

SOP NUMBER: 161-09-2014

ACADEMIC YEAR: 2021/2022 ONWARDS

DATE OF THIS ISSUE: FEBRUARY 2022

TITLE:

Assessment of BTEC Level 2 and 3 SOP

Summary of Contents:

The purpose of this document is to outline the academic appeals process for FE/TFS courses.

Date First Created:

August 2013

Latest CMT Approval Date:

15 October 2020

Responsible Owner:

Deputy Chief Officer, QED

REVIEW INFORMATION

Reviewed: August 2013
August 2014
August 2015
April 2016
June 2017
January 2019
October 2019
October 2020

Next Review: May 2022

Requires CMT Approval (yes/no): No

Previous Reference (for control purposes):

061-09-2013

This SOP should be used in conjunction with the Internal Verification Procedure for BTEC (non-vrq) Programmes.

Version	Description of Changes	Date
1.0	Created	October 2020
1.1		
1.2		

1.0 Introduction

This Standard Operating Procedure gives guidance on how SERC will meet Pearson requirements in relation to the summative assessment, submission and grading of all Level 2 programmes and QCF Level 3 BTEC programmes.

1.1 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.

In order to do this, the centre will:

- Ensure that learners are provided with assignments that are fit for purpose, to enable them to produce appropriate evidence for assessment;
- Produce a clear and accurate assessment plan at the start of the programme/ academic year;
- Provide clear, published dates for handout of assignments and deadlines for assessment;
- Assess learner's evidence using only the published assessment and grading criteria;
- Ensure that assessment decisions are impartial, valid and reliable;
- Not limit or 'cap' learner achievement if work is submitted late;
- Develop assessment procedures that will minimise the opportunity for malpractice;
- Maintain accurate and detailed records of assessment decisions;
- Maintain a robust and rigorous internal verification procedure;
- Provide samples for standards verification/external examination as required by the awarding organisation;
- Monitor standards verification/external examination reports and undertake any remedial action required;
- Share good assessment practice between all BTEC programme teams;
- Ensure that BTEC assessment methodology and the role of the assessor are understood by all BTEC staff;
- Provide resources to ensure that assessment can be performed accurately and appropriately.

2.0 Scope

This procedure applies to all staff delivering BTEC Level 2 or Level 3 programmes.

3.0 Procedure

Summative assessment decisions will only be made using the assessment and grading criteria stated within the BTEC unit.

Centre-devised assessment instruments must be relevant to the assessment criteria and have followed Pearson's and the SERC moderation and verifications process.

The lecturer must ensure that the student fully understands the BTEC assessment requirements and their consequences before commencing assessment.

3.1 Feedback

There are three feedback stages during assessment:

3.1.1 Pre-Assessment

Teaching and Learning stage where learners are given formative feedback as preparation for assessment. The lecturer **should be confident that students are sufficiently prepared** to undertake assessment and encourage them to **aim at 'getting it right' on the first submission.**

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

- Assessment requirements;
- Nature of the evidence they need to produce; and
- Importance of time management and meeting deadlines.

- Feedback during this stage could include:
 - Identify areas for learner progression, including stretch and challenge;
 - Explain clearly how BTEC assessment works and what learners need to do to achieve a Pass, Merit or Distinction;
 - Set "dry run" or "mock" tasks and scenarios to help learners understand what level they have reached and prepare for assessment; and
 - Feedback on how to improve knowledge, skills, understanding, behaviour, approach, grammar etc.

Formative Feedback

The assessment rules for BTEC do not cover **formative** feedback, only feedback during and following assessment. Therefore, during teaching and learning the lecturer should use professional judgement about the nature, quantity or level of feedback.

3.1.2 During Assessment

The lecturer 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. Teaching teams should also supervise learners when they are undertaking assignment work in class – although the work itself must be produced by the learners themselves, either in or outside class

While learners are working on an assessment, you can continue to give general feedback and support, particularly around the development of knowledge, understanding and skills, for example:

- Guidance on how to approach the knowledge and skills requirements;
- Guidance on appropriate behaviour and approach, confirmation of deadlines etc;
- Confirmation of which criteria the assessor is targeting; and
- Clarification of what the assignment brief requires.

However, feedback should not include formative assessment of the specific assignment evidence as your learners are generating it or confirm the achievement of or how to meet specific assessment criteria; this only happens once formal assessment has taken place.

