Criteria for implementation of the plan

- MIS/IT system failure at final entry deadline
- MIS/IT system failure during exams preparation
- MIS/IT system failure at results release time

Other criteria

- Computer reader software failure during an exam
- Failure to save or print candidate scripts completed on a word processor
- Insufficient (or failure of) IT equipment for students who need a word processor

Centre actions to mitigate the impact of the disruption listed above

The centre will:

- Have sufficient trained invigilators and staff able to provide human readers
- Inform Awarding Bodies of any missing scripts or IT issues that impacted an exam and follow advice given (apply for Special Consideration where appropriate)
- Alternative venue for provision of IT equipment

8. Emergency evacuation of the exam room (or centre lockdown)

Criteria for implementation of the plan

- Whole centre evacuation (or lockdown) during exam time due to serious incident resulting in exam candidates being unable to start, proceed with or complete their exams

Other criteria

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will:

- refer to and invoke its (exams) emergency evacuation policy/procedure in line with JCQ's 'Centre emergency evacuation procedure' (or its (exams) lockdown policy)
- contact the relevant awarding body as soon as possible and follow its instructions

- where accommodation is limited, prioritise candidates whose progression will be severely delayed if they do not take their exam or timetabled assessment when planned
- (after the exam) consider whether any candidate's ability to take the assessment or demonstrate their level of attainment has been materially affected and, if so, apply for special consideration

Other centre actions

No other actions identified

9. Disruption of teaching time in the weeks before an exam - centre closed for an extended period

Criteria for implementation of the plan

- Centre closed or candidates are unable to attend for an extended period during normal teaching or study supported time, interrupting the provision of normal teaching and learning

Other criteria

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will:

- recognise it remains the responsibility of the centre to prepare students, as usual, for examinations
- facilitate alternative methods of learning
- communicate with candidates (and where appropriate, parents/carers) information relating to alternative methods of learning

Communication details

- Edulink
- phone or email
- in person via form tutors or subject teachers
- take advice offered by the
- awarding body regarding alternative arrangements for conducting examinations that may be available
- take advice offered by the awarding body on the options for candidates who have not been able to take scheduled examinations
- advise candidates, where appropriate, of the opportunities to take their exam or assessment at a later date

Other centre actions

No other actions identified

10. Candidates at risk of being unable to take examinations - centre remains open

Criteria for implementation of the plan

- Candidates at risk of being unable to attend the examination centre to take examinations as normal

Other criteria

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will:

- take advice offered by the awarding body on the options for candidates who have not been able to take scheduled examinations
- discuss alternative arrangements with the awarding body if a candidate misses an exam or loses their assessment due to an emergency, or other event, outside of the candidate's control
- identify whether the exam or timetabled assessment can be sat at an alternative venue, in agreement with the relevant awarding body, ensuring the secure transportation of questions papers or assessment materials to the alternative venue
- communicate with candidates (and where appropriate, parents/carers) any changes to the exam or assessment timetable or to the venue

Communication details

- Edulink
- phone or email
- in person via form tutors or subject teachers
- consider whether any candidates' ability to take the assessment or demonstrate their level of attainment has been materially affected and, if so, apply for special consideration

Other centre actions

No other actions identified

11. Centre at risk of being unable to open as normal during the examination period (including in the event of the centre being unavailable for examinations owing to an unforeseen emergency)**Criteria for implementation of the plan**

- Centre at risk of being unable to open as normal for scheduled examinations

Other criteria

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will:

- take advice, or follow instructions, from relevant local or national agencies in deciding whether the centre is able to open
- contact the relevant awarding body as soon as possible and follow its instructions
- discuss alternative arrangements with the awarding body if the exam or assessment cannot take place
- follow guidance provided by the awarding body on the conduct of examinations in such circumstance
- where accommodation is limited, prioritise candidates whose progression will be severely delayed if they do not take their exam or timetabled assessment when planned
- communicate with candidates (and where appropriate, parents/carers) any changes to the exam or assessment timetable or to the venue

Alternative venue details

- Use alternative venues such as the Leisure Centre, in agreement with the relevant awarding body.
- Open the centre for examination and examination candidates only if possible.
- Apply for special considerations.
- Offer candidates to re-sit if there is another opportunity.

