

**Internal Verification Toolkit for Centres Delivering HN, Advanced and Vocational Qualifications**

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# Section 1: Introduction

This guidance relates to the following SQA qualifications:

* Higher National Certificates and Diplomas (HNC/HND)\*
* SQA Advanced Certificates and Diplomas (ACD)
* National Qualifications (other than new National Qualifications)
* Scottish Vocational Qualifications (SVQ)
* Qualifications and Credit Framework (QCF) Units
* Customised Awards (CA)
* Professional Development Awards (PDA)
* International Vocational Awards (IVA)

\* Higher National Certificates and Diplomas are delivered by SQA centres in Scotland only - the equivalent qualifications delivered in markets outside of Scotland are SQA Advanced Certificates and Diplomas.”

## 1.1: What is internal verification and how can it help you?

An internal verification (IV) system helps centres ensure, from start to finish, that all assessments being offered are valid, reliable, practicable, equitable and fair — and helps assessors to apply the standards of assessment uniformly and consistently.

Centres that develop effective IV systems are helping to safeguard the quality of all of the SQA qualifications they offer.

Internal verification:

* helps to ensure that all staff understand national standards and can apply them
* facilitates collaboration between assessors and internal verifiers in all assessment sites
* enables and ensures fair, accurate and consistent assessment judgements
* supports the credibility of internally-assessed units and awards with candidates, the public, employers, higher education institutions etc
* allows quality concerns to be captured and addressed
* helps to protect assessors against challenges to professional assessment judgements
* supports preparation for successful external verification

In this toolkit, the terms ‘assessor’ and ‘internal verifier’ are used throughout.

‘Assessor’ refers to a person making assessment decisions in relation to SQA units/awards. They may be using SQA assessments (eg HN or Advanced unit Assessment Support Packs) or may devise their own assessments, in line with the assessment strategies or guidance for the qualification.

The ‘internal verifier’, in summary:

* supports other assessors in understanding and applying national standards
* collaborates with assessors and other internal verifiers to ensure that assessment approaches are fit for purpose (before prior verification by SQA, if applicable)
* samples the assessment judgements of assessors to ensure that they are valid and reliable

## 1.2: Models of internal verification

The model of internal verification used is at the discretion of the centre. The approach to internal verification that you choose needs to work within the context of your own centre.

Whichever model you choose, under no circumstances should the internal verifier verify their own assessment judgements, or assessments which they have devised.

There are several broad approaches, including:

* Allocating responsibility to named members of staff for carrying out internal verification relating to particular units/awards. This has the advantage of giving the designated internal verifier a view of all assessment activities relating to the units/awards they are responsible for quality assuring.
* Allocating responsibility to named members of staff for carrying out internal verification relating to particular assessors. This is particularly appropriate where the units/awards contain a high degree of performance evidence (as do many S/NVQs/RQF units), and it makes good quality assurance sense to use — at least as part of your IV approach — methods that gauge how assessor judgements are made. In this case, methods such as conducting dual/peer observations can prove useful.
* All members of staff taking responsibility for both assessing and internally verifying units. This has the advantage of allowing all staff to take part in assessment and verification, helping to promote an in-depth understanding of unit/award requirements and facilitating standardisation by, for example, the cross-marking of each other’s assessments.

If you need guidance on choosing an approach to verification, check our Frequently asked questions (see Section 5) and use our Internal Verification Self-Assessment Form (see Section 6). We recommend that you read through Sections 2 to 5 for guidance before you consider the self-assessment.

## 1.3: The stages of internal verification

Internal verification can be divided into three separate stages:

* Plan: pre-delivery — understanding standards
* Do: ongoing support for assessor and sampling of candidate evidence
* Review: post-delivery reflection and review

The internal verification toolkit allows you to think about the activities you undertake at each of these stages.

It is important that key activities relating to internal verification are documented. Primarily, this will support you in managing internal assessment and verification and planning for improvement, but will also allow you to demonstrate to SQA that an effective IV system is in place.

The internal verification toolkit provides you with templates that can be used to successfully support an effective IV process.

