



Chiltern Way Academy Trust

Turning Futures Around

BTEC and Vocational Qualifications Policy

Responsibility for this policy (job title): Examinations Officer

Responsibility for its review: CEO

Approved: Autumn 2021

Next Review Date: September 2022

Introduction

The following Policy covers the aims and responsibilities of Chiltern Way Academy as a registered centre for vocational qualifications, including BTEC provision of study from Entry Level to Level 2, in a range of subjects offered across the curriculum in KS4 to KS5.

Responsibilities

Exam Officer: responsible for timely, accurate and valid registration, transfer, withdrawal and certificate claims for learners.

Programme Leader: responsible for ensuring learner details held by Edexcel are accurate and that an audit trail of learner assessment and achievement is accessible.

Quality Nominee: responsible for coordinating and monitoring the learner details held with Edexcel.

Senior Management: responsible for overseeing the registration, transfer, withdrawal and certificate claims for learners to ensure that awarding body deadlines are met.

Registration & Certification

Aims:

- 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
- 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

Assessment

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 the Regulatory Quality and Credit Framework.

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
- Assess learners' evidence using only the published assessment and grading criteria.
- Ensure that assessment decisions are impartial, valid and reliable
- Not limit or 'cap' learner achievement if work is submitted late
- Develop assessment procedures that will minimise the opportunity for malpractice.
- Maintain accurate and detailed records of assessment decisions
- Maintain a robust and rigorous programme/procedure of Internal Verification. This will be managed, monitored and supported by the Lead Verifiers in each Principal Subject Area being delivered in the centre
- Annually provide samples for National Standards Sampling as required by the awarding body
- Monitor NSS reports and undertake any remedial action required
- Share good assessment practice between all BTEC programme teams
- Ensure that BTEC assessment methodology and the role of the assessor, Internal Verifier, Lead Internal Verifier and Programme Leader are understood by all BTEC staff.
- Provide resources to ensure that assessment can be performed accurately and appropriately

Purpose/Scope

- That assessment of BTEC programmes is to the relevant framework for the qualification
- That there is equal and fair access to assessment for all learners
- To ensure that learners are given realistic targets and informed of their progress

- That achievement is accurately recorded and tracked
- To ensure that assessment leads to accurate and valid certification claims

Definitions/Terminology

Assessor: The person responsible for making decisions about whether learners' work achieves the Quality and Credit Framework standards required for certification.

Formative Assessment: Used to review learner progress and inform improvement.

Summative Assessment: The definitive assessment of the learner's achievement and must be to relevant framework standards. This assessment informs a unit grade.

Standardisation: A method of comparison to enable centre assessors to review the consistency and accuracy of their assessment.

Learning Outcomes: What the learner should know, understand or be able to do as a result of completing the unit.

Unit Content: The unit content gives centres the substance to devise and plan the programme of learning needed for the learning outcomes to be successfully achieved.

Unit Grading Grid: Each unit grading grid contains statements of the assessment criteria used to determine the standard of learner evidence.

Marking and Grading

Pass, Merit or Distinction grades are **only** awarded in relation to the whole unit performance:

- **Pass** - all the pass criteria achieved
- **Merit** - all the pass and merit criteria achieved
- **Distinction** - all the pass, merit and distinction criteria achieved

Pass, Merit and Distinction grades are not awarded for individual assignments as they may not cover all the criteria.

Assessment Feedback

During the assessment

General feedback and support can be given around knowledge, understanding and skills.

Feedback can include:

- Guidance on how to improve knowledge skills and understanding
- Guidance on appropriate behaviour and approach
- Confirmation of which criteria are being targeted
- Clarification of what the assignment brief requires

Following assessment

Assessment feedback record should include:

The criteria the learner achieved

The criteria they have not achieved (and why)

Feedback must not explain what they need to do to achieve a higher grade

Assessment records must be kept for a minimum of 3 years

Re-Submissions

Because every assignment contributes to the final qualification grade, it may be appropriate for the Lead Internal Verifier to authorise **one opportunity for a learner to resubmit evidence** to meet assessment criteria targeted by an assignment.

