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Assessment Policy and Procedures

ASSESSMENT POLICY AND PROCEDURE

1.0 Aims

The College aims to provide access to assessment and accreditation to enable all learners to reach their full potential. This policy is based on equality of opportunity and aims to ensure clarity and openness and ensures that the assessment procedure is open, fair and free from bias and to national standards, JCQ, Pearson (EDEXCEL) and NCFE Internal Assessment standards.

2.0 Purpose

This purpose of this policy is to ensure that assessment practices and procedures: -

- Are valid, reliable and do not disadvantage or advantage any group of learners or individuals and take account of the diverse needs of learners
- Meet Pearson BTEC and NCFE national awarding body requirements, and produce valid and reliable examination and assessment outcomes
- Have rigor and can be evidenced through accurate recording and tracking
- Are applied consistently across all subject/course teams and cover all assessors, verifiers and invigilators
- Ensure that there is accurate and detailed recording of examination and assessment outcomes which lead to accurate and valid certification claims/awards.

3.0 Scope

This policy refers to all internal assessments as part of the BTEC and NCFE qualifications that contribute to the unit grades and final outcome of the students' qualification aims.

4.0 Related Policies and Procedures

- Examination & Assessment registration and procedures
- Fees Policy
- Internal Verification Policy

- Assessment Appeals Policy and Procedure
- Plagiarism and Malpractice Policy
- Malpractice by College Staff Policy
- Moderation Policies and Procedures Handbook
- College Risk Management Policy
- College Fire Safety Policy and Evacuation Procedures –(Examinations Fire Evacuation)
- Examination Access and Arrangements Policy and Procedure
- Disaster and Contingency Policy and Procedures
- Controlled Assessment Procedure
- Attendance Policy

5.0 Registration and Certification Procedure

- The head of quality and exams officer within the centre will undertake registration of qualifications. This will be timely and within the first 4 weeks of the qualification commencing. This is in line with both Pearson (Edexcel) and NCFE timeline of 90 days within the commencement of the course.
- Registration of learners will take place on Edexcel Online for BTEC qualifications, and all information will be checked to ensure its accuracy- by at least 2 staff members to avoid errors occurring. The same process will take place on NCFE portal for NCFE qualifications, following the same quality process.
- Certification claims will be undertaken on Edexcel Online when SV process is complete at the end of the course. During the course individual unit grades will be entered once the unit has been completed and through the IV/Lead IV process.
- Certificates received from Pearson will be audited to ensure accuracy and completeness. Once certificates are confirmed as correct, they will be distributed to the learners.
- Certification claims will be undertaken on NCFE portal for NCFE qualifications, and this will take place following the internal quality processes having taken place, and the EV having provided feedback and released for certification.
- Learners are enrolled with partner college DN colleges to the wider learning programme. Completion of the learning programme is also completed via DN colleges systems.

5.1 Responsibility- Roles within the assessment process

- Principal – Adi Turnpenny (Head of Centre) – overall responsibility for all centre processes.
- Head of FE and Quality – Emma Harrison (Exams Officer) overall responsibility for the exams office.
- Responsible for:
 - The registration of learners with the awarding body in accordance with awarding body guidelines and timeframes.
 - The organisation of examinations according to awarding body & JCQ requirements.

