



Policy Handbook

KMITL-BTEC Center

King Mongkut's Institute of Technology Ladkrabang

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Learner Recruitment, Registration and Certification Policy

Aims

- Ensuring aspirations, skills and attributes of the learners in selection of the courses before registration.
- Registering learner with the correct timescale according to the awarding body requirements.
- Maintaining an accurate, up to date and auditable center registration, achievement and certification records according to awarding body requirements.
- Claiming valid certification within the agreed time scales.
- Ensuring staffs' knowledge about their roles and responsibilities on recruitment, registration and certification procedures.
- Maintaining a secure, accurate and accessible audit trail to ensure that the registration and certification process for each learner can be tracked.
- Ensuring accurate registration process by the head of the quality control team.

In order to achieve the aims, the Center will:

- All course related information will be provided to the learners and advice and guidance will be provided to them if needed.
- As a part of advice and guidance process, quality control team will guide the learners to get information as much as possible from student hand book or from website so that the learner will know the outlines of the course, entry requirements, progression route to further education and the career advice and guidance.
- An induction period will be provided for all new learners which will include; a program overview; explain the registration and certification process; outline internal and external assessment; outline key dates relating to assessment; outline learners responsibilities and rights (independent learning, appeals procedure, plagiarism, malpractice).
- The Quality Nominee (QN) will liaise with tutors and assessors and ensure that a robust system of registration is in place. The system will ensure that all learners are registered within Pearson's requirements. The system will provide a mechanism for checking the accuracy of learner registrations.
- The Quality Nominee will ensure that all learners are aware of their registration status and that withdrawal, transfers or changes to any learners' details are kept up-to-date on center systems and that Pearson has been notified.

- The quality nominee will ensure that all learners registered and inducted on to courses will be familiar with the institution's policies related to mal practices, appeals, internal verification and assessment along with the policy on reasonable adjustment and special consideration.
- Tutors and assessors are responsible for the safe storage and accurate management of assessment and achievement data. All records need to be stored safely and securely for three years post certification.
- Tutors and assessors need to pass all records of learner achievement to the QN to ensure that certification claims can be made and internal records are updated accordingly.
- The QN will liaise with Assessors and tutors and shall ensure that timely certificate claims are made and that they are based solely on internally verified records and that these are made to the awarding body. All certificates should be audited to ensure accuracy and completeness.
- The QN will ensure that unit certification takes place for the learners who have not completed sufficient number of units to receive the full award but can be certified for the units that they have been achieved.

Equal Opportunity Policy

Aims

- To ensure that standards relating to equal opportunities are consistent, transparent and in line with the requirements of Pearson and the Center.
- To ensure there are no artificial barriers to any BTEC programs the academy offers and that BTEC qualifications are, at all stages within the planning, delivery and assessment of learner work:
 - available to everyone who can achieve the required standard
 - free from barriers which restrict access to progression
 - free from overt or covert discriminatory practices with regard to age, color, creed, religion, ethnic origin, race, gender, nationality, sexual orientation, specific background, social background, ability or disability
 - observant of the particular requirements of individuals, including those who may require support to undertake learning and assessment
 - free from any restrictions that are not legally required

Definition of Equal Opportunities

Equal opportunities is defined as:- The granting of equal rights, privileges, and status regardless of gender, age, race, religion, sexuality, specific background, ability, disability, or social background.

Equal Opportunities in Terms of Learner Recruitment

Access to the course will be allowed to learners who have shown through their previous studies and/or experience that they are capable of sustaining study at this level, up to the agreed maximum number of learners per group irrespective of gender, ethnicity or disability and that learners have fulfilled the minimum course access qualification requirement set by each BTEC subject area.

In order to achieve the aims, the Center will:

- Assign the persons responsible for the policy and its implementation:
 - Responsible for Policy: Quality Nominee
 - Responsible for implementation: Quality Nominee and Program Managers.
- Assign the responsibility of the Quality Nominee, which includes:
 - Ensuring all Curriculum Leaders and Lead Internal Verifiers are conversant with the recruitment requirements of the respective courses and ensuring recruitment is carried out in line with the requirements of this policy
- Assign the responsibility of Curriculum Leader/Program Manager, which includes:
 - Treat all learners with equal respect regardless gender, age, race, religion, sexuality, specific background, ability, disability, or social background

- Enable all learners equal access to all areas of the BTEC curriculum appropriate to the course undertaken
- Combat any form of prejudice and / or discrimination within the Center

Internal Verification Policy

Aims

- To ensure that all Internal Verification is valid, reliable and covers all assessors and program activity.
- To ensure that the Internal Verification procedure is open, fair and free from bias.
- To ensure that there is accurate and detailed recording of Internal Verification decisions.

To achieve the above aims, KMITL-BTEC Center will ensure the following.

