



BTEC Assessment Policy

The Assessment and feedback process – is now formalised to ensure that students develop the lifelong skills such as self-evaluation, self-assessment and goal setting.

The submission process – Only one submission is allowed for each assignment. You need to be confident your learners are sufficiently prepared before they undertake an assessment

There is the opportunity for resubmission or retakes – although there are conditions attached.

What the changes mean in practice:

We need to enter students for the examinations when we feel they are able to achieve. You need to be confident your learners are sufficiently prepared before they undertake an internal assessment.

1. **Definitions of roles for Btec Assessments**
2. **The Assessment Plan**
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1. Definition of Roles for BTEC Assessments:

Teacher/Assessor	<ul style="list-style-type: none"> • Guides students to produce evidence to meet assessment criteria • Monitors students' progress, provide opportunity for students to amend/upgrade work • Gives constructive feedback to students • Check authenticity and sufficiency of evidence produced against criteria • Uses standard observation/witness statements for practical assessments • Awards partial/full unit grades as students complete the assessment criteria • Records assessment decisions on mark sheet
Course Leader = Course Co-ordinator	<ul style="list-style-type: none"> • Reads and understands the Assignment Brief and course specification • Assign staff to units and brief them on course structure and assessments • Provides a minimum of a 25% sample of assessed learner work for IV and identify actions taken • Ensures learners are registered via exams officers (partner College or Academy). • Complete the Assessment Plan and IV Timetable ensuring that all units and all assessors are verified • A record must be kept of all course meetings and IV/SV must be standing items on the Agenda. • There needs to be a Course Reviews throughout the year – at least once per term. • Work with Lead IV to ensure Assessment Plan and IV timescales are met • Collate IV recording documentation • Co-ordinates time for feedback from IV and Lead IV to Assessors • Gather and dispatch samples for Standards Verification if required • Feedback to staff on Standards Verification report and ensure any remedial actions are taken • Maintain and monitor student progress on Academy Tracker • Completes the SRFs or liaises with Exams office
IV	<ul style="list-style-type: none"> • Check assessment decisions as per IV Timetable – a minimum of 25% of learners assessed work • Liaise with Lead IV and/or Standards Verifier if appropriate • Provide advice and support to assessor • Ensure appropriate actions are taken and recorded • Ensure own assessments and decisions are sampled if teaching on the course • Complete IV documentation and return it to Course Leader (electronically)

Standards Verifier (external person employed by BTEC)	<ul style="list-style-type: none"> • Negotiates arrangements for units for SV sampling – dates, units, postal or electronic samples • Samples units and produces a report for Edexcel Pearson and the centre if applicable
Team Leader (VP Curriculum and Quality)	<ul style="list-style-type: none"> • Arrange appointment and accreditation of a Lead IV • Arrange sufficient time allocation to IV and Lead IV roles • Undertake Quality Health Check audits including Success
Quality)	<ul style="list-style-type: none"> • Rate reporting for BTEC provision • Implement and oversee any disciplinary procedures, including appeals and malpractice for staff and students
The Lead IV	<ul style="list-style-type: none"> • Once appointed complete the induction training and on-line accreditation with Edexcel (QCF - valid for 3 years, NQF – re-register annually) • Check that both the Assessment Plan and IV Timetable is in place and sign them as being approved. • Periodically sample assignments and learner work that has been IV'd and maintain a record electronically where possible • Provide annual training / standardisation for course/programme area staff Check that Standards Verification arrangements have been made where applicable and that SV reports are feedback to staff • Report any identified Malpractice to Section/Team Leaders • Authorises all re-submission and re- takes • Liaise with Exams office to send ALL SAMPLE WORK to the External Verifier. The Exams office will keep proof of postage on your behalf.

2. The Assessment Plan:

The assessment plan must include:

- your assessment and internal verification team for your programme;
- coverage of all the criteria against which you will be assessing your learners;
- assignment hand-out and hand-in dates.

and include dates for:

- submission;
- internal verification;
- opportunities for resubmission.

Assessment Plans may change and will need to be flexible to meet the evolving needs of the teachers and learners.

The SV will want to see the assessment plan for any units checked by them.

The SV will expect to see annotations to your plans, for any changes.

Assessments

You can use different assessment methods with different learners – they do not all have to provide evidence in the same way. You could set them a task and give them a choice for example, of either presenting a written report or delivering a presentation or just have a one-to-one discussion etc.

It is important that every learner is aware of the assessment process.

