

**ASSESSMENT and INTERNAL QUALITY  
ASSURANCE (INTERNAL VERIFICATION)  
BTEC NQF  
City and Guilds Qualifications  
OCR Portfolio-based Assignment  
POLICIES & PROCEDURES**

**January 2019**

## **Internal Quality Assurance and Assessment Procedures**

### **Introduction**

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This procedure should apply to the Internal Quality Assurance of qualifications offered by East London Advanced Technology Training (ELATT). The purpose of the procedure is to ensure that assessments and Internal Quality Assurance/Internal Verification is carried out to the requirements of the awarding bodies and to national standards.

The centre Lead Internal Quality Assurer (IQA Coordinator) is responsible for ensuring that Internal Quality Assurers, Internal Verifiers (according to awarding bodies) and Assessors are trained, competent and qualified; and that maintaining monitoring arrangements for processing assessment information and providing confirmation to the awarding body assessment practice is to national standards.

Internal Quality Assurers will not quality assure their own assessments and appropriate arrangements will be made in respect of this.

The Internal Quality Assurer (IQA Coordinator) is also responsible for liaising with the External quality Assurer/ External Verifiers and the IVQA Coordinator (the representative of the awarding body) when he or she visits the approved centre to review the quality system.

Terminology and roles:

- As this policy is used for all ELATT's internally assessed assessments, different awarding bodies use different terminology regarding the internal verification process. In this document, unless specified, the Internal Quality Assurer and Internal Verifier are used interchangeably.
- The Lead Internal Quality Assurer is the Centre Coordinator or IQA Coordinator.
- The Lead Interval Verifier (LIV) is a BTEC specific role for certain qualifications as required by the subject.
- The quality nominee(s) are centre nominees responsible for quality of the awarding bodies.

## **Monitoring Assessors**

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ELATT Assessors will be monitored regularly for quality and to improve standards generally. The following points highlight why monitoring is necessary.

- To ensure valid, consistent and reliable assessment decisions and assessors are working to national standards of assessment.
- To highlight problems early.
- To identify training needs of assessors.
- To ensure assessor records are maintained.
- To maintain moderation and standardisation across programmes and assessors.
- To ensure the Assessment process is fair and there is equality of opportunities for candidates.
- To ensure that candidate assessment needs are being met.
- To provide management support for assessors throughout the assessment process.
- To ensure that assessors are working to meet Awarding Bodies Code of Practice, ESFA/funding body rules and ELATT standards and achieve targets.

Assessors will complete qualification-specific forms for each candidate and a checklist of documents will be provided. These are integral to the delivery of the qualification. The responsibilities of the Assessors and the Internal Quality Assurers/ Internal Verifiers will be to maintain these documents thereby providing a system for monitoring and self-monitoring of Assessors. All Assessors will maintain Assessor records that must be available for examination by the Internal Quality Assurer/ Internal Verifiers and Management at any time.

New assessors will be monitored through ongoing IQA reviews on their progress with NVQ assessment and delivery. Established Assessors will be observed at least once a year.

Assessors will complete the following checklist:

- An ILP for each learner giving target dates for unit achievements.
- Maintain tracking records of assessments and achievement.
- Action Plans for learners to achieve the qualification.
- Assessment schedule.
- Assessment plans for each learner.
- Feedback for learners on assessments.

An important part of the Internal Quality Assurers/Internal Verifiers role will be to monitor Assessors regularly at intervals through observation and through monitoring documents and provide feedback to Assessors and the Centre IQA Coordinator:

## **The Sampling Strategy**

At East London Advanced Technology Training (ELATT) learners are recruited on a roll on; roll off system, throughout the year and this influence the different sampling strategies we adopt.

Most programmes at ELATT have more than one assessor and at least one Internal Quality Assurer/Internal Verifier – refer to the IQA Chart. The role of the Internal Quality Assurer/Internal Verifier needs to be closely managed to ensure that the required quality standards are maintained.

The Internal Quality Assurer/Internal Verifier Procedures use a framework whereby the documentation used throughout the Internal Quality Assurance/Internal Verification process is standardised and contained within an Internal Quality Assurer pack (City and Guilds) or online via the awarding bodies website (BTEC Pearson and OCR). Guidance on documentation to be provided to all new Internal Quality Assurers as part of induction.

Internal Quality Assurers/Internal Verifiers will be expected to sample across units, use assessors' assessments methods and to reflect the progress in skill/competence areas. The Internal Quality Assurance/Internal Verifier samples will capture a picture of assessments across the full range of assessment sites as per awarding body guidance.

All Internal Quality Assurers/Internal Verifiers must be occupationally competent and hold the appropriate TAQA Level 4 or TDLB 'D', 'A' or 'V' qualification and originals must be presented for authentication by East London Advanced Technology Training (ELATT). Internal Quality Assurers/Internal Verifiers will be expected to maintain and update their skills with Awarding Body changes.

The ELATT Centre IQA Coordinator meets with each IQA/IV on a regular basis (minimum three times a year) in order to ensure that standards and IQA/IV strategies are standardised.

## **STAFF/ASSESSORS DEVELOPMENT PLAN**

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ELATT has a staff development and training policy and assessor training is covered within this. Staff training and development planning is carried out at reviews and staff are provided with the opportunity to self-assessment and may also make request for training and therefore have an action plan within their CPD.

ELATT will expect Internal Quality Assurers to undertake the role of monitoring assessors and make recommendations to Management with regards to assessor/staff training and development and to give advice to the assessors to support them in carrying out their role whilst maintaining Awarding Bodies Standards.

East London Advanced Technology Training (ELATT) is committed to the delivery of quality training and monitoring of quality forms part of a quality panel, which consists of a cross section of Managers and Senior Managers, reporting to a responsible for Quality Management, within the Centre. Management has set goals for achieving standards of excellence and staff development is an essential aspect of this.

Internal Quality Assurers/Internal Verifiers will be given adequate time and resources to do their jobs effectively. This will be based on the number of candidates and assessors.

## **STANDARDISATION/MODERATION MEETINGS/ACTIVITIES**

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Meetings will take place whenever needed between Internal Quality Assurers/Internal Verifiers and Assessors to look at issues around standardisation and support for Assessors and candidates. At such meetings there will be an agenda and the Internal Quality Assurer may go through standardisation/moderation exercises with advice and support for Assessors. This provides an opportunity for the IQAs/IVs to update assessors on changes, trends and news about the Awarding Bodies and the standards. The IQA and the IQA Coordinator will keep minutes and action points.

## **Procedures for learners with learning difficulties and/or disabilities**

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Assessment should be a fair test of learners' knowledge and what they are able to do. However, for some learners the usual format of assessment may not be suitable. Assessors must ensure that the likely needs of individual learners are anticipated and not merely responded to as they arise. Therefore, reasonable adjustments must be made in advance of any assessment activities, as well as during the assessment process, so that the equity, validity and reliability of the assessments can be assured eg adapting assessment materials, such as providing materials in Braille.

Assessors should refer to each awarding body for further guidance on reasonable adjustments:

OCR: <https://www.ocr.org.uk/administration/stage-1-preparation/access-arrangements/>

BTEC: <https://qualifications.pearson.com/en/support/support-topics/exams/special-requirements/reasonable-adjustment.html>

City and Guilds: <https://www.cityandguilds.com/delivering-our-qualifications/centre-development/centre-document-library/policies-and-procedures/access-arrangements-reasonable-adjustments>

All changes and reasonable adjustments must be agreed with Internal Quality Assurers/Internal Verifiers and Centre Heads.

## **COMMUNICATIONS BETWEEN INTERNAL QUALITY ASSURERS/INTERNAL VERIFIERS AND ASSESSORS**

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Assessors will be encouraged to communicate freely and as needed with their Internal Quality Assurers respectively. Pre-arranged dates will be set for Internal Quality Assurers monitoring of the assessment process. The Internal Quality Assurers and the Assessors will hold meetings whenever required, with minutes taken. The Internal Quality Assurer /Coordinator will keep records of communication and of the process in the Internal Quality Assurers files.

Internal Quality Assurers/Internal Verifiers and Assessors will be encouraged to communicate using emails, telephone and in writing. ELATT will support the assessment team to develop communications throughout the assessment process. The Centre IQA Coordinator will be responsible for communicating the External quality Assurer/External verifier/ Standards Verifier reports and action plans and their implementation with IQAs/IVs, Assessors and Centre management as required.

## **THE USE OF EXTERNAL QUALITY ASSURER REPORTS TO CONTINUOUSLY DEVELOP CENTRE QUALITY**

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ELATT management regards the Standards Verifier/External Verifier/External quality Assurer's report as a working document and guide on quality. This document, at any particular point in time, might present an insight into quality systems at the Centre and within the organisation as a whole.

The External Verifier/Standards Verifier /External quality Assurer's report verifies and checks quality systems. The action points indicate an area, which may need immediate improvement within a given timescale. This makes it possible for ELATT Management, Internal Quality Assurers/Internal Verifiers and Assessors to use them to focus on improvement and continuous development. The Centre will use these as part of the action plan based on self-assessment in working towards continuous improvement and in striving for excellence.

## **ISSUES ARISING FROM THE NEW STANDARDS FOR INTERNAL QUALITY ASSURERS/ INTERCAL VERIFIERS**

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At East London Advanced Technology Training (ELATT) the Internal Quality Assurance/Internal Verifiers process will ensure that the Internal Quality Assurers/Internal Verifiers will be at the heart of Quality Assurance in NVQs, both within the national framework and within quality and management systems of the Centre.

### **The Role of the Internal Quality Assurer/Internal Verifier**

- Quality assuring assessment
- Developing and supporting Assessors
- Managing quality of assessment delivery

East London Advanced Technology Training Management recognises that the new standards for Internal Quality Assurance/Internal Verifier require that the Internal Quality Assurer's/Internal Verifier's role is properly understood and supported within the organisation. Internal Quality Assurers/Internal Verifiers will be given adequate support in the management of assessment resources; these include equipment, training facilities, candidate support, learning materials and Assessors.

Quality systems are an integral part of ELATT development strategy and part of this will be to ensure that the Internal Quality Assurers/Internal Verifiers input is assured.

The Centre IQA Coordinator at ELATT currently manages Internal Quality Assurers/Internal Verifier and the quality assurance of qualification delivery and reports directly to Senior Management and the Quality Panel. Internal Quality Assurers/Internal Verifiers will also have an input in carrying out self-assessment of the Centre's performance against requirements annually

The IQA Centre Coordinator will be expected to act as a link between the Centre and the Awarding Body. They must ensure that they have up to date information/guidance issued by relevant bodies – Awarding Body, standards setting bodies, industry and professional bodies – they will give time and resources so that this information is passed on to the Assessors.

The External quality Assurer's first 'port of call' is the Centre IQA Coordinator, who will be expected to have a range of information to hand:

- Number of current registered candidate per qualification/level
- Candidate Centre enrolment and Awarding Body registration details
- Assessor details – specify CV Assessor qualification (D unit, A1), development plan, workloads
- Candidate progress reviews and achievement, special assessment requirements
- Assessment records and plans
- Candidate support resources available
- Assessment site arrangements
- Internal Quality Assurance/Internal Verification sampling strategy
- Internal Quality Assurer/Internal Verifiers records including feedback to Assessors, discussion with candidates
- Records of claims for certification
- Candidate evidence files/portfolio

Maintaining good information channels is particularly important following an External quality Assurer's/External Verifier's/Standards Verifier's visit where an Action Plan has been agreed. At ELATT any Action Points are agreed with the Centre IQA Coordinator, IQA/IV. Action Points

raised by the External quality Assurer/External Verifier will be acted upon within the timescale specified. ELATT will manage staff to ensure that quality is maintained throughout.

East London Advanced Technology Training (ELATT) recognises the security implications of Internal Quality Assurance/Internal Verification and will ensure that systems are in place to claim for certification only when there is clearance by the Internal Quality Assurer/Internal Verifier.

ELATT recognises the security implication and why it is extremely important that no claims for certification should be without the 'clearance' of the Internal Quality Assurer/Internal Verifier for the award. All claims for certification will be made, once authorised, by an Internal Quality Assurer/Internal Verifier who holds the appropriate qualifications (currently TAQA Level 4 or TDLB D34 or V unit).



## **Procedure**

### **1.1 Nominations and Certification**

- 1.1.1 Centre IQA Co-ordinator to be responsible for Internal Quality Assurance must allocate a nominated person. This person must hold TAQA Level 4 or Unit D34/V of TDLB Standards.
- 1.1.2 Copies of certificates must be maintained for Assessors who have achieved TAQA Level 3 Award, D32, D33, A1 and/or D36 or TAQA Level 4 and Internal Quality Assurers/Internal Verifiers achieving D34/V1. Regular updates/information should be supplied to Internal Quality Assurers as necessary.
- 1.1.3 Any special requirements of the awarding body will be included in the Internal Quality Assurance/Verification Procedure.

### **1.2 Allocation of Assessors**

#### **The Centre Co-ordinator must:**

- 1.2.1 Ensure that Assessors have vocational and training experience and/or qualifications to an appropriate level and that each holds or is working towards TAQA Level 3 Award or Units D32, D33, and A1 of the TDLB Standards.
- 1.2.2 Maintain relevant details for Assessors on the team, using the Assessment Team Members Details Forms and specimen signatures for Assessors on the List of Current Assessors with Specimen Signatures.
- 1.2.3 Provide guidance and support for new or inexperienced Assessors and ensure that any training needs to enable each to achieve TAQA Level 3 Award Standards are identified and passed on to those responsible for training.
- 1.2.4 Ensure that each Assessor has access to full, up-to-date awarding body documentation, including Notes for Guidance, for the vocational area(s) he or she is assessing and obtain a signature on the Requisition and Receipt Form where these are issued.
- 1.2.5 Discuss any changes/updates to Awarding Body procedures or qualifications at standardisation/moderation meeting (*see Section 1.4*).
- 1.2.6 Maintaining qualification tracking using information supplied from Registration Forms for Accredited Schemes and the regular updates provided at team meetings.
- 1.2.7 Pass on necessary information regarding new candidates to relevant Assessors

### **1.3 Control of Centre Policies**

#### **The Internal Quality Assurer/Internal Verifiers must:**

- 1.3.1 Maintain a copy of the Company's Equal Opportunities Policy, Appeals Procedure, Internal Quality Assurer/Internal Verifiers and Health and Safety Policy and List of Qualifications offered by the Centre.
- 1.3.2 Ensure that information for monitoring of Equal Opportunities and Special Needs is gathered at the point of candidate registered and is entered onto the Centre's management information system (MIS).
- 1.3.3 Ensure that Assessors have access to the above and during sampling, ensure that Assessors are complying with the requirements of each.
- 1.3.4 Where the Internal Quality Assurer/Internal Verifiers has carried out assessment, make appropriate arrangements in respect of this, including the Location of an experienced Assessor or another Internal Quality Assurer/Internal Verifier to internally quality assure the assessments.
- 1.3.5 Refer disputes and appeals to the appropriate authority in line with East London Advanced Technology Training (ELATT)'s Appeals Procedure.
- 1.3.6 IQA/IV files for each occupational area to be maintained by the IQA/IV and left with the Centre IQA Coordinator.

## **1.4 Awarding Body Documentation**

The Centre IQA Coordinator must:

- 1.4.1 Maintain or keep copies of the following:
- Records of centre approval
  - Candidate registration documents
  - Certification records
  - Notes for Guidance
  - Log Books for Approved Schemes
  - Records of LIV Registration (BTEC)
  - Records of External Quality Assurance/External Verifier evaluation/feedback
  - Current 'Procedure for Internal Quality Assurance/Internal Verification and Assessment Approved
  - Internal Quality Assurance/IV and Assessment forms
  - Records generated from own Internal Quality Assurance/Verification
  - Minutes of standardisation/moderation meetings

## **1.5 Standardisation Meetings**

**The Internal Quality Assurer/ Internal Verifier must:**

- 1.5.1 Hold regular standardisation/moderation meetings with Assessors as and when required.
- 1.5.2 Ensure that Assessors supply an up-to-date copy of their qualification assessment plans (BTEC) tracking and Continuing Professional Development (CPD) so that IQA/IV records can be updated.
- 1.5.3 Ensure that any problems with individual candidates in their progress towards achievement of a qualification or units are discussed, and recommendations made regarding actions to be taken.
- 1.5.4 Collect details of candidate achievement i.e. the Qualification Tracking
- 1.5.5 If any Assessor training or development needs are identified during these meetings, ensure that Assessors understand the implications of these and take any necessary action.
- 1.5.6 Discuss any changes or updates to Awarding Bodies procedures or qualifications and ensure that Assessors understand the implications of these and take any necessary action.
- 1.5.7 Discuss any issues arising from sampling at standardisation/moderation meetings, including any identified training needs and ensure that appropriate action is taken.
- 1.5.8 Make any necessary arrangements for sampling of evidence and monitoring of assessments.
- 1.5.9 Maintain minutes of standardisation/moderation meetings. Where action is required from individual Assessors, ensuring that this action is taken by the time allocated and is reviewed at the next meeting. Highlight any section of minutes that are relevant to the External quality Assurer/External Verifier.
- 1.5.10 Keeps a record of dates of standardisation/moderation meetings using the Internal Quality Assurance/Internal Verification Procedures.

## 1.6 Sampling of Records, Assessment Methods and Evidence

### The Internal Quality Assurer/Internal Verifier must:

- 1.6.1 Ensure that the sampling procedure cover each Assessor in the team, each unit in the qualification and across as wide a range of candidates as possible over an annual cycle.
- 1.6.2 Finalise arrangements before each sampling session as follows:
  - Date, Time and Venue
  - Personnel involved (i.e. Assessors, candidates, workplace supervisors if applicable)
  - Portfolios or assignments to be sampled, including assessment documentation and relevant specimen signature lists.
- 1.6.3 For **City and Guilds** and **OCR only**: At each sampling session, check assessment methods used by the Assessor and evidence produced by the candidate across a range of units as follows:
  - Assessment records sampled are completed accurately, signed and maintained for each candidate sampled.
  - Any signature on assessment records and portfolio evidence is held on the Specimen Signature or Workplace Supervisor/Observer Specimen Signature.
  - A sample of records maintained by Assessors for at least 10% of candidates, or a minimum of 5, is examined at each session. With new or inexperienced Assessors, increase this sample initially until satisfied that evidence in the sample is sufficient, authentic, reliable and consistent/relevant and that the judgement of the Assessor is fair and reliable.
- 1.6.4 Each of the following assessment records should be available to back up the portfolios being sampled for each Assessor.
  - Qualification Sampling plan Record (s) – listing all allocated candidates grouped by qualification, level and assessor.
  - Assessment Plan (s), Assessment Record and Feedback – for each assessment.
- 1.6.5 If work placements are being used, additional records to be checked are:
  - Workplace Specimen Signature
- 1.6.6 Sample evidence produced by candidates as previously agreed. Ensure that the sample is drawn from stages of the assessment process, i.e. maybe sampling of one or several elements, or one unit from a part-completed portfolio and/or sampling of a completed portfolio for each Assessor.
- 1.6.7 Discuss assessment methods used and ensure that assessment of natural performance is used wherever possible. Where other methods have been used, ensure that they are appropriate and have been selected based on the needs of the candidate.

### 1.6.8 For BTEC qualification

#### **The Lead IV will:**

- register through the online standardisation system.
- make other assessors and internal verifiers aware of the standardisation practice and lead this within their subject area
- liaise with the Quality Nominee throughout the program and be aware of any updates to the programs of study and/or quality assurance requirements
- review the reports from the quality assurance process and ensure that appropriate action is taken as necessary
- ensure that there is an assessment and verification plan for the programmes in the sector which is fit for purpose and meets all BTEC requirements
- undertake internal verification and/or assessment for individual units within the programme for their subject area
- ensure that they do not internally verify their own work
- ensure that records of assessment and samples of learner work are being retained for use with Standards Verification if necessary.
- liaise with the Standards Verifier to ensure that appropriate sampling takes place as required

#### **Internal Verifier**

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

#### **ALL qualifications**

- 1.6.9 Record results of this sampling and provide feedback to Assessors using the Internal Quality Assurance/Internal Verification Sampling Record. Ensure that any necessary action to be taken by the Assessor is recorded on the Internal Quality Assurance/Internal Verification Feedback Sheet.
- 1.6.10 If files are referred, issue a copy of the Feedback Sheet to the Assessor after sampling is completed. Where action is identified, ensure that target dates are met and the Feedback Sheet is signed and dated by the Assessor.
- 1.6.11 Record the results of sampling on the Qualification Tracking/Assessment plan and Sampling plan sheet (s).
- 1.6.12 On an annual basis, extend the standardisation meeting to include an assessment of one unit by Assessor to ensure consistency and reliability of assessment. Ensure that any action to be taken arising from this is taken by the due date.
- 1.6.13 **BTEC Only:** Lead Internal Verifiers will be subject to Pearson LIV standardisation

## **1.7 Monitoring of Assessments (City and Guilds only)**

### **The Internal Quality Assurer must:**

- 1.7.1 Carry out observation of direct assessment (observation) and indirect assessment (examination of evidence) for a minimum of one observation per Assessor, ensuring that Assessors are covered over any annual cycle.
- 1.7.2 Record the results of the monitoring on the relevant Assessment Monitoring Form.

## **1.8 External quality Assurer/ Standards Verifier Visits**

### **The Internal Quality Assurer/Internal Verifier must:**

- 1.8.1 The EQA/SV will inform the Centre IQA Co-ordinator to make arrangements for EQA/SV visits and ensures that portfolios of evidence, candidate records and Internal Quality Assurance/IV records are available for each visit. Ensure that relevant Assessors and candidates are available if required by the External quality Assurer.
- 1.8.2 The EQA will receive from Centre IQA Co-ordinator a IQA/IV Report Form for each External quality Assurer/SV visit and ensure that any action arising out of the visit is taken.
- 1.8.3 The EQA will discuss the visit and any subsequent action taken/to be taken at the next monthly standardisation meetings.

## **Control of Procedure and Documentation**

### **The Centre IQA Co-ordinator and The Internal Quality Assurer/IV must:**

- 1.8.4 The centre co-ordinator must ensure that any awarding body requirements are included in relevant procedures.
- 1.8.5 The centre co-ordinator must issue copies of relevant procedures and assessment forms to the IQA and Assessors.
- 1.8.6 The IQA must issue an Assessment and Internal Quality Assurance Documentation Monitoring Form to Assessors for use in recording any form or record, which they feel, is redundant, or requires updating and review these at standardisation meetings.
- 1.8.7 The centre co-ordinator must on an annual basis, review current procedures and documentation to ensure that they are effective and in line with current awarding body and centre requirements. Assessors must not have difficulty in identifying redundant documents, in this process.
- 1.8.8 Where any procedure, form or record is updated or amended, ensure that Assessors are familiar with these.
- 1.8.9 The IQA must ensure that sampling and other methods of internal Quality Assurance provide evidence that Assessors are complying with procedures.
- 1.8.10 The centre co-ordinator must ensure that documentation in relation to assessment and Internal Quality Assurance is stored securely and made available only to appropriate personnel.
- 1.8.11 The centre co-ordinator must ensure that documentation is stored for a minimum of five years as per ELATT procedure.

## **Assessment Procedure all qualification**

### **Roles and Responsibilities of the Assessor**

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#### **Procedure**

##### **2.1 Initial Interview and Assessment**

2.1.1 The Initial Learning Plan is designed to elicit the following information as a basis for identifying a training/assessment programme for the candidate:

- a) Personal details
- b) Existing qualifications
- c) Prior relevant skills and knowledge
- d) Employment/career development aims
- e) Specific skills and knowledge required in order to meet these aims.
- f) Learning/training objective
- g) Options identified – planned training and development/ assessment programme.

##### **The assessor advisor must:**

- 2.1.2 Ensure that, as part of the induction, candidate details are taken and recorded on the Initial Training Plan and that the Plan is signed and dated by both candidate and interviewer.
- 2.1.3 Make decisions about relevant action to be taken to meet candidates identified learning/training/assessment objectives, including specific Functional Skills level and Units where appropriate.

##### **2.2 In-house and Awarding Body Registration**

##### **The assessor advisor must:**

- 2.2.1 Ensure that candidate details, including details, which will later be used to monitor ELATT Equal Opportunities and Open Access Policy, are recorded on the Centre's In-house Application Form.
- 2.2.2 Ensure that any special needs or special assessment requirements are discussed and recorded on the appropriate in-house documentation and are made available to the assessor, if he or she is not the person dealing with the candidate at this stage.
- 2.2.3 Complete Awarding body documentation to register the candidate for the appropriate qualification or Units for Accredited Schemes
- 2.2.4 Enter the name of the candidate onto the Assessment Tracking Record, plus the candidate registration number when received in preparation for recording of achievement.
- 2.2.5 Issue the Qualification Standards/Logbook to Candidate.

2.2.6 Supply candidates name, registration number, title of qualification and units (modules) to the Internal Quality Assurer/Internal Verifier for entry onto the Qualifications Tracking.

### **2.3 Candidates Induction Programme**

**The identified person responsible for delivering the Induction Programme must:**

2.3.1 Ensure that candidates are supplied with:

- a) Relevant information about ELATT and its personnel, including Centre specific requirements.
- b) Relevant procedures connected with statistical information (e.g. SFA, ESF, and Funding Council) which ELATT may require/gather from candidates during their programme.
- c) Sufficient information about the assessment delivery framework, its terminology and the role in the workplace.
- d) Relevant information about procedures, policies and personnel, which will affect them and their training/assessment.

### **2.4 (Initial) Assessment Plan**

2.4.1 The assessor must ensure that relevant information about the candidates, including special needs or special assessment requirements, is available at this stage to the appropriate people.

2.4.2 The assessment plan is used to negotiate action to be taken/evidence to be produced by the candidate in order to achieve the identified Units/elements, with suggested target dates for reviews/assessments.

**The assessor must ensure that:**

- a) The opportunities identified are relevant to the elements to be assessed.
- b) Best use is made of naturally occurring evidence and related questioning.
- c) Opportunities are selected to minimise disruption to normal activity.
- d) Opportunities are selected which provide access to fair and reliable assessment.
- e) When simulations are proposed, accurate information and advice is sought about their validity and administration.
- f) The proposed assessment plan is discussed and agreed with the candidate and others who may be affected.
- g) If there is disagreement with the proposed assessment plan, options open to the candidate are explained clearly and constructively.
- h) The Assessment Plan specifies the target elements of competence, the types of evidence to be collected, the assessment types and methods, the timing of assessments and the arrangements for reviewing progress against the plan.



2.4.3 The assessor must ensure that the candidate is clear about the criteria which will be used to make judgements about evidence, so that effort is not wasted in collecting irrelevant evidence, i.e. evidence must be:

- Valid
- Current
- Authentic
- Consistent/Relevant
- Sufficient

2.4.4 The Assessment Plan must be signed and dated by assessor and candidate, a copy issued to the candidate and the original held by the assessor.

## **2.5 The Review Sheet**

2.5.1 This is a pre and post assessment activity to ensure that the candidate has covered everything in the Assessment Plan and is either ready for assessment or needs to further satisfy the Assessor. It can also be used to identify whether the target date for assessment must be re-negotiated or another review needs to take place and new target dates set.

### **The Assessor must:**

- 2.5.2 a) Review candidate and activities to date against the Assessment Plan.
- b) If any changes are necessary to the Assessment Plan for a variety of reasons, amendments can be included at this stage.
- c) Identify whether further action or evidence must be produced to meet unit/element requirements and target dates.

## **2.6 Assessment Record**

2.6.1 This form is used to record and justify assessment decisions, assessment method(s) and results for identified performance criteria, range and knowledge.

### **The Assessor must:**

- 2.6.2 a) Make a decision of performance evidence against the following key evidence requirements.
- Valid
  - Current
  - Authentic
  - Consistent
  - Sufficient
- b) Ensure that the above are recorded on the Assessment Record
- 2.6.3 Where evidence (i.e. that generated within the timescale of the training programme) is of a confidential nature and cannot be presented in the portfolio of evidence, the assessor must confirm that they have seen the evidence and have made assessment

decisions against the key criteria in their comments on the Assessment Record. In this case, the assessor should clearly reference the location of the evidence and its nature.

2.6.4 The assessor must then complete the Feedback Sheet and ensure that this is signed and dated by other assessor and candidate, a copy of the Feedback sheet is issued to the candidate and the original, plus the Assessment Record held by the assessor.

## **2.6 a Assessment Procedure BTEC qualification**

- learners are provided with assignments that are fit for purpose, to enable them to produce appropriate evidence for assessment at all grade levels and provide resources to ensure that assessment can be performed accurately and appropriately
- assessment methodology and the role of the assessor are understood by all
- all assignment briefs are internally verified prior to release to students by a member staff who has completed the standardisation process effectively
- all BTEC staff in each subject area completes the necessary standardisation process so that all those involved within the internal verification process can do so confidently and accurately
- assess learner's evidence using only the published assessment and grading criteria
- assessment decisions are impartial, valid and reliable and do not limit or 'cap' learner achievement if work is submitted late
- assessment procedures are developed that will minimise the opportunity for malpractice
- accurate and detailed records of assessment decisions are maintained
- all assessment decisions are recorded on the mark sheet template and saved within the BTEC file on the computer system
- the LIV and QN monitor the input of assessment decisions every half term to ensure marking is current
- a robust and rigorous internal verification procedure is maintained
- samples are provided as required by the awarding body
- all quality assurance reports are shared amongst staff involved in the delivery of the program and undertake any remedial action required
- BTEC subject areas share good assessment practice
- subject teams and LIVs will review each assignment brief once it has been completed by the learners
- subject teachers will decide when learners are prepared to undertake the assessment as per the assessment plan and ensure that;
  - before starting an assessment, the teacher will ensure that each learner understands the;
    - assessment requirements
    - nature of the evidence they need to produce
    - importance of time management and meeting deadlines
  - once learners are working on assignments which will be submitted for assessment, they work independently to produce and prepare evidence
  - once the learner begins work for the assessment, the teacher will not:
    - provide specific assessment feedback on the evidence produced by the learner before it is submitted for assessment
    - confirm achievement of specific assessment criteria until the assessment stage
    - only one submission will be allowed for each assignment. The assessor will formally record the assessment result and confirm the achievement of specific assessment criteria

- each learner must submit:
  - an assignment for assessment which consists of evidence towards the targeted assessment criteria
  - a signed-and-dated declaration of authenticity with each assignment which confirms they have produced the evidence themselves
  - complete a confirmation that the evidence they have assessed is authentic and is the learner's own work
- the assessor will not provide feedback or guidance on how to improve the work submitted in order to achieve higher grades
- it may be appropriate for the Lead Internal Verifier or Internal Verifier to authorise one opportunity for a learner to resubmit evidence to meet assessment criteria targeted by an assignment
  - the Lead Internal Verifier will only authorise a resubmission if all the following conditions are met;
    - the learner has met the initial deadline set in the assignment, or has met an agreed deadline extension
    - the teacher judges that the learner is able to provide improved evidence/work without further guidance
    - the assessor has authenticated the evidence submitted for assessment and the evidence is accompanied by a signed and-dated declaration of authenticity by the learner
  - if a learner has not met the conditions listed above, the Lead Internal Verifier will not authorise a resubmission
    - if the Lead Internal Verifier does authorise a resubmission, it must be recorded on the assessment form
  - if a learner has met the conditions listed above and a resubmission is authorised then the learner will be
    - given a deadline for resubmission within 10 working days of the learner receiving the results of the assessment
- the 10 working days must be within term time, in the same academic year as the original submission
  - complete the necessary work without further guidance

**Links BTEC qualification specifications:**

These provide guidance on assessment for each BTEC qualification.

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

**ASSESSMENT RECORDS USED – all qualification**

**ASSESSORS CHECKLIST**

- ✓ Individual Learning Plan
- ✓ Assessment Tracking Record and Notes
- ✓ Personal Action/Assessment Plan
- ✓ Feedback Sheet
- ✓ Observation Sheet
- ✓ Accredited prior learning evidence checklist
- ✓ Monitoring qualification's requirements
- ✓ Additional Learner Needs requirements
- ✓ Up-to-date Candidates list
- ✓ Portfolio Induction Sheet
- ✓ Assignment brief
- ✓ Assessment Schedule
- ✓ Review Schedule
- ✓ Learners Timetable
- ✓ Assessors Timetable
- ✓ Witness Status List – (including workplace supervisor, observer, assessor)

<b>Role</b>	<b>Responsibility</b>	<b>Details required by</b>
Internal Quality Assurer/ Internal Verifier or Lead Internal Verifier (where required by qualification)	<p>Ensuring that assessors are trained, competent and qualified.</p> <p>Maintaining and monitoring arrangements for processing assessment information.</p> <p>Providing confirmation to the Awarding Body that assessment practice is to National Standards through the quality system,</p>	Awarding Body
Quality Nominee	The Quality Nominee ensures that centre internal verification and standardisation processes operate, acts as the centre coordinator and main point of contact for BTEC programmes. The Quality Nominee ensures Pearson quality assurance reports are monitored and any remedial action is carried out	Awarding Body
Assessor	<p>The Assessor is responsible for ensuring that assessment, including assessment planning, is carried out to recognise qualification standards.</p> <p>Where workplace personnel contribute to assessment decisions, the assessor must ensure that they operate within Centre procedures and that necessary information for Internal Quality Assurance/Internal Verification activities is complete and available for the Internal Quality Assurer/Internal Verifier.</p> <p>Within the assessment structure, the assessor is responsible for identifying suitable workplace supervisor/observers.</p> <p>Must have occupational expertise at the appropriate level.</p> <p>Maintains details of workplace</p>	Awarding Body