



THE  
**BARCLAY**  
SCHOOL

# BTEC ASSESSMENT POLICIES

Updated:		February 2017
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# THE BARCLAY SCHOOL

## **BTEC REGISTRATION AND CERTIFICATION POLICY AND PROCEDURES**

### **Aim:**

- To ensure that individual students are registered on the correct programme within agreed timescales.
- To ensure valid student certificates are claimed within the timescales specified by the awarding body.
- To construct a secure, accurate and accessible audit trail to ensure that student's registration and certification claims can be tracked to the certificate, which is issued for each student.

### **The Centre will:**

1. Register each student within the awarding body requirements.
2. Provide a mechanism for programme teams to check the accuracy of the student registration.
3. Make each student aware of their registration status.
4. Inform the awarding body of withdrawals, transfers or changes to student's details.
5. Inform the awarding body where the school is able to apply for reasonable adjustments or special consideration for individual students.
6. Ensure that certificate claims are timely and based solely on internally verified assessment records.
7. Audit certificate claims made to the awarding body.
8. Audit the certificates received from the awarding body to ensure accuracy and completeness.
9. Keep all records safely and securely for three years post certificate.



# THE BARCLAY SCHOOL

## **BTEC ASSESSMENT AND INTERNAL VERIFICATION POLICY**

### **ASSESSMENT**

Assessment is used by teachers to judge learner's attainment. For learners, assessment indicates successful learning and the need for further study or further evidence. Assessment can be formative and summative; teachers will use both in assessing learners' attainment.

### **NEW ASSESSMENT POLICY / PROCEDURE (APPLICABLE TO ALL REGISTRATIONS AT LEVEL 2 & 3, NQF AND QCF)**

- Before starting an assessment the assessor must ensure that each student understands the assessment requirements – this includes having access to the content of what is required for the assessment and also the importance of time management and submission deadlines. The students must also be aware of the restrictions in how the assessor can provide support once the assessment has been started.
- Once the assignment brief has been given out the assessor must not provide specific assessment feedback directly related to the achievement of specific assessment criteria. Students must use their knowledge / notes / textbook to work independently towards the task
- Only one submission is allowed for each assignment task. This must be handed in to the assessor on the designated deadline day outlined within the assessment plan, unless there has been an agreed extension between the assessor and the student. The Lead IV must be informed of any agreed extensions.
- For each assignment task the student must submit the following >
  1. An assignment which consists of evidence towards the targeted assessment criteria
  2. A signed and dated declaration of authenticity which confirms the evidence has been produced independently



# THE BARCLAY SCHOOL

### 3. Appropriately referencing

- The feedback from the assessor must be completed on the Pearson approved assessment feedback form and within the specified time allocated within the assessment plan. An appropriate number should be handed on for internal verification. This would normally be 4 pieces from each assessment – one pass, one merit, one distinction and one from the most common grade. Each assessment is an opportunity for the internal verifier to check the assessment of different students. Internal verification should be within a maximum of 10 working days of the assessor's decision. The date for this must also be identified within the assessment plan
- The assessor must formally record and confirm the achievement of specific assessment criteria on the assessment feedback form. They should also complete a confirmation that the evidence they have assessed is authentic and is the student's own work. Feedback confirms which assessment criteria have been achieved and what evidence has been provided towards criteria not achieved. The assessor must not provide feedback on how to improve the evidence to achieve higher grades.
- If the internal verifier questions the award of grades the 'loop' must be completed by the assessor before the work is given back to the student.
- The Lead IV may authorise one opportunity for the student to resubmit evidence to meet assessment criteria targeted by an assignment. This can only be authorised if the following conditions are met >
  1. The student has met the initial deadline set in the assignment, or has met an agreed deadline extension
  2. The assessor judges that the student will be able to provide improved evidence without further guidance
  3. The original work has been authenticated by both the student and the teacher



# THE BARCLAY SCHOOL

If any of the above three conditions are not met the Lead IV must not authorise a resubmission

- If the Lead I/V authorises a resubmission it must be >
  1. Recorded on the assessment feedback form
  2. Completed within 15 working days of the student receiving the results of the assessment
  3. Undertaken by the student without any further guidance
  4. The student and the assessor must complete the appropriate forms to confirm the authenticity of the re submitted work
- Conditions for re taking an assignment task (QCF courses only)

If the student has not achieved the targeted pass criteria following resubmission of the assignment the Lead IV may authorise one retake opportunity to meet the pass criteria only. This should only be authorised in exceptional circumstances. The following conditions apply >

1. The retake must be a new task targeted at only the pass criteria, and a merit or distinction cannot be achieved.
2. An agreed deadline must be agreed and recorded between the assessor and the student
3. The student and the assessor must complete the appropriate forms to confirm the authenticity of the re submitted work

A full paper trail of all student work from resubmissions and re takes must be kept by the assessor, as this needs to be made available for standards verification

***Re takes are not available to students on NQF programmes of study***

**Reference – 'Guide to Internal Assessment for BTEC Firsts and Nationals'**

**This can be accessed through the Pearson web site >**



# THE BARCLAY SCHOOL

[www.btec.co.uk](http://www.btec.co.uk) > quality assurance .> key documents.

