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for counsellors

Guide to Internal Moderation (IM), Internal Verification (IV) and Internal Quality Assurance (IQA) for Centres 2023 - 2024



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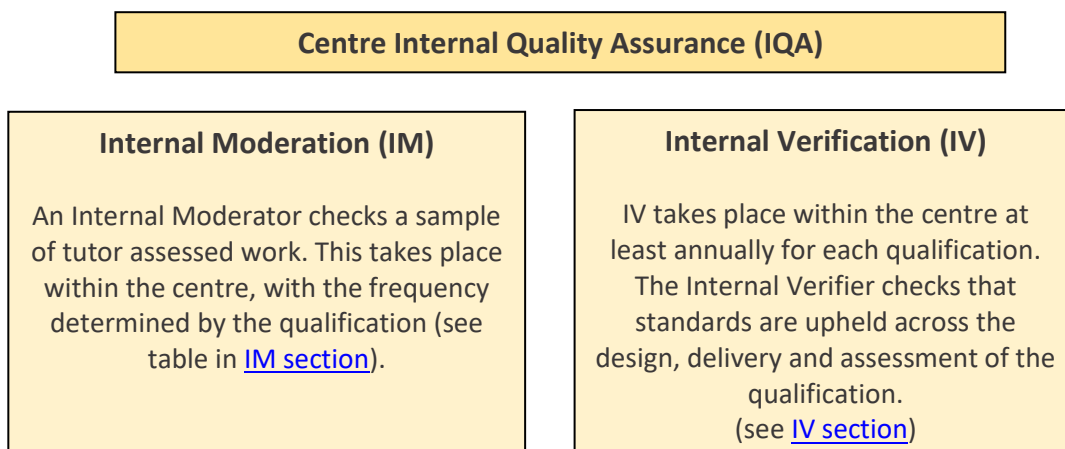
1. Introduction: What is Internal Quality Assurance (IQA)?

CPCAB are required by its regulators to have a Centre Assessment Standards Scrutiny Strategy (CASS) in place that outlines how CPCAB monitor the assessment decisions made on its behalf by centres and tutors. This document outlines the expectations regarding Internal Moderation (IM) and Internal Verification (IV) and offers some guidance on how frequently this needs to take place and the type of activities that meet requirements.

What is Internal Quality Assurance?

Every approved CPCAB centre will have their own Internal Quality Assurance (IQA) processes which ensure that qualification delivery and assessment is conducted according to CPCAB qualification requirements. These requirements ensure that delivery and assessment is at a common national standard.

Internal Moderation and Internal Verification are two elements of an overarching Internal Quality Assurance process:



All CPCAB qualifications must go through the IQA process, where assessed work is **internally** moderated and verified within the centre. Centre IQA processes are in turn quality assured **externally** by CPCAB and, dependent on the qualification, will either go through External Verification, via a visit from your External Verifier or Independent Verification by CPCAB.

This guidance and additional documentation/templates is designed to support centres and tutors on the IQA processes CPCAB expect centres to follow. Each centre has its own autonomy in the system and processes it has designed that meet its needs; this guidance document is not intended to dictate a rigid set of rules to follow. Rather it provides a guide to the minimum requirements expected.

2. Internal Moderation

One component of a robust IQA process is Internal Moderation (IM). CPCAB monitors that this has taken place within centres through activities such as External Verification (EV) visits and Independent Verification.

What is Internal Moderation?

Internal Moderation is where an appropriately qualified person at the centre reviews tutor assessment decisions to ensure they are reliable, consistent, fair and meet the national minimum qualification standards. The Internal Moderator checks that the qualification requirements have been understood and that the candidate has been given accurate and appropriate feedback.

The Internal Moderator role involves:

- Selecting a sample of candidate work for each registered tutor and reviewing assessment decisions
- Commenting on the standard and consistency of the assessment and feedback given by the tutor
- Ensuring assessment decisions are fair, ethical and consistent
- Reading and evaluating the tutor feedback to the candidate
- Evaluating the tone of the feedback, looking for acknowledgement and support for the candidate
- Ensuring that the tutor has given specific feedback to ensure the candidate knows what they have to do to meet the learning outcomes
- Ensure that the tutor has provided feedback that stretches the candidate where appropriate
- Ensuring the tutor is assessing at the correct level
- Producing an IM Report that outlines findings and provides developmental recommendations to the tutor to continually improve practice
- Sharing this report with the tutor, centre, Internal Verifier and CPCAB's External Verifier or Independent Verifier

The Internal Moderator is expected to have recognised teaching/assessment qualifications or their equivalent (see [Appendix 1](#)) and needs to be qualified in the subject area they are internally moderating. They should be teaching and assessing (or have taught and assessed) at that level or at

least one level above the qualification level they moderate. If appropriately qualified, the same person can internally moderate and verify, providing they are not also assessing the same group.

