



etb

Bord Oideachais agus
Oiliúna Dhún na nGall
*Donegal Education and
Training Board*



Oideachais Aosaigh
Adult Education

Donegal Education and Training Board QQI Quality Assurance System

Quality Assuring Assessment for Programme Co-ordinators

Edition 2: February 2012

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NOTE: The running order of appendices 1-13 is based on the order the Programme Co-ordinator will complete the assessment process.

NOTE: The assessor is the teacher, tutor, trainer or lecturer.

This is Edition 2, which was amended following feedback and subsequent consultation from the QOI Training Session for Programme Co-ordinators on the 25th October 2011. Please remove Edition 1 from handbook (QOI Quality Assurance Programme Co-ordinator) and replace with this document. Soft copies of all documentation is available on the Intranet section of Donegal ETB's Website

www.donegaletb.ie

1. Purpose

The purpose of these guidelines is to assist providers in the development and implementation of quality assured processes and procedures for the fair and consistent assessment of learners. They set out best practice with regard to assessment, authentication, results approval and processing appeals.

Assessment of learners may take place in a range of settings including: classrooms, the workplace, on the job, community setting or by computer based/e-assessment. The QQI assessment guidelines are applicable to all types of delivery and assessment settings.

1.1 Introduction

The Further Education & Training Awards Council (QQI) was established June 2001 under the Qualifications (Education & Training) Act 1999. It is the single national awarding body for the further education and training sector in Ireland. QQI makes awards to learners on a vast range of programmes offered by many different types of providers.

The Act sets out the functions of QQI. These include ***making awards, determining standards, agreeing providers' quality assurance, validating providers' programmes, and monitoring and evaluating the quality of programmes.***

Specifically Section 14 requires QQI ***to make awards and to determine the standards of knowledge, skill or competence to be acquired by the learner for the purpose of making an award.***

Section 14 also requires QQI to monitor and evaluate the quality of programmes of education and training in respect of which ***awards are made and to ensure that providers establish procedures for the assessment of learners which are fair and consistent and for the purpose of compliance with standards*** determined by the Council.

1.2 Context

QQI published its Providers Quality Assurance policy in 2004 (see www.QQI.ie/qa/default.htm). By 2007 over 800 providers equating to over 1000 centres have submitted their Quality Assurance to QQI for agreement.

In 2006 QQI published its policy on Quality Assuring Assessment (see www.QQI.ie/assessment/default.htm). This policy provides a framework for the quality assurance of assessment. ***The framework includes the publication of Award Specifications, the Quality Assuring Assessment Policy; Guidelines for Providers and Guidelines for Internal Verifiers and External Authenticators.***

By 2008 all registered quality assured providers are required to have in place robust quality assurance procedures to oversee, verify and authenticate their assessment procedures.

The new processes for developing awards outlined in QQI's policies on: Determining Standards (www.QQI.ie/standards/default.htm) and the Common Award System (CAS) (www.QQI.ie/cas/default.htm) will be phased in from 2007. The Standards Advisory Board was established in March 2007. This will be followed by the establishment of a number of Standard Development Groups. An Awards Plan will be published. The plan will outline what awards are in development and when they will be available. Award Specifications will be published for all named awards. The Specifications will outline the national standards for the named award. The standards are stated in terms of learning outcomes. Once new

common awards are available providers are required to submit their programmes leading to these awards to QQI for validation. See QQI policy on validation of programmes www.QQI.ie/validation/default.htm.

Currently, the standards i.e. the learning outcomes (SLO) are set in the Module Descriptors or in other forms. Over time, the module descriptors will be phased out and will be replaced by revised standards in the form of Awards Specifications.

2. Quality Assuring Assessment

Assessment for QQI awards is *criterion-referenced* i.e. learners are assessed and the assessment judgment is made based on whether the learner has reached the required national standards of knowledge, skill and competence for the award. National standards identify the knowledge, skill and/or competence that must be attained by a learner in order to achieve a specific award. These standards are expressed as learning outcomes and are outlined in the Award Specification (or Module Descriptors) for each named award. The Award Specification will also identify valid and reliable techniques for the assessment of learner achievement.

Quality assured assessment ensures learner achievement is assessed in a fair and consistent way in line with the national standards for the award.

Quality will be assured through establishing an *assessment framework* for providers which includes:

- the publication of nationally developed award standards (in the form of the Award Specification), including valid and reliable assessment techniques
- the publication of assessment guidelines
- providers' quality assurance including their procedures for fair and consistent assessment of learners
- the validation by QQI of assessment arrangements per programme
- the provider's own self evaluation procedures
- national monitoring by QQI.