- The organisation of examination access arrangements and notifications to awarding bodies in line with the policies and procedures of those bodies.
- Producing candidate lists for GCSE, NCFE and BTEC courses for tutor checks prior to registration with the awarding body. For all other courses, the lists should be produced by tutors and confirm: the awarding body, the full and correct title and level of the qualification, the full and correct names, and dates of birth of all students, and then submitted to exams prior to registration.
- Lead Internal Verifier- Emma Harrison
 - Responsible for:
 - Complete the online training and online accreditation with Edexcel online and NCFE for NQF/RQF (to re-register annually).
 - Check that both the assessment plan and IV timetable is in place and sign them to approve.
 - Lead standardisation exercise with all assessors and IVs prior to the course starting.
 - Agree all assignment briefs prior to the programme beginning and sign to approve.
 - Periodically sample assignments and learning work that has been IV'd and maintain a record electronically or paper-based. (sample size is dependent on risk rating of assessor/course/requirements).
 - Check that standard verification arrangements have been made where applicable and that SV reports and feedback to staff.
 - Report any identified Malpractice to Head of Centre (Principal).
 - Authorise all re-submission and re-takes in line with Pearson and NCFE deadlines
 - Liaise with the Exams office to send all sample work to the external verifier via email or post (proof of postage must be kept).
 - Course Coordinator for Pearson/Edexcel- Courtney Sterling. Course Coordinator for NCFE- Will Biggs
- Responsible for:
 - Reads and understands the assignment briefs and course specifications
 - Selects units (with input of teaching team) and allocates units to staff members ▪ Provides a minimum of 4 learners assessed work for IV (dependent on assessor's risk rating) and identifies actions taken.
 - Ensures learners are registered via Head of Quality/Exams officer for main qualification and external assessments where applicable.
 - Assist in completing the assessment plan and IV timetable ensuring all units and all assessors are verified
 - A record must be kept of all meetings and IV/SV must be standing items on the agenda.
 - To complete course review at the end of each academic year
 - Work with Lead IV to ensure assessment plan and IV timescales are met

- Coordinate time for feedback from IV and Lead IV to assessors
 - Assist in gathering and dispatches samples for Standards verification if required.
 - Completes the SRF's and liaises with exams office
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- IV's (Emma Harrison, Joe Burton, Emily Medlock)
 - Responsible for:
 - Check assessment decisions as per IV timetable
 - Sample a minimum of 20% of learners assessed work (dependent on risk assessment of assessors).
 - Liase with Lead IV and Standards verifier as appropriate
 - Provide advice and support to the 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 the course leader and Lead IV. (Electronically and paper copy to be stored).
 - Tutors/Assessors for Pearson/Edexcel- Emma Harrison, Joe Burton, Ben Thompson, Emily Medlock, Courtney Sterling, David Dawson, Danniella Jones
 - Responsible for:
 - Guide students to produce evidence to meet assessment criteria
 - Monitor students' progress and provide opportunity for learners to amend/upgrade work (within Pearson guidelines).
 - Provide Constructive feedback to students
 - Check authenticity and sufficiency of evidence produced against criteria
 - Use Pearson/BTEC assignment briefs, learner declarations/witness statement documents.
 - Use standard observation/witness statements for practical assessments and ensure recordings are taken and stored electronically (via Google Drive assessment folder)
 - Aware partial/full unit grades as students complete the assessment criteria
 - Record assessment decisions on mark sheet and supply to IV/lead IV in line with IV timetable

It is the responsibility of all staff involved in assessing or administering assessment and examination activities to be familiar with and comply with this policy, all related policies and procedures, including

those of JCQ and BTEC Centre Guide to Internal Assessment.

- Tutors/Assessors for NCFE- Will Biggs, Kyle Croft
- Responsible for:

- Guide students to produce evidence to meet assessment criteria
- Monitor students' progress and provide opportunity for learners to amend/upgrade work (within Pearson guidelines).
- Provide Constructive feedback to students
- Check authenticity and sufficiency of evidence produced against criteria
- Use appropriate assignment briefs, learner declarations/witness statement documents, following NCFE guidelines where provided.
- Use standard observation/witness statements for practical assessments and ensure recordings are taken and stored electronically (via OneDrive/Teams assessment folder)
- Aware partial/full unit grades as students complete the assessment criteria
- Record assessment decisions on mark sheet and supply to IV/lead IV in line with IV timetable

It is the responsibility of all staff involved in assessing or administering assessment and examination activities to be familiar with and comply with this policy, all related policies and procedures, including those of JCQ and NCFE QA Policy.

