

Non-General Qualification 2017

Direct Claims System – Getting the Quality Right

**Centre Guidelines for
Managing Quality Assurance
for Non-General Qualifications**

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Section 1: Introduction

1 Introduction

This document provides your centre with the support and guidance needed to conduct assessment and internal moderation for non-general qualifications.

Internal moderation is a process undertaken to ensure that assessment decisions are accurately judged against the appropriate standards and to ensure that assessment decisions are consistent across the qualification and assessors. It is to ensure that systems are in place within an organisation to support the standardisation of assessment practices and enable early detection of irregularities.

Centres are required to ensure that internal moderation arrangements are in place for all non-general qualifications they offer.

It is important to note the following:

- accurate and up to date records of assessment and internal moderation **must be retained**. The internal moderation records provide an audit trail of the assessment and quality assurance process and are therefore a **requirement** for all centres. These records will be required for quality assurance monitoring and External Moderation purposes and must be retained **for not less than 13 months from the submission of the claim for certification**;
- centres are required to have a process for internal appeals in place for candidates who wish to appeal internal assessment decisions.

2 Direct Claims System

CCEA has developed the Direct Claims system as a quality framework. The Direct Claims system allows CCEA and centres to work together to develop and enhance the quality of non-general qualifications. Direct Claims Status is awarded by qualifications and level. When Direct Claims Status is awarded, teachers and tutors in recognised centres are able to award marks/levels and claim certificates for qualifications and levels without being subject to external moderation. (*Centres may be required to submit a sample of coursework portfolios for quality assurance moderation which takes place annually after the issue of results*). The centre-based quality assurance arrangements enable teachers and tutors to make assessment decisions that are not subject to adjustment. **Centre based quality assurance arrangements, and in particular the internal moderation process, provide the foundation for Direct Claims.**

3 Obtaining Direct Claims

In order to obtain Direct Claims Status for each qualification and level, centres are required to:

- complete the on-line Direct Claims Annual Form. This form will allow centres to identify the quality assurance arrangements for specific qualifications. Please note that the completion of the Direct Claims Annual Form is **therefore a requirement of Direct Claims and must be completed annually to maintain Direct Claims Status**. The form and Direct Claims User Guide can be accessed on the CCEA website: http://www.rewardinglearning.org.uk/microsites/essential_skills/docs/direct_claims/direct_claims_info_user_guide.pdf;
- meet assessment standards for the qualification and level on two consecutive occasions within the last 2 years. i.e. complete two cycles of External Moderation without adjustment to teacher/tutor assessments;
- retain records of assessment and internal moderation for not less than 13 months from the date of the claim for certificates (i.e. *TACI*/outcomes form);
- facilitate a Quality Assurance Monitoring visit by CCEA.

4 Maintaining Direct Claims Status

In order to maintain Direct Claims Status for qualifications centres are required to:

- continue to assess to the required standard;
- complete the on-line Direct Claims Annual Form when requested to do so by CCEA. This form will allow centres to update details relating to quality assurance;
- retain records of assessment and internal moderation for not less than 13 months from the date of the claim for certificates;
- facilitate a Quality Assurance Monitoring visit by CCEA.

Section 2: Direct Claims Quality Assurance Criteria

Direct Claims Quality Assurance Criteria

For each qualification and level, evidence of the following criteria are required:

- quality management;
- staff development, roles and responsibilities;
- internal assessment arrangements;
- internal moderation arrangements.

1 Quality Management

- policies and procedures in place to ensure that learner and staff needs are addressed;
- adequate resources and systems to support qualification delivery;
- system in place for management of collaborative arrangements;
- compliance with CCEA policies and procedures;
- effective communication systems in place internally and with CCEA.

2 Staff Development, Roles and Responsibilities

- centre provides appropriate training and staff development, guidance and support;
- staff undertake CCEA training as appropriate. Please note that staff new to the qualification **must** attend the subject specific agreement trial;
- centre retains staff development records.

3 Internal Assessment Arrangements

- learners are provided with advice and support;
- systems in place to ensure validity and authenticity of candidate work;
- appropriate assessment documentation must be used;
- system in place for recording and reporting accurate assessment;
- confidentiality and security of assessment materials are assured;
- ensures that internally assessed work is submitted to CCEA within agreed deadlines.