2.1 Principles

The following principles underpin QQI's policy on quality assuring assessment

Validity

Validity is a key principle which underpins assessment. A valid assessment means that the assessment should measure what it is supposed to measure i.e. only the standards of knowledge, skill or competence required for the award should be assessed. An assessment is valid when it;

- is fit for/appropriate to the purpose (i.e. a practical assessment should be used to assess practical skills)
- allows the learner to produce evidence which can be measured against the standards
- facilitates reliable assessment decisions by assessors
- is accessible to all candidates who are potentially able to achieve it.

Reliability

Reliability refers to the accuracy with which an assessment measures the skill or attainment it is designed to measure. An assessment which is unreliable cannot be valid. A reliable assessment consistently gives the same result under similar conditions. A reliable assessment produces reliable assessment decisions. To be reliable an assessment must:

- be based on valid assessment techniques
- ensure evidence is generated under consistently-applied conditions of assessment
- ensure reliability of learner evidence
- produce consistent decisions across the range of assessors applying the assessment in different situations and contexts and with different groups of learners
- be consistent over time

Fair

A fair assessment in addition to being valid and reliable provides equity of opportunity for learners. Unfairness in assessment is based on unequal opportunities i.e. lack of resources/equipment, inappropriate techniques, inexperienced assessors. For assessment procedures and practices to be fair and equitable for learners the influence of these factors must be taken into account in the design and implementation of assessment.

Quality

Quality is a key principle in ensuring the credibility and status of QQI awards. Quality will be assured through the publication of national award standards, the providers' own quality assurance, the establishment of an assessment framework, programme validation, the process of self-evaluation and national monitoring by QQI.

Transparency

A transparent assessment policy and guidelines will ensure clarity and understanding by all relevant stakeholders. This will include clear and unambiguous definitions and requirements with regard to fairness, consistency, validity and reliability.

Complementarity

The principle of complementarity acknowledges the separate and distinct roles of the provider and QQI in the context of their explicit responsibilities relating to assessment as outlined in the Qualifications Act.

2.2 Policy

QQI will ensure that providers operate fair and consistent assessment policies and practices by publishing - Award Specifications, a policy and guidelines on assessment, quality assuring providers' assessment processes and procedures, validating programmes including assessment arrangements and monitoring their fair and consistent implementation nationally.

QQI monitors providers, their programmes and the attainment of national standards to ensure the effective implementation of fair and consistent assessment within and across the totality of providers.

QQI will put in place internal quality systems and processes including an integrated ICT system for the processing of results received from providers and will operate a National Appeals Process.

Providers are required to put in place the following:

- an Assessment Process
- an Authentication Process
- a Results Approval Process for the processing the approval of results
- an Appeals Process.

2.3 Provider's Assessment Process Overview: 5 Key Stages

1. Assessment

- implement assessment policies & procedures
- devise assessment instruments, marking schemes and assessment criteria
- assess and judge learner evidence
- record outcome



2. Authentication Process

a) Internal Verification

- verify that all assessment procedures have been applied
- monitor the outcome of the Assessment Process i.e. the assessment results on a sample basis

b) External Authentication

- assign an external authenticator per award based on broad award/field of learning expertise
- external authenticator to moderate assessment results by sampling learner evidence according to the providers own sampling strategy



3. Results Approval

- establish a Results Approval Panel
- approve and sign-off assessment results
- make results available to learners



4. Appeals Process

- establish a Appeals Process
- allow a minimum of 14 days for learners to lodge an appeal of the assessment process or result
- process all appeals



5. Request for Certification

- submit all learner results to QQI
- when doing so, flag results under appeal

2.4 Quality Assuring Assessment: Summary

This table summarises the key elements and roles within Assessment, Authentication and the Result Approval Processes.

Elements	Assessment	Internal Verification	External Authentication	QQI Monitoring
Definition	<ul style="list-style-type: none"> Process by which learner achievement is judged in line with the national standards of knowledge, skill and competence for the award as outlined in the Award Specification. Assessment should be consistent with and implemented according to the quality assured requirements of QQI as set out in the providers own documented procedures 	<ul style="list-style-type: none"> Internal verification is the Process by which the provider's assessment policies and procedures relating to planning, managing and operationalising all aspects of assessment practices will be internally verified i.e. monitored by the provider itself. any deviations will be identified and rectified 	<ul style="list-style-type: none"> Process by which the provider and other stakeholders will be assured that its internal Assessment Process and procedures are consistent with best national practice and that the assessment results are consistent with national standards across providers. Any deviations will be identified and rectified 	<ul style="list-style-type: none"> Monitoring is the Process by which QQI and learners will be assured of the implementation of best practice in assessment across providers and by which the attainment of national standards will be monitored.
Elements	Assessment Assessors will	Internal Verification Internal Verifiers will:	External Authentication External Authenticators will:	QQI Monitoring Monitors will:
Roles	<ul style="list-style-type: none"> implement the provider's assessment procedures devise assessment instruments, marking schemes and assessment criteria mark/judge learners evidence record results 	<ul style="list-style-type: none"> check adherence to provider's assessment procedures monitor results through sampling identify any irregularities 	<ul style="list-style-type: none"> be appointed based on award/ field expertise be independent of the centre ensure adherence to QQI assessment requirements sample assessment evidence review internal verification report moderate results make recommendations for improvements 	<ul style="list-style-type: none"> be professionally trained, independent agents of QQI be regionally (not subject matter)based among other things, audit results approval Process within the providers quality assurance agreement