- there is an accredited Lead Internal Verifier (LIV) for each subject through the successful completion of the Edexcel Online Standardization exercise (OSCA), which for NQF programs will take place at the start of each academic year
- the LIV for each program leads an internal standardization process for additional members of their team involved in the delivery of the program to ensure that everyone involved in the delivery of the program is competent in its delivery
- in addition to the LIV an additional Internal Verifier (IV) will be assigned to each subject area in cases whereby the LIV is also an assessor within the subject area
- effective internal verification roles are defined, maintained and supported
- internal verification is promoted as a developmental process between staff
- standardized internal verification documentation is provided and used
- all center assessment instruments are verified and fit for purpose
- plan an annual internal verification schedule, linked to assignment plans
- an appropriately structured sample of assessor work from all programs, sites and teams is internally verified, to ensure center programs conform standards.
- documentation records of internal verification are provided and that these records are always securely maintained
- the outcomes of internal verification are used to enhance future assessment practice
- 25% of the learners registered for each program will be internally verified in the first instance and will be outlined in the IV Plan
- each LIV will keep a record, alongside IV records, of how many assessment decisions were incorrect and discuss this with the Quality Nominee (QN)
 - the QN shall use this information to adjust the sample size required for subsequent units
 - in cases whereby, there is a repeated inaccurate IV then a wider sample of that staff member will be required, and will the member of staff will be subject to wider checking by the QN and Head of Center

- inaccurate IV could lead to withholding of certification and implementation of the staff malpractice policy

Individual BTEC Roles

Quality Nominee

The Quality Nominee is responsible for maintaining the quality of BTEC qualifications within the Center. The Quality Nominee (QN) will ensure effective management takes place across all subjects through ensuring that:

- all QN details are accurate and up to date
- they lead on the annual Quality Management Review (QMR) relating to the Center's BTEC provision and the effectiveness of quality procedures adopted;
 - this includes the completion of the Center of Engagement Document, which will also be shared and agreed with all Lead Internal Verifiers (LIV) prior to submission
 - share all documentation relating to the QMR and oversee the areas identified for development
- an annual review of all internal policies associated with BTEC delivery takes place and that these are shared and understood with all relevant members of staff involved in the delivery of BTEC programs
- all programs being delivered are approved
- all LIVs complete the online standardization process (OSCA) for each subject area and that this process extends internally to other staff as necessary
- all learner registrations and certifications are completed in a timely fashion
- assessment and internal verification is effective for all subjects through liaising with the LIV for each program area
- the Standards Verification process is completed successfully for each subject area

Lead Internal Verifier

The Lead Internal Verifier (Lead IV) is the person designated by a center to act as the point of sign-off for the assessment and internal verification of the program(s) in a subject area.

The Lead IV will:

- register through the online standardization system, OSCA.
- make other assessors and internal verifiers aware of the standardization practice and lead this within their subject area
- liaise with the Quality Nominee throughout the program and be aware of any updates to the programs of study and/or quality assurance requirements

- review the reports from the quality assurance process and ensure that appropriate action is taken as necessary
- ensure that there is an assessment and verification plan for the programs in the sector which is fit for purpose and meets all BTEC requirements
- undertake internal verification and/or assessment for individual units within the program for their subject area
 - ensure that they do not internally verify their own work
- ensure that records of assessment and samples of learner work are being retained for use with Standards Verification if necessary.
- liaise with the Standards Verifier to ensure that appropriate sampling takes place as required
- liaise with the Examinations Officer in relation to the registration and certification of learners
- plan for the handover to a deputy or replacement if unable to carry out the role within their subject area

Internal Verifier

- Ensure that an annual standardization activity takes place each year, led by the Lead Internal Verifier. This will coincide with an assessment window and is accessed through OSCA. This standardization activity should be recorded.
- In cases whereby
- Check the quality of assessment to ensure that it is consistent, fair and reliable
- IV all assignment briefs prior to issue to learners
- Ensure that an accurate and efficient Assessment plan is in place and that the plan is implemented
- Monitor that the IV schedule covers all learners, across all units, tasks and assessors on a program
- Ensure that the assessed work consistently meets national standards and that an efficient system for recording learner achievement is in place
- Give relevant advice, support and feedback to assessors and identify action to be taken where appropriate.
- Share best practice with other teams at regular intervals throughout the academic year.

Assessor

- Set tasks which allow students to demonstrate what they know, understand and can do so that they have opportunities to achieve the highest possible grades in their BTEC courses.
- Ensure that learners are clear about the criteria that they are expected to meet in their assignments and that they are fully briefed on the skills that need to be demonstrated in each subject area.

- Provide students with detailed SUMMATIVE feedback following the completion of a unit as per Assessment plan. Clear reference must be made to which grading criteria the candidate has achieved.
- Mark and return work within approximately two weeks of submission.
- Record outcomes of all assessments using appropriate documentation.
- Ensure that each candidate signs to confirm that their work is their own and that it is endorsed by the teacher after marking the work.
- Provide accurate records of internally assessed marks to the Exams officer in a timely manner for transfer to the awarding body.

Links BTEC qualification specifications:

These provide guidance on assessment for each BTEC qualification.

- All staff teaching on BTEC programs must have access to the relevant specification. They are published on our website: www.btec.co.uk
- Pearson BTEC Assessment & Grading Policy: This is our policy on the application of grading criteria when assessing BTEC programs: www.edexcel.com/policies
- BTEC Center Guide to Internal Verification: A valuable resource for centers in planning, quality assuring and delivering BTEC programs: www.btec.co.uk/keydocuments

Assessment Policy

Aims

- 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.
- To ensure that the assessment follows a philosophy that:
 - enables subject assessors to accurately evaluate and assign a mark to student learning
 - establishes what the learning outcomes are and ensures that pupils are fully aware of what they are aiming to achieve including:
 - The exact details of the assignment
 - The marking criteria for the assessment
 - The "intended learning outcomes" for the course, i.e. what the teacher has stated that s/he expects students to be able to demonstrate so to successfully achieve certification

To achieve the above aims, KMITL-BTEC Center will ensure the following.