Communication details

- Edulink
- phone or email
- in person via form tutors or subject teachers
- consider whether any candidates' ability to take the assessment or demonstrate their level of attainment has been materially affected and, if so, apply for special consideration

Other centre actions

No other actions confirmed

12. Disruption in the distribution of examination papers**Criteria for implementation of the plan**

- Disruption to the distribution of examination papers to the centre in advance of examinations

Other criteria:

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will:

- liaise with awarding bodies regarding the provision of electronic access to examination papers via a secure external network and will ensure when copies are received/made these are stored under secure conditions
- follow guidance provided by the awarding body on the conduct of examinations in such circumstances
- understand that as a last resort, and in close collaboration with centres and regulators, awarding organisations will consider scheduling of the examination on an alternative date
- communicate with candidates (and where appropriate, parents/carers) any changes to the exam or assessment timetable or to the venue

Other centre actions

No other actions identified

13. Disruption to transporting completed examination scripts**Criteria for implementation of the plan**

- Delay in normal collection arrangements for completed examination scripts/assessment evidence

Other criteria

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will:

- where examinations are part of the national 'yellow label' service or where awarding bodies arrange collections, contact the relevant awarding bodies for advice and instructions and will not make its own arrangements for transportation unless told to do so by the awarding body
- for any examinations where the centre makes its own collection arrangements, investigate alternative options that comply with the requirements detailed in the JCQ publication 'Instructions for Conducting Examinations'
- ensure the secure storage of completed examination scripts until collection

Other centre actions

No other actions identified

14. Assessment evidence is not available to be marked**Criteria for implementation of the plan**

- Large scale damage to or destruction of completed examination scripts/assessment evidence before it can be marked
- Completed examination scripts/assessment evidence does not reach awarding organisations

Other criteria

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will:

- liaise with the awarding body to determine if candidate marks for affected assessments may be able to be generated based on other appropriate evidence of candidate achievement as defined by the awarding body
- where marks cannot be generated by awarding body, inform candidates they may need to retake the affected assessment in a subsequent assessment series

Other centre actions

No other actions identified

15. Centre unable to distribute results as normal (including in the event of the centre being unavailable on results day owing to an unforeseen emergency) or facilitate post-results services**Criteria for implementation of the plan**

- Centre is unable to access or manage the distribution of results to candidates, or to facilitate post-results services

Other criteria

No other criteria identified

Centre actions to mitigate the impact of the disruption listed above

The centre will:

- make arrangements to access its results at an alternative venue/share facilities with another centre if this is possible, in agreement with the relevant awarding body #
- make arrangements to coordinate access to post results services from an alternative venue

Alternative venue details

To be confirmed

- make arrangements to make post results requests at an alternative location
- contact the relevant awarding body if electronic post results requests are not possible
- inform candidates of any alternative arrangements in place for the distribution of results and the facilitation of post-results services

Communication details

- Edulink phone or email
- in person via form tutors or subject teachers
- Other centre actions:

No other actions identified

16. Any other cause of disruption to the exam process

Cause of disruption

No further causes identified

Centre actions to mitigate the impact of the disruption listed above

Not applicable

CHANGES 2022/2023

(Added) Under **Purpose of the plan**: new heading 'Operating across more than one centre' and field for completion

(Added) Under **Possible causes of disruption to the exam process**: new cause '6. Cyber-attack' and fields for completion. This means that causes 6-15, have now changed to causes 7-16

(Added) Under cause **11. Centre at risk of being unable to open as normal during the examination period (including in the event of the centre being unavailable for examinations owing to an unforeseen emergency)**: new field for completion 'Alternative venue details'

(Amended/added) Under **Further guidance to inform procedures and implement contingency planning**: guidance and links to current information

UPDATED December 2022 (in the section of the template – **Further guidance to inform and implement contingency planning**) to reflect Ofqual's update to the Exam system contingency plan: England, Wales and Northern Ireland where information related to pandemic disruption for 2021 to 2022 has been removed, links to newly published guidance added and existing links updated.

UPDATED January 2023 (in the section of the template – **Further guidance to inform and implement contingency planning**) to reflect Ofqual's update to the

Exam system contingency plan: England, Wales and Northern Ireland (Updated 'General contingency guidance' to include 'Handling strike action in schools from the Department for Education in England'. Updated 'Widespread national disruption to the taking of examinations or assessments' section to notify that the Department for Education has updated its guidance on handling strike action in schools.)