Elements	Assessment Assessors will	Internal Verification Internal Verifiers will:	External Authentication External Authenticators will:	QQI Monitoring Monitors will:
Results Approval Process	<ul style="list-style-type: none"> maintain documentation ensure records, documentation and learner evidence are available for internal verification and external authentication 	<ul style="list-style-type: none"> produce reports to confirm accuracy of Process and results 	<ul style="list-style-type: none"> produce reports to provide independent confirmation on the accuracy of results 	<ul style="list-style-type: none"> evaluate the reports of verifiers and authenticators
Frequency	<ul style="list-style-type: none"> All occurrences of assessment 	<ul style="list-style-type: none"> All procedures of Assessment Sample of learner results 	<ul style="list-style-type: none"> Sample of occurrences on all awards over a period of time 	<ul style="list-style-type: none"> As prescribed in National Monitoring Plan
Reports	<ul style="list-style-type: none"> Provide Learner Results 	<ul style="list-style-type: none"> Verification Report 	<ul style="list-style-type: none"> Authentication Report 	<ul style="list-style-type: none"> Provider's activities re results and results approval are part of the monitoring report devised by QQI's monitors
Who briefs?	<ul style="list-style-type: none"> Responsibility of the Provider 	<ul style="list-style-type: none"> Responsibility of the Provider QQI will hold briefing sessions 	<ul style="list-style-type: none"> Responsibility of the Provider QQI will hold briefing sessions QQI will provide guidelines for authenticators 	<ul style="list-style-type: none"> Responsibility of QQI QQI will contract

3. The Assessment Process

The Assessment Process is the process of judging learner achievement in relation to the standards of knowledge, skill and competence so that the successful learner may receive an award.

3.1 The Assessor

The role of the assessor is to evaluate learner evidence and make the decision on whether the outcomes of knowledge, skill or competence as outline in the Module Descriptor have been achieved, The assessor must determine that the evidence is valid, reliable and sufficient to make the assessment decision.

The specific responsibilities of the assessor are to:

- Implement the provider's assessment procedures across all assessment activities
- Provide opportunities for learner to generate appropriate evidence
- Design assessment instruments
- Devise marking schemes and grading criteria
- Review and judge learner evidence
- Make the assessment decision
- Provide information and feedback to learners

4. Authentication Process

As part of the assessment framework, QQI's policy on Quality Assuring Assessment requires providers to put in place an **Authentication Process**.

4.1 Purpose

The purpose of the Authentication Process is to ensure fairness, consistency and validity of assessment and of the outcome of assessment i.e. learner results across each major, special purpose, or supplement award. The Authentication Process will ensure that QQI receive accurate and quality assured learner results.

The Authentication Process established by the provider must include;

- internal verification
- external authentication.

4.2 Internal Verification

The internal verification process involves;

- verifying that the provider's assessment procedures have been applied across the range of assessment activities
- and
- confirming assessment results by checking learner evidence exists and marks and grades are recorded accurately

Internal verification of assessment procedures and assessment results takes place on a sampling basis. The sample will be based on the provider's own sampling strategy appropriate to local context.

The outcome of the internal verification process is an internal verification report. This report will be available to the external authenticator and results approval panel and will provide an auditable trail for QQI monitoring.

The internal verifier will need to be familiar with; the provider's quality assurance agreement and procedures, specifically the procedures for:

- Fair and consistent assessment of learners
- Internal verification
- External authentication
- Results approval processes

The internal verifier will also need to be familiar with:

- assessment requirements of the appropriate award standards
- agreed assessment arrangements in validated programme(s).

4.2.1 Role of Internal Verifier

The role of the internal verifier is to:

- check adherence to the provider's quality assuring assessment procedures
- check results are recorded for *all* learners being entered for the award
- confirm the accuracy of assessment results for a *sample* of learner evidence
- identify and correct any errors
- note any irregularities and take corrective action
- produce an internal verification report

As part of the provider's own authentication and results approval processes, the internal verifier may be required to participate in and attend results approval panel meetings as appropriate.