- learners are provided with assignments that are fit for purpose, to enable them to produce appropriate evidence for assessment at all grade levels and provide resources to ensure that assessment can be performed accurately and appropriately
- assessment methodology and the role of the assessor are understood by all
- all assignment briefs are internally verified prior to release to students by a member staff who has completed the standardization process effectively
- all BTEC staff in each subject area completes the necessary standardization process so that all those involved within the internal verification process can do so confidently and accurately
- assess learner's evidence using only the published assessment and grading criteria
- assessment decisions are impartial, valid and reliable and do not limit or 'cap' learner achievement if work is submitted late
- assessment procedures are developed that will minimize the opportunity for malpractice
- accurate and detailed records of assessment decisions are maintained
- all assessment decisions are recorded on the school mark sheet template and saved within the BTEC file on the school computer system
- all records are kept for 3 years after the completion date

- the LIV and QN monitor the input of assessment decisions every half term to ensure marking is current
- Where this is not the case the Head of Center shall be informed.
- a robust and rigorous internal verification procedure is maintained
- samples are provided as required by the awarding body
- all quality assurance reports are shared amongst staff involved in the delivery of the program and undertake any remedial action required
- BTEC subject areas share good assessment practice
- subject teams and LIVs will review each assignment brief once it has been completed by the learners
- subject teachers will decide when learners are prepared to undertake the assessment as per the assessment plan and ensure that;
 - before starting an assessment, the teacher 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 learners are working on assignments which will be submitted for assessment, they work independently to produce and prepare evidence
 - once the learner begins work for the assessment, the teacher 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
 - 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 work submitted in order achieve higher grades

- it may be appropriate for the Lead Internal Verifier or Internal Verifier to authorize one opportunity for a learner to resubmit evidence to meet assessment criteria targeted by an assignment
 - the Lead Internal Verifier will only authorize a resubmission if all the following conditions are met;
 - the learner has met the initial deadline set in the assignment, or has met an agreed deadline extension
 - the teacher judges that the learner is able to provide improved evidence/work 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 authorize a resubmission
 - if the Lead Internal Verifier does authorize a resubmission, it must be recorded on the assessment form
 - if a learner has met the conditions listed above and a resubmission is authorized then the learner will be
 - given a deadline for resubmission within 10 working days of the learner receiving the results of the assessment
 - the 10 working days must be within term time, in the same academic year as the original submission
 - complete the necessary work without further guidance

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- BTEC Center Guide to Internal Verification: A valuable resource for centers in planning, quality assuring and delivering BTEC programs: www.btec.co.uk/keydocuments

Appeal Policy

Aims

- 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 standardize 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

Student appeals may be made under the following circumstances:

- If the student is dissatisfied with individual assessment outcomes for a unit element or individual performance criteria.
- If the student is dissatisfied with their assessment outcome at the end of the course.
- If the student has any personal circumstances which may have affected his / her ability to complete assignments and meet deadlines.

To meet the above aims and facilitate appeals, KMITL-BTEC Center will:

- Inform the learner at induction, and through the student handbook of the Appeals Policy and procedure
- Have a staged appeals procedure (see below)
- Record, track and validate any appeal.
- Should the student still be dissatisfied with any internal decisions they may request that their appeal be forwarded to the External Verifier of the awarding body.
- Keep appeals records (see Appeals Record Form in appendices) for inspection by the awarding body for a minimum of 3 years
- The Quality Nominee 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 PROCEDURE

If a student has any concerns with regards to their individual assignments, the following procedure should be followed:

Stage One

- The student will complete the written request in relation to their appeal and will pass this and speak to the teacher / assessor who has set and marked the assignment, explaining the reason for their concerns within two weeks of receiving their grade
- The teacher/assessor, after considering the explanation, will provide a response with a clear explanation of the decision taken within 3 working days
- If the student remains unhappy with the outcome they should proceed to the next stage

Special Cases for Stage One:

- 1) If cases whereby a student does not wish to speak directly to the subject teacher, the student may speak directly to the Head of Department who in turn can take the concern to the subject teacher on behalf of the student and report back to the student.
- 2) In cases whereby, the Head of Department is the student's teacher / assessor, the student may speak directly to the Quality Nominee (QN) who in turn can take the concern to the subject teacher on behalf of the student and report back to the student.

Stage Two

- Speak to the Head of Department who will address the issue by considering the reason for the appeal from the student and the response of the teacher / assessor
- It will be arranged for the student work to be re-marked by the Lead Internal Verifier or Internal Verifier who will complete this along with their findings to the student alongside the Head of Department within five working days
- If the student remains unhappy they may proceed to the next stage of the appeal

Special Case for Stage 2: In cases whereby, the Head of Department is the student's teacher/assessor the matter should be raised with the Quality Nominee (QN) who will ensure the above process is undertaken.

Stage Three

- The Head of Department will forward relevant details to the Quality Nominee who must convene, within 10 working days, a panel comprising; the student, a parent / carer, the subject teacher/assessor, Head of Department, Head of Center and the him/her self as Quality Nominee.
- The Quality Nominee alongside the Head of Center will make a decision relating to the appeal and inform all parties within five working days of the Appeals Panel meeting. This decision is final.

