

SPECIALIST EDUCATION SERVICES

Internal Procedures Relating to Qualifications and Examinations

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1 REGISTRATION AND CERTIFICATION

SES: Internal Procedures Relating to Qualifications and Examinations: 1125

Each Awarding Body has their own Information Manual providing guidance and information regarding approval, registration and certification. Avocet House are currently an approved centre with AQA, Pearson, TQUK and NCFE and Turnstone House with AQA, Pearson and NCFE; all necessary documentation is available online for the Examinations Officer.

The Head of Education for each site acts as the Head of Centre for their respective sites with one appointed Exams Officer who works across both sites. The Head of Education must not be appointed as the Examinations Officer, in accordance with General Regulations for approved Centres which is updated annually. It is their role to complete an annual update of the centre structure in the autumn term for each Awarding Body.

Each year the Head of Centre will ensure that they are aware of and adhere to the latest JCQ regulations. When approved to offer General Qualifications, The Head of Centre will confirm this in the NCNR Annual Update, a copy of this will be held in the exams file for inspection. The NCNR update is not applicable whilst centres are only offering Vocational Qualifications.

Students are recruited to appropriate programmes through ongoing assessment processes, taking full account of their ability and need. Prior to commencing any qualifications, annual baseline assessments are completed for students in both English and Mathematics. These indicate their level of learning prior to starting the course. The highly personalised learning received by all students ensures that there is integrity and clarity about the suitability for courses.

Student registration, assessments and certificate date records are maintained in Awarding Body exams file.

2 ADMINISTRATION OF TESTS, SECURITY AND VIGILANCE

The Examinations Officer receives details about the appointment of a Standards Verifier from the Awarding Body (where required, e.g. Pearson) and will liaise with the appropriate programme managers and internal verifiers. The Examinations Officer ensures that the standards verification sampling progresses smoothly for each subject area.

The Head of Education and Deputy Head of Education act as Programme Managers for the subjects offered at Avocet House and Turnstone House. They, along with the Examinations Officer are responsible for adhering to the administration, security and vigilance guidelines set by each Awarding Body, and must ensure practice is in line with the Instructions for Conducting Examinations (ICE) produced by the JCQ (Joint Council for Qualifications) which is updated annually. All JCQ documentation is available on their external website and mandatory policies within the examinations file.

The Curriculum Manager (a responsibility shared by the Head and Deputy Head of Education) is also responsible for:

- the management of the qualification
- ensuring that all tutors are familiar with the appropriate guidance documentation and assessment information
- liaising with the Standards Verifier
- preparing all relevant assessments and where a visit takes place arranging for a suitable room for the Standards Verifier to use
- arranging the feedback to the teaching team following sampling
- providing appropriate documentation and evidence that explains the quality standards for safe certification and the internal verification processes that are in place.

The Programme Manager ensures that all tutors, assessors and those undertaking internal verification have access to:

- the full programme specification for the subject
- relevant information from the appropriate handbook, quality standards policies and centre procedures and other guides and policy documents issued by the Awarding Body.

Timetabling for all examinations and controlled assessments are conducted by the Head of Education. A designated space in each Learning Centre is used for examinations, unless additional support such as a scribe or reader is required. On these occasions the whole building would be utilised and all other students are prevented from entering the Learning Centre until examinations are completed.

A log is maintained in the main office area to record the delivery of any question papers and other examination materials. All question papers and other examination materials are kept within the safe located in the roof space above the Registered Manager's office at Avocet House and within the safe located in the basement at Turnstone House. The only exception to this is for FS Entry Level Papers, which are downloaded using a username and password on a secure area of the Awarding Body Website, and copied on the day of testing. On completion they are kept in safe storage, with unsuccessful papers being shredded. If any other student needs to complete the same level of test within a two week period, a different set would be downloaded from the secure website.

Instructions for Conducting Examinations are described in detail in the JCQ ICE guide, which is updated annually and fully explained to all staff involved in assessments. A copy of this booklet is provided for all invigilators during examinations. Invigilators are provided with training from the Head of Centre prior to examinations, to ensure they fully understand the instructions on 'Invigilation Arrangements' within the JCQ ICE document. A record of training is kept in the examinations file and available for inspection. A telephone is always available for Invigilators during examinations to request support if required.

There is a comprehensive checklist for all adults in the lead up to examinations (located in the examinations file), and this summarises all the key actions and points from the JCQ Information. It is the responsibility of the Programme Manager to ensure all appropriate stationery and materials are provided. The JCQ Warning to Candidates, Unauthorised Items posters are displayed both inside and outside

the examinations room. These are also explained to students prior to the day of the examination. Clear notices are displayed on all doors leading into the Learning Centre on the day of an examination to alert both adults and students to the ongoing exams along with the JCQ Notice to Centres: The people present in an examination room. These state which areas are restricted to other students and adults.

Student attendance is completed on the day of testing and these records are maintained in the examinations file. This ensures all details are checked on the day, including student name, date, signature, test, code of test and Invigilator signature. A basic seating plan is also completed to allocate a space for each student.

Leaving an examination is conducted as per JCQ guidelines. Due to the high staff ratios, students will be assigned an adult and will normally stay within the Children's Home until the necessary time has elapsed if they leave the examination for any reason. On rare occasions, they may be allowed to go for an accompanied walk within the local countryside.

For GCSE examinations the Head of Education or Deputy Head of Education must produce written evidence confirming the need for rest breaks is well-established and represent the candidates normal way of working.

All completed examination papers are collected and passed to the Examinations Officer who ensures they are packed appropriately with the attendance register and are put into safe storage. Parcel Force will collect the papers as arranged prior to the examinations being conducted.

2.1 ACCESS ARRANGEMENTS

The Examinations Officer, Head of Education and Deputy Head of Education will ensure that access arrangements for examinations are supported by relevant evidence as described in the JCQ documentation 'Adjustments for candidates with disabilities and learning difficulties' which is updated annually, this may be supported by current EHC plans. However, these documents must be supported by additional centre-based evidence. Evidence should be produced by a Level 7 or equivalent specialist assessor. The specialist assessor should complete JCQ Form 8 (Profile of learning difficulties) and sign this by hand. Access arrangements should be completed within the deadlines by the Awarding Body and JCQ.

The Head of Centre/ Examinations Officer will work alongside the specialist assessor and teaching staff to identify the most appropriate format of modified papers.

