

BTEC

Registration, Assessment, Internal Verification and Appeals Policy and Procedure

2018/19

All Teachers, Assessors and Internal Verifiers on William Ellis School BTEC programmes will be issued with a copy of this documentation.

This policy is reviewed annually to ensure compliance with current regulations.

Approved/reviewed by	
Jane Hugo	
Date of next review	July 2019

Contents

Registration & Certification Policy	3
Assessment Policy	4
Internal Verification Policy	5
Appeal Policy.....	6
Assessment Malpractice Policy.....	7,8
Procedure [Appendix A].....	9
BTEC Registration	9
BTEC Withdrawals.....	9
Access Arrangements.....	9
External/Online BTEC Examinations.....	9
BTEC Claims	10
BTEC Certificates	10
Assessment.....	10
Assessment Malpractice.....	10,11
Internal Verification.....	11,12
Appeals.....	12,13

Registration & Certification Policy

Aim:

- To register individual learners to the correct programme within agreed timescales.
- To claim valid learner certificates within agreed timescales.
- To construct a secure, accurate and accessible audit trail to ensure that individual learner registration and certification claims can be tracked to the certificate which is issued for each learner.

In order to do this, the centre will:

- Register each learner within the awarding body requirements
- Provide a mechanism for programme teams to check the accuracy of learner registrations
- Make each learner aware of their registration status
- Inform the awarding body of withdrawals, transfers or changes to learner details
- Ensure that certificate claims are timely and based solely on internally verified assessment records
 - Each department will use their certification claim verification process;
 - Entries to be made by the LIV based on internally verified assessment records and verified by Exams officer and or QN.
- Audit certificate claims made to the awarding body
- Audit the certificates received from the awarding body to ensure accuracy and completeness
- Keep all records safely and securely for three years post certification.

[This policy will be reviewed every 12 months by Jane Hugo]

Assessment Policy

Aim:

- To ensure that assessment methodology is valid, reliable and does not disadvantage or advantage any group of learners or individuals
- To ensure that the assessment procedure is open, fair and free from bias and to national standards
- To ensure that there is accurate and detailed recording of assessment decisions.

In order to do this, the centre will:

- Ensure that learners are provided with assignments that are fit for purpose, to enable them to produce appropriate evidence for assessment.
 - Lead Internal Verifiers are responsible for verifying assignments that are fit for purpose
- Assignments are reviewed annually to make them relevant to the local area and developments in time, involving employer engagement where possible.
 - This review should take place between the Lead Internal Verifier and Assessors during formal regular half termly meetings.
- Produce a clear and accurate assessment plan at the start of the programme/academic year
 - Departments are to use Pearson templates or similar format. Lead Internal Verifiers are responsible for management of assessment plans.
- Provide clear, published dates for hand out of assignments and deadlines for assessment
 - These dates are to be clearly stated in the assessment plan
- Assess learner's evidence using only the published assessment and grading criteria
- Ensure that assessment decisions are impartial, valid and reliable
- Develop assessment procedures that will minimise the opportunity for malpractice
 - Departments are to internally verify a sample of assessment decisions before learners receive confirmation of their achievement and feedback. This should be according to the 'sampling plan' which should be based on guidance from BTEC Centre Guide to internal verification 2017/2018.
 - Dates of internal verification should be indicated on the course assessment plan.
- Maintain accurate and detailed records of assessment decisions
 - Departments are to use Pearson template for assessment tracker or a similar format, assessment should be inputted regularly as achieved (within 3 weeks of 'hand in' date).
 - Each assessor is responsible for inputting assessment decisions
- Maintain a robust and rigorous internal verification procedure
 - Programmes are to request time 'off timetable' if needed to ensure internal verification assessment decisions takes place before students are given grades and internal verification of assignment briefs is carried out before assigned to students (according to dates/timescale indicated on the assessment plan).
- Provide samples for standards verification as required by the awarding organisation
- Monitor standards verification reports and undertake any remedial action required
- Share good assessment practice between all BTEC programme teams
 - Programmes should share, review and evaluate assessment practice in termly meetings with QN.
- Ensure that BTEC assessment methodology and the role of the assessor are understood by all BTEC staff
- Provide resources to ensure that assessment can be performed accurately and appropriately.

[This policy will be reviewed every 12 months by Jane Hugo]

Internal Verification Policy

Aim:

- To ensure there is an accredited Lead Internal Verifier in each principal subject area
- To ensure that Internal Verification is valid, reliable and covers all Assessors and programme activity.
- To ensure that the Internal Verification procedure is open, fair and free from bias
- To ensure that there is accurate and detailed recording of Internal Verification decisions.

