

BTEC International

**Centre Guide to Managing Quality:
Policies, Procedures and Practice**

2012

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Introduction

This guide has been designed to help you and your centre to manage BTEC programmes, and to plan and implement programme delivery.

Quality Assurance

As BTEC programmes rely solely upon internal assessment, it is important that your centre has systems for assuring that accurate assessment and records are maintained. The BTEC Quality Model ensures the standard of quality systems are follows:

- **Approval:** you need to gain approval from us to deliver the BTEC qualifications. The requirements for managing BTEC programmes are found in the approval declarations (Appendix 1).
- **Internal verification:** a programme level check on the validity of assessment decisions made by internally appointed verifiers at your centre.
- **External verification:** a check of the accuracy of centre assessors' assessment decisions, made by an expert in the sector (Standards Verifier), appointed by Edexcel.

Named Roles

How you manage your BTEC programmes depends on the size and nature of your centre, but there are certain named roles that should be included. These roles are: Quality Nominee, Examinations Officer, Programme Leaders, Assessors, and Internal Verifiers.

Depending on the size and nature of your centre, an individual may take on more than one of these roles. The involvement of senior managers in some procedures ensures integrity.

Edexcel Online

Edexcel Online is a secure, web-based service for use by centres. It makes programme management easier by enabling access to a range of programme and learner information. The site provides important information for your teaching staff.

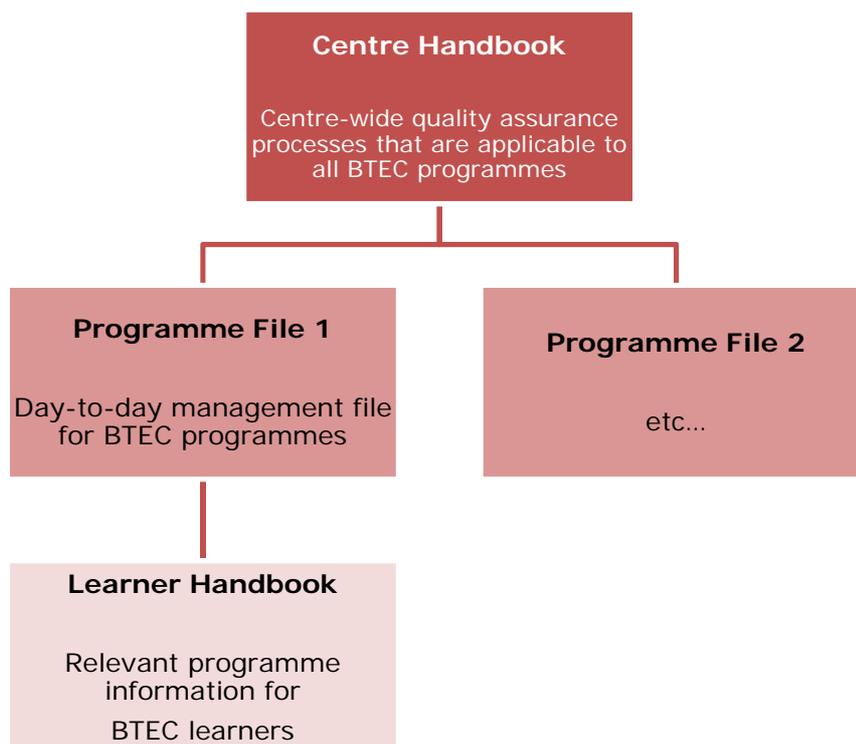
To use Edexcel Online, you will need to be set up with an account. If your centre is already registered for Edexcel Online, you should contact your Edexcel Online administrator (usually your exams officer) and ask them to create a user account for you, allowing the relevant access levels. You will need a unique and valid email address, as this will become your Edexcel Online username.

Suggested format for maintaining Quality Assurance documents

You should have:

- Functioning quality systems appropriate to your centre's size that enable quality management, review and improvement.
- Sufficient records that demonstrate the use of the quality system and the outcomes of key monitoring activities.
- Effective internal and external communications.
- Compliance with current BTEC and regulatory requirements.

