



# **BTEC**

# **Procedures & Guidance**

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# BTEC Procedures & Guidance

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## Policy purpose:

Driffield School's BTEC policy sets out the school's commitment to verifying that the policies and processes of BTEC qualifications are successfully and consistently applied in all departments and in the best interest of learners.

In order to ensure that the processes within Driffield School are robust and up to date:

- This policy will be reviewed annually by the Quality Nominee (QN)
- This policy must be reviewed and understood by the Exams Officer and Subject Leaders, Lead IVs and Assessors that are delivering BTEC Qualifications
- This policy should be considered alongside the Exams Policy and Controlled Assessment Policy
- This policy should be considered alongside subject specific specifications and BTEC guidelines.

## Key roles & responsibilities:

1. **Quality Nominee (QN)** – a named person, with senior leadership responsibility, who will act as quality nominee each academic year. They are responsible for ensuring effective management of BTEC programmes and actively promoting good practice within the centre.
2. **Subject Leader (SL)** – the subject leader will have oversight of all qualifications, and their associated procedures, being offered within their department. They may act as a Lead IV, or may line manage a Lead IV within their department/team.
3. **Lead Internal Verifier (Lead IV)** - a named person within a department/team who acts as the point of accountability for the quality assurance of a programme. The Lead IV may be the subject leader, or another named person within a department/team.
4. **Internal Verifier (IV)** - any named person within a department/team who will verify the standards of an assessment decision or assignment brief.
5. **Assessor** – any member of a department/team who has responsibility for delivering subject content and assessing learners.

# 1. Registration & certification

## 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, Driffield 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.

## Driffield School overview of procedures:

### 1. Registration:

- The Subject Leader is responsible for ensuring that learners are registered for courses/qualifications within the timescales and deadlines set by the awarding body.
- The Exams Officer will send relevant reminders of deadlines to Subject Leaders.
- The Exams Officer will support with the administration of the registration process.

### 2. Transfer & withdrawals:

- The Subject Leader must notify the Exams Officer of any transfers or withdrawals as soon as possible.
- The Exams Officer will amend learner registration as appropriate.

### 3. Unit Certification:

- The Subject Leader is responsible for ensuring that certification of individual units has been submitted
- The Subject Leader must ensure that certification of units has been completed within the timescales set by the awarding body
- The Exams Officer will ensure that Subject Leaders are informed of relevant deadlines

### 4. Certification:

- The Subject Leader is responsible for ensuring that certification has been submitted
- The Subject Leader must ensure that certification of units has been completed within the timescales set by the awarding body
- The Exams Officer will ensure that Subject Leaders are informed of relevant deadlines.

Information relating to registration and certification can be found at:

<https://qualifications.pearson.com/en/support/support-for-you/administrators.html>

## 2. Assessment

### 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, Driffield 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.

### Driffield School overview of procedures:

#### 1. Assessment:

- Subject Leaders must ensure that there are clear procedures in place within their department for the assessment of learner evidence, which is in line with their subject specification
- Subject Leaders must ensure that there are named assessors within their department
- Subject Leader must ensure that assessors are appropriately trained and briefed to assess learner evidence
- Assessors must ensure that they use any relevant guidance and are appropriately trained to make assessment decisions
- Lead IVs must ensure that appropriate timescales are determined for the completion of assessment evidence and assessment decisions

#### 2. Resubmission and retakes:

- Lead IVs must ensure that any resubmissions and retakes are done within the guidelines as set out in their subject specifications and guidelines
- Lead IVs must ensure that any resubmissions and retakes are recorded appropriately, as set out in their subject specifications and guidelines
- If a Lead IV is unsure whether a resubmission or retake should be authorised, they should consult the QN for further guidance

