



Examination Policy

Examination Policy

(In accordance with JCQ rules and regulations)

Rationale

The purpose of this Examination Policy is:

- To ensure the planning and management of exams are conducted efficiently and in the best interest of candidates and in line with the requirements of the examination boards.
- To ensure the operation of an efficient exam system with clear guidelines for all relevant staff.
- To provide a contingency plan for exam days.
- It is the responsibility of everyone involved in the centre's exam processes to read, understand and implement this policy.

This exam policy will be reviewed annually.

The Examinations Manager and the Head of Centre will review this exam policy.

Exam responsibilities

The Examinations Manager acting on behalf of the Head of Centre has overall responsibility for the school as an exam centre. The Examinations Manager:

- Advises on appeals and re-marks
- Responsible for reporting all suspicions or actual incidents of malpractice. (Refer to the JCQ document Suspected Malpractice in Examinations and Assessments.)

Examinations Manager with the support of Examinations Assistant:

- Manages the administration of all internal exams:
- Advises the Senior Leadership Team, subject and class tutors and other relevant support staff on annual exam timetables (including the mock examinations timetable) and application procedures as set by the various exam boards
- Oversees the production of and distribution to staff and candidates an annual calendar for all exams including the mock exams in which candidates will be involved and communicates regularly with staff concerning imminent deadlines and events
- Ensures that candidates and their parents are informed of and understand those aspects of the exam timetable that will affect them
- Consults with teaching staff to ensure that necessary coursework is completed on time and in accordance with JCQ guidelines
- Provides and confirms detailed data on estimated entries
- Receives, checks and stores securely all exam papers and completed scripts
- Administers access arrangements and makes applications for special consideration using the relevant JCQ documentation
- Identifies and manages exam timetable clashes
- Accounts for income and expenditures relating to all exam costs/charges
- Supports in recruiting a Lead Exam Invigilator and organises training and monitoring of a team of exams invigilators responsible for the conduct of exams
- Submits candidates' coursework marks, tracks despatch and stores returned coursework and any other material required by the appropriate awarding bodies correctly and on schedule
- Arranges for dissemination of exam results and certificates to candidates and forwards, in consultation with the KS4 Vice-Principal and Subject Leaders, any appeals/re-mark requests
- Maintains systems and processes to support the timely entry of candidates for their exams.
- Data & Assessment Office Administrator
- Prepares and presents reports to the SLT and Subject Leaders showing results achieved in relation to expected grades and comparable data for previous years.
- Works with SLT on analysis of data from examinations

Subject Leaders:

- Provide guidance and pastoral oversight of candidates who are unsure about exam entries or amendments to entries.
- Have involvement in post-results procedures.
- Provide accurately compiled coursework mark sheets and declaration sheets.
- Accurately complete entry and all other mark sheets and adhere to deadlines as set by the Examinations Officer.

Outreach Worker for Transition:

- Provides guidance and careers information.

Teachers:

- Are notified of any access arrangements by the examinations officer (as soon as possible after the start of the course).
- Submit candidates' names to subject leaders in the form of a signed 'entry listing' paperwork confirming exam entries.
- Support the exams officer with compiling estimated grades

SEND/CO:

- Organises the testing of students for access arrangements.
- provides additional support — with spelling, reading, mathematics, dyslexia or essential skills, visual/hearing impairment, English for speakers of other languages, IT equipment — to help candidates achieve their course aims.

Lead Invigilator/invigilators:

- Collect exam papers and other material from the Examinations Officer before the start of the exam.
- Maintain and support exam regulations during all exams both proactively and using initiative.
- Collect all exam papers in the correct order at the end of the exam and return them to the Exams Office.

Candidates:

- Understand coursework regulations and sign a declaration that authenticates the coursework as their own.
- Check statement of entry and report any discrepancies to the Subject Leader and/or the

Examinations Assistant:

- Adhere to the exam regulations as set out by JCQ during all exams.

Examination Manager Absence:

- The Examination Manager will involve Senior Leadership in all stages of the Examinations process via weekly SLT Meetings. This will ensure that they have a full and comprehensive understanding of all aspects of the Examinations process should he be absent at any point during a series and can therefore competently run, without compromising integrity, any paper to JCQ regulations.

The tests and qualifications offered

The tests and qualifications offered at this centre are decided by the Subject Leaders in consultation with the SLT.