3.1.3 Following Assessment

Following assessment, the lecturer formally records their assessment decisions against individual assessment criteria on the assessment record. The assessment record provides a formal opportunity for the assessor to give learners feedback to support their progression. To help the learner learn and progress, on the assessment record you should give clear feedback on:

- The assessment criteria the learner has achieved and what the learner has done well;
- Which assessment criteria the learner has not achieved and what was missing;
- Information or guidance available to the learner they could have drawn on (e.g. class notes; handouts; resources in assignment brief); and
- General behaviour and conduct, approach, grammar etc.

However

You must avoid giving direct, specific instructions on how the learner can improve the evidence to achieve a higher grade as this would affect any resubmission opportunity. You can justify why the criteria has been awarded or not awarded but you can't tell the learner what to do to improve their grade.

Remember that a sample of assessment decisions should be Internally Verified before returning the work and feedback to the learners.

Feedback must be recorded on the Assessment Record which must be dated and signed. Grading will occur only as part of Summative assessment.

3.2 Submission Process

All assignments, whether submitted electronically or as a hard copy, must be accompanied by the relevant front cover sheet (signed by the student as declaration of own work) and task sheet. Subject lecturers WILL NOT accept an assignment without them.

Electronic signatures are permitted if there is an audit trail to show authenticity this may be by:

- A dated comment on the assessment documentation stating 'Signed: Assessor or Learner Name';
- An email from the learner/Assessor with the record attached to show that it has been sent from them; or
- A system log to show that the learner/Assessor has submitted the record.

Assignments are to be submitted at the time, date and method stated by the subject lecturer. Any assignments submitted after this time and date will be considered as a 'late submission'.

The lecturer must encourage students to 'Get it Right the First Time' by submitting on time and complete meeting all of the criteria. Lecturers should address any concerns about student progress and possible failure to submit as soon as possible by discussing at team level and with the Lead IV.

3.3 Extenuating Circumstances

If a student claims extenuating circumstances it can only be granted where it is in line with the Authorised Absence standard operating procedure which includes the requirement for medical evidence. The new submission date given to the student must be approved by the Lead IV.

Where a student does not have extenuating circumstances the assessment will be accepted but the student may forfeit any possible resubmission/retake. This may result in the student failing the programme. Where students fail to submit, the course co-ordinator and/or Lead IV must be informed immediately.

3.4 Grading the Assessment

Lecturers should grade, cross-mark and return assignments to students within a three-week period. Students should be advised that if they feel that an unreasonable delay has occurred in returning work they should speak to their lecturer in the first instance and the course co-ordinator if the issue is not resolved.

Clear summative feedback on criteria achieved or not achieved should be given. The lecturer should explain assessment decisions but not provide a list of instructions on how to get a higher grade. The feedback could focus on which assessment criteria the learner has achieved and what was done well or which criteria the learner has not achieved and what was missing. Attention can be drawn to the information or guidance available to the learner that they could have drawn on or issues of general behaviour including conduct and approach.

Grades and summative feedback should be recorded on the assessment record.

Assessors should be forthcoming in disclosing any activity that might represent a conflict of interest. A potential conflict of interest can include:

- A close relation, spouse or partner within the centre who is either a learner or another member of staff; or
- A close relation, spouse or partner acting as a Standards Verifier or any other external quality assurance role.

The Assessor should inform the Lead IV who should note within the Lead IV records. Alternative arrangements should be made for additional verification in these cases which may include:

- Amending delivery so that the learner is in another group; or
- Providing additional verification.

Where the conflict of interest involved the Lead IV this should be reported to the Head of School. The Quality Nominee should be informed of all conflicts of interest.

3.5 Resubmissions and Retakes

Level 3 year (QCF) and level 2 (NQFs) may be given the opportunity to either retake or resubmit assessment evidence. On resubmissions a higher grade can be achieved. Retakes will only achieve a pass. The rules applying to each level are detailed below.

