



BTEC STAFF POLICY BOOK 2016-17

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Outwood Academy Valley – BTEC Policy, Roles & Procedures Centre Number: 28160

Roles and responsibilities

Taken from the UK BTEC Quality Assurance Handbook 2013–14

Roles at cross-centre level

Senior Managers

The Head of Centre is formally responsible for ensuring that your centre acts in accordance with our terms and conditions of approval.

These include that you:

- ensure the provision of appropriate resources
- recruit learners with integrity
- provide full and fair access to assessment
- maintain full and accurate records of assessment
- comply with all our quality assurance processes
- ensure that all certification claims are secure and accurate

Day to day responsibility is normally delegated to the centre's Quality Nominee. Senior managers should:

- identify a Quality Nominee able to act as a key point of contact with us
- 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

The Head of Centre or other senior managers may need to be directly involved in:

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

Quality Nominee

We ask every vocational centre to identify a member of staff as the Quality Nominee for vocational provision. This person is the main point of contact for information related to quality assurance. We expect this role to continue to cover the new next generation NQF BTEC Firsts, if you deliver them. The Quality Nominee will receive regular information from us about all aspects of BTECs, which they should share with the relevant staff in your centre. Therefore, it is very important that Quality Nominee details are kept up-to-date on Edexcel Online.

We recommend that your Quality Nominee is someone with responsibility for your vocational curriculum, as they will be involved in monitoring and supporting staff in your centre. As this is a curriculum role, in most cases it isn't appropriate for the Examinations Officer to also be the Quality Nominee.

Responsibilities

The Quality Nominee should ensure the effective management of your BTEC programmes and actively encourage and promote good practice in your centre. They will be the main person involved with Quality Review & Development and will liaise directly with the Centre Quality Reviewer. For Quality Nominee responsibilities relating to specific quality assurance processes please see the relevant chapters.

As Quality Nominee, you will liaise with the appropriate centre and Edexcel staff to ensure that:

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

Further guidance can be found in the Centre Guide to Managing Quality on the Key Documents page of the BTEC website: www.btec.co.uk/keydocuments

Examinations Officer

This is the person designated by a centre to take responsibility for the correct administration of learners with us. This may be a defined role or, in a smaller centre, an additional duty undertaken by a Programme Leader or teacher.

The Examinations Officer normally acts as the administrator for Edexcel Online, which is our system to provide direct access for learner administration.

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
- Give Edexcel Online access to the Quality Nominee
- For relevant programmes, give Edexcel Online access to Lead Internal Verifiers so that they can register onto the OSCA system
- Give Edexcel Online basic access to all other BTEC staff as necessary
- For programmes that include externally assessed units, ensure that all exam entries are made according to Edexcel requirements

You can find full details on BTEC registration procedures, including deadlines and instructions for registering via EDI and Edexcel Online from the Information Manual: www.edexcel.com/infomanual

Roles at programme level

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

- read and understand the programme specification and assessment guidance
- 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
- read and understand the relevant chapters of this Quality Assurance Handbook

The appropriate minimum size of the programme team will depend on the number of units and the number of learners. As no person can internally verify their own assessment decisions, where there is a single specialist practitioner delivering the programme, arrangements must be made for their assignments and assessment decisions to be internally verified by someone appropriately experienced.

Programme Leader

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

The programme leader may also act as the Lead Internal Verifier if appropriate.

Responsibilities

- Liaise with the Quality Nominee to be aware of information updates and quality assurance requirements
- Liaise effectively with the Examinations Officer to ensure accuracy of registration and certification of learners
- Liaise with programme team to confirm assessment and internal verification schedules
- Liaise with relevant Edexcel appointed staff undertaking quality assurance
- Ensure that there are sufficient resources to deliver the programmes and units
- Ensure that programme staff have the necessary expertise and, where relevant, qualifications
- Review reports arising from quality assurance and ensure that appropriate actions are taken

Lead Internal Verifier

The Regulatory arrangements for the Qualifications and Credit Framework 2008 require us to “put in place procedures that must ensure each centre has

arrangements to identify a single named point of accountability for the quality assurance and management for the assessment of units and qualifications". We also require this for all BTEC qualifications. A Lead Internal Verifier is a person designated by you to act as a point of sign-off for the assessment and internal verification of programmes in a Principal Subject Area (e.g. QCF BTEC Firsts and Nationals in Business, or NQF BTEC Level 2 First Performing Arts).

