

The Blue Tangerine Federation

SPECIAL EDUCATIONAL NEEDS SCHOOLS

POLICIES, GUIDANCE AND PROCEDURES



BTEC Policy

- BTEC Organisation Chart, including LIV registration information
- Assessment and Internal Verification Policy,
- Registration & Certification Policy
- Malpractice Policy
- Appeals/Complaints Policy

Date Implemented: April 2011

Date Last Reviewed: October 2022

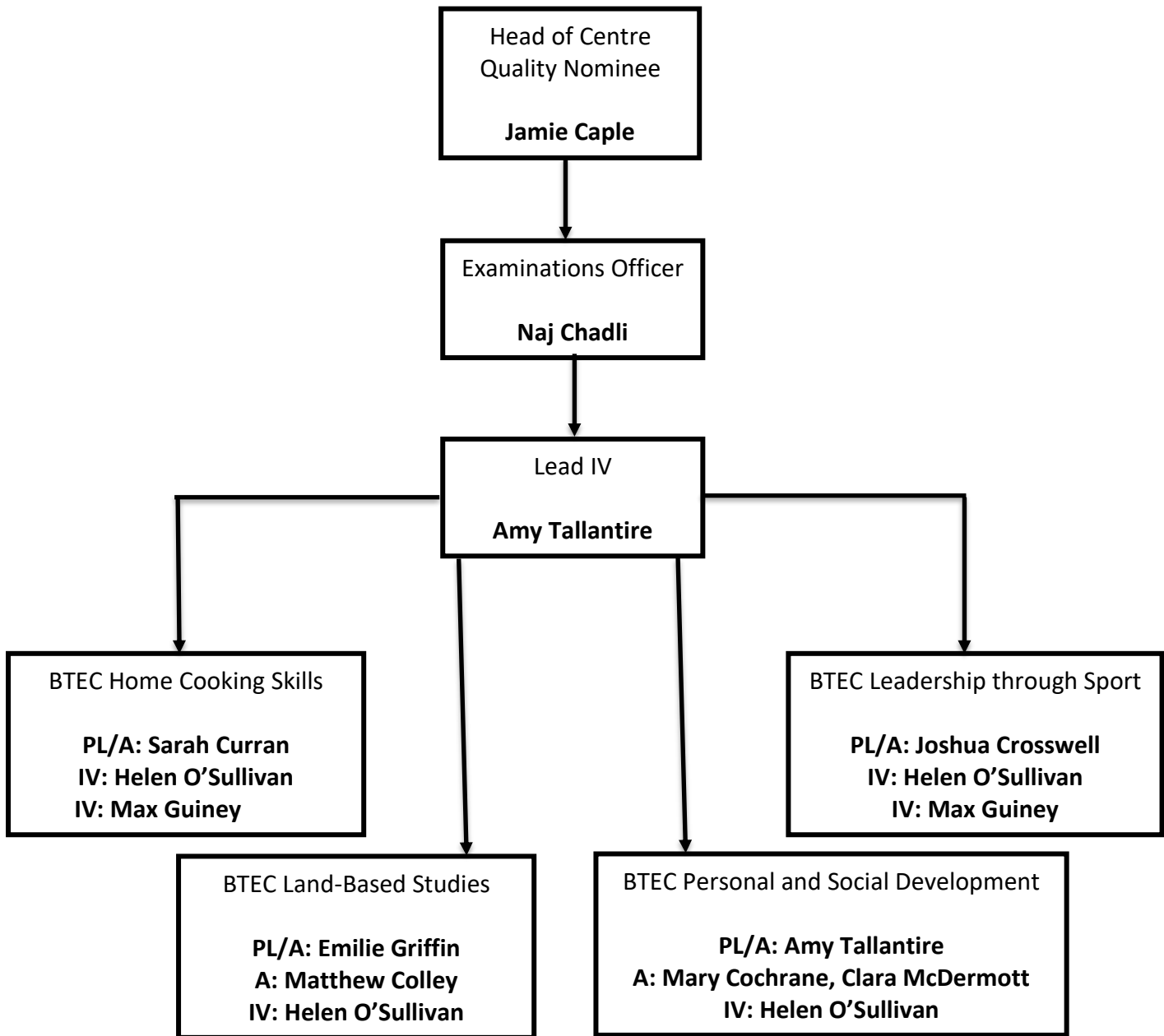
Date Governing Body Approved:

Review Period: Annually

Staff Responsibility: Jamie Caple

Date for Next Review: October 2023

BTEC Organisation Chart



Key:

PL: Programme Leader

A: Assessor

IV: Internal Verifier

Registration & Certification Policy

Aim:

1. To register individual learners to the correct programme within agreed timescales.
2. To claim valid learner certificates within agreed timescales.
3. 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, St Luke's School 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

Overall responsibilities

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

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.

Registration, transfer and withdrawal procedure:

- At the start of September, PLs should draw down class lists, add Pearson's course code and sign that they are accurate before passing to EO and retaining a copy in the programme file.
- EO to register learners with Pearson before end of October: ensuring correct course code is used.
- During first week of November, PLs to check course registration lists for programmes using Edexcel Online (EOL) and send email to EO to confirm accuracy or notify any changes required.
- Retain copy of email in Programme File. QN will email out copies of all course registrations for checking. PL to confirm these registrations are correct with the QN.
- EO to make any required changes and email PL to confirm once these have been made.
- PL to print off copy of registration list, annotate with registration requirements for BTEC externally set assessments and pass to EO. Retain copy of document in Programme File.
- EO to register learners for BTEC externally set assessments and provide PL with confirmation of this.

- PL to check accuracy of BTEC externally set assessments registrations and send email to EO to confirm accuracy or notify any changes required. Retain copy of email in Programme File.
- New arrivals/late entries can be made within two weeks of starting or leaving the programme using the agreed procedures.
- At end of November (or when in-year changes are made), PLs to advise learners of their BTEC registration number.
- PLs to ensure attendance data is accurately maintained throughout the year using SIMS.
- PLs will inform EO of any learners who have withdrawn from their course, or transferred to their course. EO will make the required changes through Edexcel Online and email PL to confirm that changes have been made.

Certification procedure:

- LIV to ensure assessment records support learner achievement before completing student report forms (SRFs) and passing to PLs for checking.
- PLs to check accuracy of SRFs: once confirmed as accurate, pass completed SRFs to EO, along with assessment records that need retaining for three-year period. Retain copies in Programme File.
- EO, with PL to submit certification claims via Edexcel Online.
- EO to check accuracy of certificates against assessment records once received: notify Pearson of any inaccuracies and recheck amended certificates on receipt.
- EO to issue certificates to learners.

Audit procedure:

QN to review implementation of procedures at key points throughout each academic year for all active BTECs.

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 instigate internal Malpractice procedures and report to Pearson.

Links

[Information Manual](#)

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, St Luke's 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

What is BTEC assessment?

All BTEC programmes are made up of units. Each unit is assessed and counts towards an overall qualification. All BTEC programmes are assessed by reference to the assessment and grading criteria published in the programme specifications. The specifications can be downloaded from each BTEC qualification subject page. BTEC units are graded in Pass, Merit or Distinction.

Why is it important?

Assessment is a crucial part of BTEC delivery because most BTEC assessments are written and developed by staff in the centre. It is essential that the assessment and verification of learner work is accurate, rigorous and in line with national standards promoted by the exam board

The Assessment Plan

The assessment plan should include:

- a. Your assessment and internal verification team for your programme
- b. Coverage of all the criteria against which you will be assessing your learners
- c. Assignment hand-out and hand-in dates
- d. Dates for submission
- e. Dates for internal verification
- f. Dates for opportunities for resubmission

Assessment plans may change and will need to be flexible to meet the evolving needs of the teachers and learners.