Stage Four

- The Quality Nominee will 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
- A record of the appeals process above will be made available to the examination board as necessary

Recognition of Prior Learning Policy

Aims

- Recognition of Prior Learning (RPL) offers learners the opportunity to demonstrate that they can meet the assessment requirements for a unit through knowledge, understanding or skills they already possess and so not need to develop through a course of learning.
- To ensure that assessment methodology is valid, reliable and does not disadvantage or advantage any group of learners or individuals.
- Provided that the assessment requirements of a given unit or qualification have been met, the use of RPL is acceptable for accrediting a unit or a whole qualification. Evidence of learning must be valid and reliable

Scope

- Our BTEC center only recognizes prior learning from BTEC courses delivered by BTEC centers at the same level.

Principles to Implement and Develop Policy

- RPL is a valid method of enabling individuals to claim credit for units, irrespective of how their learning took place. There is no difference between the achievement of the learning outcomes and assessment criteria of a unit through prior learning or through a formal program of study.
- RPL processes, procedures, practices and decisions should be transparent, rigorous, reliable, fair and accessible to individuals and stakeholders to ensure that users can be confident of the decisions and outcomes of RPL.
- RPL is a learner-centered, voluntary (for the learner) process. The individual should be offered advice on the nature and range of evidence considered appropriate, to support a claim for credit through RPL, and be given guidance and support to make a claim.
- The process of assessment for RPL is subject to the same quality assurance and monitoring standards as any other form of assessment. The award of credit through RPL will not be distinguished from any other credits awarded.
- Assessment methods for RPL must be of equal rigor to other assessment methods, be fit for purpose and relate to the evidence of learning. Credit may be claimed for any unit through RPL unless the assessment requirements of the unit do not allow this, based on a rationale consistent with the aims and regulations of the framework.
- The prior learning that would provide evidence of current knowledge, understanding and skills will vary from sector to sector. It will depend on the extent of the experience,

technological changes and the nature of the outcome claimed. If the currency of any evidence is in doubt, the assessor may use questions to check understanding, and for competence.

- The rules, regulations and procedures governing the recognition of prior learning should be included in the student handbook given to every student when joining the program/course.

Student Entitlement:

- All students shall be entitled to apply for RPL providing they meet the specific requirements of the validating/awarding body governing the qualification for which they are studying.
- A student who makes an initial enquiry about RPL should be given timely and appropriate guidance and support on the rules, regulations and processes involved in accreditation.
- A student may appeal against the credit points awarded but only on the grounds of non-observance of agreed procedures and/or improper application of those procedures.

Student Responsibilities:

- The student must complete a credit claim form (see appendices), and provide evidence to show that the requirements of the unit, module or part of a unit, or module have been covered;
- The student must consult with the agreed subject specialist in the preparation of his/her evidence.
- Students applying for credit must agree an action plan to enable him/her to obtain the award s/he is aiming for.
- Students must agree to attend any further oral assessments or appropriate assessments if initial evidence is deemed to be unsatisfactory for the RPL assessor.

Teaching Staff's Responsibilities:

- To provide support and encouragement to all students wishing to claim credit for prior learning.
- Following initial enquiries by any student the member of staff should place the student in contact with a subject specialist.
- The subject specialist should develop, with the student, an action plan to address the learning outcomes of the program.
- The subject specialist should identify the evidence needed to support the claim for credit and explain how this evidence will be assessed and by whom.
- Ensure that the student claiming credit is enrolled for a specific award/qualification.

Learner Support Policy

Aims

To provide a learner support service involving initial and on-going guidance and support for individual learners to enable them to successfully participate and complete their learning programs.

In order to achieve the aims, the Center will:

- Learners are cared for and supported to achieve their learning goals
- Procedures to monitor learners' participation, progress and attendance lead to prompt action to address identified problems
- Staff use resources effectively and creatively, including accommodation, equipment and technology, and specialist advice and guidance, to promote and support learning
- Learning is effectively monitored during sessions, including where learners are receiving additional learning support
- Learners' additional support needs are identified quickly and accurately early in their program through effective initial assessment, leading to appropriate planning and support throughout the duration of their programs
- Effective timely information, advice and guidance is provided to learners on their next steps in training, education and employment
- Pre-course information and advice is effective
- Effective guidance and induction to introduce learners to the structure and demands of their program, and their rights and responsibilities as a learner
- Dynamic approaches to learning are employed to enable learners to achieve and overcome difficulties

Learner/Staff Malpractice Policy

Aims

- To identify and minimize the risk of malpractice by staff or learners.
- To respond to any incident of alleged malpractice promptly and objectively.
- To standardize 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 Center and BTEC qualifications.

Definition of Malpractice by Learners

This list is not exhaustive and other instances of malpractice may be considered by this Center 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 Center Staff

This list is not exhaustive and other instances of malpractice may be considered by this Center 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 Center 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.

To meet the above aims, KMITL-BTEC Center will:

- Seek to avoid potential malpractice by using the induction period and the student handbook to inform learners of the Center'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 synthesized appropriate information and acknowledged any sources used.
- Investigate the suspected malpractice supported by the Head of Center and all parties linked to the allegation. It will proceed through the following stages, which will be documented:
 1. Suspected malpractice must be reported immediately to Quality Nominee with written documentation and accompanying evidence of the suspected malpractice.
 2. The Quality Nominee will speak to the individual(s), who will invited to respond to the accusation in writing. If the malpractice is in relation to staff the Quality Nominee will speak to the Head of Center and Pearson prior to speaking to the member of staff in question.
 3. The Quality Nominee with the Head of Center will consider the evidence and come to a decision regarding the suspected malpractice. Additional advice will be sought if necessary from the examining body.
 4. The Quality Nominee and Head of Center will notify the individual suspected of malpractice alongside their parent/carer in the case of a student allegation or alongside a person of their choosing in the cases of a staff allegation. At this time the right to appeal will be made clear.