4.2.2 Verifying Assessment Procedures

The internal verifier will check adherence to the provider's assured assessment procedures; this will be carried out by verifying that:

- the provider's assessment policies and procedures are implemented across all programmes they are responsible for
- learner evidence matches the assessment requirements of the award standard by confirming assessment techniques used are appropriate
- learner evidence has been generated as agreed within the validated programme
- information on assessment was provided to learners i.e. submission dates, guidelines/briefs, assessment criteria
- appropriate documentation was issued to learners
- appropriate documentation was used to record learner results

4.2.3 Verifying Assessment Results

Checking and confirming assessment results

For all learners requesting certification the internal verifier will:

- obtain a provisional results report(s) for the learner group(s) (the QQI Business System (FBS) may be used to generate this report). **Computer based training and other resources for FBS can be found at www.QQI.ie/QQI/providers/tools/FBSRollout.htm**
- confirm results are recorded for all learners being entered on the report
- confirm evidence is available for all learner results recorded

If learner results or evidence is missing corrective action will need to be taken as per internal quality assurance procedures.

On a sample of learners the internal verifier will:

- check marks are totalled and percentage marks calculated correctly
- check marks are transferred correctly from learner evidence to learner marking sheet/record
- check percentage marks and grades allocated are consistent with QQI grading bands
- note errors and record corrections made
- identify any irregularities, notify appropriate assessor and take corrective action if required as per agreed procedures
- complete an internal verification report per award per programme. The report should be signed and available on request to the following:
 - the External Authenticator
 - Results Approval Panel
 - QQI monitoring

4.2.4 Exemptions for other Certification

Learners following a programme of learning leading to a QQI (NCVA) Major Award may be exempted from completing some elements of the programme (e.g. learning, assessment) if they can show that they have previously achieved those elements via another nationally recognised and **valid** certification system.

Some exemptions are automatically available (ECDL holders and some Junior/Leaving Certificate holders – see *QQI Guide pages 28 and 36*) but others require the exemption-seeker to make an application directly to QQI.

The outcome of the application is communicated by QQI to the provider. If successful, the provider, when submitting results to QQI (for all learners following the same programme as the applicant) indicates which results were 'attained' (notionally) via the exemption process.

Where results were attained through an exemption process, the Internal Verifier checks;

- 'results' entry procedures are applied correctly and the code assigned by QQI is appropriately entered in the certification system at time of entry.
- all original documentation relating to the exemption (including QQI correspondence) is available.

4.2.5 Claiming an Exemption

Where a provider has a validated programme, they may have learners on that programme who already have one or more existing awards. Where a learner holds an existing component which is referenced to one of the new common award components. It is possible to use the component previously awarded if, and only if, the learner is applying for a major award or special purpose award. Claiming an exemption is a procedure carried out at centre level when entering candidates for certification.

For example, a learner who already has the level 3 component WF0006 Career Information and is applying for one of the new level 3 major awards can use WF0006 to apply for the new component 3N0896 Career Information.

The procedure is as follows:

- The centre informs the learners which, if any, of his/her existing components can be used towards the new major, special purpose or supplemental award s/he is working towards
- For each existing component held, the learner presents the original QQI certificate/transcript to the centre. The centre should verify the codes and titles.
- The centre takes a copy of the certificate(s)/transcript(s) and completes the Exemption Claim Form (see over).
- The centre places the copy and the signed form in the learner's portfolio where they are available for internal verification and external authentication.
- When entering the learner's results, the centre should enter the learner for the new common award component (e.g. 3N0896 Career Information) but should specify that an **Exemption** is being used and should also identify the existing component (WF0006 Career Information) from the list of **Alternates** provided in FBS.

To achieve a new common major or special purpose award a learner must have achieved at least one of the new common awards. The facility to use existing components for exemption purposes will be available **until the end of 2014**. From **January 2015** only common award components may be used to achieve major or special purpose awards.

Components achieved through exemption will be graded as 'Exempt' on a transcript. As the transcript displays the learner's entire QQI award history, the original component used to achieve the exemption will also show on the transcript, with the relevant grade and date awarded.

4.2.6 Preparing for the External Authentication Visit

In advance of conducting an authentication visit, the Authenticator is expected to;

- **plan** and agree the visit arrangements in advance with the provider/centre
- **request** appropriate information

Plan and agree visit arrangements

Once the Authenticator has agreed to conduct the external authentication on behalf of the provider, the next step is to arrange a visit to the centre(s).

It is good practice to prepare an agenda or visit plan in advance and to confirm information required on the day with the provider.