3.5.1 Process for Resubmissions

- The student may have one opportunity to resubmit evidence for assessment to achieve the criteria within an assignment.
- The Lead IV must give permission for a student to resubmit. To give permission the Lecturer must satisfy the Lead IV that the student met the initial deadlines, will be able to provide improved evidence without further help or guidance and that the original work was produced by the student and accompanied by a signed and dated cover sheet.
- The Lecturer must request by e-mail to the Lead IV the names of all of the students who meet the criteria for resubmission.
- The lecturer should not proceed until approval has been given by the Lead IV. It is the responsibility of the lecturer to obtain approval where it is warranted and to monitor timelines so that the student is not disadvantaged.
- The lecturer must keep a record of all approvals for resubmission and upload them to the IV site.
- If the Lead IV agrees the new date for submission must be recorded on the assessment form. This new deadline will be within 15 working days from when the student received the results of the assessment.
- The lecturer is not allowed to give further help with the resubmission.
- On resubmission the assessment should be graded and the assessment record updated.

3.5.2 BTEC Level 2 and Level 3 programmes (2010, 2016 and 2017) process for Retakes

- A student may be given the opportunity to achieve pass criteria where these are not achieved **on the resubmission**. The student is given this opportunity as there is no compensation within the final award process.
- The Lead IV must give permission for a student to retake. To give permission the Lecturer must satisfy the Lead IV that the student met the initial deadlines, will be able to provide improved evidence without further help or guidance and that the original work was produced by the student and accompanied by a signed and dated cover sheet.
- The Lecturer must request by e-mail to the Lead IV the names of all of the students who meet the criteria for resubmission. The Lead IV should also be forwarded a copy of the internally verified retake assessment(s).
- The retake assessments should be written to the pass criteria that are missing from the student's profile.
- The lecturer should not proceed until approval has been given. It is the responsibility of the lecturer to obtain approval where it is warranted and to monitor timelines so that the student is not disadvantaged.
- The lecturer must keep a record of all approvals for retakes and upload them to the IV site.

- If the Lead IV agrees the new date for submission must be recorded on the assessment form. This new deadline will be within 15 working days from when the student received the results of the assessment.
- The lecturer is not allowed to give further help with the resubmission.
- On submission of the retake the assessment should be graded and the assessment record updated.

3.6 Final Grades

To ensure fairness assignment grades are agreed across the College and with BTEC through a verification process. The internal process occurs three times per year and is followed by a verification from BTEC, grades are final only following these events.

3.7 Retention of Evidence

Original learner evidence must be kept current, safe and secure of 12 weeks after learners have been certificated. The 12 weeks starts once the certificates have been received by the centre. Due to the nature of the evidence produced for Art and Design practical work, this can be good quality photos or videos rather than the original evidence.

Current learner work needs to be made available to Pearson on request. On occasion, the regulator may also request portfolios of learner work and assessment documents. For learners undertaking a top-up qualification, the learner work must be retained for 12 weeks after receipt of certificates for the largest size qualification that the learner will be undertaking. Work that has been certificated will not be called for standards verification sampling.

3.8 Retention of assessment documentation

Following learner certification, the following BTEC documentation should be retained for a **minimum of three years** for centre and awarding body scrutiny as required:

- Assignment briefs;
- Assessment records (feedback sheets);
- Associated internal verification documentation; and
- Achievement tracking at criteria and unit level.

This will require:

- Storing all assessment records securely and safely relating to both internally and externally set assessments. This may be electronic;
- Maintaining records of learner achievements that are up to date, regularly reviewed and tracked accurately against national standards;
- Having all current learner evidence available for verification purposes. Once learners have received their BTEC certificates, you may return their work to them 12 weeks after the certification date; and
- Retaining records of assessment decisions at criterion and unit level.

3.9 BTEC Grading

3.9.1 QCF Programmes

To achieve a Pass for a unit	Learners must evidence all Pass criteria for the unit.
To achieve a Merit	Learners must evidence all Pass and Merit criteria for the unit. Partial achievement of the Merit criteria will result in a Pass grade only provided all of the Pass criteria have been achieved.
To achieve a Distinction	Learners must evidence all Pass, Merit and Distinction criteria for the unit. Distinction criteria are qualitative extensions of the Merit criteria. Partial achievement of the Distinction criteria will result in a Merit grade, provided all of the Pass and all of the Merit criteria have been achieved.