Submission, feedback and resubmission

Submission

For each assignment task the student must submit the following:

1. An assignment which consists of evidence towards the targeted assessment criteria
2. A signed and dated declaration of authenticity which confirms the evidence has been produced independently
3. Appropriate referencing

Feedback

During teaching sessions teachers use their professional judgement about the quality and nature of feedback. Feedback can include:

- Identifying area for progression, including Stretch and Challenge
- Explain what learners need to do to achieve a pass, merit or distinction
- Give feedback on how to improve their knowledge and skills
- Predicted grades can be given to learners

Once the learner begins work for the assessment, the teacher can:

- Give guidance on how to approach the requirements
- Give confirmation of what the assignment brief requires
- Give guidance on appropriate behaviour

Once the learner begins work for the assessment, the teacher must not:

- Provide specific assessment feedback on the evidence produced by the learner before it is submitted for assessment
- Confirm achievement of specific assessment criteria until the assessment stage

The feedback from the assessor must be completed on the Pearson approved assessment feedback form and within the specified time allocated within the assessment plan, against each assessment criteria. This is the formal opportunity for the assessor to give feedback to support learner progression. The assessor should give feedback on which criteria the learner has achieved, and not achieved, giving clear reasons the learner can learn and progress. Avoid giving direct, specific instructions on how the learner can improve the evidence to achieve a higher grade (should the Lead Internal Verifier authorise a resubmission). All relevant documentation is provided in the teacher's handbook.

Resubmission

The Lead IV may authorise one opportunity for the student to resubmit evidence to meet assessment criteria targeted by an assignment. This can only be authorised if the following conditions are met:

1. The student has met the initial deadline set in the assignment, or has met an agreed deadline extension.
2. The assessor judges that the student will be able to provide improved evidence without further guidance
3. The original work has been authenticated by both the student and the teacher

If any of the above three conditions are not met the Lead IV must not authorise a resubmission

If the Lead IV authorises a resubmission it must be:

- Recorded on the assessment feedback form
- Completed within 10 working days of the student receiving the results of the assessment
- Undertaken by the student without any further guidance

- The student and the assessor must complete the appropriate forms to confirm the authenticity of the resubmitted work

A full paper trail of all student work from submissions and re-takes must be kept by the assessor, as this needs to be made available for standards verification. All learners are made aware of this during their induction.

Assessment Evidence

Before starting an assessment the assessor must ensure that each student understands the assessment requirements – this includes having access to the content of what is required for the assessment and also the importance of time management and submission deadlines. The students must also be aware of the restrictions in how the assessor can provide support once the assessment has been started.

Assessment:

- Can take many forms: written-formal essays, evaluations, notebooks; records; studio logs; timesheets; plans; tutor observation and witness statements; photographic/digital
- Can be practical work within the specialist area of qualification
- Should be timed carefully to reduce overload

Course leaders and teachers should use a range of assessment strategies as this can enhance learning; improve knowledge of the grading criteria and of how to progress to higher-grade achievement. You can use different assessment methods with different learners – they do not all have to provide evidence in the same way. You could set them a task and give them a choice for example, of either presenting a written report or delivering a presentation or just have a one-to-one discussion etc. It is important that every learner is aware of the assessment process. If group work is used, teachers must be aware of the requirement that assessment is done at individual learner level. The use of witness statements, tutor observation sheets or other paperwork that records achievement at criterion level against the activity that is being observed is strongly recommended. Checklists prepared against unit grading criteria are one way of doing this.

Observation records and Witness Statements

Observation record

An observation record is used to provide a formal record of an assessor's observation of learner performance (e.g. during presentations, practical activities) against the targeted assessment criteria. Please note: observation record is a source of evidence and does not confer an assessment decision.

The record will:

- Relate directly to the evidence requirements in the unit specification;
- Provide primary evidence of performance to support subsequent assessment decisions;
- Is sufficiently detailed to enable others to make a judgement about the quality and sufficiency of the performance.

Observation records should:

- Be accompanied by supporting/additional evidence. This may take the form of visual aids, video/audio tapes, CD's, photographs, handouts, preparation notes, cue cards, diary record or log book and/or peer assessments records, etc.
- Be completed by the assessor who must have direct knowledge of the specification
- Record the assessor's comments
- Also include the learner's comments
- Be signed and dated by the assessor and the learner

- Be included in the learner's portfolio, along with relevant supporting evidence, when submitted for assessment.