- Learners who are required to undertake GCSE Maths/English Resits are registered with partner college DN colleges who oversee the registration, exam process and certification.

6.0 The assessment plan:

- The assessment plan must be completed by the course coordinator with the input of the assessors. When completing the considerations must include, unit sequencing, resource planning, using specialist staff, timetabling, external assessment dates and schemes of works. The plan must include:
 - The assessment and internal verification team for the programme
 - Coverage of the criteria that the learners will be assessed against
 - Assignment hand-out and hand-in dates
 - Submission date
 - Internal verification date
 - Opportunity and dates for resubmission.

Assessment plans are working documents and will be flexible to meet the needs of the teachers and learners. The IV will be required to see the document regularly to check for any updates or changes.

7.0 Assessments:

Different assessment methods provided all criteria is covered within the assessments and meets the guidelines set out by BTEC and NCFE, providing sufficient evidence. These include but are not limited to:

- Written reports/word documents
- PowerPoints
- Verbal presentations
- Practical observations
- Voice recordings/interviews

7.1 The submission process

Only 1 submission is permitted per assignment

- The assessor must decide when the learner is suitably prepared to undertake the assessment and set a submission deadline date.
- Before commencing an assessment, the assessor must ensure the learners understand the assessment requirements, the nature of evidence they need to produce and the importance of meeting the assessment deadline.
- Once assessors have agreed this, learners must work independently to complete the task and prepare evidence for the assessment.

The assessor is expected to formally record the assessment result and confirm the achievement of specific assessment criteria.

▪ Each learner should submit:

- Evidence towards the targeted assessment criteria
- A signed and dated declaration of authenticity with each assignment which confirms they have produced the evidence themselves. This must be on either a separate BTEC/CDSC learner authenticity declaration or must be incorporated on the assignment brief front sheet.

- As part of the declaration of authenticity, learners must declare that any use of AI is appropriately cited, and full acknowledgement must be clear within the learner work. Breaches of this may result in disciplinary proceedings, for further information see the plagiarism policy.

▪ The assessor should then:

- 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 to the best of their knowledge.
- See **Internal Verification Policy for BTEC Programmes and NCFE QA Policy.**

7.2 Extensions and extenuating circumstances

Extensions

- Extensions for individual course may be requested before the submission date on the grounds of illness, accident, personal crisis or factors outside the student's control that will adversely affect the time available to complete the assignment.

- Extension requests must be completed on the extension request pro forma.
- Extensions can only be agreed and signed by the tutor or course coordinator.
- Extensions are granted for a maximum of a week.

Extenuating circumstances

- Extenuating circumstances acceptable evidence should include:
- Medical certificates
- Letter from other health care professional
- Evidence of illness/death of close relative

7.3 Authentication of assessed work

- Learners must sign the authenticity form included in the assignment brief or on BTEC pro forma or NCFE (accessible via the folder shared in OneDrive/Teams), which clarifies the learner work is their own, and where sources of information (including AI) is used, this is appropriately cited and a reference page is included.

7.4 Feedback Process

Teaching and learning

- During teaching sessions tutors must use their professional judgement about the quality and nature of feedback. Formative feedback is allowed and can include:
- Stretch and challenge
- Discuss what learners need to do to gain a pass, merit, distinction
- Set 'mock' exams
- Give feedback on how to improve knowledge and skills
- Predicted grades can be provided before an assessment is taken.