In order to do this, the centre will ensure that:

- Where required by the qualification, a Lead Internal Verifier is appropriately appointed for each subject area, is registered with Pearson and has undergone the necessary standardisation processes
- Each Lead Internal Verifier oversees effective Internal Verification systems in their subject area
- Staff are briefed and trained in the requirements for current Internal Verification procedures
- Effective Internal Verification roles are defined, maintained and supported
- Internal Verification is promoted as a developmental process between staff
 - Internal verification will be reviewed between programmes in termly meetings with QN
- Standardised Internal Verification documentation is provided and used
- All centre assessment instruments are verified as fit for purpose
- An annual Internal Verification schedule, linked to assessment plans, is in place
- An appropriately structured sample of assessment from all programmes, units, sites and Assessors is Internally Verified, to ensure centre programmes conform to national standards
- Secure records of all Internal Verification activity are maintained
- The outcome of Internal Verification is used to enhance future assessment practice.

[This policy will be reviewed every 12 months by Jane Hugo]

Appeal Policy

Aim:

- To enable the learner to enquire, question or appeal against an assessment decision
- To attempt to reach agreement between the learner and the Assessor at the earliest opportunity
- To standardise and record any appeal to ensure openness and fairness
- To facilitate a learner's ultimate right of appeal to the Awarding Body, where appropriate
- To protect the interests of all learners and the integrity of the qualification.

In order to do this, the centre will:

- inform the learner at induction, of the Appeals Policy and procedure
- Record, track and validate any appeal
- Forward the appeal to the Awarding Body when a learner considers that a decision continues to disadvantage her/him after the internal appeals process has been exhausted
- Keep appeals records for inspection by the Awarding Body for a minimum of 18 months
- Have a staged appeals procedure
- Will take appropriate action to protect the interests of other learners and the integrity of the qualification, when the outcome of an appeal questions the validity of other results
- Monitor appeals to inform quality improvement.

[This policy will be reviewed every 12 months by Jane Hugo]

Assessment Malpractice policy

Assessment Malpractice includes;

The assessor or anybody other than the original learner writing the submitted work.

An assessor writing a learners work themselves, falsifying assessment records, destruction/loss of learners' work.

Definition of Malpractice by Learners

This list is not exhaustive:

- Plagiarism – presenting material from secondary sources as original, e.g. unacknowledged copying and pasting from the internet, copying. Pupils should be taught an appropriate format of referencing to ensure they do not inadvertently commit plagiarism.
- copying others' work
- deliberate destruction of another's work
- fabrication of results or evidence, e.g. making false claims about having participated in a practical activity
- false declaration of authenticity, e.g. claiming work of another learner, declaring collaboratively produced work as own etc.

Definition of Malpractice by Centre Staff

This list is not exhaustive:

- improper assistance to candidates
- inventing or changing marks for internally assessed work (coursework or portfolio evidence) where there is insufficient evidence of the candidates' achievement to justify the marks given or assessment decisions made
- failure to keep candidate coursework/portfolios of evidence secure
- fraudulent claims for certificates
- inappropriate retention of certificates
- assisting learners in the production of work for assessment, where the support has the potential to influence the outcomes of assessment, for example where the assistance involves centre staff producing work for the learner
- producing falsified witness statements, for example for evidence the learner has not generated
- allowing evidence, which is known by the staff member not to be the learner's own, to be included in a learner's assignment/task/portfolio/coursework
- facilitating and allowing impersonation
- misusing the conditions for special learner requirements, for example where learners are permitted support, such as an amanuensis, this is permissible up to the point where the support has the potential to influence the outcome of the assessment
- falsifying records/certificates, for example by alteration, substitution, or by fraud
- fraudulent certificate claims, that is claiming for a certificate prior to the learner completing all the requirements of assessment.

Aim:

To identify and minimise the risk of malpractice by staff or learners.

To respond to any incident of alleged malpractice promptly and objectively.

To standardise and record any investigation of malpractice to ensure openness and fairness.

To impose appropriate penalties and/or sanctions on learners or staff where Incidents (or attempted incidents) of malpractice are proven.

To protect the integrity of this centre and BTEC qualifications.

In order to do this, the centre will:

- seek to avoid potential malpractice by using the induction period and the student handbook to inform learners of the centre's policy on malpractice and the penalties for attempted and actual incidents of malpractice. Pupils should be made aware of what constitutes plagiarism.
- show learners the appropriate formats to record cited texts and other materials or information sources
- ask learners to declare that their work is their own. Learners must sign declarations for each assignment submitted.
- ask learners to provide evidence that they have interpreted and synthesised appropriate information and acknowledged any sources used
- Ensure that staff are aware of what constitutes assessment malpractice.
- conduct an investigation in a form commensurate with the nature of the malpractice allegation. Such an investigation will be supported by the Head teacher and all personnel linked to the allegation. It will proceed through the following stages:-

Make the individual fully aware at the earliest opportunity of the nature of the alleged malpractice and the possible consequences should malpractice be proven.