Malpractice by Learners

Where malpractice is proven, this Center will apply the following penalties / sanctions:

1. Any mark/grade awarded for work in question will be withdrawn and the student will be requested to resubmit with supervision by an agreed date.
2. In cases of severe / deliberate malpractice or repeated malpractice, the individual may be withdrawn from the course

If the Learner disagrees with the decision then the Quality Nominee and/or the Head of Center, the Quality Nominee will contact Pearson and inform them that the internal malpractice procedure has been exhausted without resolving the issue.

Malpractice by Center Staff

The process the Center will follow if there is an allegation of staff malpractice is as follows;

- Quality Nominee identifies malpractice and immediately informs the Head of Center and Pearson (via the Regional Quality manager) before questioning the member of staff.
- If the member of staff admits malpractice this is recorded and sanctions are issued at the discretion of the Head of Center
- If the member of staff denies malpractice the case will be examined by the Head of Center who makes a judgement based on the evidence.

If the member of staff disagrees with the decision then the Head of Center will inform Pearson so that an external investigation can be undertaken.

Pearson will be informed of the results of all investigations at the end of the investigation. However, the Quality Nominee and Head of Center retain the right to inform Pearson (via the Regional Quality manager) sooner should there be enough grounds to believe that the extent of the malpractice is quite significant.

Complaint Policy

Aims

- To ensure a fair, transparent and clear right for the student complaints to be heard and recorded at the Center.
- To support and further strengthen the validity of the other policies as part of the BTEC course (in particular the appeals and equal opportunities policies)
- To provide an avenue for the students to pursue any complaints of any nature, either in addition to or independently to the assessment, verification and appeals processes.

In order to achieve the aims, the Center will:

- This policy will be managed by the Head of Secondary, who will ensure the policy is publicized to students and their parents via BTEC induction documentation and the school website.

Complaints procedures:

- Students should make any complaint in writing using their tutor for support if needed. This complaint should be made as soon as possible after the event giving rise to the complaint.
- A written copy of the complaint should be sent to the BTEC teacher who teaches the student for the subject in question. The BTEC teacher should reply to the student in writing within a week, keeping a copy of this letter.
- The appeal panel will consist of the Head of Secondary, Deputy Head of Secondary and the Program leader. The teacher concerned will also be present.
- A written record of the hearing will be kept.
- The student making the complaint should set out his complaint including any supporting evidence. The teacher concerned will have an opportunity to state their case, again supported by relevant evidence.
- The appeal panel will use the information received to decide on an outcome to the complaint which will be recorded. The outcome will be reported to the teacher and the student concerned and any necessary action to be taken in accordance with the school policy.
- The outcome will be circulated to all relevant parties including Edexcel if the outcome affects previously assessed material.

Conflict of Interest Policy

Aims

The aim of this policy is to protect the integrity of the Center and the integrity of our qualifications. The policy is also designed to protect our staff by providing guidance on handling possible conflicts of interest that may arise as a result of the Schools role as delivering courses.

Scope of Policy

This policy applies to all staff and other individuals who interact or potentially interact with the work of the awarding organization. This includes individuals involved with any aspects of the creation, marketing, sales, distribution, marking or any other activity connected with qualifications, tests and assessments, and supporting resources and services.

The individuals falling within the scope of this policy include all staff employed by the School on a full time, part time or casual basis.

Definition of conflict of interest:

A conflict of interest is a situation in which an individual, or organization, has competing interests or loyalties. In the case of an individual, the conflict of interest could compromise or appear to compromise their decisions if it is not properly managed.

Conflicts of interest can arise in a variety of circumstances. The following are some examples of conflict of interest. (This list is not exhaustive):

- When an individual has a position of authority in one organization that conflicts with his or her interests in another organization.
- When an individual has interests that conflict with his or her professional position.
- Where someone works for or carries out work on the schools' behalf but may have personal interests — paid or unpaid — in another business.
- Where someone works for or carries out work on the Schools behalf and has friends or relatives taking assessments or examinations.

In order to achieve the aims, the Center will:

- Review our processes annually to ensure that all conflicts of interest or potential conflicts of interest are managed and resolved.
- Ensure that the contractual arrangements clearly set out any obligations on them to declare and manage conflicts of interest arising from other activities that they undertake.
- Ensure that anyone who has access to confidential assessment material for a qualification understands the confidential nature of the content.

- Ensure that all members of staff declare any interest for friends or family sitting examinations.
- Ensure that all staff are made aware of their responsibilities in regards to the implementation of the conflict of interest policy:
 - All staff within the Center have responsibility for ensuring that they read understand and are familiar with the Conflict of Interest Policy, any guidelines and complete any required annual conflict of interest training.
 - All staff are required to disclose any activity that might give rise to a potential conflict of interest. If there is any doubt whether or not it represents a conflict of interest, it should be reported.
 - All staff members considering paid or unpaid work outside of the School should inform their manager if they think there is any potential for a conflict of interest and never take on any such activities that could be deemed to compete or conflict with the Center's activities.
 - All staff, prior to each examination series, must inform the Head teacher of any candidates being entered for its examinations / assessments, who are relatives or friends.
 - All staff, including line managers, are equally responsible for ensuring that any issue is documented.
 - Leaders in each department are responsible for communicating the Conflict of Interest Policy to all relevant individuals within their areas of responsibility annually and required to review their procedures annually to ensure that they anticipate and manage potential or actual conflicts. They are also responsible for ensuring that all new staff receive conflict of interest information. Any potential or actual conflict of interest must be documented by the subject leader. The SLT line manager must either resolve the issue or, for issues that cannot be resolved at this level, report the issue to the Head of school.
 - The Head of School is responsible for escalating reports of actual or potential conflicts of interest to an appropriate level within the business and, when necessary, to the Principal. The Head will begin an investigation of any issues identified within 48 hours. A preliminary report will be made available to the BTEC coordinator and Principal within 5 working days.
 - The Principal will either endorse the final decision of the Head of Secondary or in cases where a serious breach of conflict of interest has occurred, escalate the matter to the school disciplinary committee.

