



# Stevenage ESC

## NON EXAMINATION ASSESSMENT POLICY

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## **Responsibilities**

### **Headteacher**

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.

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.

Responsible for any investigation into allegations of malpractice.

### **Exam Officer**

Responsible for timely, accurate and valid registration, transfer, withdrawal and certificate claims for learners.

### **Quality Nominee**

Responsible for coordinating and monitoring the learner details held with the awarding body.

The Quality Nominee ensures that Centre internal verification and standardisation processes operate, acts as the centre coordinator and main point of contact for BTEC and NCFE programmes. The Quality Nominee ensures the awarding body quality assurance reports are monitored and any remedial action is carried out.

Required to inform the awarding body of any acts of malpractice.

### **Senior Leadership**

Responsible for overseeing the registration, transfer, withdrawal and certificate claims for learners to ensure that awarding body deadlines are met.

Responsible for judging whether assessment decisions are valid, fair and unbiased.

Responsible for carrying out assessment to national standards. The assessor provides feedback to learners; assures the authenticity of learner work; records and tracks achievement.

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.

Responsible for designing assessment opportunities which limit the opportunity for malpractice and for checking the validity of the learner's work.

### **Internal verifier/moderator**

A member of staff able to verify assessor decisions, and validate assignments. The Internal Verifier records findings, gives assessor feedback, and oversees remedial action.

Responsible for judging whether assessment decisions are valid, fair and unbiased.

Responsible for malpractice checks when internally verifying work.

### **Lead Internal Verifier/Moderator**

By registering with the awarding body, has access to standardisation materials which may be used with assessors to ensure that national standards are understood. The Lead Internal Verifier/Moderator must agree and sign off assessment and internal verification/moderation plans.

A member of the programme team who oversees the implementation of an effective internal verification/moderation centre system in their subject area. The Lead Internal Verifier/Moderator is required to register annually and undergoes the necessary standardisation processes.

Responsible for malpractice checks when internally verifying work.

## **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.

## **Registration and 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.

## **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 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 qualification programme teams.

The tutor will decide when the learner is fully prepared to undertake the assessment. Once learners are working on assignments which will be submitted for assessment, they will work independently to produce and prepare evidence for assessment.

Before starting an assessment, the tutor will ensure that each learner understands the:

- Assessment requirements.
- Nature of the evidence they need to produce.
- Importance of time management and meeting deadlines.

Once the learner begins work for the assessment, the tutor will not:

- Provide specific assessment feedback on the evidence produced by the learner before it is submitted for assessment.
- Confirm achievement of specific assessment criteria until the assessment stage.

Only one submission will be allowed for each assignment. The assessor will formally record the assessment result and confirm the achievement of specific assessment criteria.

Each learner must submit:

- An assignment for assessment which consists of evidence towards the targeted assessment criteria.
- A signed-and-dated declaration of authenticity with each assignment which confirms they have produced the evidence themselves.
- Formally record and confirm the achievement of specific assessment criteria.
- Complete a confirmation that the evidence they have assessed is authentic and is the learner's own work.

The Assessor will not:

- Provide feedback or guidance on how to improve the evidence to achieve higher grades.

It may be appropriate for the Lead Internal Verifier to authorise one opportunity for a learner to resubmit evidence to meet assessment criteria targeted by an assignment.

The Lead Internal Verifier/Moderator will only authorise a resubmission if all of the following conditions are met:

- The learner has met initial deadlines set in the assignment, or has met an agreed deadline extension.
- The tutor judges that the learner will be able to provide improved evidence without further guidance.
- The assessor has authenticated the evidence submitted for assessment and the evidence is accompanied by a signed- and-dated declaration of authenticity by the learner.

If a learner has not met the conditions listed above, the Lead Internal Verifier will not authorise a resubmission.

If the Lead Internal Verifier/Moderator does authorise a resubmission, it must be:

- Recorded on the assessment form.
- Given a deadline for resubmission within 10 working days\* of the learner receiving the results of the assessment [\* the 10 working days will be within term time, in the same academic year as the original submission.
- Undertaken by the learner without further guidance.

Retakes of internally assessed units are therefore not available to learners studying BTEC Firsts and Nationals on the NQF.

Ensure that awarding body assessment methodology and the role of the assessor are understood by all qualification staff.

provide resources to ensure that assessment can be performed accurately and appropriately.

## **Internal Verification/Moderation Policy**

### **Aim:**

- To ensure there is an accredited Lead Internal Verifier/Moderator in each principal subject area.
- To ensure that Internal Verification/Moderation is valid, reliable and covers all assessors and programme activity.
- To ensure that the Internal Verification/Moderation procedure is open, fair and free from bias.
- To ensure that there is accurate and detailed recording of Internal Verification/Moderation decisions.