Rise Academy offers on-demand, GCSE, Entry Level, BTEC, Diploma, NCFE, OCR National, Gateway and Functional Skills tests and qualifications.

The qualifications offered in any academic year may be found in the centre's published prospectus for that year. If there has been a change of syllabus from the previous year, the Examinations manager must be informed within the first two weeks of the academic year.

Decisions as to whether a candidate should take an individual subject or not will be taken in consultation with the subject leaders and the SLT, based on a wide range of available evidence.

At the appropriate time in their academic career at Rise Academy, all candidates will be entitled, and enabled, to achieve an entry for qualifications from an external awarding body subject to performance.

Exam seasons and timetables

3.1 Exam seasons

Internal examinations are scheduled for May and June.

External examinations are scheduled in November, January, March, May and June.

Internal examinations are not held under external exam conditions.

3.2 Timetables

Once finalised, the Examinations manager will circulate exam timetables for internal and external exams. The final summer examinations timetable will be issued by the middle of April (subject to when Easter falls) and the mock examination timetable will be issued by the middle of November.

3.3 Controlled Assessment (JCQ Regulations)

When clarified arrangements and regulations are released by JCQ in conjunction with the examination bodies they will be appended to this policy.

Entries, entry details and late entries

4.1 Entries

Candidates are selected for their exam entries by their subject teachers.

Candidates, or parents/carers, can request a subject entry, change of level or withdrawal to be considered by the relevant subject lead and SLT

The centre does not currently accept entries from external candidates.

4.2 Late entries

Entry deadlines are circulated to heads of subject leaders via email

Late entries are subject to authorisation by the SLT and the Examinations Manager.

Exam fees

The centre will pay all normal exam fees on behalf of candidates.

Late entry or amendment fees are paid by centre.

Candidates or departments will not be charged for changes of tier, withdrawals made by the proper procedures or alterations arising from administrative processes provided these are made within the time allowed by the awarding bodies.

The Disability Discrimination Act (DDA), special needs and access arrangements

6.1 DDA

The Disability Discrimination Act 2005 extends the application of the DDA to general qualifications. All exam centre staff must ensure that the access arrangements and special consideration regulations and guidance are consistent with the law.

6.2 Special needs

A candidate's special needs requirements are determined by the SENDCO.

The SENDCO will inform subject teachers of candidates with special educational needs who are embarking on a course leading to an exam, and the date of that exam. The SENDCO can then inform individual staff of any special arrangements that individual candidates can be granted during the course and in the exam.

6.3 Access Arrangements

Making special arrangements for candidates to take exams is the responsibility of the SENDCO and Examinations Manager.

Submitting completed access arrangement applications to the awarding bodies is the responsibility of the Examinations Manager.

Rooming for access arrangement candidates will be arranged by the Examinations Manager in consultation with the SEND department and the SLT

Invigilation and support for access arrangement candidates will be organised by the Examinations Manager in consultation with the SEND department and the SLT

Estimated grades

The Subject Leaders will submit estimated grades to the Examinations Manager when requested by the Examinations Manager.

Management of Examination Papers

Papers will be signed in to the school by reception and logged with date and time.

Where the examinations Manager is not available to check and sign papers into the secure area, this will become the responsibility of the Examinations Officer and/or Head of Centre.

In any instance where the papers cannot be checked immediately upon entry into the safe, this will be carried out at the earliest available opportunity by the Examinations Manager and Examinations Officer as designated by the Head of Centre.

Papers will be checked by Examinations Manager/Examinations Officer and Head of relevant department prior to opening to ensure the paper opened is the correct one and the required paperwork will be signed and counter signed to this effect.

Upon finishing the Examinations the invigilators will collect and hand the papers to the Examination Manager/Head of Centre who will:

Confirm attendance.

Confirm papers tally with attendance.

Package papers ready for dispatch to relevant awarding body and place in secure area until Parcel Force Yellow Label collection.

Managing invigilators and exam days

9.1 Managing invigilators

External invigilators or trained support staff will be used for internal exams and external exams.

Records of invigilator training will be kept by Examinations Manager/Examination Assistant until the deadline for enquiries about results has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

The recruitment of invigilators is the responsibility of the SLT in and is undertaken to meet the needs identified by the Examinations Manager.

Invigilation training will be carried out and logged by the Examinations Manager for every Examinations Series.