Witness statement

A witness statement is used to provide a written record of learner performance against targeted assessment criteria. Someone other than the assessor of the qualification/unit may complete it. This may be an assessor of a different qualification or unit, a work placement supervisor, a technician, learning resources manager or anyone else who has witnessed the performance of the learner against given assessment criteria. It can be someone who does not have direct knowledge of the qualification, unit or evidence requirements as a whole, but who is able to make a professional judgement about the performance of the learner in the given situation. The quality of witness statement is greatly improved, and enables the assessor to judge the standard and validity of performance against the assessment criteria, if:

- The witness is provided with clear guidance on the desirable characteristics required for successful performance;
- The evidence requirements are present on the witness testimony (this may need further clarification for a non-assessor);
- The learner or witness also provides a statement of the context within which the evidence is set. Please note: A witness statement is a source of evidence and does not confer an assessment decision.

The assessor must:

- Consider all the information in the witness statement;
- Note the relevant professional skills of the witness to make a judgement of performance;
- Review supporting evidence when making an assessment decision;
- Review the statement with the learner to enable a greater degree of confidence in the evidence;
- Be convinced that the evidence presented by the witness statement is valid, sufficient and authentic. When a number of witnesses are providing testimonies:
 - It may be helpful to collect specimen signatures;
 - All witness testimonies should be signed and dated by the witness;
 - Information of their job role/relationship with the learner should also be recorded. These details add to the validity and authenticity of the testimony and the statements made in it.
- Centres should note that witness testimonies can form a vital part of the evidence for a unit but they should not form the main or majority assessment of the unit.

Deadlines

Deadlines for assessment are an important part of these vocational qualifications. Learners must be encouraged to develop good habits that will stand them in good stead in the future. However, once evidence is accepted for assessment, learners cannot be penalised for work submitted after the deadline. Criterion referenced qualifications demand that only the grading criteria for the use can be used for assessment decisions. The Lead IV can only authorise a resubmission if the agreed deadline date has been met by the student.

Records

- Teachers must keep records of learners and their assessed work.
- Teacher records must be monitored and sampled by the Lead IV and Programme Leader
- Learner assessments and verification records must be stored securely by the Programme Leader until all the final grades have been submitted; certification has been received by the school and handed out to the learners. In the event of an appeal against a grade then the evidence of assessments should be kept until the appeal has been concluded

- Learner records must be kept in a secure location for three years after certification

Weaknesses in assessment

Where there is an identified weakness in the assessment process the following will happen:

- Programme Leaders/Lead Internal Verifiers will initially offer support and guidance. This will include setting actions as per Edexcel/school documentation and making sure the actions are followed up.
- If necessary the Quality Nominee and senior staff will become part of the support and guidance process.

Extensions and extenuating circumstances

Extensions

Extensions for individual items for coursework may be requested before the submission date on the grounds that illness or an accident or a personal crisis or factors outside the student's control have adversely affected or will adversely affect the time available for completion of the assignment.

- Extension requests must be completed on the appropriate pro-forma.
- Extension requests can only be agreed and signed by your tutor/programme leader
- Extensions are granted for a maximum of 1 week.
- When submitting an assignment for which an extension has been agreed, it is essential that the completed pro-forma is attached.

Extenuating Circumstances

Acceptable evidence of extenuating circumstances would include originals of:

- Medical Certificate (medical certificates are not always accepted. To be accepted, the medical certificate must be specific about the nature of the illness and the dates affected, and confirm that this is the doctor's own diagnosis. It is not sufficient for the doctor to write a letter stating that the student saw him/her and "said" that they were or had been suffering from stress etc. Self-certification are not acceptable).
- Letter from solicitor, summons to attend court, eviction notice.
- Death certificate (i.e. of a close relative)
- Letter from a transport official confirming serious unforeseen disruption to transport

Authentication of Assessed Work

The learner must complete a signed and dated declaration of authenticity for each assignment, which confirms they have produced the evidence themselves. This is compulsory.

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, St Lukes's School will:

- 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.

Internal verification is a requirement of BTEC delivery. It is carried out on two levels in subject areas:

1. Internal verification of assignment briefs.
2. Internal verification of assessment decisions.

It is the responsibility of the Lead IV to ensure all of this has been completed within the agreed timeframe on the assessment plan.

What is Internal Verification?