Resubmissions must be authorised by the lead internal verifier

The internal verifier can **only** authorise re-submissions if **all** the following conditions are met:

1. the learner has met initial deadlines set in the assignment, or has met an agreed deadline extension
2. the tutor judges that the learner will be able to provide improved evidence without further guidance
3. the assessor has authenticated the evidence submitted for assessment and the evidence is accompanied by a signed and dated declaration of authenticity by the learner.

If a resubmission is authorised then the resubmission must be

- recorded on the assessment form
- include a clear deadline for resubmission within 10 working days* of the learner receiving the results of the assessment
- completed by the learner with no further guidance
- Accompanied by a signed and dated learner declaration of authenticity

* 10 working days must be within term time, in the same academic year as the original submission.

All records of resubmissions will need to be made available to the SV when work is sampled

Responsibilities

Programme Leader/Lead Internal Verifier: Responsible for managing programme delivery and assessment of the learners, to ensure coverage of all units and grading criteria (More detail in Roles and Responsibilities section).

Assessor: Responsible for carrying out assessment to national standards. The assessor provides feedback to learners; assures the authenticity of learner work; records and tracks achievement (More detail in Roles and Responsibilities section).

Procedures

Learner induction: Should inform about all aspects of assessment and progress monitoring. Reference should be made to national standards, assessment deadlines, the need for authentic work, and learner appeals.

Assignment design: Should have a practical vocational focus and reference unit grading criteria. A variety of assessment methods is encouraged. A schedule of assignments and assessment dates needs to be planned and monitored during delivery of the programme.

Assessment of learner work: Should be to the published unit assessment and grading criteria only. The punitive 'capping' or limiting of grades is prohibited by the BTEC assessment methodology.

Tracking assessment: A secure audit trail must be maintained, comprising assessment decisions; internal verification documentation for assignments and learner work; and unit achievement for the programme. These records will be held securely for 3 years after certification.

Certification claims: Need to be based on accurate, audited records.

Internal Verification

Aim: To ensure that IV is valid, reliable and covers all assessors and programme activity.

To ensure that the IV procedure is open, fair and free from bias.

To ensure that there is accurate and detailed recording of IV decisions.

In order to do this, the centre will:

- Ensure that all centre assessment instruments are verified as fit for purpose
- Verify an appropriately structured sample of assessor work from all programmes, sites and teams, to ensure centre programmes conform to the Framework and Standardisation requirements
- Plan an annual internal verification schedule, linked to assignment plans
- Define, maintain, and support effective internal verification roles
- Ensure that identified staff will maintain secure records of all internal verification activity
- Brief and train staff of the requirements for current internal verification procedures
- Promote internal verification as a developmental process between staff
- Provide standardised IV documentation
- Use the outcome of internal verification to enhance future assessment practice

Internal Verification

Purpose/Scope

- That assessment is accurate, consistent, current, timely, valid, authentic and to BTEC standards
- That the assessment instruments are fit for purpose
- To assure the consistent assessment of all BTEC programmes delivered by a centre
- To be part of an audit trail of learner achievement records
- To provide feedback to inform centre quality improvement

Definitions/Terminology

Internal Verification: A centre devised quality assurance process which assures the assessment against the BTEC unit grading criteria and that assignments are fit for purpose.

Standards Verification Sampling: As part of the random sampling process, or in the instance of a Lead Internal Verifier not being in place for any Principal Subject Area, Edexcel will allocate a Standards Verifier. They will check centre assignments and assessment against qualification standards, and internal verification processes.

Sample of Learner Work: SV is based upon the scrutiny of assessed learner work. The volumes of samples required is prescribed and varies according to numbers of learners and sector programmes a centre operates.

Responsibilities

Quality Nominee (QN) and Lead Internal Verifier: The QN and LIV ensure that centre IV and standardisation processes operate. The QN and LIV act as the centre coordinator for SV between Edexcel and course teams. The QN and LIV ensure SV and LIV reports are monitored and any remedial work carried out.

Lead Internal Verifier (LIV): This post holder has overall responsibility for standardisation within their PSA/s. When accredited by Edexcel the LIV can register, assess, internally verify and claim certification without necessarily any need for Standards Verification by Edexcel.

Internal Verifier (IV): A teacher able to verify assessor decisions and validate assignments. The IV records findings, gives assessor feedback, and oversees remedial action.

Standards Verifier (SV): The SV verifies the quality of the centre's assessment and internal verification. This is as required by Edexcel via a random sampling or if a centre should not have a LIV for a particular Principal Subject Area (PSA) accreditation.