- For QCF BTECs up to Level 3, the Lead Internal Verifier must register through OSCA and complete online standardisation to gain accreditation
- For the new next generation NQF BTECs, the Lead Internal Verifier must register through OSCA to access standardisation materials and work through these with the programme team. There is no requirement to gain accreditation via OSCA
- For NVQs, SVQs and competence based qualifications, the Lead Internal Verifier role is well established. The Lead Internal Verifier must be appropriately qualified, but there is no requirement to gain accreditation via OSCA

You don't have to do all the internal verification – in fact your assessment decisions must still be internally verified by someone else. We use the term Lead Internal Verifier 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 programme teams have always undertaken.

- We appreciate that centres deliver BTEC programmes in different ways and have a variety of programme team and management structures. However, the Lead Internal Verifier should be:
 - a subject specialist. It is important that you have an understanding of the subject you are responsible for someone with the authority to oversee assessment. This may be the programme leader, as this would normally be a key part of their role 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 for a Principal Subject Area

Responsibilities

- Ensure that there is an assessment and verification plan for your programmes which is fit for purpose and meets requirements
- Sign off the plan and check that it is being followed at suitable points
- Where possible, undertake some internal verification and/or assessment for individual units within at least one of the programmes

- Ensure that assessment plans, records of assessment and samples of learner work are retained for 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 colleague if unable to carry out the role Lead Internal Verifier accreditation (QCF BTECs up to Level 3 only)
- Register with us via OSCA and confirm registration every year
- Undertake induction training (once only)
- Access practice standardisation materials (available annually for use with programme teams)
- Complete the accreditation process by undertaking online standardisation (normally once every three years)

Lead Internal Verifiers and the new next generation NQF BTECs

- Register with us via OSCA and confirm registration every year
- Undertake induction training (once only)
- Access standardisation materials and work through these with your programme team

Internal Verifiers

Internal verification is the quality assurance system you 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 assessment & grading criteria
- standardisation of assessors takes place

Internal Verifiers 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 only one main person responsible for delivery and assessment, then another person will need to be identified to undertake internal verification.

Responsibilities

- Agree an assessment and verification plan for each programme

- 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

For NVQs, SVQs and competence based qualifications, Internal Verifiers must hold, or be working towards, the appropriate verifier qualifications.

Assessors

An assessor is anyone responsible for the assessment of learners.

Responsibilities

- Ensure that you have read and understood the programme specifications and the requirements of all units being assessed
- Agree an assessment and verification plan for each programme
- Design assessment activities which guide your learners to produce evidence that meets the targeted assessment & grading criteria, 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 assessment & grading criteria have been achieved and giving opportunities for improvement
- Follow up any advice from your internal verifier

This policy will be reviewed every 12 months by Lucy Cooper

Outwood Academy Valley
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Registration & Certification Policy and Procedures

Aim:

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

In order to do this, the centre will:

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

This policy will be reviewed every 12 months by Lucy Cooper

Outwood Academy Valley
Centre Number: 28160

Assessment Policy

Aim:

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

In order to do this, the centre will:

- Ensure that learners are provided with assignments that are fit for purpose, to enable them to produce appropriate evidence for assessment.
- 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.
- Annually provide samples for National Standards Sampling as required by the awarding body. This will include all BTEC qualifications in terms of assessment, IV and EV processes.
- 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 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 Lucy Cooper .

Outwood Academy Valley
Centre Number: 28160

Internal Verification Policy

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 center will:

- Ensure that all center 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 national standards and NSS requirements. All documents will be standardised through the IV procedures.
- Plan an annual internal verification schedule, linked to assignment plans. This will take place during the whole school training day on Moderation.
- Define, maintain, and support effective internal verification roles. These will be reviewed regularly through the formal BTEC Team meetings.
- 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 Lucy Cooper.