3. The Submission Process

Only one submission is allowed for each assignment.

The assessor must formally record the assessment result and confirm the achievement of specific assessment criteria. Assessment criteria in each unit are assessed once only.

The assessor must:

- formally record and confirm the achievement of specific assessment criteria complete a confirmation that the evidence they have assessed is authentic and is the learner's own work.

The assessor must not:

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

What this means in practice – there remain formative and summative feedback opportunities

During teaching and learning you can provide formative feedback – although this should be detailed within the Assessment plan

Once students commence work for **Summative** assessment – they must work independently

4. Extensions and Extenuating Circumstances

Extensions

Extensions for individual items for coursework may be requested before the submission date on the grounds that illness or an accident or a personal crisis or factors outside the student's control have adversely affected or will adversely affect the time available for completion of the assignment.

- Extension requests must be completed on the appropriate proforma.
- Extension requests can only be agreed and signed by your Tutor/Course Coordinator.
- Extensions are granted for a **maximum of 1 week**.
- When submitting an assignment for which an extension has been agreed, it is essential that the completed pro-forma is attached.

Extenuating Circumstances

Acceptable evidence of extenuating circumstances would include originals of:

- Medical Certificate (Medical certificates are not always accepted. To be accepted, the medical certificate must be specific about the nature of the illness and the dates affected, and confirm that this is the doctor's own diagnosis. It is not sufficient for the doctor to write a letter stating that the student saw him/her and "said" that they were or had been suffering from stress etc. Self-certificates are not acceptable).
- Letter from Student Services Counselling Service or Students' Services Advice service.
- Letter from solicitor, summons to attend court, eviction notice.
- Death certificate (i.e. of close relative).
- Letter from a transport official confirming serious unforeseen disruption to transport.

5. Authentication of Assessed Work

The learner must complete a signed and dated declaration of authenticity for each assignment, which confirms they have produced the evidence themselves. This is compulsory.

ACTION:

The learner should say in learner feedback:

"I confirm this is my own work"

Signed _____

Date _____

6. Feedback Process

Teaching and Learning

During teaching sessions teacher use their professional judgement about the quality and nature of feedback. Formative feedback is allowed and can include:

- identifying areas for progression, inc Stretch and Challenge
- explain what learners need to do to achieve a pass, merit or distinction
- set 'Mock' exams to help learners prepare for assessments
- give feedback on how to improve their knowledge and skills
- predicted grades can be given to learners

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

- assessment requirements;
- nature of the evidence they need to produce;
- importance of time management and meeting deadlines.

During Assessment

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

Once the learner begins work for the assessment, the tutor can:

- give guidance on how to approach the requirements;
- give conformation of what the assignment brief requires;
- give guidance on appropriate behaviour.

Once the learner begins work for the assessment, the tutor must 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.

Following assessment, the assessor formally records their assessment decisions against individual assessment criteria on the mark sheet. This is the formal opportunity for the assessor to give feedback to support learner progression:

- the assessor should give feedback on which criteria the learner has achieved, and not achieved, giving clear reasons why so the learner can learn and progress;
- **avoid** giving direct, specific instructions on how the learner can improve the evidence to achieve a higher grade (should the Lead Internal Verifier authorise a resubmission).

7. Resubmission of Evidence – To Improve a Mark

Because every assignment contributes to the final qualification grade, it may be appropriate for the Lead Internal Verifier to authorise one opportunity for a learner to resubmit evidence to meet assessment criteria targeted by an assignment.

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

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

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

- recorded on the Mark Sheet;
- given a deadline for resubmission within 10 working days* of the learner receiving the results of the assessment undertaken by the learner with no further guidance.

**** 10 working days must be within term time, in the same academic year as the original submission.***

Note: Standards Verifiers will require you to include evidence of resubmitted work in sampling.

The new rules have introduced a 10 working day time limit for resubmissions.

This is to:

- ensure all learners given an opportunity to resubmit their evidence do not gain an unfair advantage over other learners;
- minimise the risk of plagiarism;
- allow learners to revisit their evidence while the assignment brief is still fresh in their minds;
- help teachers and assessors plan for delivery and assessment to ensure units are completed by a specified date.

8. Retakes – If First Submission is a Fail

The BTEC QCF qualifications do not allow for compensation – this means that they require learners to achieve every pass criterion in order to successfully achieve the qualification.

If a learner has met all of the conditions listed above in resubmission, but still not achieved the targeted pass criteria following resubmission of an assignment, the Lead Internal Verifier may authorise one retake opportunity to meet the required pass criteria.