The agenda might include;

- identification of the awards for which results are to be externally authenticated
- plans for sampling learners' evidence (applying the provider's sampling strategy)
- learner evidence that is required on the day
- staff that are required to be available
- feedback to the provider (a brief session providing verbal feedback at the end of the visit)

Request information

Prior to the visit the Authenticator should request that the following information be made available;

- the appropriate award specification(s) for the major, special purpose or supplemental awards for which results are to be authenticated
- list of learner group(s) from which the sample is to be selected
- sampling strategy i.e. how the provider ensures a representative sample is available to the Authenticator and the basis on which the sample is to be selected by the Authenticator
- assessment plan
- internal verification report(s)
- assessment instruments i.e. briefs, examination papers
- marking schemes for specific assessment activities and outline solutions where appropriate
- if authenticating learner evidence from more than one centre, details on how and where learner evidence is to be made available

4.3 External Authentication

External authentication provides independent authoritative confirmation of fair and consistent assessment of learners in accordance with national standards.

It establishes the credibility of the provider's assessment processes and ensures that assessment results have been marked in a valid and reliable way and are compliant with the requirements for the award.

External authentication is undertaken through the assignment of an independent external authenticator by the provider for each major, special purpose and supplemental award. The

external authenticator must be independent of the centre to which they are assigned. The external authenticator will moderate assessment results for an award or across a number of awards within a related field or sub-field of the major, special purpose, supplemental of learning. The external authenticator will have broad subject matter expertise in the appropriate field or subfield to which they are assigned.

The outcome of the external authentication process is an external authentication report which will comment on the effectiveness of the application of the assessment process and procedures and in particular comment on the extent to which the marks/grades conform to national standards.

The external authenticators' reports will be made available to the QQI Monitor.

4.3.1 Role of the External Authenticator

The role of the external authenticator is to provide independent confirmation of fair and consistent assessment of learners in line with QQI requirements and to ensure consistency of assessment results with national standards.

External Authenticators will:

- confirm the fair and consistent assessment of learners consistent with the provider's procedures and with QQI's policy on quality assuring assessment
- review internal verification report(s) and authenticate the findings/outcomes
- apply a sampling strategy to moderate assessment results consistent with QQI requirements.
- moderate assessment results in accordance with standards outlined in the Award Specification
- visit the centre and meet with appropriate staff and learners
- participate in the results approval process as per the provider's agreed procedures
- identify any issues/irregularities in relation to the Assessment Process
- recommend results for approval
- produce an external authentication report.

4.3.2 Criteria for Selection of an External Authenticator

Prior to assigning an external authenticator the provider should devise a profile of the individual required. The following criteria should be applied when devising this profile the external assessor should:

- have technical/subject matter expertise within the appropriate award area/field of learning
- have experience of delivering programme assessment or work in the industry/field
- agree to undertake appropriate training and attend appropriate briefings
- have the qualities necessary to interact with learners, assessors and senior staff members i.e. communication skills
- have administrative and IT skills e.g. report writing, time-management skills
- undertake to operate within the code of practice and guidelines issued by QQI
- be available to the provider at appropriate times
- be independent of the centre to which they are assigned

4.3.3 Moderation of Results

External authentication involves the moderation of assessment results within an award or across a number of awards in a specific field or sub-field of learning. This is done by judging the marked evidence presented according to the standards outlined in the Award Specification.

The external authenticator will moderate results for awards in which they have relevant expertise in the field/sub-field of learning.

Given their professional status it is expected that all external authenticators will possess the expertise necessary to moderate results in general award areas e.g. communications. The critical points at which judgment is applied are the boundaries between bands/grades: Referred/Pass, Pass/Merit, Merit/Distinction.

Moderating assessment results involves:

- reviewing results and checking the standard of evidence at each grade band: Successful (levels 1 - 3) Distinction, Merit, Pass (levels 4 - 6) by examining *samples* of evidence within each grade band and at the borders of grades.

4.3.4 Frequency of External Authentication

The frequency of external authentication will depend on the frequency at which certification is being sought by the provider, the number of learners and the range and type of awards being offered within a field or sub-field and the sampling strategy of the provider.

A sample of all assessment results being submitted to QQI for awards in a specific field/sub-field through the results approval process must be externally authenticated to ensure the credibility of the provider's assessment processes and the fair and consistent assessment of learners.

4.3.5 Assigning External Authenticators

The provider will:

1. ascertain the number of major/special purpose/supplemental awards on offer within its provision i.e. across one or more centres
2. select and assign one or more external authenticator for each major/special purpose/supplemental award based on broad subject matter expertise, each external authenticator should be independent of the centre to which they are assigned.
3. ensure that all major/special purpose/supplemental award areas and all centres have an external authenticator assigned per annum.

4.4 Sampling

Sampling is the process of selecting a portion of learner results and learner evidence for the purposes of completing internal verification and external authentication of assessment, within each major/special purpose/supplemental award area.

As part of their quality assurance agreement, providers are required to devise an appropriate sampling strategy suitable to their provision. The sample must be fair and consistent and enable the provider to identify any deviation from best practice. The sample should help the provider to ascertain whether their procedures are being implemented appropriately.