How frequently should Internal Moderation take place?

This will depend on the qualification:

QUALIFICATION	HOW OFTEN SHOULD INTERNAL MODERATION TAKE PLACE?
USM-L2, ELSK-L2, OPCP-L5	<p>Internal Moderation must take place for every candidate group. This takes place before uploading Internal Assessment results onto the portal and before submitting samples to CPCAB for Independent Verification. Evidence of Internal Moderation should be sent to CPCAB alongside the samples and documentation being sent for Independent Verification</p>
ICSK-L2	<p>Internal Moderation must take place for every candidate group. This takes place before uploading Internal Assessment results onto the portal but IM evidence <i>does not</i> have to be sent to CPCAB. All Internal Moderation records must be kept within the centre and must be available on request, where appropriate, during annual EV visits, alongside a sample of 30% or 4 candidate portfolios (whichever is greater) for each cohort.</p>
CSK-L2, CST-L3, CAST-L3, LCS-L3, TC-L4, TC-L4 (BACP APQ), LC-L4, PC-L5, CYP-L5, CBT-L5, TCSU-L6	<p>Internal Moderation takes place annually but not necessarily for every cohort. CPCAB expect centres to complete annual IM for every qualification it offers and this must cover every registered tutor who is assessing candidate work. For example:</p> <ul style="list-style-type: none"> • if a centre is running 4 CSK-L2 groups a year and this is delivered by the same tutor, CPCAB will require to see that Internal Moderation has taken place at some point in the year for that tutor on at least one of those groups. • if a centre is delivering 6 CSK-L2 groups a year which is delivered by three different tutors, CPCAB will require to see that Internal Moderation has taken place for each of those tutors for that qualification. • if a tutor within a centre is delivering CSK-L2, CST-L3 and CAST-L3, CPCAB will require to see that Internal Moderation has taken place for that tutor on each of those qualifications. <p>Internal Verification activities must also take place annually for every qualification it offers.</p>

How to select a sample for Internal Moderation

The moderator will see a sample of candidate work to ensure that the assessor is marking consistently and fairly across the candidate group. The size of the sample will depend on the centre and the group, but should consist of **30% or four portfolios**, whichever is the greater number. The sample should include a diverse selection of assessed candidate work (reflective written work, observation reports, self-reviews) and from a range of abilities (work from the stronger, middle range and weaker candidates in the group). This enables a rich sample of assessment decisions to be moderated and evaluated.

The moderator should complete a sampling grid that shows:

- All the candidates who are registered within that group
- The type of assessment evidence OR the assessment criteria being reviewed
- Which candidate's work has been selected for sampling

An example of a sampling grid is provided in [Appendix 2](#) and can be adapted for any CPCAB qualification.

Internal Moderation Report

Whilst moderating a selected sample the Internal Moderator will complete a moderation report. The style of report may differ across centres (CPCAB offer a pro-forma which is available in [Appendix 3](#)). This report will provide detailed feedback to the assessor on the feedback they have given to candidates, whether they agree with the assessment decision and provide any areas for improvement. There may occasionally be times where an Internal Moderator does not feel the evidence supplied by the candidate is sufficient for that assessment criteria; here the moderator is able to go back to the assessor and to encourage them to liaise with the candidate in evidencing stronger work for assessment.

CPCAB expect centres to hold copies of Internal Moderation reports for their External Verifier to review when they visit, and when submitting work to be Independently Verified for USM-L2, ELSK-L2 and OPCP-L5 centres are required to submit Internal Moderation Reports alongside sampled work.

3. Internal Verification

What is Internal Verification?

Internal Verification (IV) is the 'BIG' picture and gives an overview of the whole process of developing, delivering, assessing and moderating qualifications; it is the process of ensuring that quality assurance systems are being maintained within the centre. It is a way for centres to check that courses are being delivered to the required standard and meeting the awarding body requirements and the needs of candidates.

Internal Verification activities enable all staff involved in delivery to understand what is required by them and others in the team and ensures that candidates receive the required standard of training and assessment within the centre. The IV process can also highlight areas of strength and weakness, so that the centre can build on what they have done well and explore ways of developing delivery.

The main role of the Internal Verifier is to plan the monitoring of assessment activities and when this will take place within the centre. They support and work with the teaching and assessment team to develop and maintain assessment procedures and facilitate good practices.