(**Added March 2023**) Under cause **7. Failure of IT systems**: example added to 'Other criteria' prompt as follows: Add any criteria not listed above for implementation of the plan (an example could be: Power outage immediately prior to or during an on-screen test) or add - No other criteria identified

UPDATED April 2023 (in the section of the template – **Further guidance to inform and implement contingency planning**) added links to DfE cyber security standards and guidance)

CENTRE-SPECIFIC CHANGES

Not Applicable

Further guidance to inform procedures and implement contingency planning

DfE

Meeting digital and technology standards in schools and colleges

Cyber Security Standards in schools and colleges (www.gov.uk/guidance/meeting-digital-and-technology-standards-in-schools-and-colleges/cyber-security-standardsfor-schools-and-colleges)

DfE Cyber Security Guidance - March 2023 (As exam season approaches the Department for Education is reminding schools and colleges to renew their cyber security and backup policies)

Ofqual

Ofqual guidance extract taken directly from the **Exam system contingency plan: England, Wales and Northern Ireland - What schools and colleges and other centres should do if exams or other assessments are seriously disrupted**

(updated 18 January 2023)

Contingency planning

Awarding organisations are required to establish, maintain and comply with an up-to-date detailed written contingency plan, to mitigate any incident they have identified may occur. This includes having communication plans for external parties (**Ofqual General Condition of Recognition A6** www.gov.uk/guidance/ofqualhandbook/section-a-governance). Schools and colleges should also be prepared for possible disruption to exams and assessments and make sure staff are aware of these plans.

General contingency guidance

- **emergency planning and response** (www.gov.uk/guidance/emergencies-and-severe-weather-schools-and-early-years-settings) from the Department for Education in England
- **handling strike action in schools** (www.gov.uk/government/publications/handling-strike-action-in-schools) from the Department for Education in England
- **school organisation: local-authority-maintained schools** from the Department for Education in England (www.gov.uk/government/publications/school-organisation-maintained-schools)
- **exceptional closure days** (www.education-ni.gov.uk/articles/exceptional-closure-days) from the Department of Education in Northern Ireland
- **checklist - exceptional closure of schools** (www.education-ni.gov.uk/publications/checklist-exceptional-closure-schools) from the Department of Education in Northern Ireland **school terms and school closures** from NI Direct (www.nidirect.gov.uk/articles/school-terms-and-school-closures)
- **opening schools in extremely bad weather** (<https://gov.wales/opening-schools-extremely-bad-weather-guidance-schools>) - guidance for schools from the Welsh Government **police guidance** from National Counter Terrorism Security Office and partners on preparing for threats (www.protectuk.police.uk)

Disruption to assessments or exams

In the absence of any instruction from the relevant awarding organisation, you should make sure that any exam or timetabled assessment takes place if it is possible to hold it. This may mean relocating to alternative premises. You should discuss alternative arrangements with your awarding organisation if:

- the exam or assessment cannot take place a student misses an exam or loses
- their assessment due to an emergency, or other event, outside of the student's control

You may also wish to see the JCQ's notice to centres on exam contingency plans (www.jcq.org.uk/exams-office/general-regulations/notice-to-centres--examcontingency-plan/) and JCQ's notice on preparing for disruption to examinations (www.jcq.org.uk/exams-office/other-documents/preparing-for-disruption-toexaminations/) in England, Wales and Northern Ireland for qualifications within its scope.

Steps you should take

Exam planning

Review contingency plans well in advance of each exam or assessment series. Consider how, if the contingency plan is invoked, you will comply with the awarding organisation's requirements. **In the event of disruption**

1. Contact the relevant awarding organisation and follow its instructions.
2. Take advice or follow instructions, from relevant local or national agencies in deciding whether your centre is able to open.
3. Identify whether the exam or timetabled assessment can be sat at an alternative venue, in agreement with the relevant awarding organisation, ensuring the secure transportation of questions papers or assessment materials to the alternative venue.
4. Where accommodation is limited, prioritise students whose progression will be severely delayed if they do not take their exam or timetabled assessment when planned.
5. In the event of an evacuation during an examination please refer to JCQ's 'Centre emergency evacuation procedure' (www.jcq.org.uk/examsoffice/ice---instructions-for-conducting-examinations/).
6. Communicate with parents, carers and students any changes to the exam or assessment timetable or to the venue.
7. Communicate with any external assessors or relevant third parties regarding any changes to the exam or assessment timetable.