The precise size and nature of the sample will depend on a number of factors e.g. the total learner numbers, the number of centres for which the provider is responsible, and the number of programmes being delivered.

The sampling strategy devised by the Provider should be based on any of the following:

- a) a percentage of learner numbers; i.e. 20%-25% of the total population of learners
- b) a formula such as; $\sqrt[1]{n} + 1$ where n is the total population of learners
- c) another appropriate scientific sampling formula/methodology.

The total population of learners, from which the sample is taken, can be a combination of learners across a number of programmes or centres.

When devising a strategy for sampling and determining total learner numbers from which the sample will be taken, the criteria below should be applied by the provider or centre.

This is the mechanism by which the internal verifier will select a sample of learner evidence to enable them to confirm that:

- **assessment procedures are adhered to**
- **assessment results are documented and recorded as per the provider's procedures**

The sample should provide sufficient evidence, to enable the internal verifier to confirm that assessment procedures have been adhered to for the group of learners for which the centre is requesting Certification.

4.4.1 Criteria for Sampling

The sampling strategy for each provider or centre will vary according to a number of factors. In devising a sampling strategy the provider or centre should ensure that the sample:

- is representative of all minor awards, all learner types including part-time or full-time and all assessment techniques
- is sufficient in size to enable sound judgments to be made about the fairness and consistency of assessment decisions
- covers the full range of attainment in terms of grades achieved
- includes a random selection of evidence for each grade/band
- identifies evidence which is borderline between grades e.g. learners who have not or learners who have only just achieved within the grading band
- ensures new assessor judgments/decisions are sampled at least once during the assessment cycle
- includes all named awards offered
- includes all of the provider's centres

The provider's strategy for sampling should be documented as part of their authentication process.

5. Results Approval Process

The provider must establish a Results Approval Process. The purpose of the Results Approval Process is to ensure that results are fully quality assured and signed off by the provider prior to submission to QQI.

The Results Approval Process ensures that appropriate decisions are taken regarding the outcome of the assessment and authentication processes. The process must include consideration of the internal verifier and external authenticator reports.

¹ 'n' = statistical population i.e. the set of individuals/entire aggregation of items from which samples can be drawn

In the event that an external authenticator has concerns regarding the results, he/she will submit a report to the provider outlining their concerns and identifying the irregularities found. The provider/centre should then instigate appropriate corrective action.

5.1 Results Approval Panel

As part of their results approval process, a Results Approval Panel must be established by the provider to ensure assessment decisions and results are reviewed, judged and processed in a fair, consistent and transparent manner.

The role of the Results Approval Panel is to;

- meet as required to review and approve assessment results
- review reports of the internal verification and external authentication process
- agree to the submission of final results to QQI to request certification
- identify any issues arising in relation to the results and make recommendations for corrective action.

The membership of the Results Approval Panel may include senior staff member(s), heads of departments/sections and assessors. The internal verifier and external authenticator reports should be considered by the panel.

5.2 Results Approval

Procedures should be put in place to ensure that results are approved and signed off by the results approval panel.

Once the results are approved, they should be immediately

- a) made available to learners and
- b) forwarded to QQI.

Learners should be given a minimum of 14 days to lodge an appeal. The provider will flag all appealed results to QQI when forwarding the results data from the FBS. QQI will issue certificates for all the results received except those flagged as under appeal.

6. Appeals Process

A provider should put in place an Appeals Process. An Appeals Process will enable the learner to appeal

- a) the Assessment Process, if they perceive there to be irregularities/inequality in its implementation
- b) the assessment result.

Only approved results can be formally appealed by the learner. Therefore the provider should:

- a) approve all results through the Results Approval Process
- b) inform learners of the outcome of this process i.e. give assessment result to learners
- c) provide sufficient time to enable learners to lodge an appeal i.e. a minimum of 14 days should be allowed.

The appeals procedures should involve a review of the Assessment Process for the specific learner concerned; including where appropriate the review of learner evidence and the assessment results. ***The individual/assessor who evaluates a learner appeal should not be the individual/assessor who made the original assessment decision.***

The only evidence which may be presented by the learner at appeal is that which has already been presented for assessment. New evidence may not be added by the learner for the appeal.

The learner should be informed of the outcome of the Appeals Process within an agreed timescale.

Following the completion of the provider's Appeal Process, the results for the learner(s) concerned are forwarded to QQI as the final result. These final results are the basis on which QQI will issue certificates.

7. Requesting Certification

The outcome of the results approval process is that final results are forwarded to QQI for the purpose of issuing certificates.

At the point of requesting certification for learners the provider must confirm that it has implemented all elements of the authentication process and adhered to all agreed procedures. All appropriate learner data will need to be supplied with the learner results e.g. Personal Public Service Number (PPSN).