What are "Internal Verification activities"?

Examples of Internal Verification activities include (but are not exhaustive):

- Promoting a culture within the centre of best assessment practice
- Ensuring everyone involved in the assessment process are aware of new developments, new requirements or changes in assessment practice
- Continually reviewing course planning, delivery and assessment and mapping these to sector changes and emerging technology
- Ensuring tutor standardisation requirements have been met annually
- Monitoring the standardisation of assessment; this can include activities such as cross-marking between tutors, peer observations of teaching and learning, and centre standardisation days
- Provide developmental feedback to tutors and assessors
- Sample assessment records and ensure Internal Moderation is taking place to the frequency required
- Ensuring tutors keep up to date with Continuous Professional Development (CPD)
- Ensuring tutors and assessors are appropriately trained and supported
- Ensuring all centre records are up to date, and that record keeping processes are followed
- Confirming with tutors/advisers/assessors that national standards and awarding organisation requirements are being maintained
- Ensuring the required samples of work have been made available to the External Verifier

Who can be an Internal Verifier?

The Internal Verifier is expected to have recognised IQA qualifications or their equivalent (See [Appendix 1](#)). For CPCAB qualifications, the Internal Verifier does not have to be a practising counsellor or subject specialist, but they are likely to be a manager who oversees the delivery of qualifications and checks that all the course requirements are being met. It is particularly useful for the Internal Verifier to be familiar with CPCAB's qualification structure, Internal Assessment requirements and associated documentation.

Frequency of IV and Internal Verification Plans/Checklists

For all CPCAB qualifications, Internal Verification activities must take place annually for each qualification. These activities can take a variety of forms and CPCAB do not prescribe how many need to take place, nor what the activities are, but there must be evidence that robust Internal Verification has happened.

Most centres will have their own forms, checklists and feedback sheets for Internal Verification activities. The proforma in [Appendix 4](#) is offered as an example, which can be adapted to individual centre needs.

4. Best Practice - IQA Folder

All centres will have their own IQA processes which they follow. Below is an example of an IQA folder structure, to help support this process and to ensure your external verifier has access to relevant documents when they visit. (Note this can be tailored to meet your own centre's requirements).

Create an IQA folder, with the following sections:

Tutors

Standardisation of tutors - A record that tutor standardisation requirements have been met.

CPD of tutors.

Team meeting documentation: Minutes of meetings held with staff.

Induction of new tutors.

Candidates

Candidate induction process and learner induction documentation (including IT systems, e.g. Google Classroom)

Candidate registrations

CPCAB Candidate Guides

Candidate attendance records
Tracking of candidate achievements
Assessment Record Sheet, Reasonable Adjustments/ Special arrangement forms (CR3, CR3A).
Evidence Tracking Sheets
End of course questionnaires

Courses

Timetables and Schemes of Work
Qualification Specifications – CPCAB Tutor Guides

IQA Processes

IQA Sampling Strategy
IQA (IM) sampling plans and IM reports (see appendices 2 and 3).
Internal Verification Checklists (see appendix 4)
Assessor and IQA Handbook

Appendix 1. TAQA Qualifications

TAQA qualifications were introduced in 2010 and are replacements for the earlier IM/IV qualifications. The terminology for internal verification is commonly referred to as Internal Quality Assurance (IQA), and assessor training is often referred to as IQA qualifications. In 2014 the Education and Training Foundation introduced a set of standards for teaching and assessing, and these have been updated in 2022. The Professional Standards for Teachers and Trainers have been developed with sector professionals and experts to support and inspire professional learning and career development.

T	Training	(AET, CET, DET)
A	Assessment	(TAQA level 3 awards)
Q	Quality	(TAQA level 4 awards)
A	Assurance	

Who are they for?

People who carry out assessment and quality assurance in FE, Adult learning, Employers, third sector and workplace. They are appropriate for those involved in assessment and quality assurance of qualifications on the Regulated Qualifications Framework (RQF).

What do they replace?

TAQA qualifications replace the previous City and Guilds 6317 suite (which replaced the 7317 suite) which included the A1, D32, D33 (assessors) and V1, D34 (verifier) qualifications.

Do people have to re-train?

There is no mandatory requirement to re-qualify, re-train/upskill if you hold prior qualifications. All predecessor qualifications are recognised as equivalent.