After the exam

1. Consider whether any students' ability to take the assessment or demonstrate their level of attainment has been materially affected and, if so, apply for special consideration.
2. Advise students, where appropriate, of the opportunities to take their exam or assessment at a later date.
3. Ensure that scripts are stored under secure conditions.
4. Return scripts to awarding organisations in line with their instructions. Never make alternative arrangements for the transportation of completed exam scripts, unless told to do so by the awarding organisation.

Steps the awarding organisation should take

Exam planning

1. Establish and maintain, and at all times comply with, an up-to-date, written contingency plan.
2. Ensure that the arrangements in place with centres and other third parties enable them to deliver and award qualifications in accordance with their conditions of recognition.

In the event of disruption

1. Take all reasonable steps to mitigate any adverse effect, in relation to their qualifications, arising from any disruption.
2. Provide effective guidance to any of their centres delivering qualifications.
3. Ensure that where an assessment must be completed under specified conditions, students complete the assessment under those conditions (other than where any reasonable adjustments or special considerations require alternative conditions).
4. Promptly notify the relevant regulators about any event which could have an adverse effect on students, standards or public confidence.
5. Coordinate its communications with the relevant regulators where the disruption has an impact on multiple centres or a wide range of learners.

After the exam

Consider any requests for special consideration for affected students. For example, those who may have lost their internally assessed work or whose performance in assessments or exams could have been affected by the disruption.

If any students miss an exam or are disadvantaged by the disruption

If some of the students have been adversely affected by the disruption, you should ask the awarding organisation about applying for special consideration.

Decisions about special consideration, when it is or is not appropriate, is for each awarding organisation to make. Their decisions might be different for different qualifications and for different subjects.

See also JCQ's guidance on special considerations (www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/)

Wider communications

The regulators, Ofqual in England, Qualifications Wales in Wales and CCEA Regulation in Northern Ireland, will share timely and accurate information, as required, with awarding organisations, government departments and other stakeholders.

The Department for Education in England, the Department of Education in Northern Ireland and the Welsh Government will inform the relevant government ministers as soon as it becomes apparent that there will be significant local or national disruption; and ensure that they are kept updated until the matter is resolved.

Awarding organisations will alert the Universities and Colleges Admissions Service (UCAS) and the Central Applications Office (CAO) about any impact of the disruption on their deadlines and liaise regarding student progression to further and higher education.

Awarding organisations will alert relevant professional bodies or employer groups if the impact of disruption particularly affects them.

Widespread national disruption to the taking of examinations or assessments

The governments' view across England, Wales and Northern Ireland is education in 2022 to 2023 has returned to normal. Schools are open and examinations will go ahead in summer 2023.

As education is devolved, in the event of any widespread sustained national disruption to examinations or assessments, national government departments will communicate with regulators, awarding organisations and centres prior to a public announcement. Regulators will provide advice to government departments on implications for examinations and assessments, including exam timetables.

In November 2022, Ofqual and the Department for Education issued decisions following a consultation on the resilience of the qualifications

Sector (www.gov.uk/government/consultations/ensuring-the-resilience-of-the-qualifications-system-in-2023-gcse-as-a-level-project-and-aea/outcome/consultationdecisions) for specific examinations awarded in England in summer 2023. Ofqual has published Guidance for schools, colleges and other exam centres on gathering evidence of student performance (www.gov.uk/government/publications/supporting-resilience-in-the-exam-system-in-2023) for students entering GCSEs, AS and A levels, the Advanced Extension Award and Project qualifications to support resilience in the exam system in England in 2023.

The Department for Education has updated its guidance on handling strike action in schools (www.gov.uk/government/publications/handling-strike-action-in-schools) in England in light of the industrial action in 2023. The guidance recommends schools should prioritise the running of examinations and assessments on any strike days, and should review their contingency plans to make this happen. Schools, colleges and other exam centres should speak to the relevant awarding organisations if they are expecting any disruption that might affect the sitting of exams and assessments.

We will update this page as necessary, with any further relevant links, should national disruption occur.