2.2 USE OF WORD PROCESSORS IN EXAMINATIONS

Use of a word processor (computer, laptop or tablet) will only be permitted for those candidates that have a firmly established need, it reflects the candidate's normal way of working and by not being awarded a word processor would be at a substantial disadvantage to other candidates. Access arrangements will be applied for by the Head of Centre to the Awarding Body following the JCQ AARA guidelines.

The use of a word processor in an examination or assessment will strictly adhere to the JCQ guidelines (ICE and AARA) to ensure that the candidate does not have an unfair advantage. This will be achieved by disabling spelling and grammar checkers, connectivity to the internet and removing any stored material from the device.

3 INTERNAL ASSESSMENT (INCLUDING CONTROLLED ASSESSMENT AND NON EXAM ASSESSMENT)

As stated in the previous section, tests and assessments are conducted in line with the JCQ Instructions for Conducting Examinations document. In the event of an unusual incident occurring, these would be noted in a log kept within the examinations file. Any access arrangements or special considerations for students are completed by the Head of Centre at the start of the academic year using Access Arrangements Online. Where appropriate, assessments relating to access arrangements will be completed by the Consultant (qualified psychologist). When granted, access arrangement documentation for the current year is located within the examinations file.

Subject Leaders prepare candidates for examinations by using supplied past or specimen papers located on Awarding Body online facilities. These are accessed by the Head of Education or Deputy Head of Education using a secure username and password; these vary according to the awarding body. Once marked a decision is taken as to whether students are ready for live material.

Controlled assessment is conducted in line with the JCQ document 'Instructions for Conducting Controlled Assessment'. Additionally, the Examinations Officer and subject leader(s) will adhere to the regulations set by awarding bodies. Further details on managing controlled assessment can be found in the Outlining Staff Responsibilities and Risk Management Process, located in the appendices.

Non-exam assessment is conducted in line with the JCQ document 'Instructions for conducting non-examination assessments. Additionally, the Examinations Officer and subject leader(s) will adhere to the regulations set by awarding bodies

Appeals against assessment decisions are conducted in line with the SES 'Internal Academic Qualifications Appeals Procedure Policy and Practice'.

4 RECOGNITION OF PRIOR LEARNING (RPL)

Recognition of Prior Learning (RPL) is a method of recognising previous learning or attainment to meet current requirement. This can include a method of assessment leading to the award of credit that considers whether learners can demonstrate that they can meet the assessment requirements for a unit through knowledge, skills and understanding they already possess and so may not need to develop these through a course of learning.

4.1 APPLYING RECOGNITION OF PRIOR LEARNING

RPL can demonstrate competence or achievement within a unit or qualification. Through the RPL process, evidence of a learner's previous achievement (learning) is assessed against the assessment criteria of a unit.

Evidence used by learners must be current and valid and meet the assessment criteria of the qualification, and evidence must be reliable, whereby centres consistently arrive at equivalent assessment decisions.

Evidence obtained through RPL must therefore meet the same rigorous quality criteria that other assessment methods must conform to. It remains the role of Assessors and quality assurance staff to ensure that evidence is:

Valid:

Does the evidence genuinely demonstrate that the demands of the assessment criteria have been met? For RPL, currency of evidence will be of particular concern. Does, for example, the evidence meet current practice requirements.

Authentic:

This involves consideration of whether the evidence being assessed is genuinely the work of the learner. For example, the evidence may have been produced by somebody else, or may be the result of the work of a team. In the latter case, this would be acceptable if the assessment criteria were related to team / joint working, but not if it was being used as evidence of an activity which should have been carried out individually.

Sufficient:

There must be enough evidence to fully meet the requirements of the assessment criteria, or assessment criteria being considered. If there is insufficient evidence to fully meet requirements, then evidence obtained through RPL must be complemented by evidence gained through other suitable assessment method(s) before requirements can be said to have been met.

Reliable:

The evidence obtained through RPL should be such that an Assessor would arrive at the same assessment decision, were the assessment to be repeated.

The subject lead will be responsible for the assessment of all evidence to be included as RPL for a particular qualification. The IQA will verify the RPL meets the above criteria.

A record of all exemptions for RPL will be kept in the Examinations file maintained by the Exams Officer.

5 CREDIT ACCUMULATION AND TRANSFER (CAT)

CAT should be considered as a separate process to RPL as CAT applies to learning that has been previously certified for a different regulated qualification or from a different Awarding Organisation on the same framework (RQF or QCF). This is to prevent a learner from having to unnecessarily repeat previous learning.

Where a learner has already achieved a unit with credit, SES will recognise that prior learning and will allow the credit to be transferred onto a new qualification, provided that the units have the same Ofqual reference number.

5.1 APPLYING CREDIT ACCUMULATION AND TRANSFER

Credit accumulation and transfer (CAT) is the system by which learners can accumulate and transfer credits over a period of time, in differing locations and contexts, to gain qualifications. Credit transfer is the process of using credit(s) awarded in the context of one qualification or awarded by a different awarding organisation towards the achievement requirements of another qualification. CAT is therefore the term used to describe the system which supports credit transfer. Credit transfer gives recognition to the fact that some units are the same, irrespective of the fact that they appear in different qualifications. This recognition promotes progression within and between industries and avoids unnecessary duplication of learning.

Credit transfer is relevant where a unit in a qualification is the same as a unit in another qualification with the same qualification assessment number.

The Exams Officer will be responsible for applying for any applicable credit transfer.

Further information on RPL and CAT are detailed in the appendix (page 41)

6 INTERNAL VERIFICATION/QUALITY ASSURANCE

Due to the small size of the teaching staff, the lead internal verifier for a subject area is often in the dual role of programme leader. In most cases, a single member of the teaching team will deliver assignments and assessments. To ensure quality and standards are maintained, the Head of Education oversees the verification of test marking and/or assignment briefs. In the case of the Head of Education setting an assignment, or verifying their own assessment decisions, the Deputy Head of Education will check the decisions and provide feedback.

The Head of Education and Deputy Head of Education set an annual timetable for internal verification of all subjects. This is completed in consultation with teaching staff. In BTECs, the Head of Education and Deputy Head of Education both act as Lead Internal Verifiers for at least one principal subject area. Regular half-termly meetings ensure a level of competency in the assessment of qualifications offered.

The Head and Deputy Head of Education are dually responsible for planning and leading standardisation training for teaching colleagues. This will utilise materials published by Awarding Bodies on their websites, and as referred to in their quality assurance handbooks. This is likely to be combined with internal verification training due to the small size of the team.