Summary of assessor and quality assurance qualifications (old and new)

Role	Previous qualifications	TAQA qualifications
Assessment Moderation	A1, D32, D33	<ul style="list-style-type: none"> ✓ L3 Award in Understanding the Principles and Practices of Assessment (501/1648/4) ✓ L3 Award in Assessing Competence in the Work Environment (501/1676/9) ✓ L3 Award in Assessing Vocationally Related Achievement (501/1677/0) ✓ L3 Certificate in Assessing Vocational Achievement (501/1679/4)

<p>Internal Verification</p> <p>IQA</p>	<p>V1, D34</p>	<ul style="list-style-type: none"> ✓ L4 Award in Understanding the Internal Quality Assurance of Assessment Processes and Practice (501/1649/6) ✓ L4 Award in the Internal Quality Assurance of Assessment Processes and Practice (501/1678/2) ✓ L4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice (501/1680/0)
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Appendix 2. Example Internal Moderation Sampling Grid

Candidate name	Assignment 1	Ass 2	Case study 1	Learning review 1	Learning review 2	Self review 1	Self review 2	Essay
Alan (1)	*				*			
Betty								
Connie (2)		*				*		
Debbie								
Ella (3)			*				*	
Fran								
Gill								
Hilary (4)				*				*
Ian								
Jaquie								

* = Assignment designated for internal moderation for the candidate concerned

Please note that the above pro forma can be adapted for any CPCAB qualification.

Appendix 3. Example Internal Moderation Report

Candidate:

Name of moderator:

Name of assessor:

Qualification:.....

Evidence moderated:

Feedback from the moderator to the tutor/assessor, commenting on the tutor's standard of assessment and feedback comments. This can include:

- Does the tutor acknowledge that the candidate's work meets the assignment brief?
- Is the accuracy and consistency of the assessment in line with the level of the qualification?
- Does the evidence submitted meet the assessment criteria listed (if relevant)?
- Is there specific guidance as to how the candidate could improve their work?

Feedback from the moderator to the tutor/assessor, evaluating the tutor's approach to feedback. This can include tone, language (is it appropriate to this candidate group and level), is it supportive, constructive, developmental, encouraging, affirming when appropriate, in a "sandwich"? Any other comments.

Signed (Internal Moderator):

Date:

Appendix 4. Sample Internal Verification Checklist

Qualification:..... Internal Verifier:

Tutor (s) delivering qualification

Start date: End date:

1	Tutor information	v	Notes
1a	Does the tutor have access to the CPCAB website and Tutor Guide for the qualification?		
1b	Has the tutor attended CPCAB standardisation training?		
1c	Is the tutor aware of centre systems for supporting course delivery e.g. registering candidates, recording assessment results of qualifications, IM/IV/IQA?		
1d	Is there a scheme of work and all lesson/session plans in place?		
1e	Is tutor aware of other sources of information and support available for staff in the centre?		
2	Candidate information		
2a	Do all candidates have a CPCAB Candidate Guide?		
2b	Do all candidates know about the CPCAB website?		
2c	Do all candidates have a course outline and all the course requirements?		
2d	Are candidates aware of the CPCAB model?		
3	Candidate support		
3a	Are all tutors aware of CPCAB guidelines for requesting/notifying Reasonable Adjustments and Special Arrangements?		
3b	Are candidates made aware of additional supports within the centre - i.e. IT facilities, support for additional learning needs?		
3c	Have referrals been made to learning support where necessary?		

4	Assessment processes	
4a	How are candidates prepared for the assessment process (both internal and external where applicable)?	
4b	How does the tutor keep records of each candidate's assignments/assessment decisions?	
4c	Is there a tracking system for monitoring candidates' progress?	
4d	Is there evidence of the assessment of candidates' work by a tutor?	
4e	Are candidates tracking their own learning?	
4f	Are the candidates using Criteria Assessment Sheets (CAS)/centre tracking sheets?	
4g	Is all coursework completed and marked?	
4h	Are the Candidate Learning Record Completion Statements completed and signed by the candidate and the tutor?	
5	Moderation of assessment	
5a	Is the tutor aware of roles and responsibilities in assessment, moderation, verification and overall IQA?	
5b	What was the sampling method used for moderation of the candidates' portfolios?	
5c	Does the tutor give effective feedback when assessing work?	
5d	Is the tutor marking consistently according to the CPCAB standards and assessment criteria?	
5e	Are there any areas for concern regarding the standard/consistency of assessment?	
5f	What processes/support have been put in place to address these concerns?	
5g	Is the tutor aware of dates/requirements for CPCAB external verifier (EV) visit?	
6	Overall evaluation	
6a	What do the candidates think/feel about the course?	
6b	What do tutors think/feel about the course?	
6c	What could be improved?	
6d	Are there any issues arising from the CPCAB external verifier report that need addressing?	