QQI will issue certificates to learners once quality assured and fully authenticated results are received from the provider.

As the provider has notified QQI that certain results may be under appeal, QQI will await the outcome of the appeal before issuing certificates to the learners in question.

8. QQI National Appeals Process

QQI operates a National Appeals Process. This is only on the basis of;

(a) the completion of the provider's Appeals Process

and

(b) appealing the process, not the result.

QQI only accepts appeals from providers, on behalf of learners.

QQI will not accept an appeal on behalf of a learner until that appeal has gone through 'due process' within the provider's Appeals Process and all opportunities to appeal within this process have been exhausted.

QQI's National Appeals Process is outlined in the document 'National Appeals Process' www.QQI.ie/nationalappealsprocess. This document will be available by Autumn 2007. It will set out full details regarding

- a) the conditions under which an appeal can be made to QQI
- b) the process
- c) the timeframe for processing the appeal.

Glossary of Terms

Terms	Definition	Common Award System (CAS)	NCVA/QQI System
Access	Refers to a learner's ability to avail of appropriate opportunities to enter and succeed in programmes leading to awards. Recognition of learning already achieved is considered at this stage.	✓	✓
Assessment	The process by which evidence of performance is collected and compared against the standards of knowledge skill or competence for that award and a judgement made on the learner's achievement of the standards.	✓	✓
Assessor	The assessor is the teacher/tutor/instructor/lecturer. The assessor devises assessment instruments/marking schemes and assessment criteria, provides opportunity for learners to generate evidence, judges learner evidence and makes an assessment decision.	✓	✓
Assessment Technique	An assessment technique is a valid and reliable way of assessing learner evidence for a particular range of learning outcomes, e.g. practical skills should be assessed in a practical manner e.g. skills demonstration.	Programme Module Descriptor	Section 11 Module Descriptor
Assessment Instrument	An assessment instrument is the specific activity/task or question(s) devised by the assessor based on the specified assessment technique.	✓	✓
Authentication Process	The process by which providers will quality assure the devising, recording and verification of the assessment procedures. This includes both internal verification and external authentication.	✓	QQI External Examining
Award	An award is what is conferred, granted or given by an awarding body. An award records that a learner has acquired a standard of knowledge, skill or competence.	✓	✓
Award Code	A unique code assigned to each award.	Early Childhood Care & Education 5M2009	Childcare Level 5 DCHSC
Award Title	The name of the award achieved by the learner.	Early Childhood Care & Education	Childcare Level 5

Terms	Definition	Common Award System (CAS)	NCVA/QQI System
Award Type	Refers to a class of named awards sharing common features and level. These include major, minor, special purpose and supplemental award types. Different award types reflect different purposes of award and allow for the recognition of all learning achievement.	Major Minor Special Purpose Supplemental	Full Award Component Award
Competence	One of the framework strands (outcomes of knowledge, skill and competence). It refers to the process of governing the application of knowledge to a set of tasks that is typically acquired by practice and reflection. It is the effective and creative demonstration and deployment of knowledge and skill in human situations. Such situations could comprise general, social and civic ones as well as specific occupational ones.	✓	✓
Component Specification	This is published by QQI for each named Minor Award. A Component Specification contains the purpose, learning outcomes and assessment techniques required for the writing of a Programme Module Descriptor.	Component Title: Communications Level 5 Component Code: 5N0690	Contained within the Module Descriptor e.g. Communications Level 5 Module Code: G20001
Criterion Referenced Assessment	Criterion-referenced assessment has set criteria to be achieved; meeting/not meeting these criteria is the most important aspect. The driving test is a good example of a criterion-referenced assessment. The standards of knowledge, skill and competence are specified in the Award Specification. QQI awards are criterion referenced.	✓	✓
Determining Standards	The process by which QQI determines the standards of knowledge, skill or competence for the purpose of making awards.	✓	NCVA
External Authentication	The process by which learners, providers, assessors and QQI will be independently assured that the application of the provider's assessment procedures is carried out effectively.	✓	QQI External Examining
External Authenticator	Appointed by providers to provide independent authentication of fair and consistent assessment in line with QQI requirements.	✓	QQI External Examiners

