



## BTEC Policies, Procedures and Practice

## Contents

<b>1.1</b>	<b><i>Roles and responsibilities</i></b> .....	<b>3</b>
1.1.1	Senior Managers .....	3
1.1.2	Quality Nominee.....	3
	1.1.2.1 Responsibilities .....	4
1.1.3	Lead Internal Verifier .....	4
	1.1.3.1 Responsibilities .....	4
	1.1.3.2 Tips for Lead Internal Verifiers.....	5
	1.1.3.3 Support.....	5
1.1.4	Programme Leader .....	5
	1.1.4.1 Responsibilities .....	6
1.1.5	Team of Assessors and Internal Verifiers .....	6
	1.1.5.1 Assessors .....	6
	1.1.5.2 Internal Verifiers.....	7
1.1.6	Examinations Officer (EO).....	8
	1.1.6.1 Responsibilities .....	8
<b>1.2</b>	<b><i>Roles and responsibilities in Quality Review and Development</i></b> .....	<b>8</b>
1.2.1	Quality Nominee.....	8
1.2.2	Practitioners .....	9
1.2.3	Support.....	9
1.2.4	Enquiries.....	9
<b>1.3</b>	<b><i>Roles and responsibilities in Standards Verification</i></b> .....	<b>9</b>
1.3.1	Quality Nominee.....	9
1.3.2	Lead Internal Verifier .....	9
1.3.3	Assessors and Internal Verifiers.....	10
1.3.4	Support.....	10
	<b><i>Registration and Certification Policy</i></b> .....	<b>11</b>
2.1	Aim.....	11
2.2	Methodology.....	11
	<b><i>Assessment and Verification Policy</i></b> .....	<b>12</b>
3.1	Aim.....	12
3.2	Methodology.....	12
	<b><i>Internal Verification Policy</i></b> .....	<b>13</b>
4.1	Aim.....	13
4.2	Methodology.....	13
	<b><i>Appeals Policy</i></b> .....	<b>14</b>
5.1	Aim.....	14
5.2	Methodology.....	14
	<b><i>Assessment Malpractice Policy</i></b> .....	<b>15</b>
6.1	Aim.....	15
6.2	Methodology.....	15
6.3	Definition of Malpractice by Centre Staff.....	16
6.4	Definition of Malpractice by Learners .....	16

## **1.1 Roles and responsibilities**

### **1.1.1 Senior Managers**

The Head of Centre is formally responsible for ensuring that the centre acts in accordance with Edexcel's terms and conditions of approval. These include that the centre ensures the provision of appropriate resources, recruits learners with integrity, provide full and fair access to assessment, maintains full and accurate records of assessment, complies with all Edexcel's quality assurance processes and ensures that all certification claims are secure and accurate. Day to day responsibility is normally delegated to the centre's Quality Nominee. Senior managers should:

- appoint a Quality Nominee able to act as a key point of contact with Edexcel;
- liaise with the Quality Nominee to ensure that all processes are being conducted effectively;
- support the Quality Nominee in putting actions in place to respond to reports on quality assurance processes.

The Head of centre, or other senior manager, may need to be directly involved in:

- dealing with appeals from learners that have not been resolved through the immediate programme team;
- investigating malpractice allegations of a serious nature related to learners or members of staff;
- liaising with Edexcel where any serious breach of approval conditions has occurred;
- any aspect of quality assurance which relates to the overall integrity and security of Edexcel BTEC or Edexcel vocational qualifications.

### **1.1.2 Quality Nominee**

The Quality Nominee is the main point of contact for Edexcel information related to quality assurance and therefore fulfils the regulatory requirement of being the key point of contact in the centre for QCF-accredited qualifications.

The Quality Nominee will receive regular information from Edexcel about all aspects of Edexcel BTEC and Edexcel qualifications, which they will share with the relevant staff in this centre.

### **1.1.2.1 Responsibilities**

The Quality Nominee will ensure the effective management of BTEC programmes and actively encourage and promote good practice in this centre. The Quality Nominee is the main person involved with Quality Review and Development in this centre and will liaise directly with the Centre Quality Reviewer.