- Any individual may wish to raise concerns relating to conflict of interest directly with the Senior Leadership team line manager. This may be done in confidence and they are entitled to receive a response to their concerns

Special Consideration and Reasonable Adjustment Policy

Due to the limitations of the course structures and the physical environment, we will not accept learners with physical or mental impairments at this time on our BTEC programs.

Contingency and Adverse Effect Policy

Aims

This policy is designed to ensure a consistent and effective response in the event of major disruption to the course delivery and assessment system affecting significant numbers of learners. The plan will be implemented in the event of major disruption to the system, such as widespread illness, travel disruption, bad weather or power failures. Any actions taken will be subject to the advice of the official agencies dealing with the specific circumstances being faced.

Implementing the plan will safeguard the interests of learners while maintaining the integrity of the assessment system and safeguarding qualification standards. The contingencies applied will be selected based on the context of the disruption.

The priority when implementing contingencies will be to maintain the following principles:

- Delivering course to published timetables
- Delivering assessments to published timetables
- Delivering results to published timetables
- Complying with regulatory requirements in relation to assessment, marking and standards.

Communication:

- In the event of local disruption, communication to tutors and learners will take place through the administration following agreement with the Executive Director.
- In the event of major disruption, details of specific contingencies agreed across organizations involved in the examinations process will be confirmed and proactively communicated to relevant stakeholders.
- This includes communications between the organizations involved in the response and communications to stakeholders such as centers, candidates, parents, and the public.
- The Center is committed to:
 - sharing timely and accurate information as required to meet the aims of the plan
 - communicating with stakeholders so they are aware of disruption and contingency measures being implemented and any actions required of them as a result
 - ensuring that any messages are clear and accurate.

Key Risks and Associated Actions:

Key Risks	Associated Actions
Teaching staff extended absence	Arrange alternative teaching staff within the institution concerned at the earliest opportunity.
Learners extended sickness	Learners will have opportunity to defer their study or resit any portion of the learning and assessment process that they miss.
Lack of appropriately trained and qualified assessor or IV and their absence	Keep abreast of the planning, hiring, training, etc. of all assessors at least 2 weeks prior to the course start and arrange alternative staff as necessary.
Lack of appropriate rooms or main venues unavailable at short notice	Liaise with the external partner organizations to make use of their spaces.
Failure of IT systems	<ul style="list-style-type: none"> – Maintain secured backup for all types of assessment and feedbacks – Support learners with printing version of the course materials during class time. – Liaise with Awarding body to let them know about the failure of the system and get help from their contingency plan.
Disruption of teaching time – Center closed for an extended period	<ul style="list-style-type: none"> – Communicate with learners about the potential for disruption to teaching time and plans to address this. – Establish liaison between tutors and learners so that learner can make correspondence with tutor and get course materials and submit assignments online. – Arrange alternative teaching space at partner venue
Assessment evidence is not available to be marked (Large scale damage to or destruction)	<ul style="list-style-type: none"> – To reduce this risk, active scripts remain on site for the absolutely minimum time. – It is the responsibility of the head of Center to communicate this immediately to the relevant awarding organization(s) and subsequently to learners.
Center unable to distribute results as normal	<ul style="list-style-type: none"> – Contact to be made immediately to the awarding bodies about alternative options. – Contact to be made immediately to the learners explaining the situation.
Withdrawal of Qualifications	The Center is committed to putting the interests of learners first and undertakes to take all reasonable steps to protect the

Key Risks	Associated Actions
	<p>interests of learners should an Qualification or Unit be withdrawn for whatever reason and by whichever body. The Center will make every effort to ensure that learners are not registered onto Qualifications that are due to be withdrawn before the date that learners could reasonably be expected to complete the Qualification. Where there appear to be learners unlikely to complete prior to the Qualification end date, The Center will take all reasonable steps to identify an alternative Qualification, or an alternative Center and to make the necessary transfers and other arrangements in order to enable the learners to achieve the Qualification wherever possible.</p>

Safeguarding of Learners Policy

Aims

- Do all that we can to ensure that learners are not at risk of abuse in our school/college,
- Do all that we can to ensure that all learners are free from sexual harassment while within our school/college or while receiving a service from us; whether the harassment is from employees, peers or contractors; and
- Recognize and take appropriate action, when a child, young person or vulnerable adult might have been abused, including in the community or family.