#### 3. Assignments and assignment briefs:

- Lead IVs must ensure that assignments briefs are produced and that the briefs cover the necessary subject content and assessment criteria, and that they allow learners to meet the assessment criteria
- Unless included elsewhere or in another format, assignment briefs should allow learner to declare authenticity
- Lead IVs must ensure that assignment briefs have been through an appropriate internal verification process before being given to learners
- Assessors must ensure that learners are aware of assessment requirements and evidence they are required to produce for each assignment
- Lead IVs and assessors must ensure that assignments have appropriate timescales and deadlines

#### **4. Assessment plans:**

- Lead IVs must ensure that an assessment plan is produced for each cohort of learners at the start of each academic year / start of course
- Lead IVs must ensure that assessment plans clearly identify staff with responsibility for processes of assessment and internal verification
- Lead IV must ensure that the assessment plan shows:
  - i. How the planned assignments meet subject specific assessment criteria
  - ii. Appropriate timescales and deadlines
  - iii. opportunity for resubmission and/or retakes (where applicable)
- Lead IVs must ensure that the assessment plan is kept up to date
- Lead IVs must ensure that the assessment plan is available at all times for any relevant verification processes
- The QN may request a copy of the up to date assessment plan from Lead IV at any time

#### **5. Assessment recording and learner tracking:**

- Subject Leaders and/or Lead IVs must ensure that there is a clear process in place within department for the recording and tracking of:
  - i. Assessment decisions
  - ii. Internal verification processes
  - iii. Standardisation processes
  - iv. Resubmission and re-takes
- Subject Leaders, Lead IVs and Assessors must ensure that these records are kept up to date
- Subject Leaders and Lead IVs should ensure that these records are available upon request by the QN

Information relating to Internal Assessment can be found on Pearson Qualification Subject pages and <https://qualifications.pearson.com/en/support/support-topics/assessment-and-verification/btec-assessment-and-verification-tools.html>

### 3. Internal Verification

#### 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, Driffield 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.

#### Driffield School overview of procedures:

##### 1. IV schedules:

- The Lead IV is responsible for ensuring that a schedule for the internal verification of assignments and assessment decisions is produced each academic year
- The Lead IV should ensure that the IV schedule clearly states the names of the IV for each assignments and assessment decisions
- The Lead IV is responsible for ensuring that IV schedules consist of all the necessary quality assurance checks as outlined in the awarding body guidelines
- The Lead IV and Subject Leader are responsible for ensuring that a copy of the IV schedules are available for inspection by the QN, SV and QCR

##### 2. Lead IV registration:

- Lead IVs must ensure that they have registered on OCSA before 30<sup>th</sup> September each academic year
- Lead IVs should send confirmation of this registration to their Subject Leader and/or the QN

##### 3. OSCA accreditation / standardisation processes:

- Lead IVs are responsible for ensuring that completing any necessary standardisation tasks on OSCA
- Lead IVs are responsible for ensuring that the relevant standardisation materials, processes and activities are shared with and completed by all IVs and assessors
- Subject Leaders ensure Lead IVs given time to complete standardisation activities with all assessors within their teams/department and that a record of these activities is recorded

##### 4. Staff briefing and updating:

- Subject Leaders and/or Lead IVs should ensure that all internal verifiers and assessors within their department receive both annual and regular updates about BTEC policies and procedures through CDT meetings
  - Any updates that are given through CDT meetings should be recorded in the meeting minutes
- 5. Internal Verification of assignment briefs:**
- The Lead IV must ensure that all assignment briefs have been internally verified in accordance with the guidance set out by the awarding body
  - Lead IV will produce IV schedule for all assignment briefs, and will clearly identify names of internal verifiers for each brief
  - Subject Leaders and/or QN should ensure that the Lead IV has IV plan in place for all assignment briefs
  - Lead IV must ensure that the internal verification schedule and procedures are in line with the awarding bodies guidelines and policies
- 6. IV of assessment decisions**
- Lead IV must ensure that assessment decisions and assessors are internally verified in accordance with the awarding body guidelines and policies
  - Lead IV will produce IV schedule for all assessment decisions, identifying the name of staff responsible for the verification of assessment decisions
  - Subject Leader / QN should check that Lead IV has IV plan in place for assessment decisions
- 7. Maintenance of IV records**
- Subject Leader and/or Lead IV are responsible for ensuring appropriate procedures are in place within a team/department for recording IV decisions
  - Subject Leader and/or Lead IV are responsible for ensuring the accurate maintenance of IV records
  - Subject Leader and Lead IV should ensure that these records are available for inspection by the QN, SV or CQR
- 8. Standards Verification & external examination:**
- Subject Leader and Lead IV must ensure that accurate records of IV schedules and processes, OSCA accreditation and standardisation activities (including CDT minutes) are available for inspection by the QN, SV or CQR