4 Internal Moderation Arrangements

- arrangements are in place for internal moderation;
- roles and responsibilities in assessment and internal moderation are clear;
- up-to-date records of internal moderation are retained;
- internal moderation procedure is reviewed and amended as appropriate;
- arrangements are in place for actions resulting from external moderation;
- for centres that have a single assessor it is recommended that the centre makes use of the following CCEA services:
 - portfolio clinic;
 - subject specific training events.

**Section 3: Roles and Responsibilities in the Assessment and
Internal Moderation Process**

Roles and Responsibilities in the Assessment and Internal Moderation Process

The following section identifies roles and responsibilities in the assessment and internal moderation process.

Role of Qualification Co-ordinator

The Qualification co-ordinator is the person responsible for ensuring that the management, administration and quality assurance systems for the qualification are appropriately maintained.

The person undertaking this role will need to ensure that:

- the management, co-ordination, assessment and internal moderation procedures are implemented correctly and consistently across the centre;
- there is regular contact with staff responsible for internal moderation;
- appropriately qualified and trained staff are involved in the assessment and internal moderation processes;
- assessors and staff involved in internal moderation are familiar with the assessment criteria they are assessing and are supported and guided in their role;
- assessors and staff involved in internal moderation are familiar with the CCEA recording systems, documentation and procedures for assessment and internal moderation;
- learners and assessors are notified of assessment dates including dates of external moderation;
- all correspondence between CCEA and the centre is disseminated promptly to all relevant people;
- monitoring and visiting arrangements as required by CCEA are managed and coordinated.

Role of the Internal Moderator

Internal moderation is a process undertaken to ensure that assessment decisions are accurately judged against the appropriate standards and to ensure that assessment decisions are consistent across the qualification and assessors.

The role of an Internal Moderator is critical in the assessment process. Centres are advised to have an Internal Moderator in place for each of the qualifications offered. This person will have responsibility for ensuring that internal moderation is appropriately carried out.

The Internal Moderator must ensure that a process is implemented to show that staff in the centre are making consistent and accurate assessment decisions in accordance with

the assessment criteria as defined in individual non-general qualifications. The internal moderation system should provide checks and support for assessors in making and applying assessment decisions.

The way in which internal moderation is organised will reflect the needs of your centre, however the following should be included in the internal moderation system:

1. Planning Internal Moderation
2. Implementing Internal Moderation
3. Follow up to Internal Moderation.

1 Planning Internal Moderation

The Internal Moderator should:

- draw up an internal moderation schedule for the qualification. (Internal moderation should be planned so that it detects any assessment issues early in the assessment cycle);
- ensure that assessors are fully aware of the internal moderation procedure and timescales;
- provide advice and support for assessors as appropriate.

2 Implementing Internal Moderation including Standardisation Across Assessors

General Principles

The Internal Moderator should:

- ensure that an effective system of internal moderation is in place;
- ensure that assessors are fully aware of their responsibilities;
- retain accurate and up to date internal moderation records;
- provide advice and support to assessors on a timely basis;
- sample across all assessors to ensure that assessed work is consistent with assessment criteria and standards;
- ensure that own assessment decisions are internally moderated by another person;
- give feedback to assessors and identify any follow up action as appropriate.

(a) Sampling Assessments

Learners' work must be sampled across the qualification and from each assessor delivering the qualification. The sample should:

- cover the full range of assessment decisions made;
- include portfolios from all assessors; new or inexperienced assessors should have more work internally moderated than an experienced assessor;
- be increased when a new qualification is introduced;
- be of appropriate size related to number of learners.

(b) Conducting Internal Moderation

The Internal Moderator reviews the judgments of the assessor against the assessment criteria and should:

- check the learner's work against criteria and judge whether it has been accurately assessed;
- check the feedback from assessor to learner;
- where the work is inaccurately assessed, identify appropriate action on the internal moderation form;

The assessor should re-assess the learner's work in light of the internal moderator's comments and it should be checked again by internal moderator, signed and dated.

(c) Giving Feedback to the Assessor

The Internal Moderator should record their judgement and give feedback to the assessor. A record of the feedback and any follow up actions must be retained. The Internal Moderator should provide advice on what can be done to improve the assessment process. The internal moderator must ensure that any actions, identified as a result of internal moderation, are carried out within an agreed timescale.

3 Follow up to Internal Moderation

The Internal Moderator should:

- ensure that appropriate action is taken;
- ensure that any action is recorded and signed off;
- ensure that records are retained.