The Head of Education meets with individual subject leaders on a systematic schedule to support their work in assessing their areas. Records of these discussions are kept within the examinations file located in the Head of Education office. Colleagues are released for appropriate training through Awarding Bodies where appropriate.

An Internal Verification schedule is set for all subjects at the start of the academic year by the Head of Education in consultation with other internal verifiers. This

identifies the dates for standardisation exercises, prior to regular monitoring of test delivery. These discussions are recorded with feedback provided to assessors by the Head of Education. Due to the small cohort sizes, all students' performance is sampled.

Prior to commencing a new academic year, all assessors must become familiar with copies of test papers, instructions and mark schemes, the identified resources/equipment/facilities, as specified on the test papers, and a copy of the Guidance and instructions for conducting the tests.

6.1 BTECs

A defined quality assurance process is in place for the delivery of BTECs. As most subject areas are led and taught by one adult, assignment briefs are therefore verified by an adult who is an internal verifier in another BTEC area prior to use. This is overseen by the Head of Education. Once completed, they are submitted for assessment with a student declaration form. Feedback is provided for both the assessor and student, with records maintained for this in the BTEC file. Start and completion dates are clearly defined for all BTEC assignment briefs; if the student misses the date, they are required to meet with the Head of Education to discuss possible extensions due to a range of circumstances. If following discussion further deadlines are not met, the student's work may be withdrawn, with a new unit chosen, or a repeat offered after a six month period.

Due to the personalised education offered at, a clearly defined procedure is followed to develop appropriate assignment briefs. This can be summarized in six key steps:

- Step 1 Teacher/student identify a unit they would like to work on (if not mandatory)
- Step 2 With an adult, the suggested activities are checked as well as additional ideas, along with assessment criteria. Decisions upon the nature of activities they would like to cover are taken.
- Step 3 The adult completes the assignment brief, with clearly marked assessment criteria and evidence.
- Step 4 The completed assignment brief is then verified by the internal verifier for that BTEC area.
- Step 5 Student completes the unit.
- Step 6 Assessment decision of learner's work made by assessor.
- Step 7 Assignment is passed to IV for verification once it is completed. Lead internal verifiers are required to complete the online OSCA (Online Standardisation for Centre Assessors) training through the Pearson website when delivery Functional Skills English. For other BTEC qualifications, Pearson publish standardisation materials. Standardisation training/meeting minutes should be kept in the examinations file.

A log is maintained of the qualifications and units completed by students. Records of completed assignment briefs and assessment decisions are kept for seven years in the BTEC file.

7 MALPRACTICE

The JCQ document 'Suspected Malpractice Policies and Procedures' is referred to whenever there is any concern around malpractice or conduct. All adults involved in conducting examinations are responsible for reporting suspected malpractice to the Head of Centre. It is the responsibility of the Head of Centre to liaise with the Awarding Body to inform them of suspected malpractice and ongoing investigation. This would be completed in line with SES policies and procedures. If the suspected malpractice implicated the Head of Centre, representation would be made to the Principal. Copies of the JCQ Forms M1, M2 and M3 for reporting malpractice are kept in the examinations file.

During examinations or when completing controlled assessments, students are supervised by an appropriate adult who will ensure they have a full understanding of all aspects of malpractice. This will be by following the JCQ ICE appendix 5 and 6 'Information for Candidates' documents. If they contravene the guidelines in any manner that can be construed as gaining an advantage or disrupting others, they are withdrawn from the test following one warning. The only exception to this would be if the breach was deemed at such a level to immediately withdraw the candidate. This is logged and records maintained in the examinations log.

In the case of a GCSE qualification, the student would be offered one re-sit for the appropriate terminal paper. If any further malpractice was encountered they would be withdrawn from the course.

For BTEC and vocational qualifications, the malpractice procedures are as follows: On the first occasion of malpractice, for example, plagiarism, the student is warned and all work for the unit is discounted. They are able to complete the work for the unit on one further occasion; however, any further malpractice would result in the unit being withdrawn. If there is any subsequent malpractice within the BTEC subject area, the student would be withdrawn from the whole qualification. Prior to commencing the qualification, students are briefed on these requirements and consequences.

7.1 AI USE IN ASSESSMENTS

The potential use of AI (artificial intelligence) in assessments will be managed in accordance with the JCQ 'AI Use in Assessments: Protecting the Integrity of Qualifications' Revision two April 2025. All teachers, assessors and other staff will discuss the use of AI in qualification assessments with candidates to ensure JCQ guidelines are followed. It will be clearly defined when and where AI can and cannot be used and how to correctly acknowledge the use of AI in their work. All candidates will be made aware of how the use of AI generated content could impact their marks and final grades even when acknowledged correctly. The misuse of AI will be treated as malpractice.

If the use of AI is suspected by the teacher marking the assessment they will take steps to confirm this by comparing the assessment work to previous work of the student looking at spelling and punctuation, grammar, writing style and tone and vocabulary. If the use of AI is confirmed and the candidate has not signed the declaration of authenticity it does not need to be reported to the Awarding Body but if the declaration has been signed by the candidate, a formal malpractice declaration must be submitted using the JCQ form M1.

8 CENTRE EMERGENCY EVACUATION PROCEDURE

In the event of an emergency event during an examination please refer to the JCQ “Centre Emergency Evacuation Procedure for Examinations”. This should also be displayed in an appropriate location in examination rooms during examinations.

9 CONFLICTS OF INTEREST

All reasonable steps are taken to ensure that any conflicts of interest in relation to the delivery and awarding of examinations/assessments are identified, recorded and managed effectively.

Where any member of staff who has access to privileged information, or is responsible for making decisions about assessment outcomes, could, potentially, use that information, or their position, to give an unfair advantage to students with whom they have a relationship with, appropriate action will be taken by the Head of Centre. This action will be in accordance with the JCQ documents - General Regulations for Approved Centres, 1 September 2025 to 31 August 2026 using the appropriate reporting forms published by the JCQ.

We will also carefully consider the need if necessary to separate duties and personnel to ensure fairness in later process reviews and appeals.

10 CONTINGENCY PLAN

In the event of unforeseen circumstances that could impact all aspects of the exam cycle, SES will implement a contingency plan to ensure candidates are not disadvantaged in any way. The two SES sites (Avocet House and Turnstone House) are only a few miles away from each other and in most instances can be used as a backup to each other.