# Section 2: Pre-delivery and understanding standards

The first stage of internal verification is the pre-delivery stage. This includes:

* planning the management and co-ordination of IV activities
* planning the management and co-ordination of IV activities
* ensuring a shared understanding of standards
* agreeing on assessment approaches
* preparing learners

## 2.1: Pre-delivery tasks

|  |  |
| --- | --- |
| **Role of assessor** | **Role of internal verifier** |
| Understand roles and responsibilities of assessor and internal verifier | Ensure assessor and internal verifier roles and responsibilities are clear  Define approach to internal verification, including sampling |
| Get familiar with unit/award standards and conditions | Collaborate with assessor(s) and other internal verifiers to ensure shared understanding of unit/award standards and conditions |
| Propose assessment approach  Assessors can use assessment exemplars and materials, where provided, or devise their own assessments | Collaborate to ensure that assessment approach is valid, reliable, practicable, equitable and fair  Internally verify centre-devised assessments before submitting them to SQA for prior verification, where applicable  Internally verify SQA-published assessments (where applicable) to ensure that they are fit for purpose for use in the centre |
| Prepare candidates for assessment | Confirm that agreed assessment guidance for specific units/awards is implemented for candidates, including those requiring special assessment arrangements |

If you are offering SVQs, the IV system must show that broad agreement has been reached on how assessment will proceed, taking account of centre-devised materials (if any have been developed). This pre-verification check should take into account any associated assessment strategy documents.

If you write your own assessments for HN or Advanced units, you must internally verify them before use. SQA strongly recommends that you send them to SQA for prior verification, once you have internally verified them.

## 2.2: Pre-delivery records

The assessor(s) and internal verifier(s) for every unit should be identified and recorded. A pro forma is provided for this.

*See Appendix 1: Internal verification — Assessor/verifier allocations*

You may wish to refer to the FAQs *(Section 5)* for guidance on the qualifications and experience required to be an assessor or internal verifier.

A pro forma is provided for recording discussions and actions from meetings. These could be full staff team meetings, or smaller informal meetings. The pro forma has a checklist of issues to be discussed and allows you to record comments and actions succinctly.

*See Appendix 2: Pre-delivery Meeting Form*

A pro forma is provided for recording the outcome of internal verification of a centre-devised assessment, feedback to the assessor who wrote it and any action points.

*See Appendix 3: Internal Prior Verification of Assessment Record*

## 2.3: Support and guidance materials

Guide to Assessment

<http://www.sqa.org.uk/files_ccc/25GuideToAssessment.pdf>

Internal verification: A guide for centres

<http://www.sqa.org.uk/files_ccc/InternalVerificationGuideforSQAcentres.pdf>

Assessment Arrangements Explained

<http://www.sqa.org.uk/sqa/files_ccc/AA_AssessmentArrangementsExplained.pdf>

# Section 3: Support and sampling during delivery

The second stage of internal verification is the during delivery stage. This includes:

* creating and managing standardisation activities
* sampling of candidates’ assessed work
* sampling of assessment practice, where applicable
* feedback by internal verifiers to assessors
* consideration of feedback from SQA external verification
* confirmation of results
* supporting assessors, responding to queries
* internal verifiers providing a second opinion in internal assessment appeals, cases of suspected malpractice in internal assessments, and on special assessment arrangements

## 3.1: During delivery tasks

|  |  |
| --- | --- |
| **Role of assessor** | **Role of internal verifier** |
| Standardise assessment of candidates with colleagues | Participate in or lead standardisation activities  Ensure standardisation activities have taken place |
| Raise any concerns or queries | Respond to queries, provide support and guidance to assessors |
| Make assessment judgements / respond to feedback from the internal verifier where required | Sample assessment processes, practices and evidence, including assessor judgements  Provide feedback to assessor(s)  Provide second opinion in internal assessment appeals, if required  Provide second opinion in cases of malpractice in internal assessment, if required |
| Feedback to candidates | Agree final results |

## 3.2: During delivery records

A pro forma is provided for recording discussions and actions from meetings during the session. These may be staff team meetings or smaller, informal meetings. This has a checklist of issues to be discussed during the year and allows you to record actions and decisions succinctly.

*See Appendix 4: Record of Internal Verification Activities During Delivery*

## 3.3: Sampling

The SQA publication *Internal Verification: A Guide for Centres* gives guidance on a range of standardisation exercises and on sampling of candidate assessment by internal verifiers.

The following examples are standardisation exercises used by centres:

* agreement trials
* dual assessment
* cross assessment
* evidence review
* double marking
* blind marking

### Sampling assessment judgements

Your sampling strategy will depend on the structure of your organisation and the range of qualifications you are delivering. The strategy you are using should be recorded.

Sampling might be as simple as two assessors cross-marking a number of each other’s candidate assessments.

If, however, you have a number of different assessors and groups of candidates undertaking the same qualification, you will need to have a sampling strategy which will allow the internal verifier(s) to check that each assessor is making consistent assessment judgements in line with national standards, with each group of candidates over time.