Give the individual the opportunity to respond to the allegations made. Pupils can choose to be represented by parents and carers in such cases where a serious allegation of malpractice has been made.

Inform the individual of the avenues for appealing against any judgement made.

All stages of the investigation to be documented.

[This policy will be reviewed every 12 months by Jane Hugo]

Procedure [Appendix A]

BTEC Registration

- BTEC subject teachers to complete registration form on the seventh week after teaching begins in September.
- Registrations forms to be checked against class enrolments.
- All successful registrations and any discrepancies to be reported to Head of Department.
- All SRF's to be signed over to Course Leader/LIV, and log to be kept with Examinations Officer.
- All registration confirmations from the exam board are to be kept in the exams office.
- BTEC registration will done via A2C, so the BTEC basedata needs to be requested from the exam board.

BTEC Withdrawals

- BTEC Withdrawals to be done in the last week of January.
- Registration list to be checked against current enrolments and any students who have left or changed course to be signed off by Head of Department.

Access Arrangements

- Any BTEC student who has been identified or has known SEN or Medical conditions which require access arrangements are to be assessed by the SENCO and have the relevant paperwork completed.
- BTEC access arrangements are to be applied for through Edexcel Online by the SENCO once the exam dates have been confirmed.
- Access arrangements are to be the students' normal way of working.

External/Online BTEC Examinations

Exam Entry

- BTEC subject teachers need to complete exam entry by sending an email clearly stating the date, exam/unit code and students who are being entered for the exam. They are to also advise the SENCO if any students have access arrangements, so they can be arranged and applied for in time.
- All entries will be checked against enrolments and any discrepancies will be notified to Head of Department.

Confirmation

- Once the email has been submitted to the Examinations Officer, they will send an email to notify the subject teacher and SENCO of the scheduled date of the exam.

Set-Up

- During online exams the Examinations Officer and IT Technician will log students on and the IT Technician will remain present to ensure that all students have successfully begun the examination.
- All students will be under exam conditions.

BTEC Claims

- All completed SRF's are to be submitted to the Examinations Officer who will then input the claim via Edexcel Online.
- All SRF's are to be checked for student names and that they are signed and dated by the subject teacher.
- All completed SRF's are to be kept in the exams office.

BTEC Certificates

- All certificates are to be enveloped and kept securely.
- All certificates need to be signed for.

Assessment

Students of William Ellis School are entitled to:

- Fair and open assessment practices in line with the School's Equal Opportunities policy for learners
- An Assignment Brief indicating the criteria against which they will be assessed.
- Regular advice, counselling and guidance through teachers.
- Access to an open and fair appeals procedure.
- Assessments being carried out regularly and outcomes reported within 3 weeks.

Submitting Assignments

- Students are given a hand-in date for each assignment.
- Staff are required to mark assignments and provide students with feedback within 3 weeks.
- The feedback must be sufficient to give clear information on achievement in relation to the assessment criteria.

Failure to meet deadlines

- Students who fail to hand in work by the agreed deadline will be required to provide evidence of extenuating circumstances e.g. doctor's certificate.
- Failure to do so may result in the student's failure to meet all criteria required to pass the course.

Tracking Assessment

- Staff are required to record student grades on an assessment tracking sheet within three weeks of the assignment being completed/hand in date.

Assessment Malpractice

In the event of assessment malpractice, the Head teacher will be informed and also the Quality Nominee and Exam Officer. A form will be completed to send to JCQ and Edexcel as per the **'Suspected Malpractice in Examinations and Assessments policies and Procedures'** Document.

The external outcome is then decided by JCQ and there will also be an internal outcome through the school Head Teacher.

The Internal Verification policy is designed to limit the possibilities for assessment malpractice.

Malpractice procedure

Minor concerns about authenticity, e.g. work which has been poorly referenced through neglect (not deliberate deception) should be dealt with by the assessor in the first instance.

Where an assessor has serious concerns about the authenticity or validity of a piece of work (e.g. deliberate deception, repeat offence) he/she should immediately inform the Programme Leader.

Pupil Malpractice procedure

To be led by the programme leader:

1. Inform the learner of the alleged malpractice
2. give the individual the opportunity to respond to the allegations made
3. inform the individual of the avenues for appealing against any judgment made
4. document all stages of any investigation.
5. Where malpractice is proven, the school will inform the pupil's parents. They will work with the pupil's head of house to apply an appropriate consequence, which may include:
 - Application of school code of conduct (where applicable)
 - Individualised arrangements for supervision, e.g. parental monitoring
 - Other agreed actions
 - Ejection from the course should only be considered in extreme cases. All such decisions would be subject to the existing school procedures, including approval from the Head Teacher.