The Lead Internal Verifier must only authorise a **retake in exceptional** circumstances where they believe it is necessary, appropriate and fair to do so.

The retake must be a **new** task or assignment **targeted only to the pass criteria** which were not achieved in the original assignment.

The assessor must agree and record a clear deadline before the learner starts a retake.

- The learner and the assessor must sign declarations of authentication as they both did for the previous submissions.
- Standards Verifiers will require you to include evidence of any retakes in sampling.
- The assessor **cannot award** a merit or distinction grade for a retake.
- The learner will not be allowed any further resubmissions or retakes for that assessment. A re-take is allowed for each assignment e.g.: P1, P2, P3 or P4.

9. Observation records and Witness Statements

Observation record

An observation record is used to provide a formal record of an assessor's observation of learner performance (e.g. during presentations, practical activities) against the targeted assessment criteria.

Please note: observation record is a source of evidence and does not confer an assessment decision. The record will:

- relate directly to the evidence requirements in the unit specification;
- provide primary evidence of performance to support subsequent assessment decisions;
- is sufficiently detailed to enable others to make a judgement about the quality and sufficiency of the performance.

Observation records should:

- be accompanied by supporting/additional evidence. This may take the form of visual aids, video/audio tapes, CD's, photographs, hand outs, preparation notes, cue cards, diary record or log book and/or peer assessments records, etc.
- be completed by the assessor who must have direct knowledge of the specification
- record the assessor's comments
- also include the learner's comments
- be signed and dated by the assessor and the learner
- be included in the learner's portfolio, along with relevant supporting evidence, when submitted for assessment.

Witness statement

A witness statement is used to provide a written record of learner performance against targeted assessment criteria. Someone other than the assessor of the qualification/unit may complete it. This may be an assessor of a different qualification or unit, a work placement supervisor, a technician, learning resources manager or anyone else who has witnessed the performance of the learner against given assessment criteria. It can be someone who does not have direct knowledge of the qualification, unit or evidence requirements as a whole, but who is able to make a professional judgement about the performance of the learner in the given situation.

The quality of witness statement is greatly improved, and enables the assessor to judge the standard and validity of performance against the assessment criteria, if:

- the witness is provided with clear guidance on the desirable characteristics required for successful performance;
- the evidence requirements are present on the witness testimony (this may need further clarification for a non-assessor);
- the learner or witness also provides a statement of the context within which the evidence is set.

Please note: A witness statement is a source of evidence and does not confer an assessment decision. The assessor must:

- consider all the information in the witness statement;
- note the relevant professional skills of the witness to make a judgement of performance;
- review supporting evidence when making an assessment decision;
- review the statement with the learner to enable a greater degree of confidence in the evidence;
- be convinced that the evidence presented by the witness statement is valid, sufficient and authentic.

When a number of witnesses are providing testimonies:

- it may be helpful to collect specimen signatures;
- all witness testimonies should be signed and dated by the witness;
- information of their job role/relationship with the learner should also be recorded.

These details add to the validity and authenticity of the testimony and the statements made in it. Centres should note that witness testimonies can form a vital part of the evidence for a unit but they should not form the main or majority assessment of the unit.

10. Internal Verification

Centres are required to have processes in place reviewing each assessor's decisions to ensure that they are correctly interpreting and applying the standards set out in the specifications.

A centre agrees the following internal assessment procedures at approval:

- that learners' work is reviewed and judged by assessors;
- to quality assure assessors' decisions by appointing an **Internal Verifier and Lead IV**. This role ensures that all assessment decisions are accurate, fair and consistent;
- a senior manager responsible for managing quality has oversight of assessment.

The Lead IV manages the process. He/She should be an experienced teacher and assessor; carry out the role in an supportive and authoritative manner; and be familiar with the specification.

IV documentation should be produced for Standards Verification when required, together with the appropriate BTEC specification and centre delivery and assessment methodology.

A good IV system will:

- take place across all BTEC units and will ensure consistency of assessment across all assessors, sampling size will vary according to the circumstances e.g. assessments done by an inexperienced tutor may need to be sampled more;
- be supported by regular meetings and reliable records of all activities;
- have a sampling strategy, which is sufficient to assure the quality of assessment and have an annual timetable outlining who and what units are to be assessed;
- have regular standardisation process days where tutors can get together and review each others assessment decisions against the standards as a check for accuracy and consistency across courses. Course leaders **MUST** record these in course file;
- meet the requirements of SV by providing accurate records of the IV process.