Documents will vary between centres but should be reviewed and revised regularly. Below is a suggestion of how quality assurance documents can be maintained at centre and programme level:



Many centres use a Centre Handbook, Programme Files and Learner Handbooks:

- Standardised documentation aids the accuracy, consistency and audit of records, other information is usually held primarily in the examinations office.
- File content varies according to the size and type of centre. For example, small centres may use a combined Centre/Programme File.
- Holding centre policies and procedures electronically facilitates ease of access and updating.

Centre Handbook Contents:

Approval Documents
 Assessment Policy/Procedures
 Internal Verification Policy/Procedures
 Appeals Policy/Procedure
 Assessment Malpractice Procedures
 Registration & Certification Procedures
 Quality Assurance Form Templates:
 IV of Assignment Briefs
 IV of Assessment Decisions
 Tracking Sheet – Grading Criteria
 Tracking Sheet – Unit Achievement

Programme File

Day-to-day management
 file for BTEC programmes

Learner Handbook

Relevant programme
 information for
 BTEC learners

**Learner Handbook
Contents:**

Qualification Details
 Programme Overview
 Registration & Certification
 Information
 Induction Timetable/Checklist
 Health & Safety Information
 Programme Timetable
 Year Plan
 Unit Details
 Assignment Schedule
 BTEC Assessment Information
 Plagiarism/Malpractice
 Appeals Procedure
⁵ Tutorial Arrangements

Programme File Contents:

Programme Management & Organisation
 Programme Details
 Programme Team
 Programme Timetable
 Year Plan
 Agendas/Minutes/Meeting Notes
 Relevant Correspondence

Teaching & Learning
 Current Programme Specification
 Schemes of Work/Lesson Plans
 Work Placement Info (if appropriate)

Assessment & Learner Records
 Class Lists/Absence Reports
 Assignment Briefs/Calendar
 Tracking Sheets – Grading Criteria
 Tracking Sheets – Unit Achievement
 Records of Assessment/Appeals/Key
 Skills
 Other Info (Predicted Grades, etc.)

Learner Support
 Recruitment Criteria/Leaflets
 Pre-programme Guidance
 Diagnostic Testing/Learning Styles, etc.
 Induction Arrangements/Checklist
 Consultation/Parents' Evening Docs
 Tutorial Records

Quality Assurance
 IV Records
 External Verifier Reports
 Withdrawal/Transfer Data
 Programme Review/Evaluation
 Learner Questionnaires/Satisfaction

Guides to developing policies and procedures

This section looks at quality assurance policies and procedures to stimulate ideas and inform the structure of programme learning and assessment. Each section follows this format:

- **Purpose/Scope:** outlines the procedure's basic purpose and its operational context.
- **Definitions/Terminology:** explains the terms used within the section.
- **Responsibilities:** allocates people to procedures and roles and responsibilities.
- **Procedures:** provides a basic overview of the activities and specific requirements.
- **Examples:** this is what a specific policy may look like. It can be customised by you. When adopting sections ensure that you input the specific information required (identified by asterisks). You may also need to add sections.
- **Useful links:** identifies related sources of information for each section.

Policies and procedures need to be communicated appropriately. It should be noted that the policies, procedures and practices you introduce to manage BTEC assessment are interlinked: they do not operate in isolation from one another.

Registration and Certification

Purpose/Scope

- To ensure that accurate, up to date and auditable centre BTEC registration, achievement and certification records are maintained with Edexcel.
- To ensure that these records are kept for 3 years after certification, in line with Edexcel requirements.

Definitions/Terminology

- **Registration:** informs Edexcel about learners at the beginning of a programme of study.
- **Key dates & actions:** deadlines for registration and certification appear in the Quality Assurance Handbook and the Information Manual.
- **Certification claim:** the process of informing Edexcel of learner achievement.
- **Unit certification:** learners who have not completed sufficient number of units to receive the full award can be certificated for the units that they have achieved.

Responsibilities

- **Exams Officer:** responsible for timely, accurate and valid registration, transfer, withdrawal and certificate claims for learners.

