



**Pearson Edexcel**

## **BTEC Assessment Policy**

**incorporating**

**registration and certification, assessment and internal verification,  
malpractice, and appeals.**

Approved by Teaching and Learning Committee

Date 26<sup>th</sup> November 2020

Signed Mr Gallafent

Review Date November 2021

## Registration and Certification

### Aim

- To register individual learners to the correct programme within agreed timescales
- To register individual learners to the correct external assessment 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 and external assessment entries
- 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

### Procedures

These procedures are in place to enable us to comply with the registration and certification requirements of Pearson and prevent inaccurate or false registrations, external assessment entries, or certification.

### Overall responsibilities

Exams Officer (EO): responsible for timely, accurate and valid registration, transfer, withdrawal and certificate claims for learners

Subject Leader (SL): responsible for ensuring learner details held by Pearson are accurate and that an audit trail of learner attendance, assessment and achievement is accessible

Lead Internal Verifier (LIV): responsible for ensuring that an audit trail of learner assessment and achievement is accessible and supports certification claims.

Quality Nominee (QN): responsible for coordinating and monitoring registration and certification procedures within the Centre

Senior Leadership (SL): responsible for ensuring registration and certification policy and procedures are regularly reviewed, disseminated to staff and overseeing the registration, transfer, withdrawal and certificate claims for learners to ensure that awarding body deadlines are met

Registration procedure:

- Pupils should be enrolled on via Edexcelonline on the correct course/class by final entry date of the school year.

- By the end of September, subject leads and US lead must ensure all entries are complete on the Exam Entry spreadsheet. The EO must draw this up and make it available on GSF by mid-September.
- EO to register learners with Pearson before closing date for entries.
- SLs to check course registration lists for programmes as provided by EO. EO will retain signed copy.
- EO to make any required changes and provide revised copy of entries to SL to confirm once these have been made.
- New arrivals/late entries can be made within two weeks of starting or leaving the programme using the agreed procedures.
- SLs to ensure attendance data is accurately maintained throughout the year using SIMS.

**Certification procedure:**

- 8. LIV to ensure assessment records support learner achievement before completing BTEC assessment forms and passing to SLs for checking.
- 13. SLs to check accuracy of assessment forms and submit to EO.
- 14. EO, with SL to submit certification claims via EOL.
- 15. EO to check accuracy of certificates against assessment records once received: notify Pearson of any inaccuracies and recheck amended certificates on receipt.
- 16. School to issue certificates to learners.

**Audit procedure:**

QN to review implementation of procedures at key points throughout each academic year for all active BTECs. Copy of reviews to be retained in Exams folder.

Discovery of inaccurate, early/late and fraudulent registrations and certifications procedure: Where any inaccurate, early/late and fraudulent registrations or certification claims are discovered, QN to escalate to Head of Centre (Headteacher).

**Links**

[Pearson Information manual](#)

[Examinations Policy - Examinations Procedures](#)

## Assessment Policy

### Aim:

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

### In order to do this, Stone Hill School will:

- Ensure that learners are provided with assignments that are fit for purpose, to enable them to produce appropriate evidence for assessment
- Produce a clear and accurate assessment plan at the start of the programme/academic year
- Provide clear, published dates for handout of assignments and deadlines for Assessment
- Assess learner's 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 internal verification procedure
- Provide samples for standards verification/external examination as required by the awarding organisation
- Monitor standards verification/external examination 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 are understood by all BTEC staff
- Provide resources to ensure that assessment can be performed accurately and appropriately.
- Allow the opportunity for assignment resubmission and ensure the process is fair and consistent for all learners.

### Responsibilities

- The Programme Leader is responsible for managing overall delivery of the programme, ensuring assessment is planned, appropriate and robust, covering all units and grading criteria. Assessment Plans will include names of all Assessors and IVs, schedules for assignment handouts, assessment deadlines and schedules for internal verification and opportunities for resubmissions if relevant.
- Assessors will provide timely and effective feedback to learners on their progress, ensure authenticity of learner work and record and track achievement. Assessors will ensure assignments are practical with a vocational focus following a schedule of assignments and meeting all assessment dates. Assessors will ensure the learner is prepared for assessment and resubmissions.
- The Internal Verifier will record all findings, give assessors relevant feedback and follow up on any issues raised.

- The Lead Internal Verifier will register with Pearson EdExcel and ensure they complete any training offered and necessary to the role. They will access standardisation materials used with assessors and ensure national standards are clear and understood. They will agree and verify assessment and IV plans.
- The LIV will authorise resubmissions in accordance with Pearson guidelines outlined in BTEC Centre Guide to Assessment.

### **Links**

[Pearson Qualification Subject pages](#)  
[BTEC Centre Guide to Internal Assessment](#)

[Assessment and verification templates](#)

## Internal Verification Policy

### Aim:

1. To ensure there is an accredited Lead Internal Verifier in each principal subject area (BTEC Entry Level-Level 3)
2. To ensure that Internal Verification is valid, reliable and covers all Assessors and programme activity.
3. To ensure that the Internal Verification procedure is open, fair and free from bias
4. To ensure that there is accurate and detailed recording of Internal Verification decisions.