10.1 EXTENDED ABSENCE OF KEY STAFF

In the event of a member of the exams team being absent for an extended period of time, their duties can be fulfilled by either the Head of Centre, Deputy Head of Education or in their absence the Principal. There is also scope for support between sites.

10.2 FAILURE OF IT SYSTEMS

Due to the small size of each site in terms of students, SES does not use an MIS to enter candidates for exams, therefore exam entries can be completed at an alternative location through a web browser should the need arise. For internet related issues for online assessments, the awarding body would be notified and a request made to use SES's other site for the candidate to sit the online assessment.

10.3 EXAM ROOMS AND CENTRE CLOSURE

If the centre had to close due to unforeseen circumstances out of its control such as flooding or fire, the awarding body would be notified and a request made to use SES's other site. This would also be the case if there was a lack of suitable exam rooms.

10.4 INVIGILATORS

The Learning Centre teams on both sites complete annual invigilator training with records kept in accordance with the JCQ ICE guidance. Due to the small size of each site and the limited number of exams on any given day, it should always be possible to ensure there is a suitably qualified invigilator. If all Learning Centre staff have at some point acted as a teacher for the candidate in the exam subject, then an invigilator can be used from our other site.

10.5 EMERGENCY EVACUATION OF EXAM ROOM

Any emergency evacuation will be dealt with in accordance to the JCQ Emergency Evacuation Procedure with the awarding body being notified.

10.6 DISRUPTION IN THE DISTRIBUTION OF EXAMINATION PAPERS

In the event of any disruption, arrangements will be made with exam boards for alternative means of receiving papers, e.g. electronically or alternative courier.

11 **APPENDICES**

- Examinations Attendance List
- Outlining Staff responsibilities – GCSE Controlled Assessment
- Risk Management Process
- Malpractice Log/Unusual Incidents
- BTEC Learner Declaration

- BTEC Assessment Feedback Form
- BTEC Assignment Brief
- BTEC Assignment Cover Sheet
- BTEC Flowchart: Plan-Deliver-Assess Process
- Pearson Internal Verification - Assignment Briefs
- Pearson Observation Record
- Pearson Internal Verification - Assessment Decisions
- Pearson Witness Statement
- NCFE Recognition of Prior Learning and Credit Accumulation and Transfer Policy

Avocet/Turnstone House Examinations Attendance List

Name of Examination: _____

Candidate Name	Candidate Signature	Date of Birth	Date of Test	Time of Test	Location	Test Version

Supervisor Name: _____

Supervisor Signature: _____

OUTLINING STAFF RESPONSIBILITIES – GCSE CONTROLLED ASSESSMENT

1 Head of Education

- Accountable for the safe and secure conduct of controlled assessments. Ensure assessments comply with JCQ guidelines and awarding bodies' subject-specific instructions.
- At the start of the academic year, begin coordinating with subject teachers to schedule controlled assessments. (It is advisable that controlled assessments be spread throughout the academic years of key stage 4).
- Map overall resource management requirements for the year. As part of this resolve:
 - clashes/ problems over the timing or operation of controlled assessments.
 - issues arising from the need for particular facilities (rooms, IT networks, time out of school etc.)
- Ensure that all staff involved have a calendar of events
- Create, publish and update an internal appeals policy for controlled assessments.
- Ensure access arrangements have been applied for.
- Work with teaching staff to ensure requirements for support staff are met.

2 Head of Education/Deputy Head of Education

- Decide on the awarding body and specification for a particular GCSE, in consultation with teaching staff where appropriate.
- Standardise internally the marking of all teachers involved in assessing an internally assessed component.
- Ensure that individual teachers understand their responsibilities with regard to controlled assessment.
- Ensure that individual teachers understand the requirements of the awarding body's specification and are familiar with the relevant teachers' notes, and any other subject specific instructions.
- Where appropriate, develop new assessment tasks or contextualize sample awarding body assessment tasks to meet local circumstances, in line with awarding body specifications and control requirements.

3 Teaching Staff

- Understand and comply with the general guidelines contained in the JCQ publication *Instructions for conducting controlled assessments*.

- Understand and comply with the awarding body specification for conducting controlled assessments, including any subject-specific instructions, teachers' notes or additional information on the awarding body's website.
- Supply to the examinations officer details of all unit codes for controlled assessments.
- Obtain confidential materials/tasks set by awarding bodies in sufficient time to prepare for the assessment(s) and ensure that such materials are stored securely at all times.
- Supervise assessments (at the specified level of control). Undertake the tasks required under the regulations, only permitting assistance to students as the specification allows.
- Ensure that students and supervising teachers sign authentication forms on completion of an assessment.
- Mark internally assessed components using the mark schemes provided by the awarding body. Submit marks through the exams office to the awarding body when required, keeping a record of the marks awarded.
- Retain candidates' work securely between assessment sessions (if more than one).
- Post-completion, retain candidates' work securely until the closing date for enquiries about results. In the event that an enquiry is submitted, retain candidates work securely until the outcome of the enquiry and any subsequent appeal has been conveyed to the centre.
- Ask the Deputy Head of Education or Consultant for any assistance required for the administration and management of access arrangements.

4 Examinations Officer

- Enter students for individual units, whether assessed by controlled assessment, external exam or on-screen test, before the deadline for final entries.
- Enter students' 'cash-in' codes for the terminal exam series.
- Where confidential materials are directly received by the administrator, to be responsible for receipt, safe storage and safe transmission, whether in CD or hard copy format.
- Download and distribute marksheets for teaching staff to use, and collect and send marksheets to awarding bodies before deadlines.

- On the few occasions where controlled assessment cannot be conducted in the Learning Centre arrange suitable accommodation where controlled assessment can be carried out.