JCQ

JCQ guidance taken directly from **Instructions for Conducting Examinations 2022-2023** (www.jcq.org.uk/exams-office/ice---instructions-for-conductingexaminations/) section 15,

Contingency planning

15.1 The qualification regulators, awarding bodies and government departments responsible for education have prepared and agreed information for schools and colleges in the event of examinations being seriously disrupted. This jointly agreed information will ensure consistency of response in the event of major disruption to the examinations system affecting significant numbers of candidates.

Further information may be found at: www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland

15.2 In addition, awarding bodies have their own well-established contingency plans in place to respond to disruptions. It is important that exams officers who are facing disruption liaise directly with the relevant awarding body/bodies.

15.3 Centres should prepare plans for any disruption to examinations as part of their general emergency planning. It is important to ensure that relevant centre staff are familiar with the plan. Consideration should be given as to how these arrangements will be communicated to candidates, parents and staff should disruption to examinations occur.

15.4 In the event that the head of centre decides the centre cannot be opened for scheduled examinations, the relevant awarding body must be informed as soon as possible. Awarding bodies will be able to offer advice regarding the alternative arrangements for conducting examinations that may be available and the options for candidates who have not been able to take scheduled examinations.

15.5 The awarding bodies will designate 'contingency days' for examinations, summer 2023. This is consistent with the qualification regulators' document *Exam system contingency plan: England, Wales and Northern Ireland* - www.gov.uk/government/publications/exam-system-contingency-plan-england-wales-and-northern-ireland

The designation of 'contingency days' within the common examination timetable is in the event of national or significant local disruption to examinations. It is part of the awarding bodies' standard contingency planning for examinations.

In the event that there is national disruption to a day of examinations in summer 2023, the awarding bodies will liaise with the qualification regulators and government departments to agree the most appropriate option for managing the impact. As a last resort the affected examinations will be rescheduled. Although every effort would be taken to keep the impact to a minimum, it is possible that there could be more than one timetable date affected following the disruption, up to and including the last contingency day. Centres will be alerted if it was agreed to reschedule the examinations and the affected candidates will be expected to make themselves available in such circumstances. The decision regarding the re-scheduling of examinations will always rest with the awarding body. The centre must

conduct the examination on the scheduled date unless instructed to do otherwise by the awarding body.

Where candidates choose not to be available for the rescheduled examination(s) for reasons other than those traditionally covered by special consideration, they will not be eligible for enhanced grading arrangements. Centres must therefore ensure candidates and parents are aware of the contingency arrangements so that they may take them into account when making their plans for the summer. However, the awarding bodies will not insist upon candidates being available throughout the entire timetable period as a matter of course.

Links to other JCQ documentation

JCQ **Joint Contingency Plan** - [jqc.org.uk/exams-office/other-documents](https://www.jcq.org.uk/exams-office/other-documents)
JCQ **Preparing for disruption to examinations** (Effective from 1 September 2022) - [jqc.org.uk/exams-office/general-regulations](https://www.jcq.org.uk/exams-office/general-regulations)
JCQ Notice to Centres - **Examination contingency plan**/examinations policy - [jqc.org.uk/exams-office/general-regulations/notice-to-centres--exam-contingency-plan](https://www.jcq.org.uk/exams-office/general-regulations/notice-to-centres--exam-contingency-plan)
General Regulations for Approved Centres - [jqc.org.uk/exams-office/general-regulations](https://www.jcq.org.uk/exams-office/general-regulations)
Guidance notes on alternative site arrangements - [jqc.org.uk/exams-office/online-forms](https://www.jcq.org.uk/exams-office/online-forms)
Guidance notes for transferred candidates - [jqc.org.uk/exams-office/online-forms](https://www.jcq.org.uk/exams-office/online-forms)
Instructions for conducting examinations - [jqc.org.uk/exams-office/ice---instructions-for-conducting-examinations](https://www.jcq.org.uk/exams-office/ice---instructions-for-conducting-examinations)
A guide to the special consideration process - [jqc.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance](https://www.jcq.org.uk/exams-office/access-arrangements-and-special-consideration/regulations-and-guidance)