Securing the necessary DBS clearance for new invigilators is the responsibility of the HR.

DBS fees for securing such clearance are paid by the centre.

Invigilators are timetabled and briefed by the Examinations Manager and the SLT

Invigilators' rates of pay are set by the centre administration and agreed by the Management Committee

9.2 Exam days

The Examinations Manager will book all exam rooms after liaison with other users and make the question papers, other exam stationery and materials available for the invigilators.

All staff are responsible for setting up the allocated rooms after consultation with the Examinations Manager under the direction of the SLT and verify:

- relevant JCQ posters are present outside of the room.
- Seating plan and attendance plans are present.
- Invigilation pack including Emergency response, script for starting examinations and incident logs are present.

The Examinations Manager will confirm with the Heads of relevant departments/SLT that the correct question papers are about to be distributed prior to opening the sealed packets.

The Lead Invigilator and Exams Assistant will start all exams in accordance with JCQ guidelines.

Subject staff may be present at the start of the exam to assist with identification of candidates but must not advise on which questions are to be attempted.

In practical exams subject teachers may be on hand in case of any technical difficulties.

Exam papers must not be removed from the exam room before the end of a session.

A relevant subject teacher/leader may be available to read out and clarify any subject-specific instructions and start the exam, if required.

Candidates, clash-candidates and special consideration

10.1 Candidates

Rise Academy published rules on acceptable dress, behaviour and candidates' use of mobile phones and all electronic devices apply at all times. These rules will be shared with candidates through their regular mentor meetings and be distributed to each candidate through their Learning and Engagement Practitioner.

Candidates' personal belongings remain their own responsibility and the centre accepts no liability for their loss or damage. A designated area will be identified for students to store their belongings

Disruptive candidates are dealt with in accordance with JCQ guidelines.

Candidates may leave the exam room for a genuine purpose requiring an immediate return to the exam room, in which case an invigilator must accompany them.

The Learning and Engagement Practitioners will attempt to contact any candidate who is not present at the start of an exam and deal with them in accordance with JCQ guidelines.

10.2 Clash-candidates

The Examinations Manager will be responsible as necessary for supervising escorts, identifying a secure venue and arranging overnight stays.

10.3 Special consideration

Should a candidate be ill before an exam, suffer bereavement or other trauma, be taken ill during the exam itself or be otherwise disadvantaged or disturbed during an exam, then it is the candidate's responsibility to alert the centre, the Examinations Manager, or the exam invigilator, to that effect.

The candidate must support any special consideration claim with appropriate evidence within three days of the exam, for example a letter from the candidate's doctor.

The Examinations Manager will then forward a completed special consideration form to the relevant awarding body within seven days of the exam.

Coursework and appeals against internal assessments

11.1 Coursework

Candidates who have to prepare coursework should do so by the deadline provided by the examination board.

Subject Leaders will ensure all coursework is ready for despatch at the correct time. The Examinations Team will keep a record of what has been sent, when and to whom.

Marks for all internally assessed work and estimated grades are provided to the exams office by the subject teachers and Subject Leaders by completing the awarding body forecast grade forms.

11.2 Appeals against internal assessments

The centre is obliged to publish a separate procedure on this subject, which is available from the Exams Manager. This can be found on the shared area.

The main points are:

- Appeals will only be entertained if they apply to the process leading to an assessment. There is no appeal against the mark or grade awarded
- Candidates may appeal if they feel their coursework has been assessed unfairly, inconsistently or not in accordance with the specification for the qualification
- Appeals should be made in writing by 30 June to the Exams Manager (or other nominee) who will decide whether the process used conformed to the necessary requirements
- The Exams Manager will present the case to the SLT; findings will be notified in writing, copied to the Examinations Manager and recorded for awarding body inspection.

Results, enquiries about results (EARs) and access to scripts (ATS)

12.1 Results

Candidates will receive individual results slips on results days in person at the centre.

Arrangements for the school to be open on results days are made by SLT.

12.2 Enquiries about Results

EARs may be requested by centre staff or candidates if there are reasonable grounds for believing there has been an error in marking.

If a result is queried, the Examinations Manager, teaching staff and SLT will investigate the feasibility of asking for a re-mark at the centre's expense.

When the board does not uphold an EAR, a candidate may apply to have an enquiry carried out. If a candidate requires this against the advice of subject staff, they will be charged.