- **Programme Leader:** responsible for ensuring learner details held by Edexcel 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 Edexcel.
- **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 Standards Verifier allocation. Learners should be registered within 60 days of when they start the programme. Your procedures need to facilitate accurate, timely registration.
- **Transfer:** learners can transfer their registration and achievement to date between centres. Transfer between programmes is 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 are made using Edexcel Online. A withdrawn learner can be reinstated at a later date.
- **Certification claims:** full award or unit certification is claimed through Edexcel Online or by using paper student report forms (SRFs). Claims can be made at any time of year. Your claims procedures should prevent fraudulent or inaccurate claims.

Example: Registration and Certification Policy

This is an example of what a Registration & Certification Policy might look like. You may use this as a starting point for your own policy by using those sections relevant to your centre. Customise and badge it for your centre. Specific procedures, based on your policy and relevant to your centre, should be developed.

This centre

Registration & Certification Policy

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 *** months by ***.

Useful links

- **Information Manual:** this is published by Edexcel each year and provides detailed information for Exams Officers about registration and certification procedures for all Edexcel programmes:
www.edexcel.com/iwantto/Pages/info-manual.aspx

Assessment

Purpose/Scope

- To ensure that assessment of BTEC programmes is to the required standard.
- To ensure 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.
- To ensure 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 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 the BTEC standard. This assessment informs a unit grade where appropriate.
- **Standardisation:** a method of comparison to enable centre assessors to review the consistency and accuracy of their assessment.
- **Learning 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 you the substance to devise and plan the programme of learning needed for the learning outcomes to be successfully achieved.
- **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.

Please note the difference in assessment methods for Higher National programmes which have generic grading descriptors.

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 the BTEC standard. The Assessor provides feedback to learners; assures the authenticity of learner work; records and tracks achievement.

Procedures

- **Learner induction:** should inform about all aspects of assessment and progress monitoring. Reference should be made to the BTEC standards, assessment deadlines, the need for authentic work, and learner appeals.
- **Assignment design:** should have a practical vocational focus and reference unit assessment and grading criteria. A variety of assessment methods is encouraged. A schedule of assignments and assessment dates needs to be planned and monitored during delivery of the programme.

- **Assessment schedule:** annually agreed to assure coverage of all assessment and grading criteria.
- **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.
- **Certificate claims:** need to be based on accurate, audited records.

Example: Assessment Policy

This is what an Assessment Policy might look like. You may use this as a starting point for your own policy by using those sections relevant to your centre. Customise and badge it for your centre. Specific procedures, based on your policy and relevant to your centre, should be developed.

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.
- provide samples for external verification, as required by the awarding body.
- monitor standards verifier 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 *** months by ***.

Useful links

- **BTEC Programme Specifications:** these provide guidance on assessment for each BTEC qualification. All staff teaching on BTEC programmes should have access to the relevant specification. They are published on the Edexcel website: www.edexcel.com
- **Edexcel BTEC Assessment & Grading Policy:** this is Edexcel's policy on the application of grading criteria when assessing BTEC programmes: <http://www.edexcel.com/Policies/Pages/home.aspx>
- **Centre Guide to Assessment: Planning, Design & Delivery:** a valuable resource for you in planning, quality assuring and delivering BTEC programmes: www.edexcel.com/quals/BTEC/quality/Pages/documents.aspx.

Internal Verification

Purpose/Scope

- To ensure that assessment is accurate, consistent, current, timely, valid, authentic and to BTEC standards.
- To ensure 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 also that assignments are fit for purpose.
- **External verification:** used to check centre assignments, internal verification processes and that assessment is to the national standard.

Responsibilities

- **Quality nominee (QN):** the QN ensures that centre internal verification and standardisation processes operate, and acts as the centre coordinator and main point of contact for BTEC programmes. The Quality Nominee ensures External Verifier reports are monitored and any remedial work carried out.
- **Internal Verifier (IV):** a member of staff able to verify assessor decisions, and validate assignments. The Internal Verifier records findings, gives assessor feedback, and oversees remedial action.
- **Standards Verifier (SV):** the Standards Verifier checks the quality of your centre's assignments, assessment decisions and internal verification process.