#### Links to key guidelines and policies:

- BTEC Centre Guide for Lead Internal Verifiers:  
<https://qualifications.pearson.com/content/dam/pdf/Support/Quality%20Assurance/lead-internal-verifiers-2015-16.pdf>
- BTEC Centre Guide to Internal Verification:  
[https://qualifications.pearson.com/content/dam/pdf/btec-brand/BTEC Centre Guide to Internal Verification.pdf](https://qualifications.pearson.com/content/dam/pdf/btec-brand/BTEC%20Centre%20Guide%20to%20Internal%20Verification.pdf)
- BTEC Centre Guide to Standards Verification:  
[https://qualifications.pearson.com/content/dam/pdf/btec-brand/2018 19%20BTEC-Centre-Guide-to-Standards-Verification%20v1.2.1%20final.pdf](https://qualifications.pearson.com/content/dam/pdf/btec-brand/2018%2019%20BTEC-Centre-Guide-to-Standards-Verification%20v1.2.1%20final.pdf)
- Assessment & verification tools/ templates:  
<https://qualifications.pearson.com/en/support/support-topics/assessment-and-verification/btec-assessment-and-verification-tools.html>

## 4. Appeals

### 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, Driffield 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.

### Driffield School overview of procedures:

- If a learner wishes to appeal an assessment decision, this will be done in line with the processes detailed in the Appeals Policy
- Subject Leaders should ensure that learners are aware of their right to appeal assessment decisions
- Subject Leaders should inform the QN whenever an appeal is made by a learner
- Subject Leaders, Lead IVs and the Exams Officer and the QN will refer to the Appeals Policy and awarding body guidance when dealing with an appeal

Further information about the awarding body's appeal policy can be found at:

<https://qualifications.pearson.com/en/support/support-topics/understanding-our-qualifications/policies-for-centres-learners-and-employees.html/student>



## 5. Assessment Malpractice

### 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, Driffield 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, this centre will apply the penalties / sanctions as outlined in Appendix 2 of the Exams Policy and the Disciplinary Policy.**

### 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.

#### Driffield School overview of procedures:

- In the case of an allegation of malpractice the QN must be informed of the allegation.
- Together with the Subject Leader and Exams Officer, the QN will refer to the '*Pearson Centre Guidance on dealing with malpractice and maladministration in vocational qualifications*':  
<https://qualifications.pearson.com/en/support/support-topics/exams/examination-guidance/malpractice-and-plagiarism.html#sts=Additional%20guidance>
- The QN will inform the Executive Principal of the allegation and together will determine the necessary procedures, in line with Appendix 2 of the Exams Policy and the Disciplinary Policy.
- Subject Leaders should ensure that the information given on the BTEC Plagiarism Factsheet is shared with all learners upon their registration onto a BTEC course. The BTEC Plagiarism Factsheet can be found at:  
<https://qualifications.pearson.com/content/dam/pdf/Support/Quality%20Assurance/Plagiarism-Factsheet.pdf>

## Appendix 1 – Recognition of Prior Learning

### What is Recognition of Prior Learning (RPL)?

- RPL is about using a learner's evidence of earlier learning and achievement towards part of a qualification. An assessor reviews whether the evidence is enough to show that a learner has met the assessment requirements for a current qualification. The learner needs to show that through knowledge, understanding or skills they already have, they do not need to repeat the course or complete extra assessment activity
- Where the learner has previously shown the knowledge, skills or understanding required by a qualification, this may be used towards achieving that qualification.
- RPL should not be used to provide evidence against achievement for an entire qualification; it should be used to support evidence against achievement.
- Only the Subject Leader (or another appropriate leader) for the subject can make decisions about RPL.