The number of candidates included in the sample for internal verification should be proportionate to the total number of candidates you have. You might choose to use a defined percentage, or the square root of the total.

In the first year of delivery of a new qualification, you should verify assessments from every candidate group marked by every assessor. You might only need to sample a few from each group, or expand on the sample to explore further.

After the first year, the following factors should be taken into consideration in prioritising what to sample:

* new assessors (new to the qualification)
* any changes to the unit or assessments since the last delivery
* any issues identified at the last internal or external verification
* different approaches to assessment used with different groups
* different locations of candidates and/or resources used
* different modes of attendance/study

You may not need to look at every unit every year, once you are confident that national standards are being applied, and where there have been no changes since the previous year. You could apply a rolling programme of verification sampling to ensure that a check on standards is maintained over time. Once you have carried out initial planned sampling, if you have any concerns, you may wish to expand the sample or sample again at a later stage in the delivery, before resulting is allowed.

It is important that the approach to sampling which you take within your IV system is ‘fit for purpose’. On a basic level, if the units/qualifications you are planning to verify contain a good degree of knowledge, then the records of that knowledge evidence and associated assessment judgements should be sampled as part of the verification process.

When presenting the sample of candidate evidence for internal verification, the assessor should make the internal verifier aware of:

* Any candidates in the sample who had assessment arrangements because of a disability or learning difficulty and what the arrangement was for the assessment(s) being verified
* Any candidates in the sample who had remediation in the assessment(s) being verified. Remediation means that the assessor allowed the candidate to clarify their responses in an assessment, either by requiring a written amendment or by oral questioning. This must be formally noted by the assessor, in writing or recording, and made available to internal and external verifiers. Remediation is not allowed in Advanced or HN examination-based graded units.

### Monitoring assessor judgements

If the units/qualifications you are planning to verify contain a high degree of performance evidence (as do many S/NVQs/RQF Units), then apart from the usual evidence generated (candidate logs, assessors’ observation reports etc) it also makes good quality assurance sense to use — at least as part of your IV approach — methods that gauge how assessor judgements are made. In this case, methods such as conducting dual/peer observations can prove useful.

A pro forma is provided for use by internal verifiers in monitoring the practice of assessors.

*See Appendix 5: Assessor Monitoring Record*

A pro forma is provided for recording the sampling of candidates’ assessed work by the internal verifier, feedback to the assessor and action points. This is for use with groups of candidates, in conjunction with the records of candidate achievement, to record which candidates’ work has been sampled.

*See Appendix 6: Internal Verification Record of Sampling of Units*

A second pro forma is provided for recording the sampling of individual candidates’ assessments (most likely to be used for SVQ candidates).

*See Appendix 7: Internal Verification Record of Sampling of Candidates*

## 3.4: Internal assessment appeals procedure

Internal verification applies to qualifications, or elements of qualifications, which are internally assessed. The fact that they are internally assessed means that the centre delivering them must have a documented procedure for dealing with appeals from candidates about their results in assessments, if they feel that they have been treated unfairly in the assessment. **Internal verifiers have a role in this (see Stage 2 below).**

The procedure should have three stages, as follows:

Stage 1 — Informal

The appeals process begins with a preliminary informal stage where the candidate raises their concerns with their assessor.

Stage 2 — Informal

If the matter is not resolved with the assessor, the advice of the internal verifier for the unit/qualification should be sought on the validity of the result awarded.

Stage 3 — Formal

If the matter is not resolved through the informal stages, a formal appeal should be submitted in writing to a senior member of staff, who will investigate the matter and respond. This could be eg a manager or the SQA co-ordinator. You may want to include in your procedure that an Appeals Panel will be convened at this stage, comprised of staff who have not previously been involved in the appeal in question.

The outcome of Stage 3 should be communicated in writing to the candidate and records should be retained.

Each stage should have appropriate timescales set for acknowledging receipt of the appeal and responding. There should also be defined timescales for raising an appeal (eg within a month of the assessment in question).

All the candidates must be made aware of the appeals procedure, and given support in submitting and providing evidence for any appeal, if they require it.

Centres offering qualifications that are subject to statutory regulation by SQA Accreditation, Ofqual or Qualifications Wales, must also inform candidates that they have additional stages of appeal, once the centre’s appeals procedure has been exhausted:

* appeal to SQA, the awarding body
* appeal to SQA Accreditation, Ofqual or Qualifications Wales (as appropriate) if they feel that the centre and/or SQA (awarding body) has not dealt with their appeal appropriately

SQA Accreditation, Ofqual or Qualifications Wales (as appropriate) cannot overturn assessment decisions or academic judgements, but may investigate the effectiveness of the centre and/or SQA’s appeals process, and require corrective action.