3.9.2 Non QCF Programmes

Unit grading	Learners must achieve all relevant criteria up to and including – the grade achieved. Level 1 standard for learners who achieve at level 1 but do not achieve a full level 2 pass. Unit grades: U (unclassified) – Level 1 – Level 2 Pass – Merit – Distinction.
Qualification grading	Qualification grade calculated through an aggregation process. Uses a points-based scale to reflect spectrum of learner achievement across the course. Unit grades: U (unclassified) – Level 1 – Level 2 Pass – Merit – Distinction.
Final grade and the core	Level at which learners achieve across Core units affects final grade. Pass Core at level 2: can achieve final qualification grade at level 2 (Pass, Merit or Distinction), depending on grades achieved in mandatory and optional specialist units. Pass Core at Level 1*: can only achieve a level 1 standard overall. See section 10 of course specifications for more information.

* A Level 1 pass will only be awarded in the most exceptional circumstances and following discussion with the course co-ordinator and Lead IV.

3.9.3 Further Information and Guidance

Further information and guidance is available at:

- BTEC Guide to Internal Assessments for BTEC Firsts and Nationals published by Pearson.
- SERC FE Student Handbook
- SERC Authorised Absence SOP

3.9.4 Assessment design/assignment brief, assessment plans and assessment recording

These steps are all covered within the Internal Verification Procedure for BTEC (non-vrq) Programmes SOP.

4.0 Communication Plan

All staff via Learning Engine on Staff Intranet.

Update through regular staff training at team and College events.

Students informed through FE Handbook using summary at Appendix 1.



Guidance for students on BTEC submissions

Assessment Schedules

The Assessment Schedule is aimed at streamlining the assessments across all of the modules within a programme and to ensure that there is a variety of assessment methods used. You will receive an Assessment Schedule for each year of study. The Assessment Schedule will be given to you within the first 2 weeks of a module starting to help you to take responsibility for your own learning and progression.

Assessment Methods

Tutors will devise a range of assessment methods such as written, practical, peer and e-assessment. You will be encouraged to submit written assignments electronically. These will be marked and returned electronically through MOODLE within 3 weeks of submission. Tutors will store all assignment feedback and returns for quality purposes. You should keep electronic or hard copies of your submitted work.

Submission of Assessments

The submission of assignments will follow college policy and the regulations required by the awarding organisation. In all programmes tutors may request that all written assignments are submitted in both electronic and hard copy format with the appropriate coursework submission form signed by the student. It is your responsibility to keep a backup copy of your work and proof of submission.

Late Submission of Assessment

Your course tutors will refer you to assessment submission and grading guidelines during the induction process and throughout your course. We recognise that there may be circumstances that prevent assessment being handed in on time. A 'late submission' is defined as an assignment submitted after the agreed submission time and date. You must have prior authorisation or extenuating circumstances for all late submission of work. Extenuating circumstances are those which are exceptional and unforeseen. They do not include IT or computing issues or minor illnesses. An extenuating circumstance can only be awarded where it meets the [Authorised Absence](#) standard operating procedure. Unauthorised late submissions will be marked according to the College's Assessment and Grading Standard Operating Procedures. All relevant standard operating procedures are available through the programme Moodle site.

BTEC Assessment Procedure

Requirements for completing and submitting BTEC assignments/assessments

Preparing for your assessment – Getting it right the first time at the first submission.

Tutors will prepare you for assessment during your classes. They will give you ongoing feedback in class to ensure that you have the knowledge, skills and understanding to complete assessment. Once the assignment is given to you the tutor is not allowed to give you specific feedback on how to complete it. It is, therefore, very important that you attend all classes to ensure that you know what it is you have to do to be successful. If you are completing the assessment in class your tutor is not allowed to give you any indication as to what grade the work might be awarded.

Submission of assessment requirements

You should aim to get your assignment right on the first submission. To do this you must ensure that you follow the assessment requirements below. These rules are set by BTEC and are used wherever in the country a student is taking a BTEC qualification. The College and your tutors cannot change, alter or move away from these rules. Failure to meet the rules can result in very serious consequences for your future.

Assessment deadlines

Assignments must be handed-in at the date, time and method stated on the front cover. It is very important that you meet hand-in dates. If you do not hand-in your assignments on the deadline stated on the cover sheet the work may not be accepted and you may lose the right for resubmissions. Your tutor is not allowed to ask the Lead IV for deadline extensions except in extenuating circumstances.

Failure to meet assessment deadlines may affect your progress in the course and even result in you having to leave the programme.

Remember aim to 'Get it Right the First Time' and always Submit your work on time! You do not have an automatic right to a second submission.

Submitting assignments and academic misconduct

Assignments must have the relevant front cover sheet (signed by the student as a declaration of own work) and task sheet. Subject tutors will not accept an assignment without them.

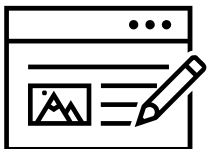
It is very important that your work is your own. Signing the front cover sheet confirms that what you are handing in is your own work.

Assessments are checked for 'copying' and plagiarism. You may be asked to submit assessments by **Moodle** or **Turnitin**. Both of these methods help to detect academic misconduct through plagiarism. If there is evidence of academic misconduct this will be dealt with as a serious breach by the College as explained in section 9.3.

The use of referencing and good notetaking will help to ensure that you do not commit plagiarism. This will be covered in your tutorials and ask your tutor if you are concerned about ensuring that you do not commit academic misconduct.

If you hand your work in on-time and have made every effort to meet the assessment brief, then the work will be graded and returned to you with feedback within three weeks.

Feedback



Your feedback and assessment will be recorded on a formal assessment record. This is the only place where your achievements and grades can be recorded. It will give you clear and constructive feedback on the criteria achieved and justify and explain why the assessor has made these assessment decisions.

The feedback may include comments on areas including attendance, timekeeping, attitude and conduct to help you understand how you are progressing.

Always hand your work in on time at the date stated, make sure it is your own work and sign the declaration to confirm this.

Resubmissions and Retakes

It is very important that you try to Get it Right the First Time at the first submission of an assessment. There is an opportunity in some circumstances to resubmit or retake of an assessment. This will depend on the programme that you are undertaking.

BTEC Level 2 and 3 programmes process for resubmissions

- You may have one opportunity to resubmit evidence for assessment to achieve the criteria within an assignment.
- Your tutor cannot give permission for you to resubmit. Any resubmission will have to be agreed by the Lead Internal Verifier (Lead IV) of the programme.
- To be allowed to resubmit you will have to show the Lead Internal Verifier that you have met the initial deadlines in the assignment, your tutor believes that you will be able to provide improved evidence without further help or guidance (this means that you need to have tried your best in the first submission) and that the work originally submitted was your own and was accompanied by the a signed and dated front cover sheet.
- If you have met these requirements the tutor will ask the Lead IV on your behalf if you are allowed to resubmit the assessment.
- If the Lead IV agrees, the new date for submission will be recorded on the assessment form. This new deadline will be within 15 working days from when you received the results of the assessment.
- Your tutor is not allowed to give you further help with the resubmission. It is very important that you meet the new deadline.
- If you meet this deadline the tutor will remark the work and update your assessment record.

BTEC Level 2 and Level 3 programmes (2010, 2016, 2017) process for Retakes

To achieve your qualification, you must pass every assessment and every pass criterion within those assessment. If you fail to meet the pass criterion on the resubmission you might be allowed to retake those pass criteria in some circumstances.

- You will be given a new assessment which will only cover the pass criterion which you missed. You are only allowed one attempt at the retake.
- You are not allowed to achieve merit or distinction on the retake.
- You are not allowed to retake merit or distinction criteria.
- The Lead Internal Verifier (Lead IV) must agree to the retake. This will only happen if you handed the original assessment in on time, your tutor judges that you will be able to provide additional evidence without further guidance and that the work originally submitted was your own and was accompanied by the a signed and dated front cover sheet.
- If you have met these requirements the tutor will ask the Lead IV on your behalf if you are allowed to retake the assessment to achieve the missing pass criteria.
- If the Lead IV agrees, the new date for submission will be recorded on the assessment form. This new deadline will be within 15 working days from when you received the results of the assessment.
- Your tutor is not allowed to give you further help with the resubmission. It is very important that you meet the new deadline. If you meet this deadline the tutor will remark the work and update your assessment record.

Final Grades

To ensure fairness assignment grades are agreed across the College and with BTEC through a verification process. This process occurs three times per year and grades are final only following these events. This means that the grade first awarded may be altered and you may have an assignment returned to you for additional work.

For further information please see section Assessment and Appeals of the FE Student Handbook.