Procedures

- **Staff briefing:** all Assessors and Internal Verifiers require regular briefing on BTEC processes.
 - **Verification schedules:** annually agreed to cover all Assessors. Schedules should be drawn up and monitored through the year.
 - **Internal verification of assignments:** carried out before assignments are used to ensure that they are fit for purpose, and that any recommendations are actioned.
 - **Internal verification of learner work:** should verify sufficient assessment decisions to ensure the security of the standard. Assessors do not internally verify their own work. Assessor feedback and support should be given. The process does not involve the learner.
 - **Internal Verification records:** are correctly maintained in a secure place for 3 years after certification. We recommend that you use our standard forms for this: www.edexcel.com/quals/BTEC/quality/Pages/documents.aspx
- External verification:** you should have in place monitoring and review procedures for external verification outcomes. Procedures are required to deal with unsuccessful external verification samples.

Example: Internal Verification Policy

This is what an Internal Verification Policy might look like. You may use this as a starting point for your own policy by using those sections relevant to your centre. Customise and badge it for your centre. Specific procedures, based on your policy and relevant to your centre, should be developed.

Internal Verification Policy

Aim:

- 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 recording of internal verification decisions.

In order to do this, the centre will:

- ensure staff are briefed and trained in the requirements for the internal verification procedure
- ensure effective internal verifier roles are defined, maintained and supported
- ensure that all centre assessment instruments are verified as fit for purpose.
- internal verification is promoted as a developmental process
- verify an appropriately structured sample of assessor work from all programmes, sites and teams, to ensure centre programmes conform to the BTEC standards and external verification requirements.
- plan an annual internal verification schedule, linked to assignment plans.
- define, maintain, and support effective internal verification roles.
- ensure that identified staff will maintain secure records of all internal verification activity.
- provide standardised internal verification documentation
- use the outcome of internal verification to enhance future assessment practice.

This policy will be reviewed every *** months by ***.

Useful links

- **BTEC programme specifications:** these provide guidance on assessment for each BTEC qualification. All staff teaching on BTEC programmes should have access to the relevant specification. They are published on the Edexcel website: www.edexcel.com
- **Edexcel BTEC assessment & grading policy:** this is our policy on the application of grading criteria when assessing BTEC programmes: <http://www.edexcel.com/Policies/Pages/home.aspx>
Centre guide to assessment: Planning, Design & Delivery: a valuable resource for centres in planning, quality assuring and delivering BTEC programmes: www.edexcel.com/quals/BTEC/quality/Pages/documents.aspx

Appeals

Purpose/Scope

- To ensure that there are clear procedures for learners to enable them to enquire, question or appeal against 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 Edexcel, 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/senior management:** responsible for judging whether assessment decisions are valid, fair and unbiased.
- **Head of Centre:** responsible for submitting an appeal in writing, to Edexcel if the learner remains dissatisfied with the outcome of the centre's internal appeals procedures.

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 Edexcel's 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. Learner notified of findings and agrees or disagrees, in writing, with outcome. If unresolved, move to stage 3.
 - **Stage 3 – APPEAL HEARING:** senior management hear 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 Edexcel within 14 days of the completion of Stage 3: 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.

Example: Appeals Policy

On the following page there is an example of what an Appeals Policy might look like. You may use this as a starting point for your own policy by using those sections relevant to your centre. Customise and badge it for your centre. Specific procedures, based on your policy and relevant to your centre, should be developed.

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.
- 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 *** months by ***.

Useful links

- **BTEC programme specifications:** these provide guidance on assessment for each BTEC qualification. All staff teaching BTEC programmes should have access to the relevant specification. They are published on the Edexcel website: www.edexcel.com
- **Policy on appeals concerning BTEC & Edexcel NVQ qualifications:** this is Edexcel's policy on learner appeals. Please note, this does not apply until internal centre processes have been exhausted: <http://www.edexcel.com/Policies/Pages/home.aspx>

Plagiarism and Assessment Malpractice

Purpose/Scope

- To ensure 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.
- To ensure 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. For example, 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 the learner being made aware of malpractice policy. Learner resubmits work in question.
- **Major acts of learner malpractice:** extensive copying/plagiarism, 2nd 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:** responsible for malpractice checks when internally verifying work.
- **Quality Nominee:** required to inform Edexcel 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 learner handbook to inform about malpractice and outcomes.
 - Ensure learners use appropriate citations and referencing for research sources.
 - Assessment procedures should 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 Edexcel of any malpractice or attempted acts of malpractice, which have compromised assessment. Edexcel will advise on further action required.
 - Penalties should be appropriate to the nature of the malpractice under review.
 - Gross misconduct should refer to learner and staff disciplinary procedures.