Assessment and Internal Moderation Record Keeping

Accurate and up-to-date records of assessment and internal moderation must be retained as they provide an audit trail of the assessment and quality assurance process; in addition the records are a requirement for Direct Claims Status and will be reviewed during centre monitoring. All records must be up-to-date and signed as appropriate.

Centres must retain the following records:

1 Completed assessment records

The centre must use appropriate CCEA assessment documentation as required by the relevant qualification, such as My Record, Portfolio Evidence Assessment Record, Overall Record of Outcomes.

2 Completed internal moderation records

The centre is free to devise customised internal records however there must be a record of the following as a minimum requirement for internal moderation:

- (a) candidate name;
- (b) title and level of qualification;
- (c) name of assessor;
- (d) name of internal moderator;
- (e) dates of all assessments and outcomes;
- (f) dates and outcomes of internal moderation;
- (g) actions resulting from internal moderation;
- (h) certification claims (*TACIs/Learner Outcome Form*).

Internal Moderation Good Practice

Sample Internal Moderation templates are available in Section 4 of this booklet

Internal moderation can be undertaken in a number of ways, but the following are examples of good practice:

- There is a recognised team of internal moderators (if appropriate) who meet regularly to ensure standardisation of procedures;
- There is an internal moderation policy which promotes a rigorous commitment to quality improvement;
- Internal moderation processes are agreed and published so that they are clearly understood by all members of delivery teams;
- Internal moderation schedules are drawn up to ensure timely implementation;
- Internal moderation should be planned so that it detects any assessment issues early in the assessment cycle. Internal moderation should not take place at the end of the programme;
- For centres that have a single assessor/internal moderator and co-ordinator it is recommended that the centre makes use of the following CCEA services:
 - Portfolio Clinic;
 - Value Added Training;
 - Subject specific training.

Overview of Role of Internal Moderator

Internal moderators are responsible for:

- developing and monitoring the internal moderation schedule to cover all aspects of the qualification and all those assessors delivering the qualification;
- co-ordinating all internal moderation arrangements including multi-sites and consortia, as appropriate;
- ensuring that assessors follow the assessment guidance provided by CCEA;
- advising and supporting assessors to assist them in interpreting and applying the assessment criteria correctly and consistently;
- sampling assessment activities, methods and records to monitor the consistency of assessment decisions;
- maintaining up-to-date and accurate records of internal moderation for each qualification **for not less than 13 months from the submission of the qualification claim**;
- providing assessors with prompt, accurate and constructive feedback on their assessment decisions;
- undertaking liaison with other staff members to implement the requirements of the assessment system;
- ensuring that all candidate records and centre documentation are completed in accordance with CCEA requirements;
- undertaking an active role in raising issues of good practice in assessment.

The Role of the Assessor

The Assessor(s) is responsible for:

- fully briefing the learner on the assessment process and ensuring that they are aware of their responsibility in the collection and presentation of portfolio evidence;
- following assessment guidance provided by CCEA and your centre;
- taking part in all portfolio standardisation activities;
- providing candidates with prompt, accurate and constructive feedback;
- assessing learner's evidence and recording assessment decisions;
- ensuring the evidence produced by the candidates is valid authentic, current and sufficient;
- ensuring that all candidate records and centre documentation are completed in accordance with CCEA requirements;
- ensuring the confidentiality of candidate records.

Section 4: Sample Templates

Assessor name: _____

Internal Moderator: _____

Title of assessment: _____

Qualification: _____

Unit title and number: _____

Outcomes assessed: _____

Date of moderation/Verification: _____

Names of candidates whose assessment is being moderated/verified:

Aspect	Criteria & Indicators	Satisfactory? Yes/No/N/A	Notes
Learning outcomes	Have all the specified outcomes/learning objectives been assessed?		
Evidence indicators	Are all the appropriate evidence indicators present?		
Feedback	Is feedback motivational and formative, clearly identifying areas for improvement and gaps in the evidence?		