### **In order to do this, the Centre will ensure that:**

- Where required by the qualification, a Lead Internal Verifier/Moderator is appropriately appointed for each subject area, is registered with the awarding body and has undergone the necessary standardisation processes.
- Each Lead Internal Verifier/Moderator oversees effective Internal Verification/Moderation systems in their subject area.
- Staff are briefed and trained in the requirements for current Internal Verification procedures.
- Effective Internal Verification/Moderation roles are defined, maintained and supported.
- Internal Verification/Moderation is promoted as a developmental process between staff.
- Standardised Internal Verification/Moderation documentation is provided and used.
- All centre assessment instruments are verified as fit for purpose.
- An annual Internal Verification/Moderation schedule, linked to assessment plans, is in place.
- An appropriately structured sample of assessment from all programmes, units, sites and assessors is Internally Verified/Moderated, to ensure centre programmes conform to national standards.
- Secure records of all Internal Verification/Moderation activity are maintained.
- The outcome of Internal Verification/Moderation is used to enhance future assessment practice.

## 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.

## Appeals Process - Learners

This document gives an account of the appeals procedure for Learners:

Candidates' work will be marked by staff who have appropriate knowledge, understanding and skill, and who have been trained in this activity. SESC is committed to ensuring that work produced by candidates is authenticated in line with the requirements of the awarding body. Where a number of subject teachers are involved in marking candidates' work, internal moderation and standardisation will ensure consistency of marking.

On being informed of their Centre assessed marks, if a candidate believes that the above procedures were not followed in relation to the marking of his/her work, or that the assessor has not properly applied the mark scheme to his/her marking, then he/she may make use of this appeals procedure to consider whether to request a review of the Centre's marking.

- SESC will ensure that candidates are informed of their Centre assessed marks so that they may request a review of the Centre's marking before marks are submitted to the awarding body.
- SESC will inform candidates that they may request copies of materials to assist them in considering whether to request a review of the Centre's marking of the assessment.
- SESC will, having received a request for copies of materials, promptly make them available to the candidate within two calendar days.
- SESC will provide candidates with sufficient time in order to allow them to review copies of materials and reach a decision.
- Requests for reviews of marking **must** be made in writing within three days of receiving copies of the requested materials by completing the **Internal Appeals Form** attached.
- SESC will allow two days for the review to be carried out, to make any necessary changes to marks and to inform the candidate of the outcome, all before the awarding body's deadline.

- SESC will ensure that the review of marking is carried out by an assessor who has appropriate competence, has had no previous involvement in the assessment of that candidate and has no personal interest in the review.
- SESC will instruct the reviewer to ensure that the candidate's mark is consistent with the standard set by the Centre.
- The candidate will be informed in writing of the outcome of the review of the Centre's marking.
- If the candidate is not happy with the written response they have received, then they will be entitled to a personal hearing. Reasonable notice will be given of the hearing date and the candidate will have sight of all the relevant documents (eg. The marks given, the assessment made) to the case in advance of the hearing.
- Where a candidate is presenting their own case, they will be allowed to be accompanied by a (single) carer/friend. The teacher(s) and the candidate will have the opportunity to hear each-others submission to the panel at the hearing.
- The Appeals Panel will comprise at least two individuals who had not previously dealt with the particular case, such as the Headteacher and a Governor.
- The outcome of the review of the Centre's marking will be made known to the Headteacher and will be logged as a complaint. A written record will be kept and made available to the awarding body upon request. Should the review of the Centre's marking bring any irregularity in procedures to light, the awarding body will be informed immediately.
- After candidates' work has been internally assessed, it is moderated by the awarding body to ensure consistency in marking between Centres. The moderation process may lead to mark changes. This process is outside the control of SESC and is not covered by this procedure.

## Appeals Procedure – Assessors and Internal Verifiers

This document describes the appeals procedure for Assessors and Internal Verifiers:

**The initial submission and feedback procedure is described in steps 1 - 6 of the learners' copy of the appeals procedure. If the learner is not happy with the grade given, then the assessor should follow the following steps:**

- **Resubmission** - If the assignment is submitted for re-marking, inform the Quality Assessor in writing. The Quality Assessor is a member of SLT who has ultimate responsibility for the appeals process.
- **Re-marking** - The Quality Assessor will arrange for two Internal Verifiers to re-mark the assignment. Their decision is final unless the learner or parent wants to appeal to Awarding Body. This decision will be given to the assessor in writing.
- **Clarification meeting** - The Centre Co-ordinator will organise a meeting with the Learner, the Assessor and an Internal Verifier when the decision will be given and explained to the learner. He/she may have a parent, guardian or friend with them at this meeting if they wish.
- **Timescale** - The re-marking and clarification meeting should take place within two weeks of resubmission.
- **Records** - A copy of all written decisions will be kept by the Centre Coordinator and given to the Headteacher for school records.
- Full details of any appeal must be made available to Awarding Body on request.
- **Appeal to exam board** - If the learner or parent is still unhappy with the outcome they can appeal to the exam board via the Headteacher and including full documentary evidence for the appeal. Full details of the procedure are in the Appeals Procedure Policy from Awarding Body.