12.3 Access to Scripts

After the release of results, candidates may ask subject staff to request the return of papers within three days' scrutiny of the results.

Centre staff may also request scripts for investigation or for teaching purposes. For the latter, the consent of candidates must be obtained.

GCSE re-marks cannot be applied for once a script has been returned.

Certificates

Certificates are presented in person at which point the student will sign to confirm receipt.

All certificates must be signed for.

Certificates may be collected on behalf of a candidate by a third party, provided they have been authorised to do so.

Replacement certificates are only issued if a candidate agrees to pay the costs incurred.

The centre retains certificates for one year, after this time the candidates must contact the board directly.

BTEC Registration and Certification

Aim:

- To ensure that accurate, up to date and auditable centre registration, achievement and certification records are maintained with Pearson
- That these records are kept for 3 years after certification.

Definitions/Terminology:

- Registration: informs awarding body about learners at the beginning of a programme of study relative to their Admission date and subsequent engagement with Rise Academy
- Key dates & actions: deadlines for registration and certification appear in the Quality Assurance Handbook and the Information Manual
- Certification claim: the process of informing the awarding body of learner achievement
- Unit certification: learners who have not completed sufficient number of credits to receive the full qualification can be certificated for the units that they have achieved.

Responsibilities:

- Exams Manager: responsible for timely, accurate and valid registration, transfer, withdrawal and certificate claims for learners
- Programme Leader: responsible for ensuring learner details held by Pearson are accurate and that an audit trail of learner assessment and achievement is accessible
- Quality Nominee: responsible for coordinating and monitoring the learner details held with Pearson
- Senior Management: responsible for overseeing the registration, transfer, withdrawal and certificate claims for learners to ensure that awarding body deadlines are met

Procedures:

- Registration: registration initiates our Quality Assurance processes. Exams Manager and delivery staff are required to make sure that learners are registered on the correct programme at the outset. Learners following a standard academic year are registered by 1st November. Learners enrolling into flexible start programmes are registered within one month of enrolment. Your procedures need to facilitate accurate, timely registration.
- Transfer: learners can transfer their registration and achievement to date between centres. Transfer between programmes is also permitted.
- Procedures need to ensure transfers are accurate and timely. They should also ensure that adequate information about the transferee's position and progress is communicated

- Withdrawal: you should let us know when a learner leaves before completion. Withdrawals can be made via Edexcel Online and a withdrawn learner may be reinstated at a later date
- Certification Claims: full qualification certification or credit certification is claimed via the awarding body. Claims can be made at any time of year, the claims procedures prevents fraudulent or inaccurate claims.

BTEC Registration and Certification Policy

Aim:

- To register individual learners to the correct programme within agreed timescales from Admission and engagement. (Although it has to be noted that the continuous nature of Rise Academies Admissions throughout an academic year will naturally incur late registration & entry fees.)
- 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.

BTEC Assessment Policy

Aim:

- That assessment of BTEC programmes is to the national standard
- That there is equal and fair access to assessment for all learners
- To ensure that learners are given realistic targets and informed of their progress
- That achievement is accurately recorded and tracked
- To ensure that assessment leads to accurate and valid certification claims.
- Definitions/Terminology
- Assessor: the person responsible for making decisions about whether learners' work achieves the national standard required for certification
- Formative assessment: used to review learner progress and inform improvement
- Summative assessment: the definitive assessment of the learner's achievement and must be to national standards. This assessment contributes to achievement and informs a unit grade (where applicable)
- Resubmission: If requested, and at their discretion, the Lead Internal Verifier may authorise one resubmission of improved evidence by a learner, following summative assessment. Resubmissions must not provide a learner with an unfair advantage over others
- Standardisation: a method of comparison that enables centre assessors to review the consistency and accuracy of their assessment decisions with those of other assessors
- Learning aims/outcomes: what the learner should know, understand or be able to do as a result of completing the unit
- Unit content: the unit content gives centres the substance to devise and plan the programme of learning needed for the learning outcomes to be successfully achieved:
- All elements of the unit content must be taught, apart from anything preceded by 'e.g.' which is merely an example of what can be selected to teach
- For assessment, a learner is not required to provide evidence for all of the unit content
- To successfully achieve the unit, learners are required to provide sufficient evidence to address the grading criteria
- Assessment guidance is given in each unit to support the achievement of individual grading criteria
- Unit grading grid: each unit-grading grid contains statements of the assessment criteria used to determine the standard of learner evidence. Merit and Distinction grading criteria refer to a qualitative improvement in the learner's evidence, and not a quantitative one.