## **WHAT IS BTEC ASSESSMENT?**

- All BTEC programmes are made up of units. Each unit is assessed and counts towards an overall qualification.
- All BTEC programmes are assessed by reference to the assessment and grading criteria published in the programme specifications. The specifications can be downloaded from each BTEC qualification subject page.
- Units in some BTECs are graded (for example Pass, Merit, or Distinction); others are only achievable as a Pass. The NQF units allow for a Level 1 Pass, in addition to Level 2 achievement
- In NQF programmes there are units, which are externally assessed, contributing 25% of the final grade

## **WHY IS IT IMPORTANT?**

Assessment is a crucial part of BTEC delivery because most BTEC assessment are written and developed by staff in the centre. It is essential that the assessment and verification of learner work is accurate, rigorous and in line with national standards promoted by the exam board

## **ASSESSMENT EVIDENCE**

- Can take many forms: written-formal essays, evaluations, notebooks; verbal-crits, viva; records; studio logs; timesheets; plans; tutor observation and witness statements; photographic/digital.
- Can be practical work within the specialist area of the qualification.
- Should be timed carefully to reduce overload.

Course leaders and teachers should use a range of assessment strategies as this can enhance learning; improve knowledge of the grading criteria and of how to progress to higher-grade achievement.

If group work is used, teachers must be aware of the requirement that assessment is done at individual learner level. The use of Witness Statements, Tutor Observation sheets or other paperwork that records achievement at criterion level against the activity that is being observed is strongly recommended. Checklists prepared against unit grading criteria are one way of doing this.



# THE BARCLAY SCHOOL

## **DEADLINES**

Deadlines for assessment are an important part of these vocational qualifications. Learners must be encouraged to develop good habits that will stand them in good stead in the future.

However, once evidence is accepted for assessment, learners cannot be penalised for work submitted after the deadline. Criterion referenced qualifications demand that **only** the grading criteria for the units can be used for assessment decisions. The Lead IV can only authorise a resubmission if the agreed deadline date has been met by the student

## **RECORDS**

- Teachers must keep records of learners and their assessed work.
- Teacher records must be monitored and sampled by the Lead Internal Verifier and Programme Manager
- Learner assessments and verification records must be stored securely by the Programme Manager until all the final grades have been submitted; certification has been received by the school and handed out to the learners. In the event of an appeal against a grade then the evidence of the assessments should be kept until the appeal has been concluded
- Learner grades must be kept in a secure location for three years after certification.

## **WEAKNESSES IN ASSESSMENT**

Where there is an identified weakness in the assessment process the following will happen:

- Programme Manager's / Lead Internal Verifier's will initially offer support and guidance. This will include setting actions as per Edexcel / school documentation and making sure the actions are followed up.
- If necessary the Quality Nominee and senior staff will become part of the support and guidance process.

## **INTERNAL VERIFICATION**

Internal verification is a requirement of BTEC delivery. It is carried out on two levels in subject areas:

1. Internal verification of assignment briefs.
2. Internal verification of assessment decisions.



# THE BARCLAY SCHOOL

It is the responsibility of the Lead IV to ensure all of this has been completed within the agreed time frame on the assessment plan

## **WHAT IS INTERNAL VERIFICATION?**

Internal Verification (IV) is a system of quality checks made by someone in the centre to ensure that assignments have been written correctly and that assessment decisions are accurate.

It is a recorded discussion between two professionals to ensure accuracy, fairness, consistency and quality of assessment. It does not involve the learner.