Risk Management Process – Avocet/Turnstone House

Risks and Issues	Possible Remedial Action		Staff
	Forward Planning	Action	
Timetabling			
Assessment schedule clashes with other activities	Plan/establish priorities well ahead (e.g. start of academic year) for all subjects or lines of learning	Plan dates in consultation with school/home calendar – negotiate with other parties	Head of Education Deputy Head of Ed (consult all teaching staff)
Too many assessments close together across subjects or lines of learning	Plan assessments so they are spaced over the duration of the course	Space assessments to at least allow candidates some time between assessments	Head of Education Deputy Head of Ed
Accommodation			
Insufficient space in Learning Centre for candidates	Identify times when availability of Learning Centre space is required solely for controlled assessment	Use more than one classroom area or multiple sittings where necessary; relocate other students to different working areas	Head of Education Inform Principal/RM
Insufficient facilities for all candidates	Careful planning ahead and booking of rooms / centre facilities		Head of Education
Downloading awarding body set tasks			
Avocet/Turnstone Network IT system unavailable on day of assessment	Download tasks well ahead of scheduled assessment date in all cases	Download tasks before scheduled date of assessment	Subject leader-consult with Head of Education
Teaching staff/assessors unable to access task details	Test secure access rights ahead of schedule every year and every session	Ensure teaching staff/assessors have access rights for correct area of awarding body secure extranet sites ahead of time	Head of Education to liaise with all teaching adults
Loss of task details in transmission	Download tasks well ahead of scheduled assessment date	Report loss to awarding body for replacement; download again	Head of Education

Risk Management Process – Avocet/Turnstone House

Risks and Issues	Possible Remedial Action		Staff
	Forward Planning	Action	
Absent candidates			
Candidates absent for all or part of assessment (various reasons)	Plan alternative session(s) for candidates		Head of Education to facilitate; consultation with teaching staff
Candidates have a scheduling clash for exams or assessment (possibly offsite on consortium teaching)	Always consider candidate timetables well ahead and decide on priorities in advance to scheduling clashes	Check before booking the date; provide an alternative date, where necessary and consult awarding body procedures for dealing with timetabling clashes	Head of Education, Deputy Head of Ed
Control levels for task taking			
Ensure teaching staff/assessors know what level is applicable and understand what is involved. Provide training if required	Seek guidance from the awarding body; thorough knowledge of specification and criteria.	Regular training sessions on controlled assessment	Head of Education
Supervision			
Student study diary/plan not provided or completed	Ensure teaching staff/assessors are aware of the need for study diary/plans to be completed early in course	Ensure candidates start, continue and complete study diary/plans that are signed after every session (IF REQUIRED)	Subject leaders/Head of Education
Teaching staff/assessors do not understand supervision of controlled assessment is their responsibility	Ensure teaching staff/assessors understand nature of controlled assessments and their role in supervision	Regular training sessions on controlled assessment	All teaching staff responsibility, Head of Education checks
Suitable supervisor has not been arranged for an assessment where teaching staff/assessors are not supervising	A suitable supervisor must be arranged for any controlled assessment where a teacher/assessor is not supervising, in line with the awarding body specification.	Likely to involve member of care team – fully briefed in advance of their responsibilities	Head of Education

Risk Management Process – Avocet/Turnstone House

Risks and Issues	Possible Remedial Action		Staff
	Forward Planning	Action	
Task setting			
Teaching staff/assessors fail to correctly set tasks	Ensure teaching staff/assessors understand the task setting arrangements as defined in the awarding body specification**	Seek guidance from the awarding body	Head of Education internal monitoring
Assessments have not been moderated as required in the awarding body specification	Check specification and plan required moderation appropriately	Seek guidance from the awarding body	Head of Education to insure internal verification processes are in place; teaching staff to understand requirements of specifications
Security of materials			
Assessment tasks not kept secure before assessment	Ensure teaching staff understand importance of task security Log maintained in main office to record delivery of qualification materials	Request/obtain different assessment tasks	Head of Education to ensure materials secure, teaching staff accountable for security of materials whilst assessment in process
Candidates' work not kept secure during or after assessment	Define appropriate level of security, in line with awarding body requirements, for each department as necessary	Take materials to secure storage	All staff responsible, Head of Education to monitor security
Insufficient or insecure storage space	Look at provision for suitable storage early in the course	Find alternative spaces	Head of Education

Risk Management Process – Avocet/Turnstone House

Risks and Issues	Possible Remedial Action		Staff
	Forward Planning	Action	
Deadlines			
Deadlines not met by candidates	Ensure all candidates are briefed on deadlines/penalties for not meeting them	Mark what candidates have produced by deadline and seek guidance from awarding body on further action.	Subject leaders to ensure effective communication, Head of Education monitor integrity of staff
Deadlines for marking and/or paperwork not met by teaching staff/ assessors	Ensure teaching staff/assessors are given clear deadlines (prior to awarding body ones) to complete marking/paperwork so they can be processed by examinations officer and send off marks ahead of AB deadlines	Seek guidance from awarding body	Head of Education/Deputy Head of Ed to meet with colleagues not meeting professional deadlines
Authentication			
Candidate fails to sign authentication form	Ensure all candidates have authentication forms to sign and attach to work when it is completed before handing in	Find candidate and ensure form is signed	Subject leaders, assessors for each subject
Teaching staff/assessors fail to complete authentication forms or leave before completing authentication	Ensure teaching staff/assessors understand importance of authentication forms and the requirement of a signature	Return form to staff for signature. Ensure forms are signed as work is marked, not at end of season	Head of Education to check paperwork

Risk Management Process – Avocet/Turnstone House

Risks and Issues	Possible Remedial Action		Staff
	Forward Planning	Action	
Marking			
Teaching staff/assessors interpret marking descriptions incorrectly	Ensure appropriate training and practicing of marking. Plan for sampling of marking during the practice phase.	Arrange for remarking. Consult awarding body specification for appropriate procedure	Head of Education to implement internal verification process
Centre does not run standardisation activity as required by the awarding body	Plan against the requirements for standardisation for the awarding body when and how this activity will be conducted.	Check with the awarding body whether a later standardisation event can be arranged.	Head of Education to organise systematic standardisation training

AVOCET/TURNSTONE HOUSE: MALPRACTICE LOG/UNUSUAL INCIDENTS

Date of Incident:	Student (s) Involved:	Supervisor:
Description of Incident		
Action Required		
Action Completed		
Student(s) Signature (if applicable)		
Adult Signature:	Date	

LEARNER CONSENT DECLARATION

Centre No. & Name	
Subject & Level	
Unit No. and Title	
Learner No. & Name	

I agree to the learner work identified above, after having been made anonymous, being used to support any of the following activities, which may involve the display of work online through the BTEC website or through publications:

- Professional Development and Training
- Centre Assessment Example Material
- Standardisation Support
- Publication Materials

Assessor Signature	
Name (block capitals please)	
Job Title	
Date:	

Learner Signature	
Name (block capitals please)	
Parent/Guardian consent if under 16 years of age	
Date	

Please return the completed form and copies of the sample material to your Standards Verifier