During assessments

- Once the learner begins the assessment a tutor **can**:
- Give guidance on how to approach the requirements
- Give confirmation of what the assignment brief requires
- Give guidance on appropriate behaviour
- Once a learner begins the assessment a tutor **must not**:
- Provide specific feedback on the evidence produced by the learner before it is submitted for assessment
- Confirm achievement of specific assessment criteria until the assessment stage. **After assessment**

- The assessor formally records their assessment decision against the individual assessment criteria on the mark sheet.
- They provide formal feedback to support the learner progression (this must be written on the feedback sheet pro forma).
- The feedback should highlight what criteria the learner has achieved, and not achieved giving clear reasons why, so the learner can progress.
- Avoid giving specific instructions on how the learner can improve evidence to achieve a higher grade (provided the Lead IV authorises a resubmission).
- **The feedback must be provided to learners within 15 college days of submission.**

7.5- Resubmission of Evidence

To improve a grade:

Due to every assignment contributing towards the final qualification grade, it may be appropriate for the Lead IV to authorise one more opportunity for a learner to submit evidence to meet assessment criteria of an assignment. The lead IV can only authorise a resubmission if all the following conditions are met:

- The learner has met initial deadlines set in the assignment or met an agreed deadline extension
- The tutor judges that the learner will be able to provide improved evidence without any 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 IV **does** authorise a resubmission, it must be:
 - Recorded on the mark sheet
 - Given a deadline for resubmission within **15 College days** of the learner receiving feedback.
 - A resubmission form (On BTEC/NCFE pro forma) must be submitted to the Lead IV before it is authorised.

Retakes- if first submission is a fail:

If the learner has met the above requirement of resubmission and still has not achieved the pass criteria the Lead IV may authorise one retake opportunity to meet the required pass criteria. The Lead IV must only authorise a retake in exceptional circumstances where they believe it to be necessary, appropriate and fair to do so:

- The retake must be a new task of 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 assessor must sign a declaration of authenticity as they both did for previous submissions
- The assessor cannot award a merit or distinction grade for a retake

- The learner will not be allowed any further resubmissions or retakes

7.6- Observation records and witness statements

Observation record:

An observation record is used to provide formal record of an assessor's observation of learner performance (i.e. during presentations or practical activities) against the targeted assessment criteria. This is a source of evidence and does not confer an assessment decision. The record will:

- Relate directly to the evidence requirement 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 evidence such as video/audio tapes, CDs, photographs, presentation notes, peer assessment records etc.
- The form must be completed by the assessor who has direct knowledge of the specification
- Must include a record of the assessors' comments
- Also include learner comments
- Be signed and dated by the learner and the assessor
- Be included in the learner's portfolio along with the relevant supporting evidence when submitted for assessment.

Witness statement:

A witness statement is used to provide 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 unit, a work placement supervisor, lead coach or anyone else who has witnessed the performance of the learner. It can be someone who does not have direct knowledge of the qualification or assessment criteria, but they must be able to make a professional judgement on the performance of the learner in the situation.

The quality of the witness statement is improved greatly and enables the assessor to judge the standard of performance against criteria when:

- The witness is provided with clear guidance on the desirable characteristics for successful performance
- The evidence requirements are present on the witness testimony
- The learner or witness also provides a statement of context for which the evidence is set. 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 of the learner to enable a greater degree of confidence in the evidence

- Be convinced that the evidence presented within the statement is valid, sufficient and authentic.

All witness testimonies must be signed and dated by the witness, along with information of their job. Whilst they are vital evidence the witness statements should not form the main or majority assessment for the unit.

5.0 Internal Verification

The centre has a process in place reviewing each assessor's decisions to ensure they are correctly interpreting and applying the standards set out in the specifications. A centre agrees the following internal assessment procedures at approval:

- The learners work is reviewed and judged by assessors
- To quality assure assessors decisions by appointing IV's and a Lead IV.
- The role ensures that all assessment decisions are accurate, fair and consistent
- A senior manager responsible for managing the quality has oversight of assessment (Quality Nominee)
- The lead IV manages the process, he/she should be an experienced assessor and carry out the role in a supportive and authoritative manner and be familiar with the specification.
- IV documentation should be produced for the standards verification when required, together with the appropriate BTEC or NCFE specification and Centre delivery and assessment methodology. A good IV system will:
 - Take place across all BTEC or NCFE units and will ensure consistency of assessment across all assessors
 - Sampling size will vary according to the circumstances (e.g. risk assessment of assessors).
 - Be supported by regular meetings and reliable records of all activities (monthly team meetings).
 - Have a sampling plan, 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 other's assessment decisions against the standards to check for accuracy and consistency (to be recorded by Course coordinator)
 - Meet the requirements of EV/SV by providing accurate records of the IV process
 - All assignment briefs must be verified before the start of the course
 - If an assignment brief is used a different year without alteration, it does not require to be IV'd.
 - Assessors cannot IV their own assignment briefs or assessed learner work
 - A range of grades should be targeted when sampling work (pass, merit, distinction).
 - Different learners should be targeted for IV of assessment decisions across the units ▪ IV records (including assignment brief and IV reports must be stored electronically (OneDrive/Teams) and maintained for quality inspection purposes.
 - Plan ahead- ensure that planning is done thoroughly and takes place each term.

7.1- The Lead IV

The lead IV is the person designated by the centre to act as a point of sign-off for the assessment and internal verification of programmes. The lead IV should be:

- Someone with the authority to oversee assessment outcomes
- Directly involved in the assessment and delivery of the programme, so that they understand the units
- Be able to coordinate across assessors and other internal verifiers

Responsibilities:

- Register with Edexcel and confirm registration every year
- Undertake induction training throughout booking on to an event
- Complete the accreditation process (1-3 years)
- Ensure that there is an assessment and verification plan for the programmes which is fit for purpose and meets Pearson/Edexcel or NCFE requirements/needs.
- Sign of the plan and check it is being followed at suitable points
- Undertake some IV and assessment for individual units (fill in the assessment record sheet)
- 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 it is required

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7.2 The standards verifier (Pearson)

The standards verifier will be allocated via Edexcel online, and will contact the Lead IV for the centre:

- Sample size will depend on how many learners on a course (usually 4 learners for 2 units).
- A postal sample or online sample via Microsoft teams will take place
- Samples will involve complete units of work being IV'd and then sent of the SV who can block or release for certification
- Random sampling may occur if issues arise from the QRD visit or if a course is running for the first time.

An SV is looking for:

- The centres' ability to set successful assessment
- The ability to assess to the national standard
- The ability to successfully internally verify assessment activities and assessment decisions. The key decision that effects whether the centre is blocked or released is whether the sample has demonstrated that the centre is assessing accurately and to national standards. (i.e. awarding appropriate grades to the learners that have provided sufficient evidence to achieve).

7.3 The External Verifier (NCFE)

The standards verifier will be allocated via Edexcel online, and will contact the Lead IV for the centre:

- Sample size will depend on how many learners on a course, and the centre risk rating.
- A postal sample or online sample via Microsoft teams will take place
- Samples will involve complete units of work being IV'd and then sent of the EV who can block or release for certification
- Random sampling may occur if issues arise from the QRD visit or if a course is running for the first time.

An EV is looking for:

- The centres' ability to set successful assessment
- The ability to assess to the national standard
- The ability to successfully internally verify assessment activities and assessment decisions. The key decision that effects whether the centre is blocked or released is whether the sample has demonstrated that the centre is assessing accurately and to national standards. (i.e. awarding appropriate grades to the learners that have provided sufficient evidence to achieve).

8.0 Student records- archives and storage

There is no requirement to hold onto learner work post certification- just the grades awarded for each assignment, IV records and SV/EV evidence/reports for 3 years.

Post course, the work can be returned to learners or destroyed. The documents that are required to be kept will be held in a lockable cupboard in the storeroom at CDSC in line with the data protection laws.

9.0 Links to other documents/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>

<https://www.ncfe.org.uk/qualifications/mandatory-policies-fees/>

NCFE QA policy for awarding 24-25

NCFE Registration and Certification policy

The Guide to Internal Assessment for BTEC Firsts and Nationals.

Plagiarism and Malpractice Policy

Assessment Appeals Policy and Procedures