GOV.UK

Emergency planning and response: Exam and assessment disruption - [gov.uk/guidance/publications/emergency-planning-and-response-for-education-childcare-andchildrens-social-care-settings](https://www.gov.uk/guidance/publications/emergency-planning-and-response-for-education-childcare-andchildrens-social-care-settings)
Dispatch of exam scripts guide: Ensuring the service runs smoothly; Contingency planning - [gov.uk/government/publications/dispatch-of-exam-scripts-yellow-labelservice](https://www.gov.uk/government/publications/dispatch-of-exam-scripts-yellow-labelservice)

Wales

School closures: examinations - [gov.wales/school-closures-examinations](https://www.gov.wales/school-closures-examinations)
Opening schools in extremely bad weather: guidance for schools - [gov.wales/opening-schools-extremely-bad-weather-guidance-schools](https://www.gov.wales/opening-schools-extremely-bad-weather-guidance-schools)

Northern Ireland

(Updated 2021/22) Exceptional closure days - [education-ni.gov.uk/articles/exceptional-closure-days](https://www.education-ni.gov.uk/articles/exceptional-closure-days)
Checklist - exceptional closure of schools - [education-ni.gov.uk/publications/checklist-exceptional-closure-schools](https://www.education-ni.gov.uk/publications/checklist-exceptional-closure-schools)
[ProtectUK.police.uk](https://www.protectuk.police.uk)

National Cyber Security Centre

The NCSC's free **Web Check** (ncsc.gov.uk/information/web-check) and **Mail Check** (ncsc.gov.uk/information/mailcheck) services can help protect schools from cyberattacks. Two NCSC cyber security services, which are already helping thousands of organisations to protect their websites and email servers from cyber-attacks, are now available to **all UK schools**. Both tools are available free of charge, are quick to set up, and thereafter run automatically. More information is available from the NCSC website (ncsc.gov.uk/blog-post/cyber-tools-for-uk-schools).

The Department for Education has been asking centres to review **National Cyber Security Centre advice** following increasing number of cyber-attacks involving ransomware infections. The NCSC information supports centres in cyber security preparedness and mitigation work.

Ransomware attacks continue and the Department is reminding centres to review the NCSC advice and to take precautions. This includes ensuring that you have backups in place for your key services and data.

For ease of reference, the Department has highlighted key links relating to the NCSC cyber security guidance below:

1. More ransomware attacks on UK education - NCSC.GOV.UK (ncsc.gov.uk/news/alert-targeted-ransomware-attacks-on-uk-education-sector)
2. Ransomware advice and guidance for your IT teams to implement (ncsc.gov.uk/guidance/mitigating-malware-and-ransomware-attacks)
3. Offline backups in an online world (ncsc.gov.uk/blog-post/offline-backups-in-an-online-world)
4. Backing up your data (ncsc.gov.uk/collection/small-business-guide/backing-your-data)
5. Practical resources to help improve your cyber security (gov.uk/section/education-skills/cyber-security-schools)
6. Building Resilience: Ransomware and the risks to schools and ways to prevent it (com/watch?v=FppzWedY0ic&t=237s)
7. School staff offered training to help shore up cyber defences - NCSC.GOV.UK (gov.uk/news/school-staff-offered-training-to-help-cyberdefences)

Malpractice Policy (Exams) NEW

This policy is reviewed and updated annually to ensure that any malpractice at Kirkbie Kendal School is managed in accordance with current requirements and regulations.

Reference in the policy to **GR** and **SMPP** relate to relevant sections of the current JCQ publications **General Regulations for Approved Centres** and **Suspected Malpractice: Policies and Procedures**.

Introduction

What is malpractice and maladministration?

'Malpractice' and 'maladministration' are related concepts, the common theme of which is that they involve a failure to follow the rules of an examination or assessment. This policy and procedure uses the word 'malpractice' to cover both 'malpractice' and 'maladministration' and it means any act, default or practice which is:

- a breach of the Regulations
- a breach of awarding body requirements regarding how a qualification should be delivered
- a failure to follow established procedures in relation to a qualification

which:

- gives rise to prejudice to candidates
- compromises public confidence in qualifications
- compromises, attempts to compromise or may compromise the process of assessment, the integrity of any qualification or the validity of a result or certificate
- damages the authority, reputation or credibility of any awarding body or centre or any officer, employee or agent of any awarding body or centre (SMPP 1)