Procedures

Staff Briefing: All assessors and IVs require periodic briefing on BTEC processes.

Verification schedules: Annually agreed to cover all assessors. Assessment schedules should be drawn up and monitored through the year.

Internal verification of assignments: Carried out before use to ensure that they are fit for purpose, and that any recommendations are actioned.

Internal verification of learner work: Should verify sufficiently to ensure the security of the standard. Assessors do not internally verify their own work. Assessor feedback and support should be given. The process does not involve the learner.

IV records: Are correctly maintained in a secure place for 3 years after certification. Centres should use standard forms for the process: see Edexcel web site.

Links: IV processes need to articulate with appeals processes, and authenticity of learner work requirements.

Standards Verification Sampling: Centres need to have in place monitoring and review procedures for SV outcomes. Procedures are required to deal with failed SV samples.

Lead Internal Verifier Accreditation: When prospective Lead Internal Verifiers are identified by the centre, they will be registered with Edexcel in order to complete the accreditation process. Should a member of staff be unsuccessful within the published time frame, the QN will contact Edexcel in order to arrange a Standards Verifier for the PSA. Should any LIV leave the centre at any point within the academic year, the centre will try to identify another member of staff to undergo the accreditation process. If this is not possible due to staff commitment, time frame or failure to gain accreditation the QN will contact Edexcel in order to arrange a Standards Verifier for the PSA.

Assessment Malpractice Policy

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
- 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
- Ask learners to provide evidence that they have interpreted and synthesised appropriate information and acknowledged any sources used
- Conduct an investigation in a form commensurate with the nature of the malpractice allegation. Such an investigation will be supported by the Head of Centre and all personnel linked to the allegation. It will proceed through the following stages:
 1. Inform the QN for discussion with the Head of Centre
 2. The QN to take statements from all parties and collate work sample from suspected parties
 3. Head of Centre informs Edexcel if formal action is deemed necessary

The Centre will:

- Make the individual fully aware at the earliest opportunity of the nature of the alleged malpractice and of the possible consequences should malpractice be proven
- Give the individual the opportunity to respond to the allegations made
- Inform the individual of the avenues for appealing against any judgment made
- Document all stages of any investigation

Where malpractice is proven, this centre will apply the following penalties / sanctions:

1. Refuse to forward assessment/entry to board
2. The QN will reassess all subject entries
3. Head of Centre will inform Edexcel for formal proceedings to take place by the board

Definition of Malpractice by Learners

This list is not exhaustive and other instances of malpractice may be considered by this centre at its discretion:

- Plagiarism of any nature
- Collusion by working collaboratively with other learners to produce work that is submitted as individual learner work
- Copying (including the use of ICT to aid copying)
- Deliberate destruction of another's work
- Fabrication of results or evidence
- False declaration of authenticity in relation to the contents of a portfolio or coursework
- Impersonation by pretending to be someone else in order to produce the work for another or arranging for another to take one's place in an assessment/examination/test

Definition of Malpractice by Centre Staff

This list is not exhaustive and other instances of malpractice may be considered by this centre at its discretion:

- 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

Plagiarism and Assessment Malpractice

Purpose/Scope

- That centres have policies and procedures in place to deal with malpractice
- To ensure that issues are dealt with in an open, fair and effective manner
- That centres provide appropriate deterrents and sanctions to minimise the risk of malpractice

Definitions/Terminology

Learner Malpractice: Any action by the learner which has the potential to undermine the integrity and validity of the assessment of the learner's work (plagiarism, collusion, cheating, etc.).

Assessor Malpractice: Any deliberate action by an assessor which has the potential to undermine the integrity of BTEC qualifications.

Plagiarism: Taking and using another's thoughts, writings, inventions, etc. as one's own.

Minor Acts of Learner Malpractice: Handled by the assessor by, for example, refusal to accept for marking and learner being made aware of malpractice policy. Learner resubmits work in question.

Major Acts of Learner Malpractice: Extensive copying/plagiarism, 2nd or subsequent offence, inappropriate for assessor to deal with.

Responsibilities – to minimise the risk of malpractice

Centre: Should seek proactive ways to promote a positive culture that encourages learners to take individual responsibility for their learning and respect the work of others. Use of learner handbook and declaration forms.