Outwood Academy Valley
Centre Number: 28160

Appeals Policy

Aim:

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

In order to do this, the centre will:

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

This policy will be reviewed every 12 months by Lucy Cooper .

Outwood Academy Valley
Centre Number: 28160

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 / Examination Officer/ Curriculum Leader** and all personnel linked to the allegation. It will proceed through the following stages:
 1. Inform the candidate that he/she has been suspected of malpractice
 2. Carry out an investigation and gather all evidence available
 3. Inform the candidate and the awarding body of the outcome
- 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. Inform the awarding body of the incident
 2. Inform candidate and his/her parents/carers
 3. Disqualify the candidate from the programme of study in conjunction with the awarding body

Definition of Malpractice by Learners

This list is not exhaustive and other instances of malpractice may be considered by this center 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 center 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.

This policy will be reviewed every 12 months by Lucy Cooper.

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Observation records and witness statements

Observation record

An observation record is used to provide a formal record of an assessor's judgement of learner performance (process evidence e.g. during presentations, practical activities) against the target grading criteria.

The record will:

- relate directly to the evidence requirements in the grading grid of the unit specification
- may confirm achievement or provide specific feedback of performance against national standards for the learner
- provide primary evidence of performance
- is sufficiently detailed to enable others to make a judgement as to quality and whether there is sufficient evidence of performance
- confirm that national standards have been achieved.

Observation records should:

- be accompanied by supporting/additional evidence. This may take the form of visual aids, video/audio tapes, CDs, photographs, handouts, preparation notes, cue cards, diary record or log book and/or peer assessments records, etc.
- note how effectively these were used to meet the grading criteria
- record the assessor's comments
- be evidenced in learner's portfolios when assessment is carried out through observation along with relevant supporting evidence
- be completed by the assessor who must have direct knowledge of the specification to enable an assessment decision to be made
- be signed and dated by the assessor and the learner also include learners' comments.
- An observation record can have greater validity than a Witness Statement since it is capable of directly recording an assessment decision without reference to others.

This policy will be reviewed every 12 months by Lucy Cooper.

Outwood Academy Valley
Centre Number: 28160

Externally Set Assessment Policy

Externally Set Component

The next generation BTEC qualifications include an element of external assessment.

The majority of assessment of the next generation BTECs remains teacher-led and internal, but there will also be one or two externally assessed units, depending on the qualification size.

There are three different types of external assessment, designed to ensure that learners are assessed in a way that's appropriate for the sector.

Aim:

- To outline the roles and responsibilities of conducting the externally set tasks
- To standardise our approach to conducting externally set tasks
- To outline the implications and considerations of externally set tasks
- To protect the integrity of this centre and BTEC qualifications.

In order to do this, the centre will:

- Audit new procedures and practice
- Outline new requirements and access arrangements
- Develop new materials to complete the assessments
- Apply the administration guidance as outlined by Pearson

1) 'Paper-based' testing is a traditional method of assessment whereby an exam paper is set and marked by the awarding organisation. These tests are dispatched to the centre after 'entries' or 'test bookings' have been made. These materials should be stored securely, in line with JCQ guidance. These tests are taken at a time and date prescribed by Pearson. Timetables will be released in advance of tests, in order for centres to plan and schedule. Paper-based assessments will work to existing results release dates for level 2 qualifications.

2) 'Set tasks' are externally assessed set tasks are most commonly used in the creative sectors. All candidates respond to the task, which is set by the awarding

organisation. Usually a new task is issued each year, and is made available to centres through secure download on the relevant qualification web pages.

3) 'Onscreen' tests involve candidates working through an online test under controlled conditions. The 'on demand' nature of this mode of external assessment means more flexibility for the centre. The outcomes are validated with the same rigour as traditional methods. We will need to book a test date in advance with us prior to the delivery of a test. Please also note that as an awarded qualification the results will not be made available straight away and that Pearson will need sufficient learners to take the test to ensure the awarding process is valid prior to publishing the results.

This policy will be reviewed every 12 months by Lucy Cooper.