Candidate malpractice

'Candidate malpractice' means malpractice by a candidate in connection with any examination or assessment, including the preparation and authentication of any controlled assessments, coursework or non-examination assessments, the presentation of any practical work, the compilation of portfolios of assessment evidence and the writing of any examination paper. (SMPP 2)

Centre staff malpractice

'Centre staff malpractice' means malpractice committed by:

- a member of staff, contractor (whether employed under a contract of employment or a contract for services) or a volunteer at a centre; or
- an individual appointed in another capacity by a centre such as an invigilator, a Communication Professional, a Language Modifier, a practical assistant, a prompter, a reader or a scribe (SMPP 2)

Suspected malpractice

For the purposes of this document, suspected malpractice means all alleged or suspected incidents of malpractice. (SMPP 2)

Purpose of the policy

To confirm Kirkbie Kendal School:

has in place a written malpractice policy which covers all qualifications delivered by the centre and details 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 (GR 5.3)

General principles

In accordance with the regulations Kirkbie Kendal School will:

- Take all reasonable steps to prevent the occurrence of any malpractice (which includes maladministration) before, during and after examinations have taken place (GR 5.11)
- Inform the awarding body immediately of any alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, by completing the appropriate documentation (GR 5.11)
- As required by an awarding body, gather evidence of any instances of alleged or suspected malpractice (which includes maladministration) in accordance with the JCQ publication **Suspected Malpractice - Policies and Procedures** and provide such information and advice as the awarding body may reasonably require (GR 5.11)

Preventing malpractice

Kirkbie Kendal School has in place:

- Robust processes to prevent and identify malpractice, as outlined in section 3 of the JCQ publication **Suspected Malpractice: Policies and Procedures**. (SMPP 4.3)
- This includes ensuring that all staff involved in the delivery of assessments and examinations understand the requirements for conducting these as specified in the following JCQ documents and any further awarding body guidance: *General Regulations for Approved Centres 2023-2024*; *Instructions for conducting examinations (ICE) 2023-2024*; *Instructions for conducting coursework 2023-2024*; *Instructions for conducting non-examination assessments 2023-2024*; *Access Arrangements and Reasonable Adjustments 2023-2024*; *A guide to the special consideration process 2023-2024*; *Suspected Malpractice: Policies and Procedures 2023-2024*; *Plagiarism in Assessments*; *AI Use in Assessments: Protecting the Integrity of Qualifications*; *A guide to the awarding bodies' appeals processes 2023-2024* (SMPP 3.3.1)

Informing and advising candidates

The following JCQ documents, alongside centre summaries and guidance (including content on plagiarism and the use of AI), are shared with candidates and parents at information evenings, during form time and year group assemblies, and by email ahead of each exam series:

- Information for Candidates on NEA
- Information for Candidates on Coursework
- Information for Candidates for Written Exams Mock exams are conducted in line with ICE regulations, which reinforces guidance and regulations already shared with candidates ahead of external exams.

Identification and reporting of malpractice

Escalating suspected malpractice issues

Once suspected malpractice is identified, any student or member of staff at the centre can report it using the appropriate channels (SMPP 4.3)

Suspected malpractice is reported in the first instance to the Exams Officer (or directly to Senior Leadership if the suspected malpractice concerns the EO themselves). Details recorded on an Exam Incident Log, sent by email or passed verbally to the EO, are then collated and escalated to Senior Leadership and the Head of Centre for review and further action.

Reporting suspected malpractice to the awarding body

The head of centre, supported by the EO, will notify the appropriate awarding body immediately of all alleged, suspected or actual incidents of malpractice, using the appropriate forms, and will conduct any investigation and gathering of information in accordance with the requirements of the JCQ publication **Suspected Malpractice: Policies and Procedures** (SMPP 4.1.3)