Example: Assessment Malpractice Policy

Here is an example of what an Assessment Malpractice Policy might look like. You may use this as a starting point for your own policy by using those sections relevant to your centre. Customise and badge it for your centre. Specific procedures, based on your policy and relevant to your centre, should be developed.

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 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 following penalties / sanctions:
 - ***
 - ***
 - ***

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 learner's achievement to justify the assessment decisions made.
- failure to keep learner 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.

This policy will be reviewed every *** months by ***.

Useful links

- **Edexcel BTEC Assessment Malpractice Policy:** this is Edexcel's policy on assessment malpractice relating to BTEC programmes:
<http://www.edexcel.com/Policies/Pages/home.aspx>

Appendix: Centre and qualification approval criteria

This Appendix contains the following documents:

Section 8: Agreement by Principal or Chief Executive or Head of Centre/Institution

Section A3: Terms and Conditions

Section A3c: Ongoing Approval Conditions

Section 8: Agreement by Principal or Chief Executive or Head of Centre/Institution

- The Centre will co-operate fully with Pearson to ensure delivery of the Qualification(s) to the required standards and in accordance with all Pearson policies and procedures (including the Edexcel Information Manual) as the same may be implemented and updated from time to time. For the avoidance of doubt, 'Approval' means Pearson's approval (the terms of which having been confirmed in writing) of a Centre's delivery of any Qualification(s) and 'delivery' should be construed as widely as possible and includes all aspects of administration and assessment concerned with the delivery of any Qualification(s) or Unit to any student registered with the Centre. Approval may be withdrawn at Pearson's sole discretion in accordance with these General Terms and Conditions.
- The Centre will not undertake any activity or advertising that could bring the name of Pearson into disrepute. Prior to obtaining Approval, the Centre may only recruit students for Pearson courses through publicity clearly annotated 'subject to Pearson approval'. Potential students will be fully informed of this requirement and their registration status overtly confirmed if and when Approval has been confirmed in writing by Pearson. All advertising and marketing must comply with all applicable marketing and advertising codes and regulations, and shall not engage in any marketing practices which could be misleading to candidates.
- The Centre will be responsible for obtaining and maintaining all licences, authorities, approvals, applications or permits required by any regulatory authority, regulation or law at any time for the delivery of Pearson qualifications by the centre ('Approvals'). The centre will retain all documentation evidencing the centre's compliance with this clause and, at Pearson's request, will promptly deliver up such documentation to Pearson. The centre will be liable for the costs associated with the application, grant and maintenance of any Approvals. Pearson will provide all reasonable assistance (save for financial assistance) as may be required for the Centre to comply with this clause.
- Except as otherwise agreed in writing, all materials provided to the Centre by Pearson shall remain the intellectual property of Pearson. The Centre will not make use of any intellectual property (which shall include copyright, patents, trademarks and all similar rights subsisting anywhere in the world and whether or not registrable, 'Intellectual Property') owned by Pearson without express written consent from Pearson. Any use of Pearson Intellectual Property must be in

accordance with the Pearson or the relevant third party guidelines (if applicable). For the avoidance of doubt, copies of publicity/marketing literature related to the promotion of any Approved Qualification(s) are subject to written approval by Pearson prior to use.