AVOCET/TURNSTONE HOUSE BTEC ASSESSMENT FEEDBACK

Student Name	
Qualification Title	
Unit Title	
Unit Code	

Assessor Name	
---------------	--

Start Date	
Completion Date	

Unit	Assessment Criteria	Number (e.g. 1.1)	Achieved (Y or N)	Assessors Initials	Date

Assessors Feedback (Include constructive comments, relevant to grading criteria and identifying opportunities for improvement)

Assessor signature:		Student signature:		Date:	
---------------------	--	--------------------	--	-------	--

Suggested student actions:

Resubmission – Assessors Feedback

Assessor signature:		Student signature:		Date:	
---------------------	--	--------------------	--	-------	--

AVOCET/TURNSTONE HOUSE BTEC ASSIGNMENT BRIEF

Qualification Title	
Unit Title	
Unit Code	
Credit Value	

Student Name	
Assessor Name	
Internal Verifier	

Start Date	
Completion Date	

Assignment Overview (to include vocational scenario and/or context)

Learning Outcome	Assessment Criteria

Tasks (target assessment criteria identified)	Required Assessment Evidence (with timescales where appropriate)
Task 1	
Task 2	
Task 3	
Task 4	
Task 5	
Task 6	
Task 7	

AVOCET/TURNSTONE HOUSE ASSIGNMENT COVER SHEET

Qualification Title	
Unit Title	
Unit Code	
Credit Value	

Start Date	
Completion Date	
Submission Date	

Assignment Writer	
Assessor	
Internal Verifier	
Brief Internal Verification Date	

Student Name	
--------------	--

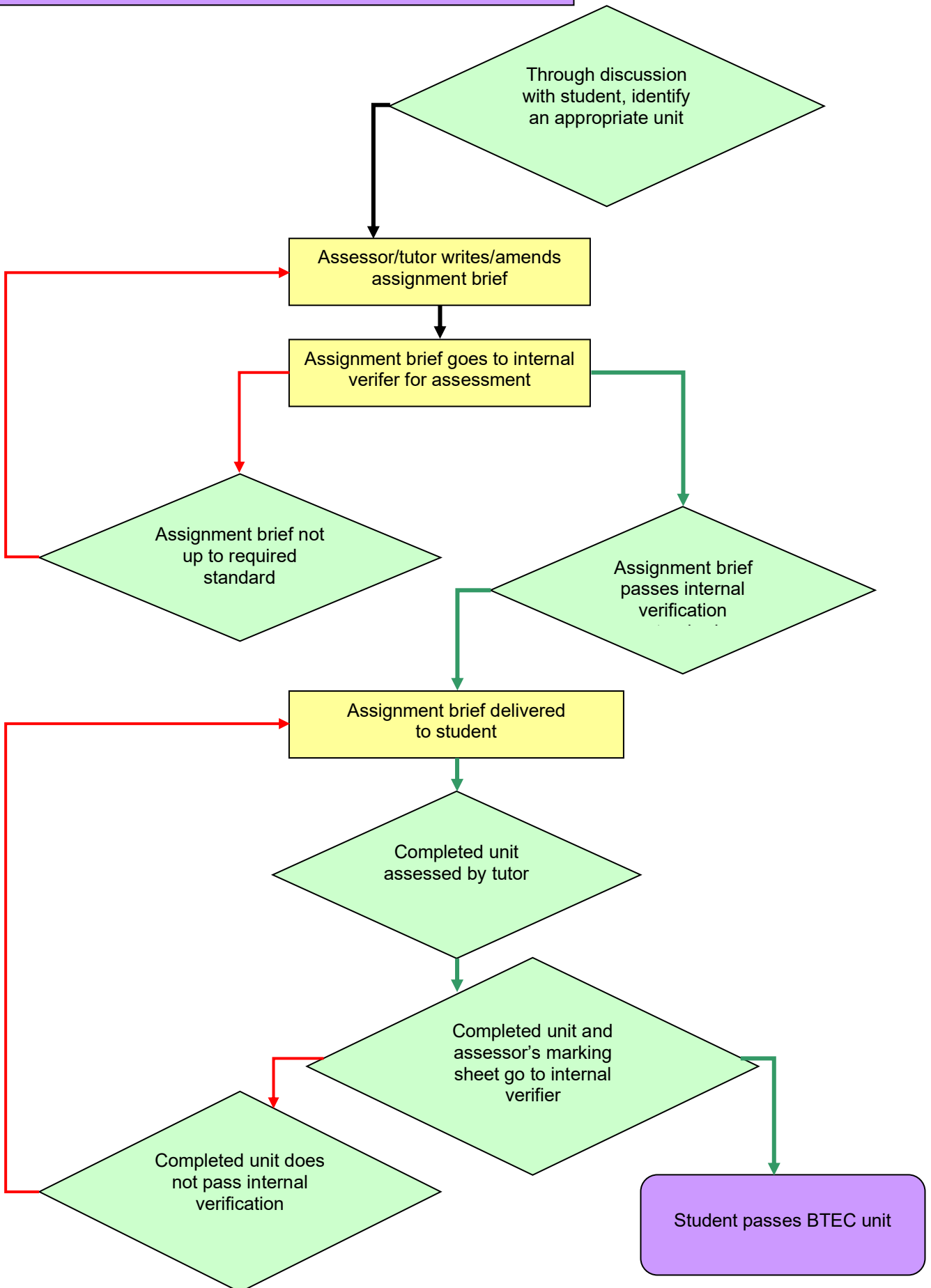
I certify that this is my own work: _____ (signature of learner)

_____ (date)

Assessor: _____ (signature)