Notes For effective internal verification:

- All assessors assignment briefs must be verified prior to release to learners;
- A minimum of 25% of assessed learner's work is to be verified. For new courses/under 3 years and inexperienced/new staff to Btec this may be more);
- Assessors cannot iv their own assignment briefs or assessed learner work;
- A range of grades should be targeted when selecting learner work for iv e.g., one learner at pass level, the other at merit level;
- Different learners should be targeted for iv of assessment decisions across the units;
- If an assignment brief is used again in a different year without alteration there is no need to iv the brief again, however if assignment briefs are amended/adapted then they must be iv'd prior to use by learners (assessment activities are only going to be effective if they are reviewed and renewed on a regular basis to check they meet the requirements of different learners);
- IV records (including assignment brief and IV reports) to be stored on file (electronically) and maintained by the course leader for quality inspection purposes (The Lead IV and Quality Manager will require to see these);
- Plan ahead – ensure that planning is done thoroughly and takes account of each term.

11. The Lead IV

A Lead Internal Verifier (Lead IV) is the person designated by a centre to act as the point of sign-off for the assessment and internal verification of programmes

The Lead IV should be:

1. Someone with the authority to oversee assessment outcomes.
2. Directly involved in the assessment and delivery of a programme, so that they understand the units.
3. Able to coordinate across assessors and other internal verifiers.

Responsibilities:

- Register with Edexcel through OSCA2 and confirm registration every year;
- Undertake induction training through booking on to an event (you'll only need to do this once);
- Complete the accreditation process: practice exercise and assessment exercise (normally only once every three years);
- Ensure that there is an assessment and verification plan for the programmes which is fit for purpose and meets Pearson- Edexcel's requirements;
- Sign off the plan and check that it is being followed at suitable points;
- Undertake some internal verification and/or assessment for individual units – use the **Assessment Record Sheet** to record this;
- Ensure that records of assessment and samples of learner work are being retained for use with Standards Verification if necessary. Plan to set aside examples of work that has been verified to different levels and grades;
- Liaise with the Standards Verifier to ensure that appropriate sampling takes place, if and when sampling is required;

- For level 3 – 4 learners work from two complete units (8 learners if course has over 100 learners) to be checked – keep a record of this using the lead iv sampling form;
- Share good practice with assessors and iv's using the practice materials from edexcel and any samples you have collected yourself. Record/minute standardisation sessions in course file.

Tips for Lead Internal Verifiers

You don't have to do all internal verification – in fact, your assessment decisions must still be internally verified. We use the term Lead IV to emphasise the importance of proper coordination of internal verification through a single point of contact.

12. Standards Verification (SV)

If no Lead IV is appointed or fails the accreditation process or a course/centre has been chosen for random sampling then an SV will be assigned and postal sampling will take place.

- Sample size will depend on number of learners on a course.
- Samples will involve complete units of work being IV'd and then sent off to the SV who can block or release for certification
- Random Sampling may occur if issues arise from the QRD visit, a course is running for the first time, etc

What is the SV looking for:

- Your ability to set a successful assessment active;
- Your ability to assess to the national standard;
- Your ability to successfully internally verify assessment activities and assessment decisions.

There is one key decision which effects whether you are **blocked or released**; this is whether your sample has demonstrated you are **assessing accurately** and to national standards i.e. you are awarding the appropriate grades that the learners have provided sufficient evidence for.

13. Student records – Archives & Storage

What to keep and for how long?

There is no requirement to hold onto learner work post certification – just the grades awarded for each assignment, unit and final grades (SRF), IV records and SV evidence/reports for 3 years.

When to return work to students?

Post course certification return work to learners or destroy.

Where?

Safe and secure environment (locked office, filing cabinet, store room – to guard against theft, fire, flood and other hazards).

Why?

To provide an audit trail as a requirement of Edexcel from registration to certification covering records of learner achievements, assessors and internal verification processes.

14. Useful websites:

http://www.edexcel.com/btec/Documents/Guide_to_Internal_Assessment_for_BTEC_Firsts_and_Nationals_v3.pdf

<http://www.edexcel.com/btec/delivering-BTEC/quality/Pages/qa-process.aspx>

<http://www.edexcel.com/quals/firsts2012/Pages/default.aspx>

Delivery guides to be used with Guide to Internal Assessment for BTEC Firsts and Nationals.