Internal Verification (IV) is a system of quality checks made by someone in the centre to ensure that assignments have been written correctly and that assessment decisions are accurate. It is a recorded discussion between two professionals to ensure accuracy, fairness, consistency and quality of assessment. It does not involve the learner.

The Lead IV will produce an IV schedule as part of the annual assessment plan, and will keep a record of which learner work has been sampled, and in which units. The amount of work to be IV'd will be determined by the Lead IV – but this should be a minimum of 4 pieces of work for each assignment. This should be made up wherever possible of a piece of work at all three levels of achievement (P, M & D) and one of the most common grade. It is recommended this number is increased for either new assessors to BTEC (> to 50% for the first assessed piece of work) or for programmes with large cohorts of students (>20). Different learners should be targeted for IV of assessment decisions across the units. Each assessment is an opportunity for the internal verifier to check the assessment of different students. Internal verification should be within a maximum of 10 working days of the assessor's decision. The date for this must also be identified with the assessment plan. If the internal verifier questions the award of grades the process must be completed by the assessor before the work is given back to the student.

All assessors' assignment briefs must be verified prior to release to learners. Assessors cannot IV their own assignment briefs or assessed learner work. If an assignment brief is used again in a different year without alteration there is no need to IV the brief again, however if assignment briefs are amended/adapted then they must be IV'd prior to use by learners (assessment activities are only going to be effective if they are reviewed and renewed on a regular basis to check they meet the requirements of different learners).

Why Is It Important?

Assessment is an important part of BTEC delivery because most BTEC assessment are written and developed by staff in the centre. It is essential that the assessment and verification of learner work is accurate, rigorous and in line with national standards promoted by the exam board. Assessment decisions of internally assessed units are totally in the hands of centre staff. Internal verification checks that the standards set by the awarding body are being maintained.

The Lead Internal Verifier

A Lead Internal Verifier (Lead IV) is the person designated by a centre to act as the point of sign-off for the assessment and internal verification of programmes

The Lead IV should be:

- Someone with the authority to oversee assessment outcomes.
- Directly involved in the assessment and delivery of a programme, so that they understand the units.
- Able to coordinate across assessors and other internal verifiers.

The Lead IV should:

- Register with Edexcel and confirm registration every year;
- Complete the accreditation process: practice exercise and assessment exercise (every three years);
- Ensure there is an assessment and verification plan for the programme which is fit for purpose and meets Pearson- Edexcel requirements;
- Sign off the plan and check that it is being followed at suitable points;
- Undertake some internal verification and/or assessment for individual units;
- Ensure that records of assessment and samples of learner work are being retained for use with standards verification if necessary.

Staff Briefing / Annual Updating

Any new member of staff will follow an induction programme to make sure they fully understand all the BTEC requirements of their role outlined in the BTEC Policy. This is the responsibility of the Examinations Officer and Lead IV.

The induction programme will include:

- Recommended 50% of assessed work sampled during the induction period (Programme Leader to oversee and decide how long the induction period needs to be – this will vary with the experience of staff).
- The 'buddying' of new staff with experienced BTEC staff (this could be from other departments).
- Programme Leaders / Lead Internal Verifiers will identify any areas to improve and offer the necessary support.

Internal Verification System

A good IV system will:

- Take place across all BTEC units and will ensure consistency of assessment across all assessors, sampling size will vary according to the circumstances e.g. assessments done by an inexperienced tutor may need to be sampled more.
- Be supported by regular meetings and reliable records of all activities.
- Have a sampling strategy, which is sufficient to assure the quality of assessment and have an annual timetable outlining who and what units are to be assessed.
- Have regular standardisation process days where tutors can get together and review each other's assessment decisions against the standards as a check for accuracy and consistency across courses. Course leaders MUST record these in course file.
- Meet the requirements of SV by providing accurate records of the IV process (if applicable).
- Programme Leader's / Lead Internal Verifier's will identify any areas to improve and offer the necessary support.