SQA can also deal with complaints about assessment in the broadest sense, including the conduct of and environment for assessment — but only if the candidate has already exhausted the centre’s complaints procedure.

Candidates on regulated qualifications also have the right to complain to SQA Accreditation, Ofqual or Qualifications Wales (as appropriate) once they have exhausted your centre's complaints procedure and the SQA awarding body’s complaints procedure.

## 3.5: Malpractice procedures

SQA centres must have procedures for dealing with instances of suspected malpractice in internal assessments. **Internal verifiers may be asked to provide a second opinion during investigations of suspected malpractice.**

**Candidate malpractice** means malpractice by a candidate in the course of completing an assessment and can arise in:

* the preparation and authentication of assessment materials
* the preparation or presentation of practical work
* the compilation of portfolios of internal assessment evidence
* conduct during an internal assessment

Examples:

* Breaching the security of assessment materials in a way which threatens the integrity of any exam or assessment — including the early and unauthorised removal of a question paper or answer booklet from the examination room.
* Collusion with others when an assessment must be completed by individual candidates.
* Copying from another candidate (including using ICT to do so) and/or working collaboratively with other candidates on an individual task.
* Misconduct — inappropriate behaviour in an assessment room that is disruptive and/or disrespectful to others. This includes talking, shouting and/or aggressive behaviour or language, and having a prohibited electronic device that emits any kind of sound in the assessment room.
* Frivolous content — producing content that is unrelated to the assessment.
* Offensive content — content in assessment materials that includes vulgarity and swearing that is outwith the context of the assessment, or any material that is discriminatory in nature (including discrimination in relation to the protected characteristics identified in the Equality Act 2010). This should not be read as inhibiting candidates’ rights to freedom of expression.
* Personation — assuming the identity of another candidate, or a candidate having someone assume their identity during an assessment.
* Plagiarism — failure to acknowledge sources properly and/or the submission of another person’s work as if it were the candidate’s own.
* Prohibited items — items that candidates must not have with them at their allocated seat in the exam room because they can give an unfair advantage, including: mobile phones; electronic devices such as an MP3 player, iPod, tablet, smartwatch or any other device that is web-enabled or stores information; books, notes, sketches or paper; pencil case; calculator case; calculator or dictionary (except in specified subjects) — unless any of these things have been approved by SQA as part of an assessment arrangement.

### Dealing with suspected cases of candidate malpractice

Candidates must be made aware of what malpractice is and the potential outcomes of committing malpractice.

Where an assessor suspects malpractice in an internal assessment, the internal verifier should be alerted in the first instance and asked for a second opinion. If doubt remains over the authenticity of the candidate’s work, then further investigation should be carried out by a relevant manager. This may result in a candidate disciplinary process. Different sanctions may be applied for different categories of malpractice.

Instances of candidate malpractice in regulated qualifications must be reported to SQA, and records of all investigations of malpractice in all other qualifications must be retained and provided on request to SQA. This must be written into centre procedures.

### Centre malpractice

Malpractice means any act, default or practice (whether deliberate or resulting from neglect or default) which is a breach of SQA assessment requirements, including any act, default or practice which:

* compromises, attempts to compromise or may compromise the process of assessment, the integrity of any SQA qualification or the validity of a result or certificate;  
  **and/or**
* damages the authority, reputation or credibility of SQA or any officer, employee or agent of SQA.

Malpractice can arise for a variety of reasons:

* Some incidents are intentional and aim to give an unfair advantage or disadvantage in an examination or assessment (deliberate non-compliance).
* Some incidents arise due to ignorance of SQA requirements, carelessness or neglect in applying the requirements (maladministration).

Malpracticecan include both maladministration in the assessment and delivery of SQA qualifications and deliberate non-compliance with SQA requirements.

Whether intentional or not, it is necessary to investigate and act upon any suspected instances of malpractice, to protect the integrity of the qualification and to identify any wider lessons to be learned.

Examples of centre malpractice include:

* managers or others exerting undue pressure on staff to pass candidates who have not met the requirements for an award
* deliberate falsification of records in order to claim certificates
* excessive direction from assessors to candidates on how to meet national standards
* failure to assess internally assessed unit or course assessment work fairly, consistently and in line with national standards
* failure to apply specified SQA assessment conditions in assessments, such as limits on resources or time available to candidates to complete their assessments
* misuse of assessments, including repeated re-assessment contrary to requirements, or inappropriate adjustments to assessment decisions
* failure to apply appropriate processes to ensure fairness in the provision of assessment arrangements
* insecure storage, transmission or use of assessment instruments, materials and marking instructions, resulting in a breach of assessment security
* failure to comply with requirements for accurate and safe retention of candidate evidence, assessment and IV records
* failure to comply with SQA’s procedures for managing and transferring accurate candidate data
* failure to register candidates within a qualification’s accreditation period
* making late registrations to the awarding body for qualifications in their lapsing period
* requesting late certification of learners after the certification end date
* for all SQA qualifications, failure by a centre to notify, investigate and report allegations of suspected centre malpractice to SQA
* deliberately withholding information about circumstances which may compromise the integrity of any SQA qualification and/or credibility of SQA
* failure to take action as required by SQA or to co-operate with an SQA investigation in relation to concerns of malpractice
* for qualifications subject to regulation by SQA Accreditation, Ofqual or Qualifications Wales, failure by a centre to notify, investigate and report to SQA allegations of suspected candidate malpractice

Staff must make every effort to avoid centre malpractice, and should report any concerns to the head of centre. Centres must report all cases of centre malpractice to SQA. Candidates or other members of the public can also report any instances of suspected malpractice to SQA, who will then investigate the matter.

**The IV process should be used to ensure that the required conditions for assessment are in place and that correct assessment and resulting records are completed and retained in line with SQA’s requirements.**

## 3.6: Support and guidance materials

Malpractice: Information for Centres

<https://www.sqa.org.uk/sqa/files_ccc/MalpracticeInformationForCentres.pdf>

Internal verification: A guide for centres

<http://www.sqa.org.uk/files_ccc/InternalVerificationGuideforSQAcentres.pdf>

Assessment Arrangements Explained: Information for centres

<http://www.sqa.org.uk/sqa/files_ccc/AA_AssessmentArrangementsExplained.pdf>

The Appeals Process: Information for Centres

<https://www.sqa.org.uk/sqa/files_ccc/Appeals_Process.pdf>

# Section 4: Post-delivery review

The third and last stage of internal verification is the post-delivery review stage. This includes:

* reflection creating a feedback loop, which can aid improved delivery of the qualification
* agreeing and planning any necessary changes in assessment approach for the future
* agreeing and planning any future standardisation activities to address any issues identified
* agreeing and planning any changes to IV processes for the future

## 4.1: Post-delivery tasks

|  |  |
| --- | --- |
| **Role of assessor** | **Role of internal verifier** |
| Reflect on assessment approach and judgements in relation to:  Validity, reliability, practicability and accessibility  Reflect on assessment process  Reflect on support for candidates  Agree action plan | Collaborate with assessor(s) in review of assessment approach, judgements and process  Reflect on effectiveness of IV process, including sampling  Agree action plan |

## 4.2: Post-delivery records

The pro forma used for meetings during delivery can also be used for recording discussions and actions from meetings at the end of the session. This has a checklist of issues to be discussed and allows you to record comments, actions and decisions succinctly.

*See Appendix 4: Record of internal verification activities during delivery*

You might also wish to re-visit your IV self-assessment to decide whether your approach to internal verification needs any changes made to it *(see Section 6 below).*

# Section 5: Frequently asked questions (FAQs)

### We are a large organisation — can we have more than one internal verifier?

Yes — you can share out responsibility for internal verification amongst the staff, or sub-contract with external people to carry out internal verification.

You might want to allocate specific units to different members of staff to lead on internal verification.

Alternatively, you could have a team approach — with all staff working together on understanding standards, providing mutual support in the internal assessment process and cross-marking each other’s assessments.

You must have appropriate agreements or contracts in place for partnerships and sub-contracted arrangements, clearly defining roles and responsibilities relating to assessment and internal verification.

### Do I need to have specific qualifications or experience to be an internal verifier?

There are SQA Learning and Development Units, which are mandatory for staff assessing and verifying regulated qualifications.

<http://www.sqa.org.uk/sqa/files_ccc/Choosing_Appropriate_Assessor_and_Verifier_Qualifications.pdf>

The internal verifier needs to have sufficient subject knowledge to understand the content of assessments and national standards for the award, and be able to confirm that reliable assessment judgements have been made.

Sector specific assessment strategies provide a good source of guidance relating to assessor and verifier qualifications/experience for regulated qualifications.

### We are asked to send evidence of internal verification to SQA with Advanced or HN Unit assessments for prior verification. What kind of evidence is expected?

