

# Centre Guide to Assessment

Centre Guide

BTEC Qualifications

Foundation Learning

Level 2 and Level 3 qualifications including  
Specialist Courses Levels 1 – 3

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# Introduction

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The qualification specification is the first document that programme leaders and teams must use as their point of reference for all planning. All BTEC specifications can be found on the BTEC website: [www.btec.co.uk](http://www.btec.co.uk).

This guide is designed for those new to teaching and assessing QCF BTEC qualifications and for those who wish to build their knowledge base so that their planning and implementation is in place prior to delivering a programme of learning.

It is developed alongside two other useful guides, also available on the BTEC website: [www.edexcel.com/quals/BTEC/quality/Pages/documents.aspx](http://www.edexcel.com/quals/BTEC/quality/Pages/documents.aspx).

- Centre Guide to Internal Verification
- Centre Guide to Managing Quality.

This guide contains models of curriculum design to stimulate ideas and inform the structure of programme learning and assessment that is best suited to your learners and vocational area.

A team approach to the delivery of QCF BTEC programmes is recommended as it is the most beneficial to learners and the teaching team. There are sections of the guide which clearly show the roles and functions as an overview, including all stages of the planning, delivery, assessment, feedback and the internal and external verification of quality processes.

QCF BTEC qualifications are unit based and assessed through the application of criterion referenced and, in the main, vocationally contextualised grading grids. There are suggestions on assignment design and templates for teams to use. Tracking learner achievement is key to programme success and, together with feedback for learners and assessors, is a vital element in the quality cycle.

There is important information on Edexcel quality assurance processes in the following **BTEC Quality Assurance Handbook** which can be found on the BTEC website: [www.edexcel.com/quals/BTEC/quality/Pages/documents.aspx](http://www.edexcel.com/quals/BTEC/quality/Pages/documents.aspx).

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# 1. Overview of roles and responsibilities

Assessment Stage	Programme Team	Assessor	Learner	Internal Verifier / Lead Internal Verifier	Standards Verifier
Planning	<ul style="list-style-type: none"> <li>Reads and understands the specification</li> <li>Identifies opportunities to generate evidence</li> <li>Creates and agrees assessment plan</li> <li>Plans assessment activities and timescales</li> <li>Ensures assessment plan, assignments and assessment decisions are scrutinised by the internal verifier and appropriate action taken by the team</li> </ul>	<ul style="list-style-type: none"> <li>Understands assessment arrangements to meet national standards</li> <li>Designs assessment activities which meet the assessment model</li> <li>Identifies assessment opportunities for the learner</li> <li>Actions internal verifier's advice</li> </ul>	<ul style="list-style-type: none"> <li>Manages and organises own time to prepare evidence to meet the assessment plan</li> </ul>	<ul style="list-style-type: none"> <li>Ensures that a schedule is in place and operational for all qualifications within the Principal Subject Area</li> <li>Checks the quality of assessment instruments as fit for purpose</li> <li>Advises on the interpretation of national standards</li> <li>Co-ordinates assessment arrangements including multi-sites if appropriate</li> <li>Lead IV registers and accesses standardisation materials</li> </ul>	<ul style="list-style-type: none"> <li>Is allocated to a Principal Subject Area where there is no LIV or the LIV has not completed successful accreditation</li> <li>Negotiates confirmation sampling of internally set assignments, for a completed unit from each level within the Principal Subject Area, with the programme team and as appropriate to relevant qualifications</li> <li>Negotiates arrangements for sampling learners work</li> </ul>
Implementing	<ul style="list-style-type: none"> <li>Ensures timescales are met</li> </ul>	<ul style="list-style-type: none"> <li>Guides the learner towards approaches in gathering assessment evidence</li> </ul>	<ul style="list-style-type: none"> <li>Produces work for assessment to meet national standards as identified in the induction pack</li> </ul>	<ul style="list-style-type: none"> <li>Ensures an effective system of recording learner achievement is in place</li> <li>Advises on opportunities for evidence generation and collection</li> <li>Keeps records of the verification process</li> <li>Liaises with external verifiers where appropriate</li> <li>Lead IV completes online standardisation exercise</li> </ul>	<ul style="list-style-type: none"> <li>Prepares sampling schedule covering allocated programmes</li> <li>Maintains centre records and feedback to Edexcel</li> </ul>
Internally Verifying	<ul style="list-style-type: none"> <li>Ensures consistency of assessment judgements through standardisation meetings</li> </ul>	<ul style="list-style-type: none"> <li>Checks authenticity and sufficiency of assessment evidence produced against grading criteria/unit content</li> <li>Reviews progress of learners to give opportunities for remedial work or higher grade achievement</li> <li>Observes, scrutinises and records evidence of individual work within group activities</li> <li>Completes observation and witness statements to support demonstration of practical skills whether individual or within a group</li> <li>Actions internal verifier's advice</li> <li>Awards grading criteria for partial unit assessment (where appropriate)</li> <li>Awards unit grades when the unit has been completed, where relevant to the qualification</li> </ul>	<ul style="list-style-type: none"> <li>Submits evidence for assessment</li> <li>Checks the validity and sufficiency of the assessment evidence with the assessor</li> <li>Reviews opportunity for remedial work or higher grade achievement</li> <li>Participates in self and peer assessment activities where appropriate</li> </ul>	<ul style="list-style-type: none"> <li>Provides advice and support to assessors on a regular basis, covering all assessors and all units</li> <li>Advises on the appropriateness of assessment evidence with regard to level, sufficiency, authenticity, validity and consistency</li> <li>Uses subject specialism to sample assessments to verify assessors' judgements</li> <li>Arranges standardisation meetings across teams and multi-sites</li> <li>Checks the quality of assessment to ensure that it is consistent, fair and reliable</li> <li>Ensures own assessment decisions are sampled when teaching on the programme</li> </ul>	<ul style="list-style-type: none"> <li>Checks internal verification has been carried out on assignments, assessment decisions and assessment feedback to learners</li> <li>Checks consistency of the interpretation of national standards by each assessor</li> <li>Externally verifies assessment decisions to ensure they meet national standards. i.e. grading criteria awarded is evidenced by learner work provided</li> </ul>
Decision making	<ul style="list-style-type: none"> <li>Co-ordinates arrangements for internal verification</li> <li>Co-ordinates opportunities for receiving feedback from the internal verifier</li> </ul>	<ul style="list-style-type: none"> <li>Decides and checks whether evidence is valid, authentic, consistent and sufficient</li> <li>Records assessment decisions</li> </ul>	<ul style="list-style-type: none"> <li>Decides to improve on evidence provided following formative assessment decisions</li> </ul>	<ul style="list-style-type: none"> <li>Monitors and advises on assessment decisions by sampling</li> <li>Gives programme team decisions and feedback on the sampling</li> </ul>	<ul style="list-style-type: none"> <li>Externally verifies assessment decisions to ensure they meet national standards against all the evidence presented</li> <li>Identifies the actions necessary where assessment decisions do not meet national standards</li> </ul>

Feedback	<ul style="list-style-type: none"> <li>Ensures assessment plan, assignments and assessment decisions are scrutinised by the internal verifier and appropriate action taken</li> </ul>	<ul style="list-style-type: none"> <li>Actions internal verifier's advice</li> <li>Gives constructive feedback to the learner</li> <li>Provides guidance for the learner to enhance assessment achieved on formative assessment</li> <li>Plans next steps with the learner</li> <li>Records the learner's summative achievement</li> </ul>	<ul style="list-style-type: none"> <li>Receives assessment recommendations and feedback from the assessor</li> <li>Appeals if dissatisfied with the assessment decisions</li> <li>Plans next steps with the assessor</li> <li>Records summative assessment</li> </ul>	<ul style="list-style-type: none"> <li>Ensures appropriate corrective action is taken where necessary</li> <li>Takes part in the formal stages of any appeal</li> <li>Advises programme team on any training needs</li> <li>Provides feedback on aspects of the assessment system to the programme team, senior management and Edexcel</li> </ul>	<ul style="list-style-type: none"> <li>Gives verbal feedback to the programme team or other centre nominated person on decisions taken</li> <li>Completes written report clearly identifying confirmation of meeting national standards or any remedial action required for re-sampling</li> <li>Maintains centre records and feedback to Edexcel</li> <li>Follows report copying protocols</li> </ul>
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## 2. Programme team

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The programme team consists of the teachers or tutors who are responsible for the delivery, assessment and verification of the BTEC programme. All team members should:

- read and understand the specification
- understand the construction of an QCF 1-3 BTEC unit
- identify opportunities to generate evidence
- create and agree the assessment plan
- plan assessment activities and timescales
- ensure the assessment plan, assignments and assessment decisions are internally verified and appropriate action taken by the team.

Good planning is the first step to successful programmes. It is the best way of making sure everything is in place and unit coverage is robust and achievable. Plans should be jointly developed and shared with the programme team.

Key areas to consider are:

- unit sequencing or integration
- assignments and projects
- resource planning, such as when to deploy specialist staff
- timetabling, events, shows and trips
- schemes of work.

If delivering a programme where units are integrated, the plan will allow you to establish that all targeted criteria can be achieved.

### Internal verification



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Internal verification is the quality assurance system the centre uses to monitor assessment practice and decisions, to ensure that:

- assessment and grading is consistent across the programme
- assessment instruments are fit for purpose
- assessment decisions accurately match learner work (evidence) to the unit grading criteria
- standardisation is a feature of centre assessment practice.

From September 2010, each Principal Subject Area is required to have an accredited Lead Internal Verifier. Successful achievement of the accreditation exercise allows the Lead Internal Verifier (Lead IV) to retain this status in the centre for the academic year the exercise is completed in and a subsequent 3 years. The role is to manage the centre internal verification systems and processes to maintain national standards. Throughout this time, centre Principal Subject Areas will also be subject to confirmation sampling.

Further guidance on internal verification is provided in the **Centre Guide to Internal Verification**, which can be found on the BTEC website:

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

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## 3. Learner recruitment and induction

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### Learner recruitment

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It is crucial that learners are recruited with integrity. There is a carefully designed ladder of progression within the BTEC framework of qualifications. The appropriate levels are set against the equivalent expectations of achievement at Foundation Learning level, GCSE and GCE. Learners who are not expected to be able to achieve the equivalent grades should be registered on a lower level programme.

### Learner induction

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This is key to the success of the qualification and will familiarise learners with their successful progression into the programme. Consider:

- developing an understanding of the programme specification (e.g. structure, content, grading grids, level of programme and equivalency)
- the purpose of the assignment briefs for learning and assessment
- the relationship between the tasks given in an assignment and the grading criteria
- how learners will understand the way that the BTEC assessment grids work in relation to their prior experience of other assessment models
- clarifying the concept of vocational and work related learning
- developing methods to encourage learner's responsibility (e.g. using the wider Key Skills with clear links to the learning programme).

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## 4. Course handbooks

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### Course handbook

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These can be invaluable additional information for everyone involved in BTEC programmes. This will allow informed choice for the learners so that they know what particular expectations and demand the BTEC route will make on them. A handbook for the teaching and delivery team will cover the same broad approach and clarify the major differences between these and other qualifications that they will be expected to manage.

### Staff handbook

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This is recommended to give key messages and help support full and part-time members of a delivery team. This handbook may include the following:

- programme title and how it fits in with the learner's progression and development
- course structure including course dates, terms, semesters etc
- assessment plans, timings and other strategies
- internal verification, plans and timings, responsibilities etc
- standards verification sampling information and requirements
- practical workshop rules - etiquette, Health & Safety etc
- centre policies and rules. e.g. information on attendance, drugs, smoking, college information, helpline details
- key personnel and contacts
- pay/conditions of service, union details
- centre and area maps.

### Learner handbook

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This is recommended to give key messages about the programme and may include the following:

- programme title, structure, course dates, terms or semesters
- assessment plan, guidance and evaluation of the key learner activities
- practical workshop rules - etiquette and health and safety details etc
- college policies and rules. e.g. information on attendance, late work policy, drugs, smoking, college information, helpline details
- centre and area maps
- programme team and other key personnel details where appropriate.

For more guidance on developing handbooks and quality assurance procedures, please refer to the **Centre Guide to Managing Quality**, available on the BTEC website:

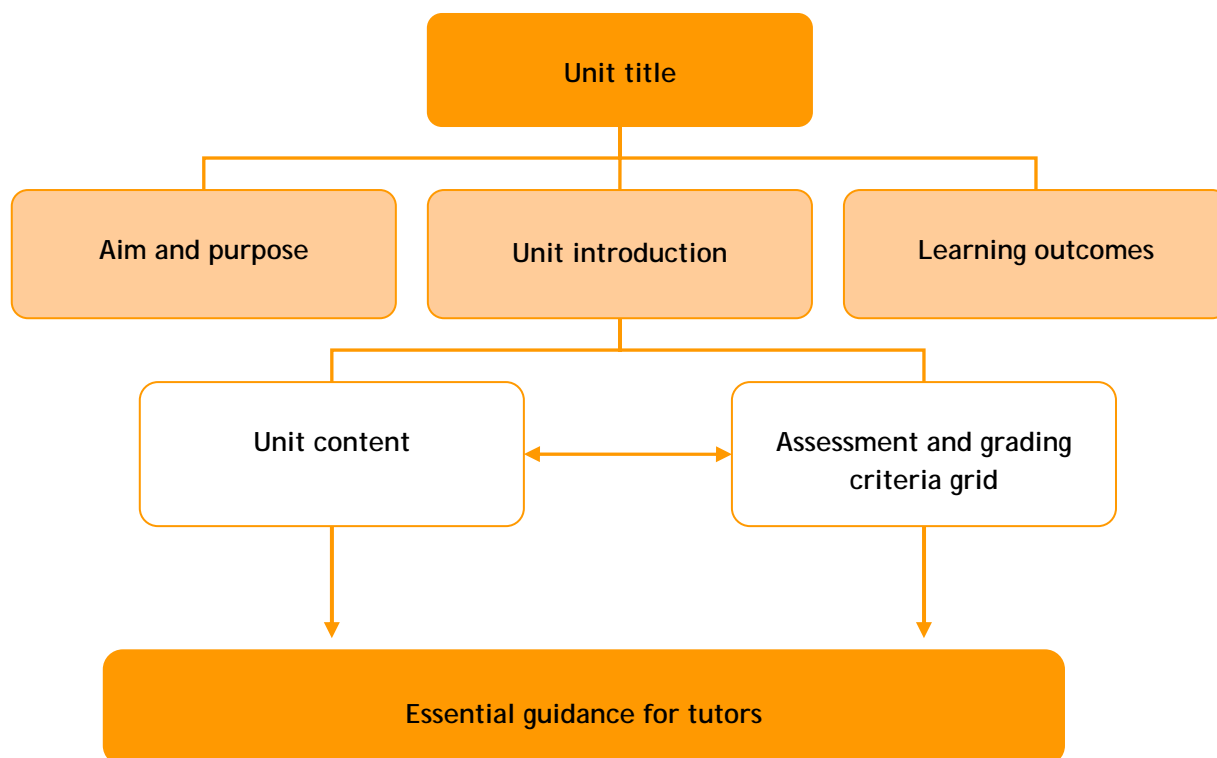
[www.edexcel.com/quals/BTEC/quality/Pages/documents.aspx](http://www.edexcel.com/quals/BTEC/quality/Pages/documents.aspx).

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## 5. Unit structure

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This diagram shows how QCF 1-3 BTEC units are constructed:



### Unit title

The unit title is accredited by Ofqual and this form of words will appear on the learner's Notification of Performance (NOP). Unit numbers are unique within the qualification. Each unit carries a credit value and a specified number of guided learning hours. The units are written to the Qualification Credit Framework level and to the BTEC level.

### Aim and purpose

This states the aim of the unit and summarises the key knowledge, skills and understanding to be developed while studying the unit. It provides information that places the unit clearly in the vocational setting of the qualification.

### Learning outcomes

Learning outcomes state exactly what the learner should know, understand, or be able to do as a result of completing the unit.

### Unit content

The unit content provides the programme of learning for the successful completion of the learning outcomes. Evidence to meet the assessment and grading criteria will include relevant areas of the unit content as described in the assessment section of the unit. This is informed by the underpinning knowledge and understanding requirements of the related National Occupational Standards (NOS) where appropriate.

Each learning outcome has prescribed key phrases or concepts listed in italics followed by the range of related topics. Further detailed lists provide an indicative range to support the specific topic item. It is not expected that all of the unit content is assessed in all units.

### Assessment and grading criteria grid

The majority of BTEC programmes contain grading criteria for achievement at Pass, Merit and

Distinction. However, some lower level units and specialist short courses may only have Pass criteria. Please refer to your specific programme for confirmation.

The assessment and grading criteria grid details the grading criteria for Pass, Merit and Distinction and represents the only assessment for the unit. The criteria will state the evidence requirements for the unit and are not necessarily 'linked' across the grid, although there are some units or qualifications where this is a feature. In some specifications it may be that programme teams might wish to split a criterion for assessment purposes but, in the majority of programmes, this is not advisable.

The QCF assessment and grading criteria for Pass references, where applicable, in square brackets, the elements of the personal, learning and thinking skills [PLTS]. Opportunities for learners to demonstrate effective application of the referenced elements of the skills are identified but it is not a requirement for the skills to be assessed or recorded separately for BTEC qualifications.

### **Essential guidance for tutors**

This section can be extremely helpful for teachers new to BTEC. The guidance within each sub section provides a wealth of valuable information to support delivery and assessment within a strong vocational context. Each unit also provides further information on delivery, provides an outline learning plan, assessment guidance and a programme of suggested assignments. There are links to National Occupational Standards, other units, essential resources, employer engagement and vocational contexts, indicative reading as well as mapping to PLTS and Functional Skills.

The suggested indicative reading for the level and specialist context of the unit covers textbooks, journals and websites but these are not mandatory or exhaustive. Centres may develop their own extended lists to cover books, journals, websites and other sources relevant to the qualification specialism and as appropriate to the changing technologies or approaches within the specialist vocational area.

It is recommended that centres use a wide range of teaching and learning methods to ensure that all learners are fully engaged in the achievement of all the learning outcomes in each unit by producing evidence that can be measured by the unit grading criteria.

### **Single unit delivery**

The qualification comprises individual units that represent clusters of learning outcomes. For many sectors, a unit by unit approach to delivery is a valid and appropriate method.

### **Integration of units**

The qualification comprises individual units that represent clusters of learning outcomes and learners should know how the units inter-relate as they would in the working environment. In certain sectors the unit delivery should be integrated so that evidence can be mapped into two or more units. This approach leads to a deeper understanding of the content. Vocational applications of the knowledge gained throughout the assignments often allow learners to provide enhanced analysis and reflection on their practice resulting in focused and in-depth evaluations. It is important to map the assessment of criteria across units and keep accurate records of learner achievement.

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## 6. Learning strategies

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Learning strategies may include:

- project work carried out as an individual or as part of a group
- work-based learning
- lectures and seminars
- facilitated activities
- visits to companies with a facilitator to structure the visit
- visiting speakers from the vocational sector as the 'client'.

The emphasis should be placed on learning by doing, drawing on materials gained from the working environment or industry wherever possible. This will help learners to develop the transferable skills necessary in a changing and dynamic working environment.

A large proportion of units are practical in nature giving learners the opportunities to tackle 'real life' examples to apply their skills and knowledge to case studies or projects. Someone from the vocational sector providing an active role in an assignment will increase the relevance of the assignment and further motivate the learner.

Clear assignment briefs will:

- inform the learner of the tasks set
- inform the learner of the methods of assessment
- feedback on the progress of their work.

When a formal assessment has taken place, it is important that learners are aware of what they are able to do to improve the quality of the outcomes for a particular assignment or work to be accomplished in the future. Feedback should be recorded to clarify and action this.

The time for research within the delivery schedule should be sufficient to:

- achieve the learning outcomes
- develop the necessary skills and underpinning knowledge to achieve the unit grading criteria.

The differences between learners' prior experiences of assessment, the BTEC assessment model and linking unit grading criteria demands time for learners to become familiar with this process.

### External links

All work related programmes will benefit from external links with those working in the vocational sector. These links could be provided in any of the following ways:

- checking the vocational relevance of the assignments. This can take two forms: the learner acquiring the vocational language and skills; and setting the assignment within a strong vocational context
- provision of 'live' case study material that is company or organisation based
- learner visits to companies and other vocational settings
- professional input from companies and vocational practitioners, especially where vocational expertise is clearly identified in the delivery section of the units
- work placement that is specifically related to the qualification
- teacher placements to enhance vocational expertise.

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## 7. Assessment strategies

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The assessment programme must be designed so that skills and knowledge can be developed in line with the grading criteria. There is a range of assessment methods that can be utilised, such as:

- tutor assessment recorded against the criteria throughout the assignment and at its completion
- tutor observations of learner performance e.g. oral presentations, role play, work based assessment
- produce visual or audio materials, artefacts, products and specimens
- peer and self assessment.

Research has shown that using a variety of assessment methods enhances the learning. They improve the knowledge of the grading criteria and what is required to gain higher grade achievement. Where appropriate, peer assessment impacts on self assessment by enabling individuals to become self critical and evaluative. It can provide a useful first and second stage prior to tutor assessment.

Whenever group work is encouraged during assignments or as part of the preparation for the world of work, it is very important to emphasise the requirement that assessment is done at individual learner level. The use of Witness Statements, Tutor Observation sheets or other paperwork that records achievement at criterion level against the activity that is being observed is strongly recommended. Checklists prepared against unit grading criteria are one way of doing this.

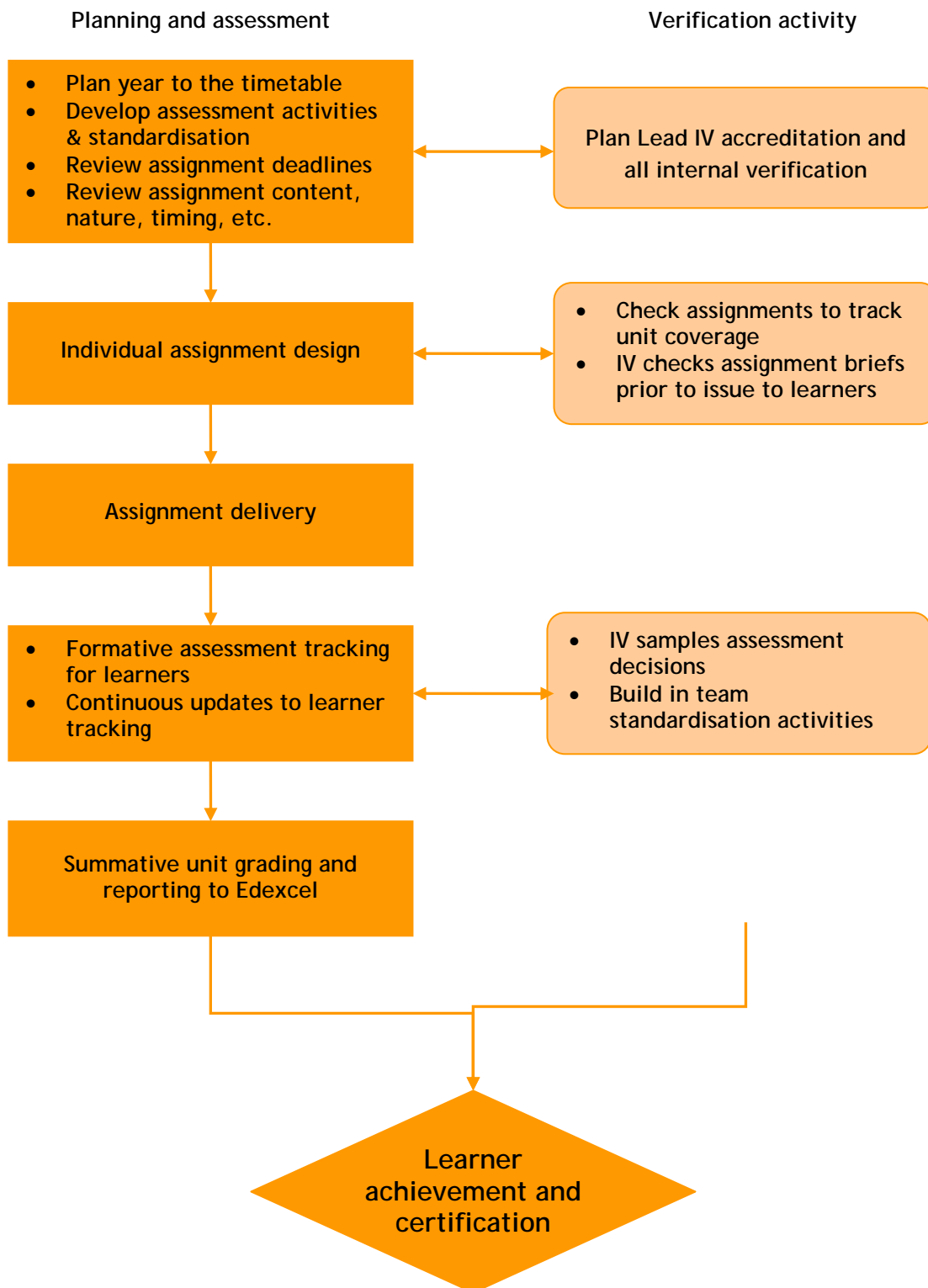
Deadlines for assessment are an important part of these vocational qualifications. Learners must be encouraged to develop good habits that will stand them in good stead in the future. Centres are at liberty to refuse to accept work that is late for assessment but must ensure that learners are made aware of the consequences of failing to meet deadlines if a more robust vocational stance is taken by BTEC programme teams.

However, once evidence is accepted for assessment, learners cannot be penalised for work submitted after the deadline. Criterion referenced qualifications demand that only the grading criteria for the units can be used for assessment decisions.

The Edexcel Policy for Assessment and Grading can be found through the following link:

[www.edexcel.com/Policies/Pages/PoliciesforCentres.aspx](http://www.edexcel.com/Policies/Pages/PoliciesforCentres.aspx).

## 8. Overview of year programme planning



## 9. Assignment design for units

Grading criteria grids within each unit require progressive improvements in the quality of performance from Pass to Merit and Distinction criteria. Evidence produced is likely to be more detailed, analytical and evaluative at the higher levels.

In the Creative Arts sectors, there will also be evidence of individuality, innovation, independence and imagination. When setting tasks, this needs to be carefully considered within the nature of the evidence and the support and direction given to the learner.

Following formative assessment, the learners are able to:

- revisit work to add to the original evidence produced
- undertake the learning and development for coverage of the Pass and possibly the Merit grades, but additional qualitative work could be submitted when the learners have developed skills and knowledge in this or other units, to enhance their work for submission for a higher grade
- revisit unit criteria in a new assignment later in the programme to demonstrate higher skills development and understanding.

The style of the grading criteria grids will also drive some of these decisions.

During the summative activity or assessment, designed to consider all the grading criteria, learners will draw on their skills and knowledge acquired over a period of time. This may include work placement, residential activities and a variety of visits.

Programme planning at the beginning of the year should allow for assignment mapping. This is a process that the team will carry out to ensure that they have met the delivery of the content of the units so that the learner is able to provide evidence for assessment that demonstrates full achievement of all the learning outcomes.

Assignments will offer the focus where identified grading criteria have tasks mapped to them to meet full unit coverage over the duration of the programme.

Assignment mapping will allow the programme team to monitor:

- that all grading criteria from every unit being delivered will be assessed
- that this is expected to happen more than once during the programme in some sectors, particularly the creative arts
- where grading criteria from two or more units might be integrated in one project / set of tasks
- arrangements for staffing and resourcing of assessment activities
- the planning of the internal verification of assessment during the programme.

A contextualised grading grid for each unit is provided. These are the only criteria that are to be used to assess learner performance. They show the qualitative characteristics required in the evidence submitted by the learner. For final unit grading it is important to note that all criteria within a grade descriptor must be present for that grade to be awarded.

The following examples show how units may be broken down into assignments. The challenge is to be inclusive, to enable all levels of learners to extend their work to their full potential.



Within one context / setting (the 'funnel' approach):

Grading Criteria		
To achieve a Pass grade the evidence must show the learner is able to achieve:	To achieve a Merit grade the evidence must show the learner is able to achieve:	To achieve a Distinction grade the evidence must show the learner is able to achieve:
P1 P2	M1	D1

P3		
P4	M2 M3	D2

This model involves the identification of themes across the grading criteria working in a singular fashion. In these example unit criteria, labelled P1 and P2 are extended into M1 and D1. P3 does not directly relate to M and D criteria. P4 relates to M2, M3 and D2. Tasks would be written to reflect these relationships.

Within a context or setting for the summative assessment (usually seen in Creative Arts):

Grading Criteria		
To achieve a Pass grade the evidence must show the learner is able to achieve:	To achieve a Merit grade the evidence must show the learner is able to achieve:	To achieve a Distinction grade the evidence must show the learner is able to achieve:
<b>Pass</b> Formative/Summative Assessment Activity 1	 <b>Merit</b> Formative/Summative Assessment Activity 2	 <b>Distinction</b> Formative/Summative Assessment Assignment

In this model, the Pass criteria have a direct relationship with the Merit and Distinction criteria. Learners will generally be required to provide evidence of a greater depth of understanding to achieve the higher criteria.

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# 10. Assignment briefs

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The assignment brief is the document issued to learners at the start of the assessment process for any given unit(s). There is no prescribed layout or format for the brief, but it is recommended that it contains the following information:

- title and level of the qualification (must be accurate and follow the specification document)
- title and number of Unit(s) under assessment (must be accurate and follow the specification document)
- title/reference of the assignment
- date the assignment is set
- submission date (and including any interim assessment opportunities).

There is a template available for centres new to BTEC or those wishing to rationalise sector assignment design across a centre. With an increase in centres usage of virtual learning environments, a paper copy of the assignment is not issued to each learner. This approach can also allow teachers to focus on specific tasks within a given timeframe using technology such as smart boards etc.

## Overview and aims (& scenario if used)

- opportunity for the assessor to place the assignment within a context; perhaps referring to prior teaching and learning, vocational aspects, where the project fits into the overall programme, etc
- this is also an opportunity to state which **Learning Outcomes** (stated on the first page of the unit specification) the activities and assessment address. This is not mandatory and could be problematic if a number of units are being integrated into an assignment.

## Tasks and preparation

- the detailed description of specific activities the learners will undertake in order to produce assessment evidence to address the grading criteria targeted by the project
- good practice in stating tasks will ensure they are clear, specific, time-bound, stepped, relevant and realistic.
- the design of the brief should reference the tasks to the criteria they address.

## Grading criteria

- the brief states exactly which assessment and grading criteria (as applicable) are being addressed
- Note: Centres must not re-write any aspect of the unit criteria, nor add their own centre-devised criteria.

## Forms of evidence

- A clear statement of what the learner is expected to produce as evidence, and how that evidence will be assessed.

## Other information may include:

- resources
- reference materials
- Functional skills opportunities built into the assignment
- employer links.

## Internal verification of assignment briefs

All assignment briefs, even ones 'bought in' from published sources, must be internally verified, **prior to issue** to the learner. This is to verify the brief is fit for purpose, by ensuring:

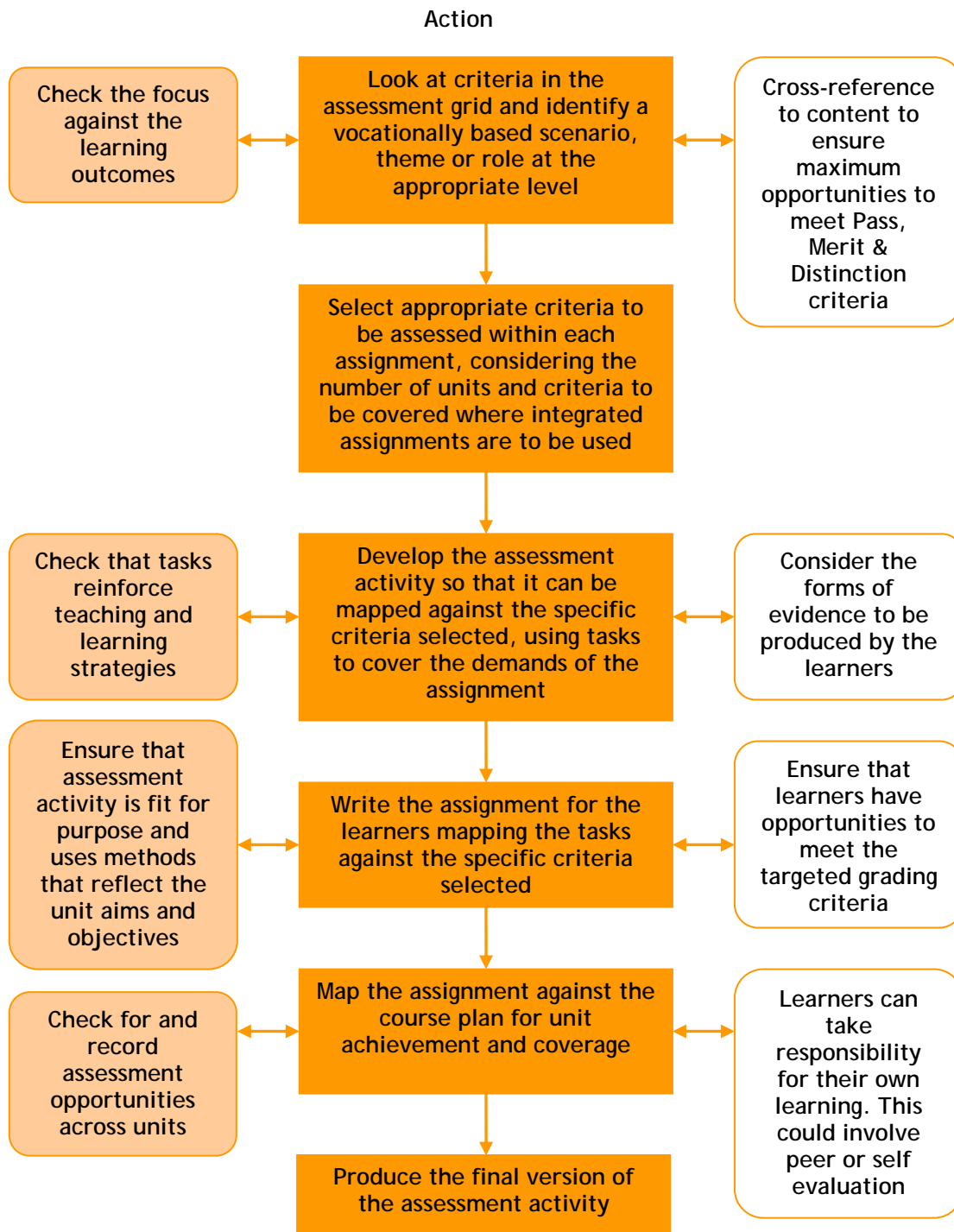
- the tasks and evidence will allow the learner to address the targeted criteria

- it is written in a clear and accessible language
- learners' roles and tasks are vocationally relevant and appropriate to the level of the qualification
- the brief is appropriate to the centre and learner profiles
- equal opportunities are incorporated.

Internal verification of the assignments is carried out by a staff member who is familiar with BTEC assessment and has subject knowledge of the programme area. Internal verification should **always** be reported and recorded. If action is required, the assessor should complete this and return it to the internal verifier for sign off. Once the assignment is verified as fit for purpose, it may be issued to the learners.

Further guidance on internal verification is provided in the **Centre Guide to Internal Verification**, which can be found on the BTEC website: [www.edexcel.com/quals/BTEC/quality/Pages/documents.aspx](http://www.edexcel.com/quals/BTEC/quality/Pages/documents.aspx).

# 11. Assignment planning



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# 12. Assessment and grading

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## Formative assessment

Formative assessment involves both the assessor and the learner in a process of **continual review** about progress and takes place **prior** to summative assessment. Learners are provided with formative feedback on their draft evidence or performance and are empowered to act to improve their performance. This process could be used to enable learners to progress to higher grades through their course.

## Summative assessment

Summative assessment is carried out in order to make **final** judgements about the learner's performance in relation to the grading criteria of each unit. It is the **definitive assessment** and recording of the learner's achievement and must be conducted to national standards.

Assessors should only record the evidence that supports the grading decisions against the unit grading criteria.

The purpose of assessment for learners indicates:

- successful learning
- the need for further study or further evidence.

Therefore, learners will need to be familiar with the grading criteria to be able to understand the quality of what is required. They should be informed of the differences between grading criteria so that higher skills can be achieved on the basis of early achievement by developing qualitative evidence. In some sectors, this can be through the provision of additional tasks and in other sectors; the higher levels skills required can be clarified if tasks are written at Pass level. Guidance and other useful information to assist learners can be provided if it is pertinent.

Some centres have reported that they have learners who are happy to achieve a Pass grade and are not interested in aiming higher. This is a motivational issue and is related to the quality of feedback given at assessment. Expectations should always be set high and feedback should outline what can be done to move the unit grade forward. This is much easier to achieve if there are fresh assignments rather than the revisiting of work done for a single unit assignment.

The role of formative assessment for learning is key to developing evidence towards summative assessment.

Assessment strategies need to meet national standards and provide:

- confirmation of learning
- insight into individual learning problems and offer equal opportunities for learners
- facilitating remedial action through formative assessment feedback
- achievement of grading criteria.

## Internal verification of assessment decisions

A sample of assessed work in every unit and every assignment must be internally verified to check the accuracy of assessment. This will be fundamental to any completed unit required for confirmation of national standards through Standards Verification and should be 100% of the sampled submitted.

Internal verification of assessment decisions is carried out by a staff member who is familiar with BTEC assessment and has subject knowledge of the programme area. Internal verification of assessed work should be clearly recorded. If action is required, the assessor should complete this and return it to the internal verifier for sign off.

Internal verification of assessment decisions should not be end-loaded. It is important that it is undertaken as soon as possible after assessment as this will improve the quality of assessment and not disadvantage learners.

Further guidance on internal verification is provided in the Centre Guide to Internal Verification, which can be found on the BTEC website:

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

Responsibilities at the assessment stage:

	Assessor	Learner	LIV/Internal Verifier	Standards Verifier
Assessing and feeding back	Judges learner evidence against targeted evidence requirements during formative assessment.	Presents evidence for the assessment activities.	Samples learner evidence and assessor decisions to meet national standards.	Samples and comments on learner evidence and assessor decisions to meet national standards. Checks on IV.
Decision making and feedback	Completes summative assessment at the agreed submission date.	Receives summative feedback from assessor.	Samples learner evidence and assessor decisions to meet national standards.	Samples learner evidence and assessor decisions to meet national standards.

At unit level, learners must demonstrate the following:

To achieve a Pass	<ul style="list-style-type: none"> <li>learners must evidence all Pass criteria from the assessment and grading grid</li> </ul>
To achieve a Merit	<ul style="list-style-type: none"> <li>learners must evidence all Pass and Merit criteria from the assessment and grading grid</li> <li>should a learner achieve some of the Merit criteria but not all, this would provide the opportunity for additional guidance to enable the learner to progress all work to the required standard to achieve all the Merit criteria</li> <li>partial achievement of the Merit criteria <b>cannot</b> attract the Merit grade.</li> </ul>
To achieve a Distinction	<ul style="list-style-type: none"> <li>learners must evidence all Pass, Merit and Distinction criteria from the assessment and grading grid</li> <li>Distinction criteria are qualitative extensions of the Merit criteria</li> <li>should a learner achieve some of the Distinction criteria but not all, this would provide the opportunity for additional guidance to enable the learner to progress all work to the required standard to achieve <b>all</b> the Distinction criteria</li> <li>partial achievement of the Distinction criteria <b>cannot</b> attract the Distinction grade.</li> </ul>

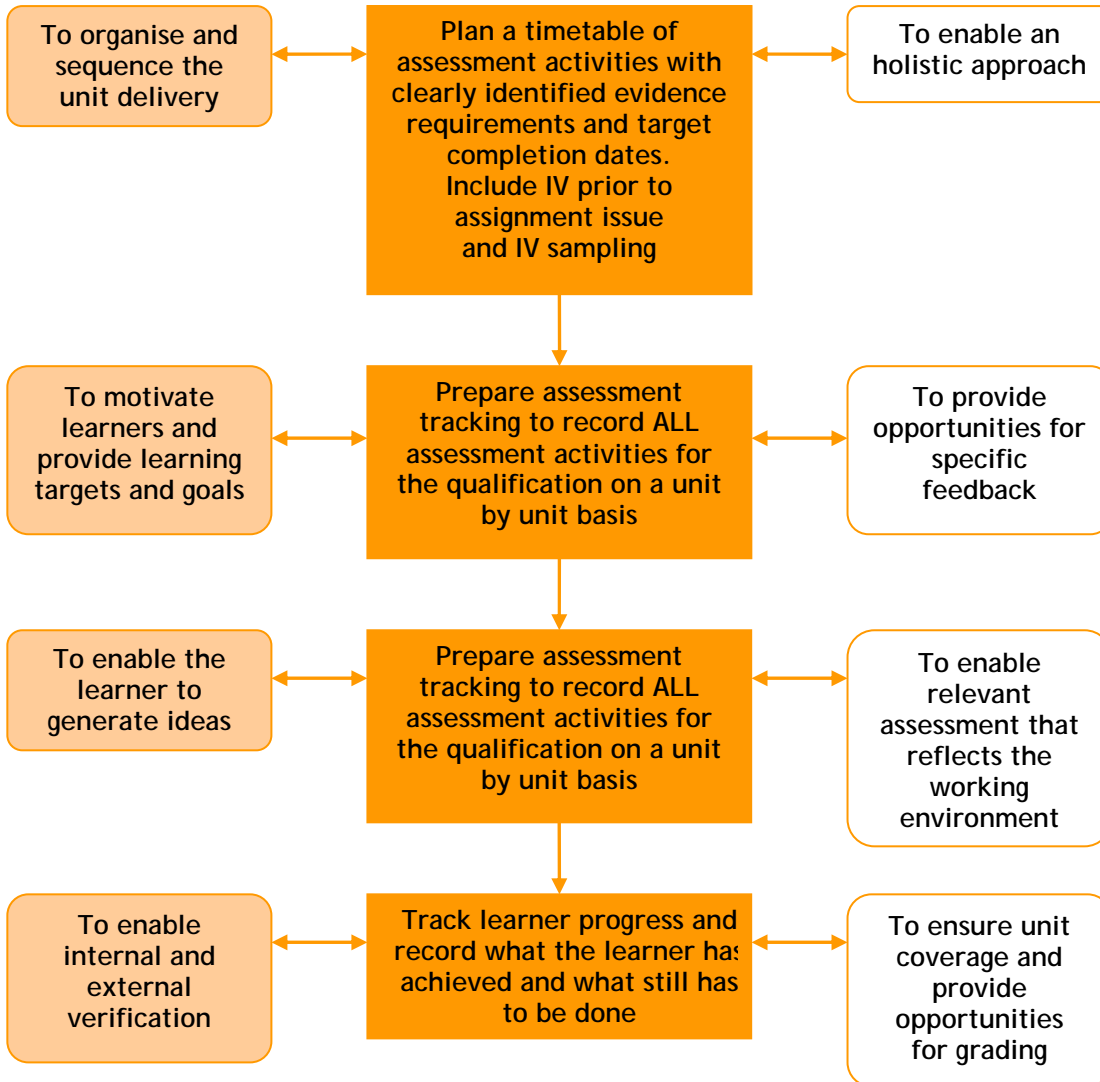
Achievement for each unit will be recorded on the Notification of Performance which accompanies the qualification Certificate which will show the overall qualification grade.

### Functional Skills

Achievement of specific Functional Skills is not a requirement of QCF 1-3 BTEC qualifications. Where additional evidence is presented for Functional Skills, it should be clear that this is measured against the criteria for Functional Skills units and all related comments should be explicit.

# 13. Assessment planning and recording

## Action



# 14. Example materials

The following example materials may be used as a starting point to help plan, deliver, assess and verify BTEC programmes. They are not mandatory, and may be amended to suit the requirements of your own centre. Blank templates of some of these documents are available on the Edexcel website, where indicated.

## Examples of assessment planning & feedback sheet

The following examples are matrix tracking and mapping forms, checking that each criterion is covered at least once as a minimum by the assignments. The format may be modified as appropriate to the needs and demands of individual programme teams.

An assessment plan can be used by programme teams at the planning stage and then in several ways thereafter. In the first instance it should include every instance of unit coverage, especially in specifications where there are units that run throughout the programme, so that major assessment opportunities for those units can be identified. Other coverage can be held in reserve and need not be published to learners but utilised when necessary, should learners have missed a major opportunity for assessment and require special assessment considerations using an alternative assignment to generate key assessment evidence.

**Note:** Units below are included for illustration. These may not be accurate at the current titles and content.

### Example 1: Assessment plan, tracking coverage of grading criteria in relation to learning outcomes

Assessment Plan for Level 2 BTEC First Diploma in Business									
Learning Outcomes	Grading Criteria Targeted								
	P1	P2	P3	P4	M1	M2	M3	D1	D2
<b>Unit 1: Exploring Business Purposes</b>									
1. Understand the nature of business and ownership	X				X				
2. Understand the classification of business activities		X				X			
3. Understand business aims and objectives in different sectors			X		X			X	
4. Know the main functional areas that support business organisations				X			X	X	
<b>Unit 2: Developing Customer Relations</b>									
1. Understand how customer service is provided in business	X				X			X	
2. Be able to apply appropriate presentation and interpersonal skills in customer service situations		X				X		X	
3. Know how consistent and reliable customer satisfaction			X					X	
4. Know how to monitor and evaluate customer service within an organisation				X			X		X
<b>Unit 3: Investigating Financial Control</b>									
1. Understand the costs, revenue and profit for a business operation	X				X				
2. Know how businesses use breakeven analysis		X			X				
3. Be able to prepare a cash flow forecast			X			X		X	
4. Understand ways of recording financial transactions				X				X	

Example 2: Assessment plan, tracking multiple coverage of grading criteria

Unit A2

**Performing Arts Business**

- 1) *Jobs in the PA*
- 2) *TIE Marketing & Finance*
- 3) *Business Presentation*

P1	P2	P3	P4	P5	P6	P7	P8	M1	M2	M3	M4	M5	M6	M7	M8	D1	D2	D3	D4	D5	D6	D7
	†								†								†					
		†	†							†	†							†	†			
†								†									†					

Unit C10

**Devising Plays**

- 1) *Devising From Two Props*
- 2) *Physical Theatre (Poem)*
- 3) *Social Issues TIE*

P1	P2	P3	P4	P5	P6	P7	P8	M1	M2	M3	M4	M5	M6	M7	M8	D1	D2	D3	D4	D5	D6	D7
	†		†	†					†		†	†	†				†			†	†	
†	†	†	†	†	†			†	†	†	†	†	†				†	†	†	†	†	†
†	†	†	†	†	†			†	†	†	†	†	†				†	†	†	†	†	†

Unit C11

**Musical Theatre**

- 1) *Variety Performance*
- 2) *Into the Woods*
- 3) *Termly Progress Workshop*
- 4) *Cabaret*

P1	P2	P3	P4	P5	P6	P7	P8	M1	M2	M3	M4	M5	M6	M7	M8	D1	D2	D3	D4	D5	D6	D7
†	†	†	†					†	†	†	†						†	†	†	†		
†	†	†	†	†	†	†		†	†	†	†	†	†	†			†	†	†	†	†	†
†	†	†					†	†	†	†				†			†	†				†
			†	†	†	†				†	†	†	†						†	†	†	†

AND SO ON ...

Example 3: Where integrated assignments allow for multiple opportunities to meet grading criteria

Level 2 BTEC First Diploma in Art and Design Assessment Plan																									
Unit/Assignment								Grading Criteria																	
UNIT 1:																									
Contextual References in Art & Design								P1	P2	P3				M1	M2	M3				D1	D2	D3			
Assignment 1																									
Assignment 4																									
UNIT 2:																									
2D Visual Communication								P1	P2	P3				M1	M2	M3				D1	D2	D3			
Assignment 1																									
Assignment 3																									
UNIT 3:																									
3D Visual Communication								P1	P2	P3				M1	M2	M3				D1	D2	D3			
Assignment 1																									
Assignment 2																									
UNIT 4:																									
Using Ideas to Explore, Develop and Produce Art and Design								P1	P2	P3	P4				M1	M2	M3	M4				D1	D2	D3	D4
Assignment 4																									
Assignment 5																									
UNIT 5:																									
Building an Art and Design Portfolio								P1	P2	P3				M1	M2	M3				D1	D2	D3			
Assignment 4																									
Assignment 5																									
UNIT 6:																									
Working in the Art and Design Industry								P1	P2	P3				M1	M2	M3				D1	D2	D3			
Assignment 4																									
Assignment 5																									
And so on...																									

#### Example 4: An assessment record and feedback sheet

This could be used for a complete unit assessment record or individual assignments to make up a complete unit assessment record.

Final internal verifier's check on unit grade awarded. Full IV comments on individual assignments may be recorded using the suggested form on page 33

ASSESSMENT RECORD AND FEEDBACK SHEET					
Programme:	Edexcel BTEC L 2 Diploma in Business	Learner Name:		Unit Grade:	
Unit No. & Title:	Unit 5 People in Organisations	Year:		Assessment Date:	
Assessor Name:		Unit Completion Date:		IV Signature:	
Assignment No. & Title	Learning Outcome	Criteria Targeted	Date Issued	Hand In Date	Resubmission Date
1	LO 1: Know how to prepare for employment	P1, P2, P3, M1, D1			
2	LO 2: Understand terms and conditions of employment LO 3: Know how working practices are developed	P4, M2, M3, D2			
3	LO 4: Be able to plan career development	P5			
Grading Criteria	Assignment No.	Date Achieved	Comments		Assessor Signature
P1 match current knowledge and skills to possible job opportunities using appropriate sources of information and advice	1				
P2 complete an application for a selected job opportunity	1				

P3 describe the terms and conditions of employment in a selected organisation	1			
P4 describe how working practices are developed	2			
P5 produce a career development plan using performance reviews	3			
M1 explain the importance of terms and conditions of employment	1			
M2 compare and contrast the organisational structure and job roles within two business organisations	2			
M3 explain the importance of team working and person attributes within two business organisations	2			
D1 analyse, using examples, the implications of terms and conditions of employment	1			
D2 evaluate how personal attributes and team working contribute to working practices	2			
<b>General comments / feedback</b>				
Assessor Sign:			Date:	
Learner Sign:			Date:	

Assessor comments can relate to:

- 1 evidence presented to meet grading criteria and quality of learner performance or
- 2 if there is insufficient evidence to meet the grading criteria, guidance to the learner on additional evidence required to achieve the grading criteria.

Signatures may be entered following the completion of the whole unit assessment and unit grade awarded.

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# 15. Examples of observation record and witness statements

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## Example 1: Observation record

An observation record is used to provide a formal record of an assessor's judgement of learner performance (process evidence e.g. during presentations, practical activities) against the target grading criteria. The record will:

- relate directly to the evidence requirements in the grading grid of the unit specification
- may confirm achievement or provide specific feedback of performance against national standards for the learner
- provide primary evidence of performance
- is sufficiently detailed to enable others to make a judgement as to quality and whether there is sufficient evidence of performance
- confirm that national standards have been achieved.

Observation records should:

- be accompanied by supporting/additional evidence. This may take the form of visual aids, video/audio tapes, CDs, photographs, handouts, preparation notes, cue cards, diary record or log book and/or peer assessments records, etc
- note how effectively these were used to meet the grading criteria
- record the assessor's comments
- be evidenced in learner's portfolios when assessment is carried out through observation along with relevant supporting evidence
- be completed by the assessor who must have direct knowledge of the specification to enable an assessment decision to be made
- be signed and dated by the assessor and the learner
- also include learners' comments.

An observation record can have greater validity than a Witness Statement since it is capable of directly recording an assessment decision without reference to others.

An example form is given here and can be downloaded from the BTEC website:

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

## OBSERVATION RECORD

Learner Name:			
Qualification:			
Unit Number & Title:			
Description of activity undertaken			
Grading criteria			
How the activity meets the requirements of the grading criteria			
Learner Signature:		Date:	
Assessor Signature:		Date:	
Assessor Name:			

## Example 2: Witness statement

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

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

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

The witness statement does not confer an assessment decision. The assessor must:

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

When a number of witnesses are providing testimonies:

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

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

An example form is given here and can be downloaded from the BTEC website:

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

## WITNESS STATEMENT

Learner name:			
Qualification:			
Unit number & title:			
Description of activity undertaken (please be as specific as possible)			
Grading Criteria (for which the activity provides evidence)			
How the activity meets the requirements of the assessment and grading criteria, including how and where the activity took place			
Witness name:		Job role:	
Witness signature:			Date: <input type="text"/>
Learner name:			
Learner signature:			Date: <input type="text"/>
Assessor name:			
Assessor signature:			Date: <input type="text"/>

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## 16. Glossary of BTEC terminology

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**CDM:** Curriculum Development Manager. These are regionally based centre contact for general, non-specific Edexcel information. They will assist the Approvals process, give information about new developments and qualifications and are able to direct centres to specialist advice within Edexcel.

**Edexcel Online:** This is a multifunctional system for centres. Access is password protected and covers areas for examinations officers. Screens show programmes and learners within a centre, allow for new registrations or withdrawals. LIV registrations and withdrawals will be done through this portal. Standards Verifier and Centre Quality Reviewer allocations and consequent standards and Quality Review and Development status can be viewed here. OSCA2 is accessed via Edexcel Online.

**Formative assessment:** Formative assessment involves both the assessor and the learner in a process of continual review about progress and takes place prior to summative assessment. Learners are provided with formative feedback on their draft evidence or performance and are empowered to act to improve their performance. This process could be used to enable learners to progress to higher grades through their course. i.e. learners may re-do or add evidence to assignment/s to meet the full range of evidence requirements targeted. E.g. where there are 4 Pass criteria to be met and only 3 have been fully achieved.

**GLH:** Guided learning hours is a notional measure of the substance of a unit. It includes an estimate of time that might be allocated to direct teaching, instruction and assessment, together with other structured learning time such as directed assignments or supported individual study. It excludes learner initiated private study. Centres are advised to consider this definition when planning the programme of study associated with this specification.

**IV:** Internal Verifier: This is a centre/team based role. The internal verifier verifies the quality of assignments before delivery to learners and verifies the accuracy of assessment decisions to meet national standards. Centres should have an internal verification plan and a lead internal verifier who will manage the process.

**Lead IV:** Lead Internal Verifier: The role of the Lead Internal Verifier is not new. However, our new quality assurance model, for QCF BTEC qualifications up to level 3, formalises it. You will need to appoint one Lead IV for each group of BTEC programmes being delivered across the levels up to and including level 3. This will be called a Principal Subject Area.

**Ofqual:** The regulator of qualifications, exams and tests in England

**OSCA2:** Online Standardisation for Centre Assessors. Exemplar work is available online for centre staff to use. OSCA2 is the portal for centre appointed Lead Internal Verifiers to access and complete accreditation practice materials and exercise.

**QCF:** Qualification Credit Framework

**QN:** Quality Nominee. This is the person nominated by the centre who acts as the BTEC conduit of information into the centre and is the liaison and contact with the Quality Manager/External Verifier or other Edexcel personnel. In a school this person may be the Deputy Head responsible for curriculum if there is more than one BTEC programme within the centre. If there is only one programme within the centre, this person may be the programme leader or head of section.

**RQM:** Regional Quality Manager. There is a team of regionally based Edexcel personnel with a remit to ensure that centre quality standards meet awarding body requirements. They work alongside BTEC Assessment and external verifiers to ensure that national and quality standards are met and maintained.

**SRF:** Student Report Form. This is the form used by centres to submit final unit grades to Edexcel. It is in paper form, but centres also have the option of reporting certificate claims via Edexcel Online.

**Summative assessment:** Summative assessment is carried out in order to make final judgements about the learner's performance in relation to the evidence requirements of each unit. It is the definitive assessment and recording of the learner's achievement and must be conducted to national standard offered to close and finalise unit assessment and grading. It is not expected that learners are offered

opportunities to revisit assignments at this stage of the assessment process unless time is available and agreed with the tutor.

**SV: Standards Verifier:** The standards verifier is an assessment specialist appointed by the awarding body who verifies that centre assessment decisions meet national standards. Standards verifier activities will be conducted electronically or by post as agreed by the centre and SV.

**Standards Verification Confirmation sampling.** This is the process of external quality assurance for the QCF BTEC programmes Level 1-3 if a centre LIV for a Principal Subject Area was unsuccessful or the centre has not put a person forward to be accredited for that Principal Subject Area. Confirmation sampling will be random.



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