Further Education IV Policy and Procedures

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IV Policy and Procedures

1   Introduction

It is a requirement of Academic Board, Awarding Bodies and college Inspectorates that the University College operates a quality assurance system to ensure that:

- all teaching and learning is assessed;
- assignment briefs and examination papers are checked and not issued unless they are complete and accurate;
- assessment is carried out fairly and consistently with national standards
- assessment practice is reviewed and improved

The system does this by ensuring that:

- a sample of each assessor's decisions and feedback are verified. This should include all forms of assessment including theory and practical.
- for all programmes the unit grades and final grades (where applicable) achieved by a student have been verified

This policy and procedures cover general internal verification across the division, individual programmes, awarding bodies and delivery patterns may have differing requirements and details of these can be seen in the following appendices:

Appendix 1 – references for the policy

Appendix 2 – policy / procedure requirements for centre based vs. work based qualifications

2. Appointment and roles of Internal Verifiers (IV)

There are two types of internal verifier (IV):

- Lead Internal Verifier
- Internal Verifier

Each course will have a <u>Lead IV</u> allocated by the FE Quality Manager. The Lead IV will have overall responsibility for the internal verification processes for that course. This includes:

- In conjunction with the FE Quality Manager, identify IV's to assist with internal verification for the course as appropriate
- Undertaking training and accreditation as appropriate (e.g. V units, BTEC RQF, TAQA etc.)
- In conjunction with the FE Quality Manager, undertake risk assessment of the staff assessing on the course and reviewing this as appropriate e.g. following new appointments, internal verification activity or external verification visits
- In conjunction with the FE Quality Manager, undertake self-assessment of the IV process for the programme at the points indicated in the FE Calendar
- In conjunction with the FE Quality Manager check and hold a CV for each programme assessor demonstrating competence at an appropriate level and current / recent industrial experience
- In conjunction with the FE Quality Manager check and hold original assessor (D32 / D33 / A units / TAQA) certificates or validated copies (i.e. copies signed to indicate that originals have been seen)
- Liaise with the course manager and appropriate external verifier in review of monitoring the quality of provision
- Inform the Quality Officer of any changes in the programme team e.g. new assessors, assessors leaving, new assessment sites
- Undertake course checks to ensure that learners are enrolled both internally and with the awarding body on the appropriate course and combination of units as defined by the awarding body
- Reviewing the balance of assessment types and assessors that are IV'd
- Plan the IV according to risk assessment of assessors
- Authorise re-submission of work under BTEC new rules of assessment
- Undertake IV of unit and qualification grades before and certification with Awarding Bodies

- Co-ordination of standardisation activities across the programme
- Sign off certification of qualification (work-based qualifications)

Courses may have Internal Verifiers whose role is to:

- Support the Lead IV in carrying out internal verification of assessment briefs and assessed work
- Assist in standardisation activities

3.   IV Planning and Process

A summary of the IV planning and process can be seen in the documents:

> IV Planning Flowchart
> IV Process Flowchart

These documents can be found in Appendices 3 to 6 of this policy.

NOTE: individual awarding body guidelines should be reviewed for any specific requirements for individual programmes. References for these can be found in Appendix 1.

3.1 Planning

1.   The FE Quality Manager identifies Lead IV and IVs for the programme

2.   Course Manager:
     a.   Ensures students are enrolled on the student record system (SRS)
     b.   Ensures students are registered with the awarding body on the appropriate combination of units
     c.   Passes registration details to the Lead IV
     d.   Prepares an assessment schedule for the programme and passes to IV
     e.   Provides the Lead IV with details of programme assessors

3.   Lead IV:
     a.   Carries out programme checks and completes the IV Pre-Programme Checks Form
     b.   Carries out assessor risk assessment in conjunction with the Deputy Director FE and completes the Assessor Risk Assessment Form
     c.   Information from the Assessor Risk Assessment, the IV Planning Review and the assessment schedule are used to complete the IV Planning Form
          Note: for work based programmes the IV Planning form should be reviewed regularly to take into account rolling registrations and certifications. This will ensure that all candidates are included in the sampling plan

3.2 Process – non Work Based

1. Assessor:
    a. Writes an assignment in the appropriate assessment format
2. Lead IV / IV:
    a. IVs the assessment and completes the <u>IV of Assessment Briefs</u> Form
    b. Assessment is passed back to the assessor for update if required or distribution to students as per the assessment schedule
    c. NOTE: all paperwork to be filed in the programme file, any changes should be filed with the original brief and paperwork

    NOTE: assessment briefs that are to be used to assess functional skills should undergo IV in the same way, using the <u>IV of Functional Skills – Assessment Brief</u> form.

3. Assessor:
    a. Assesses work
    b. Prepares a sample for IV taking into account the range of decisions and assessor risk assessment (SEE 3.4 Preparing a sample for IV)
    c. IVs the assessment decisions and completes the <u>IV of Assessed Work</u> Form, providing detailed feedback to the assessor
    d. FOR BTEC PROGRAMMES OPERATING THE NEW RULES OF ASSESSMENT: identifies learners eligible for re-submission and completes the <u>IV Agreement of Resubmission – BTEC New Rules of Assessment</u> form.
    e. Returns the sample and feedback to the assessor with support as required
    f. Lead IV – reviews the assessor risk assessment as appropriate depending on outcome of IV

    NOTE: IV of assessed work for functional skills should be carried out in the same way using the <u>IV of Functional Skills – Assessed Work</u> form.

4. Assessor:
    a. FOR BTEC PROGRAMMES OPERATING THE NEW RULES OF ASSESSMENT: returns work to student as appropriate
    b. Reviews assessment decision if required and re-submits to the IV
    c. If a. not required, then enters achievement data on to ProMonitor
    d. Returns work to students

5. Assessor:
    a. Once all unit assessment complete, calculates unit grades as required by the awarding body and updates ProMonitor

6. Lead IV / IV:
    a. Samples unit grade marks and completes the <u>IV of Unit Grades</u> form as required by some awarding bodies.

7. Course Manager – if applicable for programme and required by the awarding body:
    a. Calculates overall grade for programme

8. Lead IV / IV:
    a. Samples overall grade marks and completes the <u>IV of Overall Grades</u> form
    b. Once satisfied with calculations, authorises certification with Awarding Body

3.3 Process – Work Based Observation of Assessment

1. Lead IV / IV:
    a. Advises individual Assessors of planned internal verification of assessment decisions
2. Assessor:
    a. Provides IV with a copy of the assessment plan for the planned verification

3. Assessor:
    a. Carries out the assessment or provides evidence (e.g. product, assignment) of assessment
4. Lead IV / IV:
    a. Observes the assessment and completes the <u>IV Report on Assessment Decisions (Work Based)</u> form and the <u>IV Report on Assessor Performance (Work Based)</u> form
    b. Interviews the candidate and completes the <u>Candidate Interview Record</u> if first meeting with the candidate
    c. Provides written and verbal feedback to the Assessor, including details from the candidate interview
    d. Uses outcome of verification to feed into the Assessors PDP
    e. Updates the <u>Internal Verification Workbook</u> to show actual activity against planned activity.
    f. Reviews assessor risk assessment and sampling plan as appropriate
    g. Files all completed forms in the Programme File

3.3 Process – Work Based Summative Verification

1. Assessor:
    a. Provides Lead IV / IV with completed units or portfolio according to the IV Plan, including all evidence which has been cross referenced using the <u>Element Cross-Referencing Form</u>
2. IV / Lead IV:
    a. IVs the unit / portfolio evidence supplied and completes the <u>Unit Evidence Summary report (Work based)</u> Form then either:

        i. Verifies that the evidence supplied meets National Standards

OR
    ii. Recommends the claim be accepted according to listed conditions
OR
    iii. Returns the evidence to the candidate and assessor for further work and representation at a later date

  b. If the qualification is then complete, completes the Work based Certification Form and passes to the FE Quality Officer for verification and submission to the Registry to update the student record system and claim certification from the Awarding Body

  c. Provides written and verbal feedback to the assessor

  d. Updates the Internal Verification Workbook to show actual activity against planned activity.

  e. Reviews assessor risk assessment and sampling plan as appropriate

  f. Files all completed forms in the Programme File

3.4 Sampling Strategies

Assessment Briefs

All assessment briefs will undergo IV before distribution to students. For each assessment brief on an assessment schedule there should be a corresponding IV of Assessment Briefs Form. This should also be recorded on the IV Planning Form in the Internal Verification Workbook for the programme.

Assessment

When planning IV, the sampling strategy must take into account and include:

- Assessment decisions of all assessors
- All assessment methods
- All assessment locations
- Candidates at different stages of their awards

NOTE: For BTEC programmes, assessment decisions should undergo internal verification.

NOTE: For BTEC programmes under the new rules of assessment, all refers eligible for re-submission opportunities should be reviewed and signed off by the Lead IV.

Re-submissions to be completed within 15 working days of the learner receiving the results of the assessment.

The Lead Internal Verifier can only can authorise a resubmission if all the following conditions are met:

- The Learner has met initial deadlines set in the assignment
- The assessor judges that the learner will be able to provide improved evidence 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.

Unit Grades

A minimum of 10% of unit grades of the cohort enrolled on each unit of a programme should undergo verification.

Overall Programme Grades – if applicable

A minimum of 10% of overall programme grades of the enrolled cohort should undergo verification.

Note: for BTEC programmes all internal and external verification records to be retained for Pearson scrutiny for a minimum of three years. All learner work to be retained for 12 weeks following issue of certificates.

4.   **Standardisation**

The overall aims of standardisation are to:

- Ensure that all students are assessed fairly
- Ensure consistency in the application of grades and credit across programmes
- Ensure consistency in assessment practices across a programme
- Inform staff development needs across subject areas and the FE Division
- Share good practice

Standardisation activities will be co-ordinated by the Lead IV. Standardisation may be undertaken on a programme by programme basis or across a curriculum area in which case the Lead IVs for the area will work together to ensure that the activity meets the needs of all programmes.

Standardisation should involve all assessors on a programme; this should include any assessors working off the main site. If necessary, meetings should be held at different times

and locations to ensure attendance and those that are not able to attend should be updated. All IVs for the programme should also attend.

Assessor standardisation events should incorporate the following activities on a rolling basis:

- A
   a. Select at least 3 assessments from across the programme. These assessments may be ones that have caused problems in some way e.g. interpretation of outcomes or tasks by assessor or students
   b. For each assessment, pass 3 examples of anonymous, completed work around the group (without awarded grade or feedback).
   c. Each assessor should complete a feedback form as if they are assessing the work and providing feedback to the candidate.
   d. Discussion follows and if appropriate, standard statements regarding the assessment may be set.
   e. Feedback sheets are collected by the Lead IV and feedback given to individual assessors confidentially
   f. A record of the event should be kept in the IV and Programme File of attendees, details of assessed work standardised and any notes e.g. standard statements set
- B
   a. Select an assessment type e.g. witness statement, time constrained assessment, written report
   b. For the selected assessment type, pass 5 examples of assessment and recording around the group
   c. Discussion follows and if appropriate, standard statements regarding the assessment may be set
   d. A record of the event should be kept in the IV and Programme File of attendees, details of assessed work standardised and any notes e.g. standard statements set
- C
   a. When specifications change, compare evidence of 'old' assessment against new, corresponding outcomes as a team
   b. Highlight differences in the specifications which will need to be incorporated into new assessment strategies
   c. A record of the event should be kept in the IV and Programme File of attendees, details of assessed work standardised and any notes e.g. standard statements set
- D
   a. Each assessor (2 per event) takes a turn on a rolling programme to present new or innovative assessment methods which most are unfamiliar with.
   b. Discussion follows and a decision made as to whether the assessment type is acceptable against the standards
   c. A record of the event should be kept in the IV and Programme File of attendees, details of assessed work standardised and any notes e.g. standard statements set

Internal Verification standardisation should also take place; this is co-ordinated by the Curriculum Team leaders with support of the Head of Quality and should incorporate the following activities on a rolling basis:

A.
a. Select at least 3 assessments briefs from across the Division. These assessments may be ones that have caused problems in some way e.g. interpretation of outcomes or tasks by assessor or students. Depending on the audience, examples may be streamed by subject e.g. 'animal', 'plant', 'generic'
b. For each assessment, pass a copy of the assessment brief around the group.
c. Each IV should complete an IV of Assessment Brief form as if they are IVing the brief and providing feedback to the assessor.
d. Discussion follows and if appropriate, standard statements regarding the assessment may be set.
e. IV sheets are collected by the Quality Manager and feedback given to individual IVs confidentially
f. A record of the event should be kept in the IV File of attendees, details of assessed work standardised and any notes e.g. standard statements set

B.
a. Select at least 3 completed assessments from across the Division. These assessments may be ones that have caused problems in some way e.g. interpretation of outcomes or tasks by assessor or students. Depending on the audience, examples may be streamed by subject e.g. 'animal', 'plant', 'generic'
b. For each assessment, pass 3 examples of anonymous, completed work around the group with grades and feedback included.
c. Each IV should complete an IV of Assessed Work form as if they are IVing the work and providing feedback to the assessor.
d. Discussion follows and if appropriate, standard statements regarding the assessment may be set.
e. IV sheets are collected by the Quality Officer/Head of FE and feedback given to individual IVs confidentially
f. A record of the event should be kept in the IV File of attendees, details of assessed work standardised and any notes e.g. standard statements set

5.   **External Verification**

The Lead IV for a programme (along with the programme leader if not the same person) will liaise with the Quality Officer in the planning of external verification visits. It is expected that the following information will be available for the external verifier:

- Numbers of current registered students
- Student centre enrolment and awarding body registration details
- Assessor details – CV, Assessor qualifications, development plans, workloads
- Student progress reviews, achievements, special requirements

- Assessment plans and records
- Support resources available
- Details of assessment sites including any satellite centres
- IV sampling strategy
- IV records including feedback to assessors and discussions with candidates
- Records of claims for certification
- Student evidence files / portfolios
- Appeals procedure and any appeals that have occurred

Prior to an EV visit, the IV should review the IV Self-Assessment Checklist (found in the IV Workbook) and address any actions arising.

The Lead IV along with the Course Manager, FE Quality manager and the Deputy Director of FE are responsible for reviewing any action plans arising from EV visits and should complete actions within the specified timeframe to maintain direct claim status.

6. **Support and Development of Assessors, including induction**

6.1 Induction

New assessors should receive an appropriate induction; this will depend on their previous experience and can be reviewed via the risk assessment process.

For each new assessor, the Assessor Induction Checklist should be completed

6.2 Training and Development

It is expected that all assessors will hold or work towards A units and this will be targeted via Performance Development Reviews with their line manager.

> *NOTE: The assessment strategies for individual programmes must be reviewed to ensure that appropriate qualifications are held by assessors. If A units are required and an assessor has not yet achieved these, then all their assessment decisions must be validated by a qualified assessor. This is usually the case for work-based qualifications*

Assessors will attend the following events as part of their role and CPD:

- Internal Standardisation events – programme team, section-wide, division-wide
- External Standardisation events – e.g. awarding bodies
- Internal inset / staff development events – e.g. giving feedback, methods of assessment
- External staff development events as identified through the internal verification and PDR process

Appendix 1

References

Guidance on Internal Verification - http://www.cityandguilds.com/Provide-Training/Centre-Support/Centre-Document-Library/Policies-and-Procedures/Quality-Assurance-Documents

BTEC Quality Manual –
http://www.edexcel.com/btec/delivering-BTEC/quality/Pages/Key-documents.aspx

BTEC New Rules of Assessment –
http://www.edexcel.com/btec/Documents/Guide_to_Internal_Assessment_for_BTEC_Firsts_and_Nationals.pdf

Appendix 2

Document / Process	Centre-based qualification	Work-based qualification
Internal Verification Workbook, incorporating:	Mandatory	Mandatory
- IV Self-assessment Checklist	Mandatory	Mandatory
- Assessor Risk Assessment	Mandatory	Mandatory
- Course Checks by IV	Mandatory	Mandatory
- IV Planning Review	Mandatory	Mandatory
- IV Planning (non-Work Based)	Mandatory	
- IV Planning (Work Based)		Mandatory
- IV of Grades - planning	If required for programme	
- IV of Overall grade - planning	If required for programme	
Assessor Induction Checklist	Mandatory	Mandatory
Element Cross Referencing Form (Work Based)		Mandatory
IV of Assessment Briefs	Mandatory	If required
IV of Assessment Decisions	Mandatory	
IV of Assessment Decisions (Work Based)		Mandatory
IV Agreement of Re-submission – BTEC New Rules of Assessment	Mandatory for BTEC programmes under the new rules of assessment	
Candidate Interview Record		Mandatory
IV Report on Assessor Performance (Work Based)	Optional	Mandatory
Unit Evidence Summary Report		Mandatory
IV of Unit Grades – recording	If required for programme	
IV of Overall Grades – recording	If required for programme	
Work Based Programme Certification		Mandatory

Appendix 3

IV(s) identified for programme by HOD

Course Manager:

- Ensures students enrolled internally
- Ensures students are registered with Awarding Body
- Passes programme details to IV including Internal, Awarding Body and Learning Aim Details

Any details missing or incorrect

IV carry out programme checks and completes IV Pre-Programme Checks form

All programme details correct

IV Pre-Programme Checks form COMPLETE

Course Manager:

- Provides assessment schedule for programme
- Provides details of assessors for programme

IV carries out assessor risk assessment utilising information from CM / HOD

Assessor Risk Assessment form COMPLETE

IV reviews **Assessor Risk Assessment** utilising information from CM / HOD and updates the **IV Planning Form** as appropriate

Updates required

IV uses the **Assessor Risk Assessment form, IV Planning Review form** and assessment schedule to complete the **IV Planning Form**

IV Planning form COMPLETE

IV CARRIED OUT See INTERNAL VERIFICATION FLOWCHART - PROCESS

Appendix 4

IV FLOWCHART – PROCESS
(non Work-based)

Roles allocated, units timetabled, assessment schedule drawn up, planning documents complete

ASSESSOR

INTERNAL VERIFIER

Write assignment

IV assignment brief

Copy of IV'd assessment brief and paperwork to be filed in course file

Action plan devised, record of actions completed made

YES ← Issues?

All changes to brief and updates to paperwork to be filed in course file

NO

Distribute to learners according to assessment schedule

Work assessed

Prepare sample for IV taking into account:
- Range of decisions
- Assessor experience
- Group size

IV assessment decisions

IV forms filed with IV of brief forms in course file

NOTE: BTEC New Rules of Assessment – IDENTIFY & sign off RESUBMISSION OPPORTUNITIES

Action plan devised, record of actions completed made

YES ← Issues?

Final signed off forms filed in course file

NO

Track achievement

Marks entered on ProMonitor

Return work to learners

Unit grades calculated for achievement

IV samples unit grade marks

Unit grades entered on ProMonitor

Action plan devised, record of actions completed made

YES ← Issues?

'IV of Grades' form completed

Grades go forward to Awards Boards

NO

Appendix 5

IV FLOWCHART – PROCESS (Work-based observation of assessment)

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                    Roles allocated, planning
                    documents complete

    ASSESSOR                              INTERNAL
                                          VERIFIER

                                          Advises individual
                                          Assessors of
                                          planned IV

    Provides IV with
    copy of
    assessment plan
    planned IV

    Carry out                             IV assessment        IV completes IV Report on
    assessment or                         and interview        Assessment Decisions (Work-
    provide evidence                      candidate            based), the IV Report on
    of assessment                                              Assessor Performance (Work-
                                                               based) and the Candidate
                                                               Interview Record Forms

                                          Feedback to          IV updates the Internal
                                          assessor (written    Verification Workbook to show
                                          and verbal)          planned against actual activity

                                                               File all completed documents in
                                                               Programme File

    Assessor uses                         Review and
    feedback to                           update Assessor
    consolidate /                         risk assessment
    improve practice                      and sampling plan
                                          depending on
                                          outcome

    Track                                                      Complete portfolio tracking
    achievement                                                documents, update ProMonitor

    Prepare for
    summative
    assessment
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Appendix 6

Roles allocated, planning documents complete

**IV FLOWCHART – PROCESS
(Work-based summative
verification)**

ASSESSOR

INTERNAL VERIFIER

Provides IV completed units or portfolio according to the IV Plan

IV unit / portfolio evidence supplied

IV completes the **Unit Evidence Summary Report (Work-based)** IV updates the **Internal Verification Workbook** to show planned against actual activity

File all completed documents in Programme File

Feedback to assessor (written and verbal)

YES

Issues?

NO

Feedback to assessor (written and verbal)

Reviews IV feedback and carries out actions as required

Passes forward for Certification if qualification complete

IV completes the **Work-based Certification** Form and passes to the FE QM for verification

QM passes to Registry to update student record system and claim certificate from awarding body

Track achievement

Review and update Assessor risk assessment and sampling plan depending on outcome

Assessor - Complete portfolio tracking documents, update ProMonitor

IV – update Internal Verification Workbook, file all completed forms in Programme File