- The head of centre will ensure that where a candidate who is a child/vulnerable adult is the subject of a malpractice investigation, the candidate's parent/carer/ appropriate adult is kept informed of the progress of the investigation (SMPP 4.1.3)
- Form JCQ/M1 will be used to notify an awarding body of an incident of candidate malpractice. Form JCQ/M2 will be used to notify an awarding body of an incident of suspected staff malpractice/maladministration (SMPP 4.4, 4.6)
- Malpractice by a candidate discovered in a controlled assessment, coursework or non-examination assessment component prior to the candidate signing the declaration of authentication need not be reported to the awarding body but will be dealt with in accordance with the centre's internal procedures. The only exception to this is where the awarding body's confidential assessment material has potentially been breached. The breach will be reported to the awarding body immediately (SMPP 4.5)
- If, in the view of the investigator, there is sufficient evidence to implicate an individual in malpractice, that individual (a candidate or a member of staff) will be informed of the rights of accused individuals (SMPP 5.33)
- Once the information gathering has concluded, the head of centre (or other appointed information-gatherer) will submit a written report summarising the information obtained and actions taken to the relevant awarding body, accompanied by the information obtained during the course of their enquiries (5.35)
- Form JCQ/M1 will be used when reporting candidate cases; for centre staff, form JCQ/M3 will be used (SMPP 5.37)
- The awarding body will decide on the basis of the report, and any supporting documentation, whether there is evidence of malpractice and if any further investigation is required. The head of centre will be informed accordingly (SMPP 5.40)

Communicating malpractice decisions

Once a decision has been made, it will be communicated in writing to the head of centre as soon as possible. The head of centre will communicate the decision to the individuals concerned and pass on details of any sanctions and action in cases where this is indicated. The head of centre will also inform the individuals if they have the right to appeal. (SMPP 11.1)

Appeals against decisions made in cases of malpractice

Kirkbie Kendal School will:

Provide the individual with information on the process and timeframe for submitting an appeal, where relevant

Refer to further information and follow the process provided in the JCQ publication **A guide to the awarding bodies' appeals processes**

Conflicts of Interest (Exams) Policy

Introduction

It is the responsibility of the head of centre to ensure that Kirkbie Kendal School has a written conflicts of interest policy in place available for inspection. This policy confirms that Kirkbie Kendal School:

- Manages conflicts of interest by informing the awarding bodies, before the published deadline for entries for each examination series, 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 *or any other centre staff who may have visibility of secure exam materials prior to the start of an examination or assessment* 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 own centre which do not include internally assessed components/units
- centre staff are taking qualifications at other centres (GR 5.3)

Purpose of the policy

The purpose of this policy is to confirm how Kirkbie Kendal School manages conflicts of interest under normal delivery arrangements in accordance with the regulations.

General principles

A process is in place to collect any declaration of interest from teachers, learning support staff, site team, invigilators and office staff (including reception, administration, reprographics and IT) to identify and manage any potential conflicts of interest.

Declaration process

An email is sent by the Exams Officer to all staff listed above at the beginning of each academic year. Any staff then identified as having a potential conflict of interest are subsequently required to fill in a declaration form. This must be completed and returned to the Exams Officer by 30th September.

Managing conflicts of interest

A conflicts of interest log is maintained by the Exams Officer and any potential conflict declared by centre staff is recorded on the log. The relevant awarding bodies are informed (where required by the nature of the conflict) of specific conflicts of interest before the published deadline for entries for each examination series by identifying and following the individual awarding body's administrative process. The agreed measures put in place to mitigate any potential risk to the integrity of the qualifications affected are recorded on the log and the affected member of staff informed of these measures.

Roles and responsibilities

The role of the head of centre

- Ensure conflicts of interest are managed according to the requirements (GR 5.3)
- Ensure clear records are maintained and that the records include details of the measures taken to mitigate any potential risk to the integrity of the qualifications affected (GR 5.3)
- Ensure the records are available where they may be requested by a JCQ Centre Inspector and/or awarding body staff (GR 5.3)
- Ensure the records are 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 (GR 5.3)
- Ensure that entering members of centre staff for qualifications at this centre is as a last resort in cases where the member of centre staff is unable to find another centre
- Ensure that proper protocols are in place to prevent the member of centre staff having access to examination materials prior to the examination and that other centre staff are briefed on maintaining the integrity and confidentiality of the examination materials
- Ensure that during the examination series the member of centre staff is treated in the same way as any other candidate entered for that examination, does not have access to examination materials and does not receive any preferential treatment (GR 5.3)

The role of the exams officer

- Ensure the process for collecting declarations of interest is undertaken
- Identify and follow the awarding body's administrative process for submitting details of members of staff who are:
 - Taking qualifications which include internally assessed components/units at their own centre
 - 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 (GR 5.3)

Retain the records of the measures taken to mitigate any potential risk to the integrity of the qualifications affected until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed,