**Further Education IV Policy and Procedures**

| **Policy Owner** | **Department** |
| --- | --- |
| FE Central | FE Central |
| **Version Number** | **Date drafted/Date of review** |
| 5.0  5.1  5.2 | 18/02/2021  11.02.2022  01.02.2023 |
| **Date Equality Impact Assessed** | **Has Prevent been considered**  **(see Policies Guidance if unsure)** |
|  |  |
| **Reviewed and Approved by**  **(see Policies Guidance for approval process)** | **Date** |
| FEQMG  Academic Board  Education Committee Chairs Action  Academic Board  Academic Board | July 2004  18/02/21  24/02/22  01.02.23 |
| **Access (tick as appropriate)** | |
| Public access (website)  And/Or  Internal access (MyWi) | Staff and Student access  Or  Staff access only |

# 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 Lead IV 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:
   1. Ensures students are enrolled on the student record system (SRS)
   2. Ensures students are registered with the awarding body on the appropriate combination of units
   3. Passes registration details to the Lead IV
   4. Prepares an assessment schedule for the programme and passes to IV
   5. Provides the Lead IV with details of programme assessors
3. Lead IV:
   1. Carries out programme checks and completes the IV Pre-Programme Checks Form
   2. Carries out assessor risk assessment in conjunction with the Deputy Director FE and completes the Assessor Risk Assessment Form
   3. 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:
   1. Writes an assignment in the appropriate assessment format
2. Lead IV / IV:
   1. IVs the assessment and completes the IV of Assessment Briefs Form
   2. Assessment is passed back to the assessor for update if required or distribution to students as per the assessment schedule
   3. 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 IV of Functional Skills – Assessment Brief form.*

1. Assessor:
   1. Assesses work
   2. Prepares a sample for IV taking into account the range of decisions and assessor risk assessment (SEE 3.4 Preparing a sample for IV)
   3. IVs the assessment decisions and completes the IV of Assessed Work Form, providing detailed feedback to the assessor
   4. FOR BTEC PROGRAMMES OPERATING THE NEW RULES OF ASSESSMENT: identifies learners eligible for re-submission and completes the IV Agreement of Resubmission – BTEC New Rules of Assessment form.
   5. Returns the sample and feedback to the assessor with support as required
   6. 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 IV of Functional Skills – Assessed Work form.*

1. Assessor:
   1. FOR BTEC PROGRAMMES OPERATING THE NEW RULES OF ASSESSMENT: returns work to student as appropriate
   2. Reviews assessment decision if required and re-submits to the IV
   3. If a. not required, then enters achievement data on to ProMonitor
   4. Returns work to students
2. Assessor:
   1. Once all unit assessment complete, calculates unit grades as required by the awarding body and updates ProMonitor
3. Lead IV / IV:
   1. Samples unit grade marks and completes the IV of Unit Grades form as required by some awarding bodies.
4. Course Manager – if applicable for programme and required by the awarding body:
   1. Calculates overall grade for programme
5. Lead IV / IV:
   1. Samples overall grade marks and completes the IV of Overall Grades form
   2. Once satisfied with calculations, authorises certification with Awarding Body

3.3 Process – Work Based Observation of Assessment

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

3.3 Process – Work Based Summative Verification

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

OR

* + 1. Recommends the claim be accepted according to listed conditions

OR

* + 1. Returns the evidence to the candidate and assessor for further work and representation at a later date
  1. 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
  2. Provides written and verbal feedback to the assessor
  3. Updates the Internal Verification Workbook to show actual activity against planned activity.
  4. Reviews assessor risk assessment and sampling plan as appropriate
  5. 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
  1. 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
  2. For each assessment, pass 3 examples of anonymous, completed work around the group (without awarded grade or feedback).
  3. Each assessor should complete a feedback form as if they are assessing the work and providing feedback to the candidate.
  4. Discussion follows and if appropriate, standard statements regarding the assessment may be set.
  5. Feedback sheets are collected by the Lead IV and feedback given to individual assessors confidentially
  6. 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
  1. Select an assessment type e.g. witness statement, time constrained assessment, written report
  2. For the selected assessment type, pass 5 examples of assessment and recording around the group
  3. Discussion follows and if appropriate, standard statements regarding the assessment may be set
  4. 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
  1. When specifications change, compare evidence of ‘old’ assessment against new, corresponding outcomes as a team
  2. Highlight differences in the specifications which will need to be incorporated into new assessment strategies
  3. 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
  1. Each assessor (2 per event) takes a turn on a rolling programme to present new or innovative assessment methods which most are unfamiliar with.
  2. Discussion follows and a decision made as to whether the assessment type is acceptable against the standards
  3. 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:

* 1. 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’
  2. For each assessment, pass a copy of the assessment brief around the group.
  3. Each IV should complete an IV of Assessment Brief form as if they are IVing the brief and providing feedback to the assessor.
  4. Discussion follows and if appropriate, standard statements regarding the assessment may be set.
  5. IV sheets are collected by the Quality Manager and feedback given to individual IVs confidentially
  6. 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

1. 1. 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’
   2. For each assessment, pass 3 examples of anonymous, completed work around the group with grades and feedback included.
   3. Each IV should complete an IV of Assessed Work form as if they are IVing the work and providing feedback to the assessor.
   4. Discussion follows and if appropriate, standard statements regarding the assessment may be set.
   5. IV sheets are collected by the Quality Officer/Head of FE and feedback given to individual IVs confidentially
   6. 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



Appendix 4



Appendix 5



Appendix 6