- The person signing this Application is authorised to act as the Centre's contact for this Application.
- No information forming part of this Application has been plagiarised. The Centre warrants that any material forming part of this Application that is the Intellectual Property of another person or centre has been included with the express permission of that person or centre.
- The Centre will operate any required external tests in full accordance with Pearson and any UK national procedures (eg. DfES/CCEA/Ofqual/QAA) that are deemed necessary and or appropriate.
- Approval of any Qualification(s) by Pearson does not imply or guarantee that national or international public funding bodies will support that Qualification, or that it will be recognised by any national body outside of the United Kingdom. It is the responsibility of the Centre to ensure that any Qualification is suitable for local candidates.
- The Centre will regularly monitor, review and evaluate its operations, and, in any event, will do so at least on an annual basis. Findings of any review will be shared with Pearson on request. The Centre will implement quality assurance systems in accordance with the terms of written confirmation of Approval of any Qualification(s) by Pearson and any requirements communicated to the Centre by Pearson.
- Information supplied to Pearson for the purposes of registration and certification will be complete, accurate and in accordance with stipulated time requirements. Payment of student registration and service fees will be made in accordance with the Financial Arrangements set out below.
- The Centre is solely responsible to ensure prompt certification of students through submission of student details and associated payments to Pearson.
- The Centre will implement accessible and consistent assessment policies and procedures which will operate for all students registered for any Qualification(s).
- Assessment procedures operated by the Centre will be open, fair and free from bias.
- Queries about Qualification or Unit specifications, assessment guidance or related Pearson information will be resolved and recorded within service levels identified by Pearson from time to time.
- The Centre will promptly make available to Pearson and/or standards setting bodies (e.g. Ofqual/QAA) any material, record, information or document

associated with the delivery of the Qualification(s) at request. The Centre will allow Pearson and/or standards setting bodies (e.g. Ofqual/QAA) full and free access to such materials, any premises and/or students associated with any Qualification(s) for the purpose of inspection, audit or standards verification. Standards verification is the method of quality assurance used by Pearson. The Centre will bear the costs associated with Standards verification (detailed in the Price List available from Regional Office as the same may be updated from time to time) and provide, at its own expense, all such accommodation and facilities in connection with the inspection as Pearson may reasonably require.

- The Centre will not deliver any Qualification(s) at any site apart from the address stipulated above, nor will it assign or sub-contract its approval or these terms and conditions, without first obtaining the written consent of Pearson.
- The roles, responsibilities, authorities and accountabilities of the assessment and verification team have been communicated directly to all relevant employees and/or representatives of the Centre. The Centre will implement any written recommendations made by any Pearson Standards Verifier within the agreed timeframe. If Pearson is not satisfied that any such recommendation has been properly implemented, Approval may be withdrawn in accordance with clause W of these General Terms and Conditions.
- The centre must, where necessary, take all responsible steps to ensure it fully complies with Ofqual's Conditions of Recognition.
- The Centre will notify Pearson as soon as possible of any changes which may affect the Centre's ability to meet the Approved Centre criteria.
- The Centre will keep a complete copy of this Application, any relevant Proposal and the written confirmation of Approval for any Qualification for the lifetime of that Qualification.
- The Centre will retain a copy of all student assessment and internal verification records for a period of three years following certification of a student's completion of any Qualification(s). The Centre will comply in all respects with the requirements of the Data Protection Act 1998 or equivalent legislation of the jurisdiction in which it operates.
- The Centre has not been previously rejected for approval (either as a Centre in its own right or in relation to delivery of one or more qualifications) by Pearson or any other awarding body.
- If Approval is withdrawn for any reason, the Centre will be solely responsible for ensuring that students registered with the Centre are not adversely affected and that students are kept fully informed of the situation and the options open to them. The Centre accepts that no student will have redress against Pearson in these circumstances.
- Approval is subject to review at any time. Pearson has the right to terminate Approval, without any liability to the Centre or students:

- upon immediate written notice if the Centre or any employee or representative thereof breaches the terms and conditions of this Application (including non-payment of fees or provision of information as part of the Application or Proposal which turns out to be incomplete or incorrect);
 - upon written notice for any reason, including but not limited to Pearson's decision to discontinue any Unit(s) or Qualification(s);
 - upon immediate written notice if the Centre fails to implement any aspect of the Action Plan agreed with the Centre Approval and Implementation Training Officer regarding approval of the Centre. Section B7 of this application refers; or
 - if Pearson has reasonable grounds to believe that there has been malpractice and irregular conduct in breach of its Centre policies and procedures (regardless of whether Pearson has received a complaint); a
 - if Pearson has reasonable grounds to believe that the Centre (or any of its employees or representatives in the course of acting for the Centre) has breached any applicable law or regulation, including the provision of any anti-bribery legislation.
- Except for any liability which cannot be excluded or limited by law, Pearson shall not have any liability for indirect or consequential loss suffered by the Centre.
 - Notwithstanding this, Pearson's liability under these terms and conditions shall be capped at the value of payments it has received from the Centre in the 12 months prior to the rise of such liability.
 - The Centre shall fully indemnify Pearson for all loss and damage suffered as a result of any act or omission of the Centre, including any breach of these terms, and any claim against Pearson by a candidate registered at the Centre in relation to a breach by the Centre of these terms.

Section A3: Terms and Conditions

- The centre will be subject to a credit check at the Approval stage. A credit account will only be offered subject to a satisfactory credit check. In all other cases, all payments from the Centre to Pearson will be required in advance. Pearson shall be entitled to revoke any credit account at anytime.
- Centres that are granted a credit account pursuant to (A) will make payments for all products and services purchased from Pearson within thirty (30) days from the date of the invoice. These will include Approval Fees, Student Registration Fees and Standards verification costs. Payments outside of the time limit set out in this clause will be deemed "Late Payment".
- The Centre will register all students within 60 days of their being enrolled by the Centre with the exception of courses/qualifications that are of less than 2 months duration. In such circumstances the Centre must register students before they have reached the midpoint of their course. Registrations received within 60 days of student enrolment will not be subject to a Late Fee.

- The Centre will be charged a late fee, as identified below, for each registration not made within the time limit identified at 'C' above.
- Registrations received between 61-90 days after student enrolment at the centre will be charged 1.25 x the registration fee.
- Registrations received between 91-120 days after student enrolment at the centre will be charged 1.50 x the registration fee.
- Registrations received 121+ days after student enrolment at the centre will be charged 2 x the registration fee.
- The Centre will make any requests for student deletions within ninety (90) days of initial enrolment at the Centre. Student deletions will not be effected outside of this time limit. Pearson shall be entitled review all requests for student deletions and ask for reasonable evidence supporting the deletion prior to such deletion being effective.
- The Centre will make any requests for student deletions within ninety (90) days of initial enrolment at the Centre. Student deletions will not be effected outside of this time limit. Pearson shall be entitled review all requests for student deletions and ask for reasonable evidence supporting the deletion prior to such deletion being effective.
- The Centre will make payment for all products and services purchased from Pearson within thirty (30) days from the date the invoice. These will include Approval Fees, Student Registration Fees and Standards verification costs, as set out in the Price List available from your Regional Office. All certificates and materials to the Centre are property of Pearson until such time as the relevant payment is received. Where the Approval is withdrawn under Section A3a (W), Pearson shall be entitled to immediate payment of any sums owed by the Centre.
- Pearson reserves the right to charge interest at the rate of 8% per annum on all Late Payments.
- As a result of a Late Payment, Pearson may, at its discretion, impose penalties on the Centre, including (but not limited to) blocking further registrations or terminate its Approval under Section A3a (W).
- If a debt relating to any Qualification is owed to a Centre by a student registered for that Qualification at that Centre, the Centre will not be entitled to withhold from that student any relevant result or certificate without the prior written consent of Pearson.

Section A3c: Ongoing Approval Conditions

Human resources

- The Centre will ensure, that it always has sufficient and appropriately qualified personnel to deliver and assess the Qualification(s) for which approvals are being sought.

- All qualification personnel have undertaken planned staff development and a system is in place to ensure ongoing staff development and updating.

Physical resources

- The Centre has ALL the required resources as identified within the individual unit specification(s) for those units the Centre will be delivering.
- There are sufficient resources available to students undertaking the qualification(s).

Assessment

- The Centre will have an assessment strategy for the qualification applied for. This will include:
 - Assessment timetable.
 - Internal verification of assignment briefs and assessment decisions.
 - Recording and tracking of the assessment process.

Internal verification of assessment decisions

- The Centre will ensure the consistency of assessment decisions across all aspects of the assessment process and across all assessors through internal verification.

Student Support

- Support will be offered to students for the Qualification(s) in relation to:
 - Development opportunities.
 - Induction qualifications, including initial assessment and guidance.
 - Support for students with special assessment requirements.
 - Access to assessors.
 - Accreditation of prior learning.
 - Progression to further study.