The Quality Nominee will liaise with the appropriate centre and Edexcel staff to ensure that:

- all programmes are approved and registrations are accurate and up-to-date;
- all staff are aware of Edexcel requirements;
- there is an accredited Lead Internal Verifier in place for each Principal Subject Area, where required;
- assessment and internal verification is effective on all Edexcel BTEC and Edexcel vocational programmes;
- Standards Verification is completed successfully;
- Edexcel's approval conditions and policy requirements are being implemented consistently and effectively.

### **1.1.3 Lead Internal Verifier**

The Lead Internal Verifier (Lead IV) is the person designated by this centre who acts as a point of sign off for the assessment and internal verification of programmes in a sector - a Principal Subject Area (for example: Edexcel BTEC Firsts and Nationals in Business, or Edexcel BTEC First and Level 1 in Hospitality).

The Lead IV has access to accreditation and should register through the online standardisation system – OSCA2.

The Lead IV is:

- someone with the authority to oversee assessment outcomes, ideally this would be the programme leader as this would normally be a key part of their role;
- directly involved in the assessment/delivery of a programme, so that they understand the units;
- able to coordinate across assessors and other internal verifiers for a Principal Subject Area.

#### **1.1.3.1 Responsibilities**

- register with Edexcel through OSCA2 and confirm registration every year;
- undertake induction training through booking onto an event (once only);
- complete the accreditation process – practice exercise and assessment exercise (normally only once every 3 years);

- make other assessors and verifiers aware of the practice exercise, e.g. through a team development event;
- ensure that there is an assessment and verification plan for the programmes in the sector which is fit for purpose and meets Edexcel's 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 within at least one of the programmes;
- ensure that records of assessment and samples of learner work are being retained for use with Standards Verification if necessary. Plan to set aside examples of work verified to different levels and grades;
- liaise with the Standards Verifier to ensure that appropriate sampling takes place, if and when sampling is required;
- make arrangements for handover to a deputy or replacement if unable to carry out the role.

### **1.1.3.2 Tips for Lead Internal Verifiers**

*1. You will already be using internal assessment and verification records. Check whether the use may need to be adjusted to ensure that the Lead IV input is recorded.*

*2. You don't have to do all internal verification – in fact your assessment decisions must still be internally verified. We use the term Lead IV to emphasise the importance of proper coordination of internal verification through a single point of contact. This is a role that senior staff members within delivery teams have always undertaken.*

*3. You need to allow time for induction – one session – and then 4-6 hours to fully complete standardisation without rushing. This is all that is new. If completed successfully it is only completed every three years.*

*4. Read all the instructions for standardisation carefully and do the practice standardisation first; you can then use these materials with the whole team to help you instil a standardised approach to assessment.*

### **1.1.3.3 Support - For further information on the Lead Internal Verifier:**

- Quality Assurance Centre Handbook: *Lead Internal Verifier Accreditation*.

### **1.1.4 Programme Leader**

A programme leader or programme manager is a person designated by this centre to take overall responsibility for the effective delivery and assessment of Edexcel BTEC or Edexcel qualifications.

For Edexcel BTEC qualifications up to Level 3 and Foundation Learning programmes, the Programme Leader may also act as the Lead Internal Verifier.

#### **1.1.4.1 Responsibilities**

- liaise with the Quality Nominee at the centre to be aware of information updates and quality assurance requirements;
- liaise with relevant Edexcel appointed staff undertaking quality assurance, including Standards Verifiers;
- ensure that there are sufficient resources to delivery the programmes and units being operated including that staff have necessary expertise and, where relevant, qualifications;
- review the reports arising from quality assurance and ensure that appropriate actions are taken;
- liaise effectively with the Examinations Officer regarding the registration and certification of learners.

#### **1.1.5 Team of Assessors and Internal Verifiers**

The programme team consists of the teachers or tutors who are responsible for the delivery, assessment and internal verification of the Edexcel BTEC or Edexcel programme. All team members should:

- read and understand the specification;
- understand the construction of the units;
- identify opportunities to generate evidence;
- create and agree a plan of assessment activities, with timescales;
- ensure the assessment plan, assignments and assessment decisions are internally verified and appropriate action is taken by the team.