A named internal verifier needs to confirm that they have approved the version of the assessment sent to SQA as a valid assessment. This could be in the form of a signed front page for the assessment, or a footer on each page of the assessment.

The SQA qualifications verifier will be able to give you better feedback if they can see records of internal verification of the assessments. An exemplar pro forma has been provided for this, if you want to use it (see Appendix 3).

### We are asked to provide evidence of internal verification to SQA with candidate assessments for SQA qualification verification. What kind of evidence is expected?

You should provide evidence of sampling and confirmation of results by the internal verifier.

Two exemplar pro forma are provided in the toolkit for recording sampling of candidates’ assessments, feedback to the assessor and any actions taken, if you want to use them (see Appendices 6 and 7).

You should provide information when submitting assessments to SQA for verification about how your process of internal verification works, and particularly how you ensure that all staff involved in assessment have a consistent interpretation of the standards under assessment. The self-assessment pro forma provided could be helpful in explaining this (see Appendix 8).

### Do we need to use standard recording documentation for internal verification?

No, there is no requirement to use standard recording documentation. The pro forma provided in this toolkit are just exemplars which you can choose to use or adapt if you wish.

You may wish to use other types of paper forms, or other electronic records.

You can use existing records as evidence of internal verification, if they cover the relevant issues — eg minutes of staff meetings where standards were discussed

### What happens if the internal verifier disagrees with the assessment judgements of the assessor?

Firstly, don’t leave verification to sampling at the end of delivery — focus on ensuring there is a common understanding of the standards before carrying out assessment, and sample assessments during delivery, so that any issues can be addressed.

You should not submit any unit results for candidates until the issues identified through internal verification are resolved and the internal verifier has agreed that resulting can take place.

If there is a difference of opinion, there should be a professional dialogue to reach consensus.

If necessary, involve a third party to provide another opinion, or as a sounding-board — this could, for example, be another colleague or a manager.

### Is sampling the same as cross-marking? Is cross-marking internal verification?

The SQA document [Internal verification: A guide for centres](http://www.sqa.org.uk/files_ccc/InternalVerificationGuideforSQAcentres.pdf) defines a range of standardisation activities which can be carried out to help assessors to develop their shared understanding of the standards, and to support staff who are new to assessing the qualification. The activities include cross-marking/cross-assessment, agreement trials, dual assessment, evidence review, double-marking and blind marking.

Sampling is undertaken by the internal verifier to ensure that national standards are being applied consistently by all assessors.

The guidance on sampling strategies in the toolkit explains the criteria which should be taken into account when constructing the sample to be verified — eg first delivery of a qualification or level, a new or inexperienced assessor, different candidate groups/locations/methods of assessment, issues identified at previous internal or external verification (see Section 3.3).

### Do we need to internally verify re-assessments?

If a different assessment is required for re-assessment attempts to maintain the integrity of the assessment, and you are devising this yourself, then it should be internally verified before being used. We would also strongly recommend that it is sent for prior verification by SQA.

Candidate evidence produced for re-assessment attempts should be included within your IV sample, to ensure that national standards are being maintained.

# Section 6: Self-assessment of your approach to internal verification

You might find it helpful to carry out a self-assessment to establish to what extent your existing processes and documentation meet the requirements of the different stages of internal verification, as defined in the preceding sections of the toolkit. A pro forma is provided to facilitate this, listing the required elements of internal verification and allowing you to add to your existing processes, records and actions to address any gaps.

*See Appendix 8: Internal Verification Self-Assessment and Evidence Log*

# Appendices

**Appendix 1**

## Internal verification — Assessor/verifier allocations

**Qualification:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Level:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Year:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |
| --- | --- | --- |
| Unit | Assessor(s) | Internal verifier(s) |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

**Appendix 2**

## Pre-delivery Meeting Form

**Qualification:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Unit name(s):** ­­­­­­­­­­­­­­­­­­­\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **Unit number(s):** \_\_\_\_\_\_\_\_\_\_\_\_\_