Internal Moderation Sampling Plan & Tracking Sheet

Qualification: _____ Level: _____

Internal Moderator/Verifier: _____ Assessor: _____

Candidate	Unit 1	Unit 2	Unit 3	Unit 4	Unit 5	Unit 6	Unit 7

Internal Moderation Plan

Student Name	Qualification Name & No:									
	Unit	Unit	Unit	Unit	Unit	Unit	Unit	Unit	Unit	Unit

Internal Moderation Report

Centre: _____

Report No: _____ Units Moderated _____ Assessor: _____

Candidate: _____

Date: _____ Interim/Final: _____ Internal Moderator: _____

Qualification: _____

	Yes	No	Internal Moderator / Comments
Has appropriate and sufficient assessment planning taken place?	<input type="checkbox"/>	<input type="checkbox"/>	
Has prior learning/achievement been identified and used where possible?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the assessment method appropriate?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the evidence address all of the criteria within the elements moderated/verified?	<input type="checkbox"/>	<input type="checkbox"/>	
Is there adequate coverage of the learning outcomes range/knowledge?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the knowledge requirement been evidenced and assessed?	<input type="checkbox"/>	<input type="checkbox"/>	
Has the evidence been clearly cross-referenced and gathered over a sufficient period of time?	<input type="checkbox"/>	<input type="checkbox"/>	
Do you agree with the assessment decision? valid/reliable/sufficient/current/authentic?	<input type="checkbox"/>	<input type="checkbox"/>	
Was feedback to the candidate constructive?	<input type="checkbox"/>	<input type="checkbox"/>	
Was the amount of evidence indicative of efficient assessment?	<input type="checkbox"/>	<input type="checkbox"/>	
Has correct documentation been used and fully completed?	<input type="checkbox"/>	<input type="checkbox"/>	

Reassessment required	<input type="checkbox"/>	<input type="checkbox"/>
Reassessment completed	<input type="checkbox"/>	<input type="checkbox"/>

Internal Moderation Report

Centre:
Feedback to Assessor:
Action to be taken:

Resubmit on: _____

Internal Moderator/Verifier's signature: _____ Date: _____

Assessor's signature: _____ Date: _____

I confirm that the action points have been completed and the evidence requirements have been met.

Internal Moderator's signature: _____ Date: _____

Assessor's signature: _____ Date: _____

Internal Moderation

Qualification: _____

Assessor: _____

Unit(s): _____

Assignment Title: _____

Learner's Name: _____

	Yes	No	Details/Actions
Has the work been assessed accurately?	<input type="checkbox"/>	<input type="checkbox"/>	
	Yes	No	Details/Actions
Is the feedback to the candidate:			
• constructive	<input type="checkbox"/>	<input type="checkbox"/>	
• linked to the relevant grading criteria	<input type="checkbox"/>	<input type="checkbox"/>	
• providing opportunities for improved performance	<input type="checkbox"/>	<input type="checkbox"/>	
• agreeing actions	<input type="checkbox"/>	<input type="checkbox"/>	

* If 'No' is recorded and the Internal Moderator recommends amendment of the assessment decision, the Assessor and the Internal Moderator should confirm that the action has been undertaken.

Confirmation of remedial action

Assessor's Name: _____

Signature: _____ Date: _____

Internal Moderator's Name: _____

Signature: _____ Date: _____

Roles and Responsibilities of the Internal Moderator

- to ensure that all assessors follow assessment procedures as outlined by Regulatory Authorities, the Awarding Bodies and Lead Bodies;
- to ensure all assessors are occupationally competent and hold appropriate assessment qualifications (or are working towards them);
- to ensure that all Assessors are consistent in their interpretation of the National Standards;
- to allocate Assessor(s) to cohorts of candidates and allocate each cohort an Internal Moderator;
- to draw up assessment schedules for each cohort of candidates with the Assessors;
- to draw up planned internal moderation schedules for each cohort of candidates and track candidate achievements;
- to request Assessors to provide selected candidate portfolios for internal moderation and ensure the prompt return to assessors;
- to ensure the sample reflects the total cohort. The sample should include:
 - all Assessors;
 - a wide range of learners;
 - all units/components;
 - all satellite/outreach centres.

Useful Links

The following documentation provides useful advice regarding assessment and internal moderation.

Guidelines for Conducting Coursework for non-general Qualifications available to download from:

www.ccea.org.uk

Access Arrangements, Reasonable Adjustments and Special Consideration: General and Vocational Qualifications. Available to download from:

www.jcq.org.uk

Suspected Malpractice in Examinations and Assessments: Policies and Procedures. Available to download from JCQ website:

www.jcq.org.uk

Arrangements for internal appeals about internal assessment decisions and enquiries about results. Available to download from JCQ website:

www.jcq.org.uk



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