The appropriate minimum size of the programme team will depend on the number of units and the number of learners. The absolute minimum is two, as no person can internally verify their own assessment decisions.

##### **1.1.5.1 Assessors**

All assessors should:

- design assessment activities which guide your learners to produce evidence that meets the targeted assessment criteria and unit content and any associated guidance;
- assess the work submitted by learners, checking authenticity and sufficiency of evidence produced against the relevant criteria;
- accurately record all assessment decisions;
- provide feedback to learners, identifying which criteria have been achieved and giving opportunities for improvement;
- follow up any advice from your internal verifier.

### **1.1.5.2 Internal Verifiers**

Internal verification is the quality assurance system you should use to monitor assessment practice and decisions, ensuring that:

- assessment is consistent across the programme;
- assessment instruments are fit for purpose;
- assessment decisions accurately match learner work to the unit assessment criteria;
- standardisation of assessors takes place.

For relevant programmes, one person will need to be designated as a Lead Internal Verifier and register with Edexcel.

Internal Verifiers (IVs) can be anyone involved in the delivery and assessment of the programme. You cannot internally verify your own assessment. Where there is a team of assessors, it is good practice for all assessors to be involved in internally verifying each other. If there is one main person responsible for delivery and assessment, then another person will need to be identified to undertake internal verification.

An IV should:

- check the quality of assessment instruments to ensure they are fit for purpose;
- ensure an effective system of recording learner achievement is in place;
- keep accurate and up-to-date records of the internal verification process;
- advise on the appropriateness of assessment evidence with regard to level, sufficiency, authenticity, validity and consistency;
- use your subject specialism to sample assessments to verify assessors' judgements, ensuring that they are consistent, fair and reliable;
- ensure your own assessment decisions are sampled when teaching on the programme;
- ensure that appropriate corrective action is taken where necessary;
- take part in the formal stages of any appeal.

## **1.1.6 Examinations Officer (EO)**

The Examinations Officer is the person designated by this centre to take responsibility for the correct administration of learners with Edexcel.

### **1.1.6.1 Responsibilities**

- liaise with Programme leaders to maintain information on which programmes are running and when they start and finish;
- register learners by 1 November (for programmes starting in September) or within one month of enrolment (for other start times);
- register learners onto the correct programmes checking that these are the specific titles and versions that learners are following;
- check registrations carefully to ensure that all data is correct and follow correct procedures if amendments are required;
- for relevant programmes, give Edexcel Online access to Lead IVs so that they can register onto the OSCA2 system. Ensure that the access granted is appropriate.

## **1.2 Roles and responsibilities in Quality Review and Development**

### **1.2.1 Quality Nominee**

For Quality Review and Development, the Quality Nominee, should liaise with appropriate practitioners and internal verifiers, to ensure that Centre Quality Reviewers are able to carry out their role.

For Quality Review and Development visits, the QN should:

- negotiate and agree the date for the Centre Quality Reviewer to visit;
- agree agenda for the visit with the Centre Quality Reviewer;
- complete the centre engagement document prior to the visit, which includes progress on previous actions and recommendations; updates on changes to systems and procedures; statement on general strengths and weaknesses;
- manage the visit, bringing together the relevant practitioners and evidence;
- receive feedback from the Centre Quality Reviewer at the end of the visit;
- acknowledge the report, and feedback on the Centre Quality Reviewer, when informed via email that the report is available on Edexcel online;
- manage the resolution of any identified actions or recommendations.

For the visit, the Quality Nominee must bring sufficient representation of BTEC and NVQ practitioners who are able to talk with authority about the operation of BTECs and NVQs in the centre. Please bear in mind that the Centre Quality Reviewer



requires an overview of the provision, according to this centre. The Quality Nominee should agree a suitable scope with your Centre Quality Reviewer.

### **1.2.2 Practitioners**

For the purposes of Quality Review and Development, practitioners are staff who are actively engaged in delivering programmes. They may be curriculum or programme managers, lead internal verifiers, teaching staff and internal verifiers. The people directly involved with Quality Review and Development may change according to the types of programmes running at this centre.