The Lead I/V will produce an I/V schedule as part of the annual assessment plan, and will keep a record of which learner work has been sampled, and in which units. The amount of work to be I/V'd will be determined by the Lead I/V – but this should be a minimum of 4 pieces of work for each assessment. This should be made up wherever possible of a piece of work at all three levels of achievement (P, M & D) and one more of the most common grade. It is recommended that this number is increased for either new assessors to BTEC (> to 50% for first assessed piece of work) or for programmes with large cohorts of students (>20)

## **WHY IS IT IMPORTANT?**

Assessment is a crucial part of BTEC delivery because most BTEC assessment are written and developed by staff in the centre. It is essential that the assessment and verification of learner work is accurate, rigorous and in line with national standards promoted by the exam board

Assessment decisions of internally assessed units are totally in the hands of centre staff. Internal Verification checks that the standards set by the awarding body are being maintained.

Further guidance can be found in the **Centre Guide to Managing Quality** on the Key Documents page of the BTEC website:

[www.edexcel.com/quals/BTEC/quality/Pages/documents.aspx](http://www.edexcel.com/quals/BTEC/quality/Pages/documents.aspx)

## **NEW STAFF**

Any new member of staff (not just NQT's) will need an induction programme to make sure they fully understand all the BTEC requirements of their role they must also review the Barclay School BTEC policies. This will normally be a Departmental responsibility but extra support will be offered by senior staff (usually the Quality Nominee – Lee Falanga) if necessary.



# THE BARCLAY SCHOOL

The induction programme will include:

- Recommended 50% of assessed work sampled during the induction period (Programme Manager to oversee and decide how long the induction period needs to be – this will vary with the experience of staff).
- The 'buddying' of new staff with experienced BTEC staff (this could be from other Departments).
- Programme Manager's / Lead Internal Verifier's will identify any areas to improve and offer the necessary support.

## **STANDARDS VERIFICATION**

When a Principal Subject Area is going through standards verification the following will apply:

- The Quality Nominee will initially take the lead in liaising with Edexcel re SV.
- After the initial contact either the Quality Nominee or Programme Manager will liaise with the allocated standards verifier re the sample requested.
- If there is an unsuccessful outcome from the 1st sample there will be a 2nd sample.
- It is essential at this stage that the Programme Manager consults with the Quality Nominee to ensure that the second sample is checked thoroughly and that the advice and guidance given by the Standards Verifier is applied to this sample.
- If the second sample has an unsuccessful outcome the Regional Quality Manager will set up a remedial action plan.

Before the agreed sample date the standards verifier will need the following:

- A list of all completed mandatory units.
- A list of anticipated learner grades.
- A list of which learner work has been Internally Verified.

The Standards verifier will then select a sample from the list and for the sample they will require:

- The assignment brief(s) for the whole unit with evidence of internal verification
- For each learner sampled, a portfolio of work for the complete unit with, evidence of assessment and internal verification
- For graded qualifications, learner work at all grades.



# THE BARCLAY SCHOOL

## ASSESSMENT MALPRACTICE POLICY

**Aim:** To identify and minimise the risk of malpractice by learners.

- To respond to any incident of alleged malpractice promptly and objectively.
- To standardise and record any investigation of malpractice to ensure openness and fairness.
- To impose appropriate penalties and/or sanctions on learners where incidents (or attempted incidents) of malpractice are proven.
- To protect the integrity of this centre and BTEC qualifications.

In order to do this, the centre will:

- Seek to avoid potential malpractice by informing learners of the centre's policy on malpractice and the penalties for attempted and actual incidents of malpractice.
- Show learners the appropriate formats to record cited texts and other materials or information sources.
- Ask learners to declare that their work is their own.
- Ask learners to provide evidence that they have interpreted and synthesised appropriate information and acknowledged any sources used.
- Conduct an investigation in a form commensurate with the nature of the malpractice allegation. Such an investigation will be supported by the **HEAD OF CENTRE** and all personnel linked to the allegation. It will proceed through the following stages:
  1. Suspected malpractice must be reported immediately to BTEC MANAGER/EXAMINATIONS OFFICER with written report and accompanying evidence.
  2. BTEC MANAGER/EXAMINATIONS OFFICER or other nominated member of staff will interview individual, who will invited to respond to the accusation in writing.
  3. BTEC MANAGER/EXAMINATIONS OFFICER or other nominated member of staff to investigate if malpractice has occurred. Will advise and/ or seek advice from Edexcel as appropriate.



# THE BARCLAY SCHOOL

4. If malpractice is found, all work by individual to be reassessed, and work of other individuals if required.

In cases of alleged/suspected Malpractice, the following will be done:

- Make the individual fully aware at the earliest opportunity of the nature of the alleged malpractice and of the possible consequences should malpractice be proven.
- Give the individual the opportunity to respond to the allegations made.
- Inform the individual of the avenues for appealing against any judgment made.
- Document all stages of any investigation.