**Name(s) of assessor(s):** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Names of internal verifier(s):** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

| Documents and points for discussion | Discussed  Yes/No/n/a | Comments/action points (by whom, by when) | Action completed (initial and date) |
| --- | --- | --- | --- |
| Unit specification(s) |  |  |  |
| SQA assessment exemplars/materials   * marking schemes/ guidance * candidate assessment records * conditions for assessment * re-assessment * internally verified |  |  |  |
| Or |  |  |  |
| Centre-devised assessments   * marking schemes/ guidance * candidate assessment records * conditions for assessment * re-assessment * internally verified * sent to SQA for prior verification |  |  |  |
| External verification feedback from previous session |  |  |  |
| Resources and equipment required for assessment |  |  |  |
| Accessibility — any barriers to assessment, assessment arrangements |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| Other understanding standards activities undertaken | Discussed Yes/No/ N/A | Comments/action points (by whom, by when) | Action completed (initial and date) |
| CPD events |  |  |  |
| Network with other delivery centres |  |  |  |
| Other |  |  |  |

|  |  |
| --- | --- |
| Internal verification sampling criteria/plan | |
|  | |
| Internal verification planned activities | |
| Sampling dates |  |
| Meeting dates |  |

*Copied to all assessors and internal verifiers*

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (Internal Verifier)

**Appendix 3**

## Internal Prior Verification of Assessment Record

|  |  |
| --- | --- |
| Qualification |  |
| Level |  |
| Unit name |  |
| Unit code |  |
| Outcomes covered by assessment |  |
| Adapted version of SQA assessment or new centre-devised assessment |  |
| Assessor (who wrote assessment) |  |
| Internal verifier |  |

Approaches to assessment should be valid, reliable, practicable, equitable and fair. Each of these principles is explained briefly below.

**Validity** — this is a measure of the accuracy of the approach to assessment; that it is appropriate for its purpose and does what it is intended to do in terms of measuring attainment against outcomes and assessment standards.

**Reliability** — this is concerned with the extent to which the approach to assessment ensures judgements will be consistent from one candidate to the next; from one assessor to the next and from one occasion to the next (eg with a different assessor). Information for assessors on judging evidence supports reliability.

**Practicability** — the approach to assessment is designed so that it is relatively easy to set up and conduct without undue demand on centres, assessors and learners in terms of, for example, context and required resources.

**Equitability and fairness** — assessments must be accessible to all candidates who have the potential to succeed in them and offer candidates equal opportunities to succeed.

|  |  |  |
| --- | --- | --- |
| Checklist questions | Yes/No | Comments |
| Will the assessment allow candidates to achieve the Outcomes? |  |  |
| Does the assessment ensure that candidates are not over-assessed? |  |  |
| Have sample solutions/marking scheme been provided? |  |  |
| Will the assessment allow consistent assessment judgements to be made? |  |  |
| Will the sample solutions/marking scheme provide clear and accurate guidance to assessors? |  |  |
| Will the assessment be practicable to implement with the available resources? |  |  |
| Are there any barriers to assessment for any groups (eg language used, cultural bias, adaptable format)? |  |  |

##### Outcome

|  |  |
| --- | --- |
| Assessment accepted (see note below) |  |
| Assessment not accepted (see action points below) |  |

**NB** SQA strongly recommends that centre-devised assessments are also submitted to SQA for prior verification. This is not required if it is an adapted assessment which is not significantly different from an assessment on the SQA secure site.

Send assessment to SQA for prior verification: **Yes/No**

|  |  |  |  |
| --- | --- | --- | --- |
| Actions to be taken | Action by whom | Action by when | Action completed |
|  |  |  |  |
|  |  |  |  |

*Copied to assessor*

**Signed:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (Internal Verifier)

**Date:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Appendix 4**

## Record of Internal Verification Activities During Delivery

|  |  |
| --- | --- |
| Qualification/ Verification Group |  |
| Level |  |
| Unit(s) |  |

**Checklist of issues for consideration during the year**

|  |  |
| --- | --- |
| Issue | Date discussed |
| Any changes to approach to assessment since pre-delivery meeting |  |
| Standardisation activities undertaken and any issues arising from these |  |
| Feedback from internal verification sampling, eg parity of standards between assessors, borderline candidates |  |
| Updates, eg from SQA Qualifications Development |  |
| Evidence required for SQA Qualification Verification (if selected) |  |
| Feedback on SQA Qualification Verification (if selected) — required actions and/or any recommendations |  |
| Review of resources and equipment for assessment |  |
| Candidates requiring special assessment arrangements |  |
| Agreement of final Unit results |  |

**Actions**

|  |  |  |  |
| --- | --- | --- | --- |
| Action | By whom | By when | Completed |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

**Post-delivery review**

|  |  |  |  |
| --- | --- | --- | --- |
| Date | Issue | Decision | Comment |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