Awarding body must be informed if any outcome of an appeal has implications for the conduct of assessments or the issue of results.



## **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 external awarding body qualifications.

### **In order to do this, the Centre will:**

- Seek to avoid potential malpractice by using the induction period and the learner course summary document 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 Headteacher 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
  - Gives 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 may apply the following penalties / sanctions:

- Withdrawal from all examinations.
- Withdrawal from the Named Awarding Body Examination.
- Cancellation of the Unit.
- Cancellation of the Assignment.
- Repeat of the assignment.

### **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.

## Vocational Centre recognition criteria

### ESC will:

- Co-operate fully with the awarding body
- Research the need for and obtain, prior to the delivery of any programme, at its own responsibility and expense all necessary licences, permissions or other form of authorisation required to operate as a centre in the jurisdiction in which the centre seeks approval. The Awarding Body disclaims all liability in connection with and arising from the need for and procurement of or failure to procure any and all such licences, permissions or authorisations
- Not undertake any activity or advertising that could bring the name of the awarding body into disrepute
- Not use awarding body and or JCQ/Ofqual/SQA/QAA and other relevant Standards Setting Body name or logos without consent from the owner
- Not deliver any awarding body approved qualifications at any other address than that, without prior authorisation from The awarding body
- Adhere to all of the awarding body, JCQ/Ofqual/SQA/QAA and other relevant Standards Setting Body policies and procedures, and terms and conditions for continued Centre Recognition, as amended from time to time, and whether provided in hard copy or made available on the relevant body's website
- Fully indemnify the awarding body for all loss, damage, costs and expenses (including legal fees) caused by my organisation's breach of the policies and procedures
- Retain a copy of the centre approval application for the validity of recognition once approval has been granted
- Fully support the awarding body centre/qualification monitoring process, including, but not limited to, allowing nominated representatives of the awarding body, full access to all relevant records, premises and learners
- Assist the awarding body and/or Ofqual/JCQ/SQA/QAA and other relevant Standards Setting Body in any investigations being conducted by them and provide them with all information or documentation they request as soon as practicable
- retain evidence of current learner work, and retain records of assessment and internal verification records for a minimum period of three years following certification of the learner
- Deliver qualifications in accordance with the law including any relevant Equalities, anti-discrimination, Copyright, Freedom of Information Acts and Data Protection laws
- Operate required internal/external assessments in full accordance with the awarding body and JCQ/Ofqual/SQA/QAA and other relevant Standards Setting Body policies and procedures
- Monitor, review and evaluate our operations, policies and procedures and keep auditable records
- Monitor the approval and accreditation period for all of the qualifications approved and seek re-approval as and when required
- Commit sufficient managerial and other resources to allow it to efficiently and effectively undertake the delivery of the awarding body qualification(s)

## **Recording Documentation**

Recording of achievement is to be done on the templates found in the shared area.

Following the launch of the BTEC / NCFE Courses, the following pro-formas will be used for the organisation of the courses delivered. These will be implemented for the new courses and subsequent assignments and units for all qualifications.

The following templates, as a minimum, are to be adopted across all subjects delivering BTEC / NCFE courses from September 2018 onwards.

### **Pearson (BTEC)**

Assessment Plan  
Assignment Brief  
Internal Verification of Assignment Brief  
Internal Verification of Assessment Decisions  
Assessment Record Sheet.  
Learner Assessment Submission and Declaration  
Internal Verifier Declaration  
Recording of Minutes

### **NCFE (Functional Skills Speaking, Listening and Communication)**

Discussion Outcome  
Learner Assessment Record  
Recording of Minutes  
Scheme of Work  
Internal Quality Assurance Sampling Plan and Tracking Sheet  
Internal Quality Assurance Feedback Report

### **NCFE (Level 1 Certificate Art and Design)**

Assessment Plan  
Assessment Tracking Sheet  
Assessor Feedback to Learners  
Evidence and Grading Tracker  
Learner Evidence Tracking Log  
Record of Learner Observation  
Internal Quality Assurance Feedback Report  
Internal Quality Assurance Sampling and Tracking Sheet.  
Recording of Minutes.

## **Retaining Documentation**

Internal Verification documentation, along with the assessment tracking documents are stored securely for a minimum of three years after the date of certification. Learner work is retained for 12 weeks after the date of certification.