_____ (date)

BTEC Plan-Deliver-Assess Process



Internal Verification Assignment Brief

Programme Title:							
Assessor Name:							
Internal Verifier Name:							
Unit or Component Number and Title:							
Assignment title:							
Assessment criteria targeted by this assignment brief:							
<p>Is this an Authorised Assignment Brief published by Pearson? If so, has it been amended by the Assessor in any way? Please give details.</p> <p><i>(If using the Authorised Assignment Brief 'off the shelf' with no amendments, please answer the question marked * in the checklist only)</i></p>							
INTERNAL VERIFIER CHECKLIST	Y/N						
Are the programme and unit details accurate?							
*Are clear deadlines for assessment given?							
Is the time frame of an appropriate duration?							
Is there a suitable vocational scenario or context?							
Are the assessment criteria to be addressed stated accurately?							
Does each task show which criteria are being addressed?							
Do the tasks meet the assessment requirements of the unit/s?							
Is it clear what evidence the learner needs to generate?							
Is it likely to generate evidence that is valid and sufficient?							
Overall, is the Assignment fit for purpose?	<table border="1"> <tr> <td>Yes</td> <td></td> <td>No**</td> <td></td> </tr> </table>	Yes		No**			
Yes		No**					
<p>**If 'No' is recorded the Internal Verifier must recommend actions detailing the issues to be addressed. The Assessor and the Internal Verifier must then confirm that the action has been undertaken and that the Assignment Brief is authorised for use before being issued to learners.</p>							
Action required: <i>(If none then please state n/a)</i>	<table border="1"> <tr> <td>Target Date for Completion</td> <td>Date Action Completed</td> </tr> <tr> <td></td> <td></td> </tr> <tr> <td></td> <td></td> </tr> </table>	Target Date for Completion	Date Action Completed				
Target Date for Completion	Date Action Completed						

General Comments (if appropriate)

Assignment Brief Authorised for Use:

Internal Verifier signature

Date

Assessor signature

Date

Lead Internal Verifier signature
(If appropriate)

Date

Electronic signatures are acceptable on all assessment and internal verification documentation if there is an audit trail to support its authenticity. This includes a scanned signature or the individual's centre based email address. A font style is not accepted. Please see the Centre Guide to Internal Verification for further details.

OBSERVATION RECORD (by tutor)

Learner Name:	
----------------------	--

Programme:	
-------------------	--

Unit Number and title:	
-------------------------------	--

Description of activity undertaken

Assessment criteria

How the activity meets the requirements of the assessment criteria (checklist attached to support evidence required)

Learner Signature:		Date:	
---------------------------	--	--------------	--

Assessor Signature:		Date:	
----------------------------	--	--------------	--

Assessor Name:

Action Required	Target Date for Completion	Date Action Completed
I confirm that the assessment decisions are accurate, there is no evidence of assessment malpractice and any action points have been addressed and completed in respect of the whole cohort.		
Internal Verifier signature		Date
Assessor signature		Date
Lead Internal Verifier signature (if appropriate)		Date
<small>* Electronic signatures are acceptable on all assessment and internal verification documentation if there is an audit trail to support its authenticity. This includes a scanned signature or the individual's centre based email address. A font style is not accepted. Please see the Centre Guide to Internal Verification for further details.</small>		

Witness Statement

Student name:			
Qualification:			
Unit number & title:			
Date activity undertaken:			
Description of activity undertaken (please be specific as possible)			
Assessment & grading criteria for which the activity provides evidence			
How the activity meets the requirements of the assessment criteria, including how and where the activity took place			
Witness name:			
Witness job role:			
Witness signature:		Date:	
Student name:			
Student signature:		Date:	
Assessor name:			
Assessor signature:		Date:	

Recognition of Prior Learning (RPL) Credit Accumulation & Transfer (CAT) Policy

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Document Control		
Document Number:	EQA-001	Effective from: 01-10-2017
Linked Regulatory Requirements:	Ofqual Handbook: General Conditions of Recognition - Section E - Design and development of qualifications - Guidance - GOV.UK (www.gov.uk)	
Version Number & Date:	V1.4, 20-09-2024	Review date: 20-09-2024
Date of Next Review:	19-09-2025	Classification Level: Public/General

Approval Level: Low impact
Approved by: HoD and QMS Team
Date version approved: 25-09-2024

Revisions				
Version Number	Date	Changes	Author	Approved by
V1.4	09-2024	Reviewed by document owner and relevant stakeholders, minor updates, definitions table updated with RQF and QCF, links updated	Assurance Officer	HoD and QMS Team

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1. Policy Principles

This policy will ensure that centres are clear on what does and does not constitute acceptable Recognition of Prior Learning and Credit Accumulation Transfer Policy.

2. Introduction

This Policy has been written to reflect the requirements of the Ofqual's General Conditions of Recognition. It aims to be open, transparent, and clear in its purpose, scope, and implementation. Any centre applying this policy with their learners may approach us to discuss their own requirements or challenge any decisions made by the Awarding Organisation.

2.1. Purpose

The purpose of this policy is to define the processes for recognition of prior learning and credit accumulation and transfer to ensure centres are aware of the requirements when applying each approach.

2.2. Scope

This policy will apply to all centres who offer our qualifications.

2.3. Responsibilities/Duties

Compliance with this policy lies with each centre and any interpretations or clarifications required will be supplied by the External Quality Assurance team.

2.4. Definitions

Word/Acronym	Definition
AMR	Annual Monitoring Review
APL	Accreditation of Prior Learning
CAT	Credit Accumulation and Transfer
EQA	External Quality Assurance
IQA	Internal Quality Assurance
RPL	Recognition of Prior Learning
SLC	Speaking, Listening and Communication
RQF	Regulated Qualifications Framework
QCF	Qualifications and Credit Framework

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2.5. Location

This policy is available on the NCFE website.

3. Process

3.1. Defining Credit Accumulation and Transfer (CAT)

CAT should be considered as a separate process to RPL as CAT applies to learning that has been previously certified for a different regulated qualification or from a different Awarding Organisation on the same framework (RQF or QCF). This is to prevent a learner from having to unnecessarily repeat previous learning.

Where a learner has already achieved a unit with credit, we will recognise that prior learning and will allow the credit to be transferred onto a new qualification, provided that the units have the same Ofqual reference number.

3.2. Defining Recognition of Prior Learning

Recognition of Prior Learning (RPL) was formerly known as APL (Accreditation of Prior Learning) and is defined as 'a method of recognising previous learning or attainment to meet current requirement' or 'a method of assessment leading to the award of credit that considers whether learners can demonstrate that they can meet the assessment requirements for a unit through knowledge, behaviours, skills and understanding they already possess and so may not need to develop these through a course of learning'.

3.3. Applying Recognition of Prior Learning

RPL can demonstrate competence or achievement within a unit or qualification. Through the RPL process, evidence of a learner's previous achievement (learning) is assessed against the assessment criteria of a unit.

Evidence used by learners must be current and valid and meet the assessment criteria of the qualification, and evidence must be reliable, whereby centres consistently arrive at equivalent assessment decisions.

Evidence obtained through RPL must therefore meet the same rigorous quality criteria that other assessment methods must conform to. It remains the role of Assessors and quality assurance staff to ensure that evidence is:

Valid:

Does the evidence genuinely demonstrate that the demands of the assessment criteria have been met? For RPL, currency of evidence will be of particular concern. Does, for example, the evidence meet current practice requirements.