*Copied to all assessors and internal verifiers*

**Appendix 5**

## Assessor Monitoring Record

|  |
| --- |
| **Name of internal verifier**: |
| **Name of assessor**: |

**Planning** **YES NO**

|  |  |  |
| --- | --- | --- |
| a) Plans assessments effectively |  |  |

**Assessing YES NO**

|  |  |  |
| --- | --- | --- |
| b) Interprets outcomes reliably and in relation to other assessors  c) Applies principles of validity, authenticity, reliability, currency, and sufficiency (VARCS)  d) Applies relevant health, safety and environmental protection |  |  |

**Candidate support YES NO**

|  |  |  |
| --- | --- | --- |
| e) Maintains an effective working relationship with candidates  f) Candidate reviews are effective and frequent  g) Constructive advice/feedback is given to candidates at appropriate intervals  h) Assessment decisions and next stages of the assessment process are clearly explained to candidates |  |  |

**Internal quality assurance YES NO**

|  |  |  |
| --- | --- | --- |
| i) Conforms to all quality assurance procedures  j) Contributes to standardisation procedures  k) Works in line with L&D9 Standard and Assessment Strategy requirements |  |  |

|  |  |
| --- | --- |
| **Assessor observation of assessment practice**:  Site: | |
| **Feedback to assessor**:  *Next monitoring date* | |
| **Internal verifier signature**: | **Date**: |
| **Assessor signature:** | **Date**: |

**Appendix 6**

## Internal Verification Record of Sampling of Units

|  |  |
| --- | --- |
| Unit number |  |
| Unit name |  |
| Level |  |
| Name of internal verifier(s) |  |
| Name of assessor(s) |  |
| Date of sampling |  |
| Outcomes covered |  |

**Reason for sampling (please tick)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Routine |  | New or inexperienced assessor |  | New assessment |  |
| New unit |  | Action from previous verification |  | Action from external verification |  |

|  |  |
| --- | --- |
| Number of groups |  |
| Total number of candidates |  |
| Number of candidates sampled (identify candidates on results record) |  |
| Correct unit specification used |  |
| Up-to-date assessment used |  |
| Assessor judgement of candidate evidence is fair and consistent |  |

|  |
| --- |
| Comments/feedback to assessor |
|  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Action Required | By whom | By when | Action completed and confirmed by internal verifier | |
|  |  |  | Initials | Date |
|  |  |  |  |  |

Can results be submitted for this delivery of the unit? Yes/No

If No, further sampling required:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (Internal Verifier)

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Appendix 7**

## Internal Verification Record of Sampling of Candidates

|  |  |
| --- | --- |
| Candidate name |  |
| Unit number(s) |  |
| Unit name(s) |  |
| Level |  |
| Name of internal verifier |  |
| Name of assessor |  |
| Date of sampling |  |
| Outcomes covered |  |

**Reason for sampling (please tick)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Routine |  | New or inexperienced assessor |  | New assessment |  |
| New unit |  | Action from previous verification |  | Action from external verification |  |

|  |  |
| --- | --- |
| Correct unit specification used |  |
| Up-to-date assessment used |  |
| Assessor judgement of candidate evidence is fair and consistent |  |

|  |
| --- |
| Comments/feedback to assessor |
|  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Action required | By whom | By when | Action completed and confirmed by internal verifier | |
|  |  |  | Initials | Date |
|  |  |  |  |  |

Can results be submitted for this candidate? Yes/No

If no, further sampling required: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (Internal Verifier)

Date:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Appendix 8**

## Internal Verification Self-assessment and Evidence Log

**Centre:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Qualification** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

| Internal verification stage | Internal process | Staff involved | Records (\*to be provided for SQA verification) | Comments/gaps |
| --- | --- | --- | --- | --- |
| Pre-delivery |  |  |  |  |
| Allocation of roles for assessing and internally verifying units |  |  |  |  |
| Checking most up-to-date SQA documents being used (eg unit specification, assessment strategy or exemplars) |  |  |  |  |
| Understanding standards and conditions prior to assessment |  |  |  |  |
| Internal verification of own centre-devised assessments and prior verification by SQA (if applicable) |  |  |  |  |
| Providing information to candidates on assessment and re‑assessment policy |  |  |  |  |
| During delivery |  |  |  |  |
| Sampling of candidates’ assessments/portfolios |  |  |  |  |
| Feedback to assessors on assessment sampled |  |  |  |  |
| Monitoring of assessment practice |  |  |  |  |
| Ongoing standardisation |  |  |  |  |
| Reviewing and acting on feedback from SQA verification |  |  |  |  |
| Dealing with specific queries from assessors or candidate appeals |  |  |  |  |
| Post-delivery |  |  |  |  |
| Reflecting on internal assessment and verification and planning for next delivery |  |  |  |  |