Assessor: Responsible for designing assessment opportunities which limit the opportunity for malpractice and for checking the validity of the learner's work. The **QN** should be informed of any suspicions immediately.

Internal Verifier: Responsible for malpractice checks when internally verifying work. The **QN** informed of any suspicions immediately.

Quality Nominee: Required to inform Edexcel of any acts of malpractice.

Heads of Centre or their nominees: Responsible for any investigation into allegations of malpractice.

Procedures

Addressing learner malpractice:

- Promote positive and honest study practices
- Learners should declare that work is their own: check the validity of their work
- Use learner induction and handbook to inform about malpractice and outcomes
- Ensure learners use appropriate citations and referencing for research sources
- Assessment procedures should help reduce and identify malpractice

Addressing staff malpractice:

- Staff BTEC induction and updating should include BTEC requirements
- Use robust internal verification and audited record keeping

- Audit learner records, assessment tracking records and certification claims

Dealing with malpractice:

- Inform the individual of the issues and of the possible consequences
- Inform the individual of the process and appeals rights
- Give the individual the opportunity to respond
- Investigate in a fair and equitable manner
- Inform Edexcel of any malpractice or attempted acts of malpractice, which have compromised assessment. Edexcel will advise on further action required
- Penalties should be appropriate to the nature of the malpractice under review
- Gross misconduct should refer to learner and staff disciplinary procedures

Appeals

Purpose/Scope:

1. To enable the learner to enquire, question or appeal against an assessment decision.
2. 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
3. To facilitate a learner's ultimate right of appeal to the Awarding Body and the Office of the Independent Adjudicator, where appropriate
4. 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 and via the student handbook of the appeals policy and procedures
- Record, track and validate any such appeal
- Forward the appeal to the awarding body when a learner considers that a decision continues to disadvantage them after the internal appeals process has been exhausted
- Keep appeals records for inspection by the Pearson for a minimum of 18 months
- Have a staged appeals procedure
- 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 applies to enquiries or appeals made where:

- The centre disagrees with the outcome(s) from Pearson's external quality assurance activities (e.g. Standards Verifier report)

- The centre disagrees with a qualification decision made by Pearson (eg rejection of a late certification or registration request)
- A learner considers that a centre decision continues to disadvantage her/him even after the outcome of the centre's internal appeals procedure (e.g. a decision concerning assessment outcomes or reasonable adjustments)

An enquiry or appeal concerning an individual learner must be made through the learner's centre and submitted by the Headteacher who will submit the appeal on the behalf of the learner to Pearson.

- Pearson expects most enquiries or appeals from individual learners to be resolved within the centre and will only consider an individual learner's enquiry or appeal after the centre's internal enquiries or appeals procedures have been fully utilised

RESULTS – ENQUIRIES ABOUT RESULTS (EARs) and ACCESS TO SCRIPTS (ATS)

- Candidates will be informed by the Exams Officer by letter of the centre's opening times on results day (for any externally marked units).
- Arrangements for the centre 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.

EARs

- EARs may be requested by centre staff or candidates if there are reasonable grounds for believing there has been an error in marking. The candidate's consent is required before any EAR is requested
- If a result is queried, the exams officer, teaching staff and head of centre will investigate the feasibility of asking for a re-mark at the centre's expense
- When the centre does not support a candidate's or parent's request for an EAR, a candidate may apply to have an enquiry carried out. If a candidate requires this against the advice of subject staff, they will be charged

ATS

- After the release of results, candidates may ask subject staff to request the return of papers within three days' scrutiny of the results
- Centre staff may also request scripts for investigation or for teaching purposes. For the latter, the consent of candidates must be obtained

Appendix 1: Internal Appeal Request Form for BTEC and other vocational courses

Stage 1

Name of Student: Candidate No:

Subject: Module:

Name of Assessor:
.....

Please give your reasons for requesting an appeal against the procedures used for the internal assessment .

.....

Please give details of the evidence being presented.

.....

Signature of Candidate: Date:

.....

Programme Leader aware of appeal grounds Yes/No

Quality Nominee aware of appeal grounds Yes/No

Outcome of re-assessment of work being appealed with reasons for decision:

.....

Signature of Assessor: Date:

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Programme Leader Aware of Decision Yes/No

Candidate Aware of Decision Yes/No Yes/No