To meet our objectives, we commit to:

- Comply with all relevant laws and regulations,
- Set overarching principles to help our employees think about our safeguarding / child protection responsibilities
- Acquire a public liability insurance suitable for the Center and its people

Responsibilities:

- Define procedures and provide guidance on the safeguarding/child protection standards we expect and the actions our people should take to avoid risk and to respond to cases of abuse,
- Communicate our Policy and guidelines to our employees, contractors, parents and others interested in our approach including through publishing our policy,
- Ensure all our people are offered training to build their skills in avoiding, identifying, responding and reporting cases of harm,
- Monitor and document performance and apply any learning from these Safeguarding / Child Protection Learning Principles.

The Center has developed a Safeguarding / Child Protection Policy (Date) and as part of that policy, we have defined a set of procedures to follow as well as guidelines on other issues. We will also signpost other policies and procedures that are complementary to safeguarding /child protection.

Our safeguarding/child protection learners' principles

- Best interests of the learner are paramount and shall be the primary consideration in our decision making.
- We are learner centered and have adopted a rights-based approach. This helps us keep the rights of students, children and vulnerable adults to care, nurturing and equality of protection sharply in focus in all our activities

- Equality of protection to ensure that students have the same positive opportunity and to engage in our activities safely regardless of their gender, ability, race, sexuality, ethnicity, religion, circumstances or age.
- Vulnerable children and adults require attention to optimize their safety needs and promote their access to important opportunities.
- We take responsibility to meet our obligations regarding our duty of care to all our students. This means ensuring our products are safe and that we protect children and vulnerable adults across all our activities and facilities.
- We reject the use of child or forced labor in our educational activities and in our business relationships.
- We make clear our standards to contractors and suppliers and audit those we identify as being high risk.
- We recognize and acknowledge an element of risk can exist in many learning situations, and while we may never be able to eliminate this completely, we will do all we can to reduce or limit its impact.
- We are honest and transparent in our approach and publicly disclose both this policy and the way we work to try and protect all our students and children and vulnerable adults.
- In general, excepting where there is an apparent immediate threat to life or limb, all personally identifiable information concerning students should only be shared and handled on a need to know basis and where we have the express consent of the data subject for the nominated purpose. Access to the information must be necessary for the conduct of a role relevant to our School / college Only individuals who have legitimate reasons to access the information can receive it.

We support and train those working within School/ College to recognize and respond to student concerns, to concerns in relation to child and vulnerable adult protection risks and incidences.

- We have a dedicated person (s) in place to take responsibility for the protection of children and vulnerable adults
- We work with others to protect children and vulnerable adults. This could include law enforcement or child welfare agencies where necessary. We require incidents relevant to this policy in respect of all students to be reported in a timely way both internally and to the appropriate authorities, linked to proper recording of the relevant details.
- Independent monitoring of the implementation of the policy is important to us, and we would share our policy with all relevant people and agencies.

Risk Assessment and Health and Safety Policy

Aims

- Provide and maintain a safe and healthy working environment ensuring the welfare of all persons
- Maintain control of health and safety risks arising from our activities
- Comply with statutory requirements as a minimum standard of safety
- Consult with all staff on matters affecting their health, safety and welfare
- Provide and maintain safe systems, equipment and machinery
- Ensure safe handling, storage and use of substances
- Provide appropriate information, instruction and supervision for everyone
- Ensure staff are suitably trained and competent to do their work safely
- Continually develop a safety culture to remove or reduce the possibility of accidents, injuries and ill-health
- Assess risks, record significant findings and monitor safety arrangements
- Review and revise safety policies and procedures periodically and when circumstances may introduce a requirement to amend or improve arrangements
- Develop and maintain a positive health and safety culture through regular communication and consultation with employees and their representatives on health and safety matters

Employer Responsibility

The overall responsibility for health and safety at the Center is held by the Director who will:

- Ensure that health and safety has a high profile
- Ensure adequate resources for health and safety are made available
- Consult and advise staff regarding health and safety requirements & arrangements
- Periodically monitor and review local health and safety arrangements

Responsible Manager

The responsible manager for the premises is the Headteacher who will act to develop a safety culture throughout the unit/Center/school/premises

- Consult staff and provide information, training and instruction so that staff are able to perform their various tasks safely and effectively
- Assess and control risk on the premises as part of everyday management
- Ensure a safe and healthy environment and provide suitable welfare facilities
- Make operational decisions regarding health and safety
- Ensure periodic safety tours and inspections are carried out

- Ensure significant hazards are assessed and risks are managed to prevent harm
- Ensure staff are aware of their health and safety responsibilities
- Periodically update governing bodies/partnerships as appropriate
- Produce, monitor and periodically review all local safety policies and procedures

All Staff (including volunteers)

All staff have a statutory obligation to co-operate with the requirements of this policy and to take care of their own health and safety and that of others affected by their activities by:

- Supporting the unit/Center/school/premises health and safety arrangements
- Ensuring their own work area remains safe at all times
- Not interfering with health and safety arrangements or misusing equipment
- Complying with all safety procedures, whether written or verbally advised, for their own protection and the protection of those who may be affected by their actions
- Reporting safety concerns to their staff representative or other appropriate person
- Reporting any incident that has led, or could have led to damage or injury
- Assisting in investigations due to accidents, dangerous occurrences or near misses
- Not acting or omitting to act in any way that may cause harm or ill-health to others

Caretaker/Site Manager

The caretaker/site manager is responsible for undertaking a wide range of typical health and safety related duties on behalf of, and under the direction of the responsible manager. He/she is to work within the parameters of any provided training and in accordance with risk assessments and the on-site safe working practices.

He/she is to work within their level of competence and seek appropriate guidance and direction from the headteacher/responsible manager and/or the Children's Services Health & Safety Team as required.