### Recognition of Prior Learning (RPL) Process

- Stage 1 - Awareness & Guidance:
  - Where appropriate to the qualification, the Subject Leader (or another appropriate leader) may authorise the assessors to discuss the option of using RPL with students.
  - The process and support available should be discussed with the learners.
  - The learner should be aware of any appeals processes.
  - evidence provided by the learner for RPL should be checked to ensure that it has been achieved before the start of their course of study.
- Stage 2- Pre-assessment & evidence gathering:
  - Register your learner as soon as they officially start to gather evidence.
    - It may be appropriate to create an assessment plan or tracking document to help the learner gather evidence.
  - The evidence gathered needs to meet the standards of the unit, or part of a unit, that the evidence is being used for.
- Stage 3 – Assessing and evidence documentation:
  - Tell your Standards Verifier/External Examiner, before any monitoring activity starts, if you have applied RPL.
  - A learner's past achievement that would show evidence of current knowledge, understanding and skills varies between industries.
  - The assessment strategy for each qualification must also be followed.
  - Assessment as part of RPL is a structured process for gathering and reviewing evidence and making judgements about a learner's past learning and experience in relation to unit standards.
  - All the evidence must be evaluated using the learning outcomes and assessment criteria from the qualification or unit being claimed. In assessing a unit using RPL the Assessor must

be satisfied that the evidence from the learner meets the standard for all of the learning outcomes and assessment criteria.

- If there are gaps in the learner's work through RPL, more assessment methods should be used to create enough evidence to be able to award the learning outcome for the whole unit.

For further information and guidance regarding RPL please refer to:

[https://qualifications.pearson.com/content/dam/pdf/Support/policies-for-centres-learners-and-employees/Recognition of prior learning and process policy.pdf](https://qualifications.pearson.com/content/dam/pdf/Support/policies-for-centres-learners-and-employees/Recognition%20of%20prior%20learning%20and%20process%20policy.pdf)

## Appendix 2 – Remote & Blended Learning

### 1. Purpose

In any case where students are isolating and learning from home, it is essential to ensure that:

- learning methods meet the guidelines set by the awarding body
- assessment methods meet the guidelines set by the awarding body, and that assessment methods are valid and reliable
- no learner is advantaged or disadvantaged by learning from home

### 2. Blended Learning

Blended learning is a formal approach to education that creates an integrated learning environment where face-to-face and online teaching and learning become complementary, with the purpose of giving learners a more diverse and engaging learning experience.

### 3. Distance Assessment

Distance Assessment is a method of assessment where the assessment is designed to be carried out remotely. Distance Assessment enables learners to be assessed even if they are in situations/settings where traditional methods of assessment may be difficult or impossible to operate.

### 4. School procedures

In order to ensure that the needs of learners are met, whilst also meeting the requirements of the awarding body, the centre will:

- Ensure that teaching/delivery/assessment staff are timetabled to support blended learning when learners are working remotely, in line with the school's remote learning procedures and expectations;
- Ensure there is a process to manage feedback on assignments, questions are constructively answered, and feedback is provided in a timely manner;
- Ensure the setting of assignments is undertaken in the face-to-face sessions and that deadlines are clear;
- Ensure that when learners submit work measures are taken to ensure the work is authentic and has been completed by the learner;
- Maintain and store securely all assessment and internal verification records in accordance with Pearson Centre Agreement.

Where blended learning is to take place for BTEC and other vocational courses, the relevant subject leader(s) will discuss the arrangements in place with the Quality Nominee (QN) to agree that they are appropriate and meet the requirements of the awarding body.