### **1.2.3 Support - For further information on Quality Review and Development:**

- Quality Assurance Handbook: *Quality Review & Development*.
- BTEC support pages: [www.btec.co.uk](http://www.btec.co.uk).
- 'I am a Quality Nominee' page on Edexcel.com.
- Contact your Regional Quality Manager.

### **1.2.4 Enquiries**

- BTEC and NVQ enquiries: 0844 576 0026;
- Email: [QRD@edexcel.com](mailto:QRD@edexcel.com).

## **1.3 Roles and responsibilities in Standards Verification**

### **1.3.1 Quality Nominee**

For Standards Verification the Quality Nominee will be the initial point of contact for the Standards Verifier. They should liaise with appropriate practitioners and internal verifiers, to ensure that Standards Verifiers are able to carry out their role.

### **1.3.2 Lead Internal Verifier**

For Standards Verification, the Lead Internal Verifier should:

- ensure that records of assessment and samples of learner work are being retained for use with Standards Verification if necessary. Plan to set aside examples of work that has been verified to different levels and grades;
- liaise with the Standards Verifier to ensure that appropriate sampling takes place, where required;
- sign a cover sheet to confirm that the sample is complete and accurate.

### **1.3.3 Assessors and Internal Verifiers**

Full evidence of internal verification should be provided as part of the Standards Verification sample.

### **1.3.4 Support - *For further information on Quality Review and Development:***

- Centre Guides to Assessment and Internal Verification can be found on the **Key Documents** page of the BTEC website.

# Penwortham Priory Academy

## Registration and Certification Policy



### 2.1 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.

### 2.2 Methodology

In order to do this, the centre will:

- Register each learner within the awarding body requirements. Where possible this will be completed by electronic transfer using the Microsoft spreadsheet form.
- Provide a mechanism for programme teams to check the accuracy of learner registrations:
  - 1 Entries will be uploaded.
  - 2 pdf verification will be stored electronically within an entries folder.
  - 3 The EO will notify the programme leader and provide a hard copy of relevant pdf registration details.
  - 4 The programme leader will conduct an audit of relevant registration details.
  - 5 Any anomalies will be reported to the EO, within 1 week, for amendment.
- 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 records safely and securely for three years post certification (note: there is no requirement to archive learner work).

This policy will be reviewed every 12 months by the EO.

### **3.1 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.

### **3.2 Methodology**

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 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 as required by the awarding body.
- Monitor 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.

This policy will be reviewed every 12 months by the QN and EO.

# Penwortham Priory Academy

## *Internal Verification Policy*



### **4.1 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.

### **4.2 Methodology**

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 Quality Review and Development, Lead IV and Standards Verification 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.

This policy will be reviewed every 12 months by the QN and EO.

# Penwortham Priory Academy



## *Appeals Policy*

### **5.1 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.

### **5.2 Methodology**

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 him/her after the internal 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 interest 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 the EO.

### 6.1 Aim

- To identify and minimise the risk of malpractice by staff or learners.
- To respond to an 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.

### 6.2 Methodology

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 – each candidate is required to sign a Declaration of Authentication (see JCQ Instructions for conducting controlled assessments, Appendix 1) before submitting their coursework to their subject teacher/assessor.
- Ask learners to provide evidence that they have interpreted and synthesised appropriate information and acknowledges 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 start with a 'Report of Suspected Malpractice' JCQ/M1 Form and proceed through the stages identified on page 7 of this form.
- 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 judgement made.
- Document all stages of any investigation.

Where malpractice is proven, this centre will apply sanctions and penalties in accordance with Point 12 or Appendix 4 of the Joint Council for Qualifications (JCQ)

regulations: 'Suspected Malpractice in Examinations and Assessments: Policies and Procedures' (JCQ, 2023-24).

### **6.3 Definition of Malpractice by Centre Staff**

- See Malpractice Exams Policy 2023-24

### **6.4 Definition of Malpractice by Learners**

See Malpractice Exams Policy 2023-24

This policy will be reviewed every 12 months by the EO.