Responsibilities:

- Programme Leader: responsible for managing programme delivery and assessment of the learners, to ensure coverage of all units and grading criteria
- Assessor: responsible for carrying out assessment to national standards. The assessor provides feedback to learners; assures the authenticity of learner work; records and tracks achievement
- Internal verifier: a member of staff able to verify assessor decisions, and validate assignments. The Internal Verifier records findings, gives assessor feedback, and oversees remedial action
- Lead Internal Verifier: by registering with Pearson, has access to standardisation materials, which may be used with assessors to ensure that national standards are understood. The Lead Internal Verifier must agree and sign off assessment and internal verification plans.

Procedures:

- Learner induction: should inform learners about all aspects of assessment and progress monitoring. Reference should be made to national standards, assessment deadlines, the need for authentic work, and learner appeals
- Assignment design: should have a practical vocational focus and reference the unit grading criteria. A variety of assessment methods is encouraged. A schedule of assignments and assessment dates should be planned and monitored during delivery of the programme
- Assessment Plan: At the start of the programme, the assessment plan needs to be agreed and signed off by the Lead Internal Verifier. The assessment plan is an important document, which is required for standards verification. At the start of the Standards Verification process, the Standards Verifier will request a copy. The plan should include:
 - A list of all Assessors and the units they are assessing
 - A list of all Internal Verifiers and when Internal Verification will take place
 - Confirmation of the learners registered on the programme
 - Assessment of learner work: should be to the published unit assessment and grading criteria only. The punitive 'capping' or limiting of grades is not allowed
- Tracking assessment: a secure audit trail must be maintained, comprising assessment decisions; internal verification documentation for assignments and learner work; and unit achievement for the programme. These records will be held securely for 3 years after certification
- Certification claims: need to be based on accurate, audited records.

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
- 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 formative and summative 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 organisation
- Monitor standards verification 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.

Internal Verification

Aim:

- That assessment is accurate, consistent, current, timely, valid, authentic and to BTEC standards
- That the assessment instruments are fit for purpose
- To assure the assessment of all BTEC programmes delivered by a centre
- To be part of an audit trail of learner achievement records
- To provide feedback to inform centre quality improvement.

Definitions/Terminology:

- Internal Verification: a centre devised quality assurance process which assures the assessment against the BTEC unit grading criteria and those assignments are fit for purpose
- Standards Verification: an external verification process used to check centre assignments and assessment against national standards, and internal verification processes.

Responsibilities:

- Quality Nominee: the Quality Nominee ensures that centre internal verification and standardisation processes operate, acts as the centre coordinator and main point of contact for BTEC programmes. The Quality Nominee ensures Pearson quality assurance reports are monitored and any remedial action is carried out
- Lead Internal Verifier (BTEC Entry Level –Level 3): a member of the programme team who oversees the implementation of an effective internal verification centre system in their subject area. The Lead Internal Verifier is required to register annually and undergoes the necessary standardisation processes
- Internal Verifier: a member of staff able to verify assessor decisions, and validate assignments. The Internal Verifier records findings, gives assessor feedback, and oversees remedial action.

Procedures:

- Staff briefing: all Assessors, Lead Internal Verifiers and Internal Verifiers require regular briefing on BTEC processes
- Verification schedules: annually agreed to cover all Assessors, units and assignments. Schedules should be drawn up at the beginning of the programme and monitored through the year

- Internal Verification of assignments: carried out before use to ensure that they are fit for purpose, and that any recommendations are acted upon. Documented records of effective internal verification must be kept
- Internal Verification of assessment decisions: must verify a sufficient sample of Assessor grading decisions to ensure accuracy. Assessors do not internally verify their own work. Assessor feedback and support should be given
- Internal Verification records: must be correctly maintained and kept securely for 3 years after certification.
- Standards Verification: you should have in place monitoring and review procedures for Standards Verification outcomes. Procedures are required to deal with unsuccessful standards verification samples.