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

1. Any mark/grade awarded for work in question will be withdrawn. Work will need to redone with supervision.
2. In cases of severe and deliberate malpractice, the individual will be withdrawn from the course and Edexcel advised.
3. Individual has right of appeal. Circumstances will be investigated by BTEC MANAGER/EXAMINATIONS OFFICER plus SCHOOL GOVERNOR.



# THE BARCLAY SCHOOL

## **Definition of Malpractice by Learners**

This list is not exhaustive and other instances of malpractice may be considered by this centre at its discretion:

- Plagiarism of any nature.
- Collusion by working collaboratively with other learners to produce work that is submitted as individual learner work.
- Copying (including the use of ICT to aid copying).
- Deliberate destruction of another's work.
- Fabrication of results or evidence.
- False declaration of authenticity in relation to the contents of a portfolio or coursework.
- Impersonation by pretending to be someone else in order to produce the work for another or arranging for another to take one's place in an assessment/examination/test.

## **Definition of Malpractice by Centre Staff**

This list is not exhaustive and other instances of malpractice may be considered by this centre at its discretion:

- Improper assistance to candidates.
- Inventing or changing marks for internally assessed work (coursework or portfolio evidence) where there is insufficient evidence of the candidates' achievement to justify the marks given or assessment decisions made.
- Failure to keep candidate coursework/portfolios of evidence secure.
- Fraudulent claims for certificates.
- Inappropriate retention of certificates.
- Assisting learners in the production of work for assessment, where the support has the potential to influence the outcomes of assessment, for example where the assistance involves centre staff producing work for the learner.
- Producing falsified witness statements, for example for evidence the learner has not generated.
- Allowing evidence, which is known by the staff member not to be the learner's own, to be included in a learner's assignment/task/portfolio/coursework.
- Facilitating and allowing impersonation.
- Misusing the conditions for special learner requirements, for example where learners are permitted support, such as an amanuensis, this is permissible up to the point where the support has the potential to influence the outcome of the assessment.
- Falsifying records/certificates, for example by alteration, substitution, or by fraud.
- Fraudulent certificate claims that is claiming for a certificate prior to the learner completing all the requirements of assessment.



# THE BARCLAY SCHOOL

## APPEALS POLICY

All learners are able to formally challenge an assessment mark or grade awarded. In the first instance they should discuss this with their BTEC teacher / assessor. If they are still dissatisfied they should discuss with the BTEC Programme Manager and/or Quality Nominee (S Green). If still unresolved then they should refer to the centre appeals policy for internally assessed work for external qualifications displayed on the school website.

### **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 standardise and record any appeal to ensure openness and fairness.
- To facilitate a learner's ultimate right of appeal to the awarding body, where appropriate.
- To protect the interests of all learners and the integrity of the qualification.

In order to do this, the centre will:

- Inform the learner at induction, of the Appeals Policy and procedure.
- Record, track and validate any appeal.
- Forward the appeal to the awarding body when a learner considers that a decision continues to disadvantage her/him after the internal appeals process has been exhausted.
- Keep appeals records for inspection by the awarding body for a minimum of 18 months.
- Have a staged appeals procedure.
- Will take appropriate action to protect the interests of other learners and the integrity of the qualification, when the outcome of an appeal questions the validity of other results.
- Monitor appeals to inform quality improvement.



# THE BARCLAY SCHOOL

## APPEALS PROCEDURE

**If students have any concerns with regards to their individual assignments then the following procedure should be followed:**

- **Stage One.** Speak to the teacher / assessor who has set and marked the assignment, explaining the reason for your concerns. The tutor, after considering your explanation, will provide a response with a clear explanation of the decision taken. If the student still remains unhappy with the outcome they should proceed to the next stage.
- **Stage Two.** Speak to the Programme manager who will address the issue. He/she will consider the reason for the appeal and the response of the teacher / assessor. A decision will be given to the student within 5 working days of the concern being received. If the student remains unhappy and wishes to proceed to the next stage the Programme Manager must record the appeal.
- **Stage Three.** The Programme manager will forward relevant details to the Head of Sixth Form who must convene, within 10 working days, a panel comprising him/her self, the Programme Manager, student, the teacher/assessor and a parent or a friend of the student (if requested). The Head of Sixth Form must make a decision and inform all parties within five working days of the Appeals Panel meeting. This decision is final. Records of all appeals are to be kept and made available to the examination board.
- If at stage two the teacher / assessor disagrees with the decision then he/she has the right to appeal and stage three occurs

*If you are appealing against an assessment decision made by the Programme Manager stage 2 is missed out.*