### In order to do this, Stone Hill School will ensure:

- 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
- 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
- A formal up to date log of any potential or actual conflicts of interest is kept within the Centre

### Responsibilities:

- The IV will ensure that internal verification is carried out as per the assessment plans designed for the subject/course.
- The Quality Nominee will ensure the center's internal verification and standardization processes operate, will act as the Centre co-ordinator and will be the main point of contact for BTEC programmes.
- The LIV is usually the center's Key Stage 4 Leader. The LIV monitors and co-ordinates the internal verification process for each subject area. The LIV registers their details with Pearson and accesses standardization exercises to use with the assessment team. The LIV submits the standardization exercise to ensure they have accredited status, confirms registration annually.
- The Internal Verifier verifies decisions made by the assessor/s, records their findings and gives assessor feedback, ensuring any issues raised are acted upon.

### Procedures

- All Assessors, Lead Internal Verifiers and Internal Verifiers are regularly briefed on BTEC processes.
- Verification schedules are agreed annually to cover all Assessors, units and assignments. Schedules are drawn up at the beginning of the programme and monitored through the year.
- Internal Verification of assignments is carried out before use to ensure that assignments are fit for purpose, and that any recommendations are acted upon. Documented records of effective internal verification are kept.
- The Internal Verifier verifies a sufficient sample of Assessor grading decisions to ensure accuracy. Assessors do not internally verify their own work. Assessor feedback and support is given.
- Internal Verification records are correctly maintained and kept securely for 3 years after certification.
- Standards Verification/External Examination: monitoring and review procedures for standards verification and external examination outcomes is in place and deals with unsuccessful standards verification and external examination samples

## **Links**

[BTEC Centre Guide to Internal Verification](#) [BTEC Centre Guide to Standards Verification](#)  
[Assessment & verification tools/ templates](#) [BTEC Centre Guide for Lead Internal Verifiers](#)  
[Stone Hill Exam Policy](#)

## Appeals Policy

### Aim:

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
3. To standardise and record any appeal to ensure openness and fairness
4. To facilitate a learner's ultimate right of appeal to the Awarding Body and the Office of the Independent Adjudicator (BTEC Level 4-Level 7), where appropriate
5. To protect the interests of all learners and the integrity of the qualification.

### In order to do this, Stone Hill School 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
- 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.

### Responsibilities:

- The learner is responsible for initiating any appeals procedure, in the required format, within a defined time frame, when s/he has reason to question an assessment decision.
- The Assessor is 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.
- The Internal Verifier/Lead Internal Verifier/KSL is responsible for judging whether assessment decisions are valid, fair and unbiased.
- The Head of Centre is responsible for submitting an appeal in writing, to Pearson if the learner remains dissatisfied with the outcome of the centre's internal appeals procedures.

### Procedures:

- The learner induction informs the learner of the appeals procedure.
- The learner appeals procedures are staged procedures to determine whether the assessor:
  - Used procedures that are consistent with the awarding body's requirements.
  - Applied the procedures properly and fairly when arriving at judgements.
  - Made a correct judgement about the learner's work.

### **Appeals procedure stages:**

Stage 1 – Informal: Learner consults with Assessor within a defined period of time 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 Manager and/or Internal Verifier/Lead Internal Verifier. Learner notified of findings and agrees or disagrees, in writing, with outcome. If unresolved, move to stage 3.

Stage 3 – Appeal hearing: Head of Centre 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: a fee is levied.

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

Monitoring of appeals: undertaken by Head of Centre to inform development and quality improvement.

### **Links**

- [Enquiries and appeals about Pearson vocational qualifications and End Point Assessment Policy](#)
- [Complaints and appeals procedure exams](#)

## **Assessment Malpractice Policy**

### **Aim:**

1. To identify and minimise the risk of malpractice by staff or learners
2. To respond to any incident of alleged malpractice promptly and objectively
3. To standardise and record any investigation of malpractice to ensure openness and fairness
4. To impose appropriate penalties and/or sanctions on learners or staff where Incidents (or attempted incidents) of malpractice are proven
5. To protect the integrity of this Centre and BTEC qualifications.

### **In order to do this, Stone Hill School will:**

- Seek to avoid potential malpractice by using the induction period and the learner handbook to inform learners of the center'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 / Principal / CEO 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 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, Stone Hill School will apply the following procedures:

- Inform the individual (staff or learner) of the issues and of the possible consequences as well as the appeals rights
- Provide the individual with the chance to respond
- Carry out any investigation in a fair and equitable way
- Inform the awarding body of any malpractice using the awarding body's procedures to do so and seek their advice
- Ensure any penalties are appropriate to the malpractice itself
- In the event of gross misconduct, follow the school's disciplinary procedures

### **Responsibilities**

- The Centre promotes a positive culture encouraging our learners to take responsibility for their learning and behaviour. Learners are fully informed of the expectations for their own work and learning and are aware of what would constitute malpractice
- The assessor designs assessments in such a way as to limit the chance of malpractice and ensure that the validity of learners' work is checked.

- The IV/LIV checks for malpractice when internally verifying work.
- The Quality Nominee informs Pearson of any instances of malpractice.
- The Head of Centre takes responsibility for investigating allegations of malpractice.

### **Procedures:**

Addressing learner malpractice:

- All staff promote positive and honest learning practices.
- Learners are required to declare that work is their own; staff check the validity of learner's work.
- Learner induction is used to inform about malpractice and outcomes.
- Teachers ensure that learners use appropriate citations and referencing for research sources.
- Assessment procedures in place to help reduce and identify malpractice.

Addressing staff malpractice:

- Staff BTEC induction and updating includes BTEC requirements.
- Robust Internal Verification and audited record keeping.
- Audit of learner records, assessment tracking records and certification claims.

### **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.

### **Links**

[Pearson Centre Guidance on dealing with malpractice and maladministration in vocational qualifications](#)

[Plagiarism Factsheet](#)