Internal Verification Policy

Aim:

- To ensure there is an accredited Lead Internal Verifier in each principal subject area or that SV takes place each Academic Year.
- To ensure that Internal Verification is valid, reliable and covers all Assessors and programme activity.
- To ensure that the Internal Verification procedure is open, fair and free from bias
- To ensure that there is accurate and detailed recording of Internal Verification decisions.
- In order to do this, the centre will ensure that:
- 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

Appeals

Aim:

- That there are clear procedures for learners to enable them to enquire about, question or appeal an assessment decision
- That any appeal is recorded and documentation is retained for 18 months following the resolution of the appeal
- That the Head of Centre facilitates the learner's ultimate right of appeal to the exam board, once the centre's appeal procedure is exhausted.
- Definitions/Terminology:
 - Appeal: a request from a learner to revisit an assessment decision which s/he considers to disadvantage him/her
 - Appeals procedure: a standard, time limited, sequenced and documented process for the centre and learner to follow when an appeal is made.
- Responsibilities:
 - 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 the awarding body if the learner remains dissatisfied with the outcome of the centre's internal appeals procedures.
- Procedures
 - Learner induction: Should inform the learner of the appeals procedure
 - Learner appeals procedures: A staged procedure to determine whether the assessor:
 - Used procedures that are consistent with the awarding bodies requirements
 - Applied the procedures properly and fairly when arriving at judgements
 - Made a correct judgement about the learner's work

Appeals procedure stages:

- Stage 1 – Informal: Learner consults with Assessor within a defined period of time following the assessment decision, to discuss an assessment decision. If unresolved, then the issues are documented before moving to stage 2
- Stage 2 – Review: Review of assessment decisions by Manager and/or Internal Verifier/Lead Internal Verifier. Learner notified of findings and agrees or disagrees, in writing, with outcome. If unresolved, move to stage 3
- Stage 3 – Appeal hearing: Senior Management hears the appeal: last stage by the centre. If unresolved, move to stage 4
- Stage 4 – External appeal: The grounds for appeal and any supporting documentation must be submitted by the centre to Pearson within 14 days of the completion of Stage 4: a fee is levied
- Recording appeals: each stage should be recorded, dated and show either agreement or disagreement with decisions. Documents must be kept for a minimum of 18 months
- Monitoring of appeals: undertaken by Senior Management to inform development and quality improvement.

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.

Malpractice

Aim:

- That centres have policies and procedures in place to deal with malpractice
- To ensure that issues are dealt with in an open, fair and effective manner
- That centres provide appropriate deterrents and sanctions to minimise the risk of malpractice.

Definitions/Terminology:

- Learner malpractice: any action by the learner, which has the potential to undermine the integrity and validity of the assessment of the learner's work. (Plagiarism, collusion, cheating, etc.)
- Assessor malpractice: any deliberate action by an Assessor which has the potential to undermine the integrity of BTEC qualifications
- Plagiarism: taking and using another's thoughts, writings, inventions, etc. as one's own
- Minor acts of learner malpractice: handled by the Assessor by, for example, refusal to accept work for marking and learner being made aware of malpractice policy. Learner resubmits work in question
- Major acts of learner malpractice: extensive copying/plagiarism, second or subsequent offence, inappropriate for the Assessor to deal with.

Responsibilities:

- Centre: should seek proactive ways to promote a positive culture that encourages learners to take individual responsibility for their learning and respect the work of others
- Assessor: responsible for designing assessment opportunities which limit the opportunity for malpractice and for checking the validity of the learner's work
- Internal Verifier/Lead Internal Verifier: responsible for malpractice
- Checks when internally verifying work
- Quality Nominee: required to inform Pearson of any acts of malpractice
- Heads of Centre or their nominees: responsible for any investigation into allegations of malpractice.

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:

- 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
- Investigate in a fair and equitable manner
- Inform Pearson of any malpractice or attempted acts of malpractice, which have compromised assessment.
- Penalties should be appropriate to the nature of the malpractice under review
- Gross misconduct should refer to learner and staff disciplinary procedures.

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 all/BTEC qualifications.
- To be aware of Personal Data, Freedom of Information and Copyright.

In order to do this, the centre 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 Exams Office and all personnel linked to the allegation.
- 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.

Definition of Malpractice by Learners

- 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 the 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.

Date: April 2023

Next Review Date: April 2024

Responsibility for Review: Head of Centre (Philip Mountain Wade) & Examinations Manager (Natalie Clark)

Signed: *N P Clark*.....Natalie Clark, Exams Manager

Signed:..... *P Mountain Wade*.....Philip Mountain-Wade, Head of Centre