Standards Verification (if applicable)

When a Principal Subject Area is going through standards verification the following will apply:

- The Quality Nominee will initially take the lead in liaising with Edexcel regarding SV.
- After the initial contact either the Examinations Officer or Programme Leader will liaise with the allocated SV regarding the sample requested.
- If there is an unsuccessful outcome from the 1st sample there will be a 2nd sample.
- It is essential at this stage that the Programme Leader consults with the Quality Nominee to ensure that the second sample is checked thoroughly and that the advice given by the Standards Verifier is applied to this sample.
- If the second sample has an unsuccessful outcome the Regional Quality Manager will set up a remedial action plan.

Before the agreed sample date the standards verifier will need the following:

- A list of all completed mandatory units
- A list of anticipated learner grades
- A list of which learner work has been Internally verified

The Standards Verifier will then select a sample from the list and for the sample they will require:

- The assignment brief(s) for the whole unit with evidence of internal verification
- For each learner sampled, a portfolio of work for the complete unit with, evidence of assessment and internal verification
- For graded qualifications, learner work at all grades.

Links

[BTEC Centre Guide to Internal Verification](#)

[BTEC Centre Guide to Standards Verification](#)

[Assessment & verification tools/ templates](#)

[BTEC Centre Guide for Lead Internal Verifiers](#)

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, St Luke's 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
- 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.

Responsibilities in Appeals

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 Edexcel if the learner remains dissatisfied with the outcome of the centre's internal appeals procedures.

Appeals procedure

Stage 1 – Informal discussion with member of staff assessing.

If a resolution is found, the member of staff should record the discussion for reference only, as part of best practice. If a resolution is not achieved, the discussion should be formally recorded and passed on to the programme leader, unless the decision under review is that of the programme leader. If this is the case, the QN or the Head of Centre should be approached.

Stage 2 – Formal review.

Programme Leader and IV/Lead IV review the assessment decision. A written reply will be given to the learner within two school weeks.

Stage 3 – Appeal hearing.

The learner must apply to the Head of Centre in writing within four school weeks of the initiation of the Stage 2 formal review. An appeal panel, appointed by the Head of Centre, will meet and review the evidence. A formal response will be given to the learner.

Stage 4 – External appeal.

The grounds for appeal and any supporting documentation must be submitted by the centre to Edexcel within 14 days of the completion of Stage 3. A fee may be levied.

Appeals Procedure

- Students will be informed about the appeals procedure and have access to a copy of the written procedure.
- The Quality Nominee and the Exams Officer will be responsible for the management and recording of internal appeals.
- The Head of the Centre will be provided with any appeals and their outcome.
- Appeals will be considered by at least three people (at least one of whom should not have been involved with the assessment decision).
- A clear timescale in terms of the student getting a response to the appeal is laid out on the appeals form.
- Students will be allowed representation by a parent/guardian/friend if requested.
- Written records of all appeals will be kept by the school including the outcome of the appeal and reasons for the outcome.
- A copy of the appeals record will be given to the student.
- Edexcel will be informed by the school if any outcome of an appeal has implications for the conduct of assessments of the issue of results at the school.
- Full details of any appeal must be made available to Edexcel on request.
- Students can only appeal on the following grounds:-
- If they feel the grading criteria is being met.
- If they feel that they have not been supported during the assessment of the unit.
- If the teacher is not willing to accept alternative evidence as meeting the evidence requirement

Links

[BTEC qualification specifications](#)

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

Assessment Malpractice Policy

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, St Luke's School will:

- Seek to avoid potential malpractice by using the induction period and the learner 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 / 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, penalties will follow the procedure as outlined in the JCQ document Suspected Malpractice in Examinations and Assessments.

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.

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:
 - Any allegations of malpractice should be reported to the Quality Nominee and/or Head of Centre.
 - The Programme Leader and/or Examinations Officer will conduct an investigation in a fair and equitable manner. The investigation will be supported by the Head of Centre and all personnel linked to the allegation, and will follow the procedure as outlined in the JCQ document 'Suspected Malpractice in Examinations and Assessments'.
 - 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
 - Inform Pearson of any malpractice or attempted acts of malpractice, which have compromised assessment. Pearson will advise on further action required
- Penalties should be appropriate to the nature of the malpractice under review and guided by the JCQ document 'Suspected Malpractice in Examinations and Assessments' where appropriate.

Links

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

[Plagiarism Factsheet](#)