Where staff malpractice is suspected, you must:

- Inform the staff member's SLT line manager, the centre QN and the Head teacher.
- Any malpractice or attempted malpractice must be recorded and Edexcel must be informed.

Internal verification

Lead Internal Verifier (LIV)

- The Lead Internal Verifier should maintain quality assurance in their programme so that it consistently;
 - Carries out and evaluates internal assessment and quality assurance systems.
 - Supports assessors.
 - Monitors the quality of assessors' performance.
 - Meets external quality assurance requirements.
- Lead Internal Verifiers will have the knowledge and qualifications relevant to the vocational qualification for which they are responsible to enable accurate judgements to be made regarding candidate performance in relation to assessment criteria.
- They will be required to complete the training and/or exam set by Edexcel in order to carry out the role of the Lead Internal Verifier.

Internal Verification (IV) of Assessment Decisions:

- Students work will be marked by assessor within 2 weeks of hand in date.
- IV will sample work according to the Internal Verification Plan/sample plan.
- IV will complete IV assessment decision form.
- If remedial action is needed, this will be discussed and allocated a timeframe of review (ideally issue should be resolved and learner should receive their grade within three weeks of hand in date).

Internal Verification of Assignment Briefs:

- Before issuing assignment briefs to learners they need to go through a verification process to ensure assignment is 'fit for purpose'. Even if these are approved assignment briefs this process needs to happen each time to review local relevance and employer engagement possibilities.
- LIV will check assignment is 'fit for purpose' by completing a 'BTEC Internal Verification of assessment' form
- LIV will suggest remedial action, if any, needed before brief is issued. Assessor and LIV will confirm actions have been met.
- Brief will be signed and dated by LIV.
- Brief will be distributed to students.

Provision will be made within William Ellis School for communication between programme teams to share 'best practice' and areas of concern. This will be achieved through meetings of Internal Verifiers, standardisation meetings and team meetings, these meetings should be acknowledged on the school calendar.

Lead Internal Verifiers will meet with assessors on a regular basis. These meetings will concern themselves with resolving issues of interpretation, validity, sufficiency and reliability of evidence within assignment briefs. The outcome of Internal Verification is used to enhance future assessment practice.

Appeals

In the event of a student wishing to make an appeal against an assessment decision, the following steps must be followed to determine whether the assessor:

- Used procedures that are consistent with Pearson's requirements
- Applied the procedures properly and fairly when arriving at judgements
- Made a correct judgement about the learner's work

Appeals should follow the staged procedure;

- Stage 1 – Informal: Learner consults with Assessor within 3 working days following the assessment decision, to discuss an assessment decision. If unresolved, then the issues are documented before moving to stage 2
- Stage 2 – Review: Review of assessment decisions by Lead Internal Verifier. Learner notified of findings and agrees or disagrees, in writing, with outcome within 1 week. If unresolved, move to stage 3
- Stage 3 – Appeal hearing: Senior Management hears the appeal: last stage by the centre. If unresolved, move to stage 4
- Stage 4 – External appeal: The grounds for appeal and any supporting documentation must be submitted by the centre to Pearson within 14 days of the completion of Stage 4

Higher National students can also appeal to the Office of the Independent Adjudicator, who do not deal with complaints about academic judgments, but will look at academic appeals. Following the Office of the Independent Adjudicator process does not prevent students from pursuing a complaint or appeal with Pearson, and they may choose whichever route(s) they feel is the most appropriate

Recording appeals: each stage should be recorded, dated and show either agreement or disagreement with decisions. Documents must be kept for a minimum of 18 months

Monitoring of appeals: undertaken by Senior Management to inform development and quality improvement.

Responsibilities

Learner: responsible for initiating the appeals procedure, in the required format, within a defined time frame, when s/he has reason to question an assessment decision

Assessor: responsible for providing clear achievement feedback to learners. If assessment decisions are questioned, the Assessor is responsible for processing the learner's appeal within the agreed time

Internal Verifier/Lead Internal Verifier/Senior Management: responsible for judging whether assessment decisions are valid, fair and unbiased

Head of Centre: responsible for submitting an appeal in writing, to Pearson if the learner remains dissatisfied with the outcome of the centre's internal appeals procedures.

Grounds for Appeal

- Appeals may be made under the following circumstances:
 - If a student has substantial evidence that work has been incorrectly marked.
 - If there is a material error in the case of reassessment.
 - If the student has any personal circumstances which may have affected his / her ability to complete assignments and meet deadlines.