On-Site Health & Safety Co-ordinator/Officer

The on-site health & safety officer/co-ordinator to the school will manage, advise and co-ordinate local safety matters on behalf of, and under the direction of the responsible manager. He/she is to work within their level of competence and seek appropriate guidance and direction from the responsible manager/headteacher and/or the Children's Services Health & Safety Team as required.

All Teachers & Supervisors

The responsibility of applying local safety procedures on a day-to-day basis rests with the teachers and supervisors. Where any new process or operation is introduced in the area of their responsibility, they are to liaise appropriately so that the associated risks are assessed and any precautions deemed

necessary are implemented. They are to ensure that all new members of staff under their control are instructed in their own individual responsibilities with regards to health and safety, and they will appropriately monitor those new staff. They are to make periodic inspections of their areas of responsibility, taking prompt remedial action where necessary to control risk.

Safety Committee

The purpose of the safety committee is to assist in the assessment of safety related matters and provide appropriate support to the responsible manager/headteacher. The safety committee is to periodically meet to monitor and discuss on-site health and safety performance, and recommend any actions necessary should this performance appear or prove to be unsatisfactory. Safety committee staff will be kept informed of all changes in practices and procedures, new guidance, accidents, incidents and risk related matters.

Fire Safety Co-ordinator

The Headteacher is the fire safety co-ordinator who is the competent person for fire safety on the premises and acts on behalf of the responsible manager. He/she is to attend the fire safety co-ordinator training course and refresh this training every three years. The fire safety co-ordinator is responsible for the local management and completion of day-to-day fire safety related duties and upkeep of the fire safety manual.

The fire safety co-ordinator is to work within their level of competence and seek appropriate guidance and direction from the responsible manager/headteacher and/or the Children's Services Health & Safety Team as required.

The facility management trained member of staff is the competent person for the overall management of general premises facilities and acts on behalf of the responsible manager. He/she is to attend the facilities management training course and refresh this training every six years. He/she is responsible for the local management and completion of day-to-day premises matters and duties. He/she is to work within their level of competence and seek appropriate guidance and direction from the responsible manager/headteacher and/or the Children's Services Health & Safety Team as required.

Emergency Procedures

General emergency evacuation for non-fire related emergencies is to be carried out in accordance with the unit/Center/school/premises emergency evacuation plan. The unit/Center/school/premises has a fire emergency plan for fire related emergencies and an emergency evacuation plan for all non-fire emergencies.

All staff will receive a brief and/or a copy of the emergency evacuation plan at induction, and they will be periodically provided with updated information as the emergency evacuation plan is routinely reviewed and amendments are introduced.

Personal Emergency Evacuation Plans are to be completed, provided and exercised for any vulnerable persons to be able to ensure safe, assisted evacuation in the event of an emergency incident.

Fire Safety

Arrangements regarding fire safety are set out in the Fire Safety Manual. The fire safety co-ordinator is the competent person for fire safety on the premises and is the immediate point of contact for all fire safety related enquiries on site.

The responsible manager/headteacher will ensure through the fire safety co-ordinator that:

- All staff complete the mandatory fire safety induction e-learning course every year
- Fire safety procedures are readily available for all staff to read
- Fire safety information is provided to all staff at induction and periodically thereafter
- Fire safety notices are posted in the key areas of the building close to the fire points
- Evacuation routes and assembly points are clearly identified
- Staff are aware of their own responsibilities for knowing the location of fire points and fire exits. They should also know the location of the assembly point in the event of fire
- All staff are familiar with the flammable potential of materials and substances that they use and exercise maximum care in their use, especially with those marked flammable
- Fire evacuation procedures, fire safety training and fire alarm testing are carried out in accordance with corporate guidance and the premises fire safety manual
- The fire risk assessment is reviewed annually by the fire safety co-ordinator and amended as new hazards or required amendments are identified

First Aid

First-aid kits will be available in every BTEC delivery classroom.

General Equipment

All general equipment requiring statutory inspection and/or testing on site (e.g. boilers, hoists, lifting equipment, local exhaust ventilation, PE equipment, climbing apparatus) will be inspected by appropriate competent contractors. Equipment is not to be used if found to be defective in any way. Defective equipment is to be reported and immediately taken out of use until repairs can be carried out.

Good Housekeeping

Tidiness, cleanliness and efficiency are essential factors in the promotion of good health and safety.

The following conditions are to be adhered to at all times:

- All corridors and passageways are kept free from obstruction
- Shelves in storerooms and cupboards are stacked neatly and not overloaded

- Floors are kept clean and dry, and free from slip and trip hazards
- Emergency exits and fire doors are not obstructed in any way
- Supplies are stored safely in their correct locations
- Rubbish and litter are cleaned and removed at the end of each working day
- Poor housekeeping or hygiene conditions are immediately reported

Hazardous Substances

Hazardous substances, materials, chemicals and cleaning liquids are not permitted to be used or brought into use on site unless a documented COSHH assessment has been undertaken by the trained COSHH assessor, and the product has been approved for safe use on site by the responsible manager/headteacher. The premises COSHH assessor acting on behalf of the responsible manager/headteacher is the Site Manager.

Inspections and Monitoring

Daily monitoring of the premises, through working routines and staff awareness, is expected to identify general safety concerns and issues which should be immediately recorded in the premises defect book and reported to the Site Manager.

Monitoring and inspections of individual departments will be carried out by Heads of Department and/or the subject teachers as nominated by the Head of Department.