Authentic:

This involves consideration of whether the evidence being assessed is genuinely the work of the learner. For example, the evidence may have been produced by somebody else, or may be the result of the work of a team. In the latter case, this would be acceptable if the assessment criteria were related to team / joint working, but not if it was being used as evidence of an activity which should have been carried out individually.

Sufficient:

There must be enough evidence to fully meet the requirements of the assessment criteria, or assessment criteria being considered. If there is insufficient evidence to fully meet requirements, then evidence obtained through RPL must be complemented by evidence gained through other suitable assessment method(s) before requirements can be said to have been met.

Reliable:

The evidence obtained through RPL should be such that an Assessor would arrive at the same assessment decision, were the assessment to be repeated.

3.4. Outcomes of RPL

If individuals can produce relevant evidence, that meets assessment criteria requirements then, recognition can be given for their existing knowledge, understanding or skills.

If an individual can meet all the learning outcomes and assessment criteria in a unit, then they can claim credit for that unit solely based on their RPL achievement.

If, however, evidence from RPL is only sufficient to cover one or more assessment criteria, or to partly meet the need of an assessment criteria, then additional assessment methods should be employed to generate the sufficient evidence required to make a safe assessment decision.

Knowledge, skills, behaviours, and understanding must be current for RPL to be used and subject leads within centres must decide if prior learning is up to date for the relevant sector and subject areas. Centres may use questioning or other acceptable assessment strategies to check the depth and significance of prior learning.

Assessment decisions based on RPL must be made by centre staff with suitable occupational competence and subject expertise. Acknowledging evidence of previous learning is considered to be part of the internal assessment process and any decisions must be made clear to the External Quality Assurer.

The centre must ensure that:

- It is carried out by designated staff with relevant levels of expertise to meet the requirements of the assessment strategy/guidance for the qualification concerned.

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The methods of assessment used will be determined by the assessment strategy for the qualification being assessed but might, for example, include:

- Examination of documents,
- Expert testimony
- Reflective accounts
- Professional discussion.

The RPL assessment should be carried out as an entire process. This means that the Assessor should:

Plan with the learner

- Make a formal assessment decision
- Feedback assessment decisions to the learner, confirming decision and giving guidance on the available options
- Maintain appropriate records
- Ensure that learners are aware of their right to access the appeals process should they feel the assessment decision was unfair
- The assessor must ensure that all assessment criteria being claimed are covered and that records of assessment are maintained in the usual way. The process must be subject to the same quality assurance requirements as any other assessment method.

3.5. Examples of RPL evidence

- Relevant documents, testimonies or reflections mapped across to the qualification's assessment criteria.
- Job descriptions or performance management feedback showing that the learner already has the suitable and current skills, knowledge, and behaviours within the unit.
- Learners have evidence of recent prior study which meets assessment criteria of the current programme of study being undertaken in full.
- RPL must be included on the appropriate sampling plan as an assessment method as appropriate and subject to internal quality assurance (IQA).

3.6. Requirement to pass all three components of Functional Skills English

A learner must achieve a pass in all three components at the same level to achieve a pass at qualification level. A learner cannot aggregate results from components at different levels to be awarded the qualification.

For Speaking, Listening and Communication (SLC), a pass at GCSE level cannot be considered for RPL as the assessment criteria does not match the Functional Skills qualification as there is only one presentation task and Ofqual require at least two.

3.7. Carrying forward component marks for Functional Skills English

A learner can carry forward their result for a component from a previous attempt at a functional skills qualification in English at the same level awarded. This includes circumstances in which a learner has not previously attempted all three components.

Circumstances when prior learning will not be recognised:

- Learning that is similar to assessment criteria, but which has been met at a level lower than the current programme of study being undertaken by the learner.
- Prior learning that is not current in meeting the qualification.
- Prior learning that has been referred by an Assessor.
- Prior learning that has not been assessed by an Assessor.

3.8. Applying Credit Accumulation and Transfer (CAT)

Credit accumulation and transfer (CAT) is the system by which learners can accumulate and transfer credits over a period of time, in differing locations and contexts, to gain qualifications. Credit transfer is the process of using credit(s) awarded in the context of one qualification or awarded by a different awarding organisation towards the achievement requirements of another qualification.

CAT is therefore the term used to describe the system which supports credit transfer. Credit transfer gives recognition to the fact that some units are the same, irrespective of the fact that they appear in different qualifications. This recognition promotes progression within and between industries and avoids unnecessary duplication of learning.

Credit transfer is relevant where a unit in a qualification is the same (include unit/qualification assessment number) as a unit in another qualification.

A practical example of credit transfer would be a learner who achieves an award which is comprised of units 'A, B and C' transferring their credits to progress towards a

certificate comprised of 'A, B, C, D and E'. In this case the units in the award have been nested in the certificate enabling the recognition of the previously achieved units.

If on the other hand a learner registered for the Certificate containing units 'A, B, C, D and E' without having done the award, but then withdrew from their programme of learning after completing only 'A, B and C', they could transfer their credits and consequently obtain the Award.

For Speaking, Listening and Communication, a pass at GCSE level cannot be considered for CAT, as the only carried forward permitted is the same qualification and level from a different awarding organisation.

3.9. Contact Information

For further information on RPL and CAT, please refer to the Ofqual Conditions of Recognition.

[Ofqual Handbook: General Conditions of Recognition - Guidance - GOV.UK \(www.gov.uk\)](https://www.gov.uk/guidance/ofqual-handbook-general-conditions-of-recognition)

If you've any queries about the content of this policy, please contact the External Quality Assurance team at externalqualityassurance@ncfe.org.uk.

4. Initial Equality Impact Assessment

An Initial Equality Impact Assessment has been completed for this policy, and no concerns were raised.

5. References to Associated Documents

- User guide to approval review [User guide to approval report](#)
 - User guide to annual monitoring review (AMR) [User guide to annual monitoring report](#)
6. User guide to external quality assurance (EQA) review [User guide to external quality assurance \(EQA\) review](#)
7. Implementation and Dissemination

This Policy is available on the NCFE website.

8. Monitoring Arrangements

This policy will be reviewed annually by the External Quality Assurance team.

9. Data Retention

Evidence of RPL and CAT must be retained by centres and is subject to the same quality assurance checks before certification can take place.