Terms	Definition	Common Award System (CAS)	NCVA/QQI System
Fields/subfields	There are 9 groups or fields of learning within QQI's classification of awards. Fields of learning (e.g. Business) are subdivided into sub-fields (e.g. Marketing) and then domains (e.g. International Marketing).	✓	✓
Further Education and Training	Education and training other than primary, post primary or higher education and training.	✓	✓
Formative Assessment	Formative assessment informs a learner how to improve their learning and is generally carried out in the early stages of, or during, a programme. Formative assessment provides feedback on a learner's work and is not necessarily used for certification purposes. The emphasis in formative assessment is on encouraging more understanding by learners of their respective strengths, weaknesses and gaps in knowledge.	✓	✓
Internal Verification	The process by which learners will be assured that the provider's assessment procedures are applied in a consistent manner across the provider's assessment activities.	Internal Verifier	QQI External Examiner
Knowledge	One of the framework strands (outcomes of knowledge, skill and competence). It is the form of outcome commonly identified with declarative knowledge i.e. the cognitive representation of ideas, events or happenings. It can comprise description, memory, understanding, thinking, analysis, synthesis, debate and research.	✓	✓
Learner	A person who is acquiring or who has acquired knowledge, skill or competence.	✓	✓
Level	The standard of learning to be achieved e.g. 1 - 6. The level also indicates where the module is placed in the National Framework of Qualifications.	✓	✓
Major award	A major award is the principal class of award made at each level. It represents a significant volume of learning outcomes. A major award will prepare learners for employment, participation in society and community and access to higher levels of education and training.	E.g. Early Childhood Care & Education 5M2009	E.g. Childcare Level 5 DCHSC

Terms	Definition	Common Award System (CAS)	NCVA/QQI System
Minor award	A minor award is an award that is derived from, and must link to, at least one major award. Minor awards are smaller than their parent major award(s). Achievement of a minor award provides for recognition of learning that has relevance and value in its own right e.g. Word Processing, Safety and Health at Work. In the QQI awarding system they are referred to as components.	E.g. Communications Level 5 5N0690	Component Certificate E.g. Communications Level 5 G20001
Module Code	A unique code assigned to a Module.	Programme Module Descriptor Code e.g. 5N0690	Module Code e.g. G20001
Module Credit Value	Each Module has a credit value. This figure denotes the amount of credit that a learner accumulates on achievement of the module.	Minor Component Credit Value e.g. 5, 10, 15, 20, 30	Module Credit Value e.g. 0.5, 1
Module Descriptor	A module descriptor contains all the relevant content and assessment information for a particular module.	Programme Module Descriptor	✓
Module Descriptor Name	The name of the module e.g. Communications	Component Specification Title	✓
National Framework of Qualifications	The single nationally and internationally accepted entity through which all learning achievements may be measured and related to each other in a coherent way and which defines the relationship between all education and training awards. The Framework has 10 levels, reflecting all learning from introductory to doctorate levels.	✓	✓
National Qualifications Authority of Ireland	The National Qualifications Authority of Ireland, also referred to as the Authority or the NQAI, established in 2001 arising from the Qualifications (Education and Training) Act 1999, with responsibility to establish and maintain the national Framework of Qualifications. For further information, see www.nqai.ie	✓	✓
Norm Referenced Assessment	Norm-referenced assessment expresses the learners' scores in rank order, based on a distribution of scores. It is comparative. Normal distributions curves are often associated with norm-referenced assessment.	✓	✓

Terms	Definition	Common Award System (CAS)	NCVA/QQI System
Outcomes	Identify what the learner is able to do on successful completion of a learning experience.	✓	✓
Programme	A programme is a learning experience designed and offered by a provider based on predetermined national standards and leading to a QQI award.	✓	✓
Programme Descriptor	This refers to the overall details and structure of the programme. The Programme Descriptor outlines all the Minor Awards needed to obtain a Major Award.	✓	Award Structure/Certification Requirements which outlined all the Component Awards needed to obtain a Full Award
Programme Module Descriptor	This contains all the relevant content and assessment information leading to a named award.	✓	Module Descriptor
Programme Module Descriptor Title	This is the title that the provider has assigned to the Programme Module Descriptor.	Component Title: Application of Number Component Code: 3N0928 has been renamed by Co. Donegal ETB: The Application of Number in Beginners Life	Was assigned by QQI
Programme Title	This is the title which the provider has assigned to the course of study.	General Certificate in Education and Skills - Childcare	Childcare
Progression	Refers to a learner's ability to move to another programme leading to an award at a higher level of the framework, having received recognition for knowledge, skill or competence acquired.	✓	✓
Provider	A person who, or body which, provides, organises or procures a programme of education and training.	✓	✓
Quality Assurance	The system(s) put in place by a provider to maintain and improve the quality of its programme(s).	✓	✓

Terms	Definition	Common Award System (CAS)	NCVA/QQI System
Recognition of Prior Learning (RPL)	Recognition of Prior Learning i.e. recognition of learning that has taken place but not necessarily been assessed or measured prior to entering a programme. Such prior learning may have been acquired through formal, non-formal or informal routes.	✓	ECDL Junior & Leaving Certification
Skill	One of the framework strands (of knowledge, skill and competence outcomes). It reflects know-how and skill and involves demonstration by the learner of ability in terms of mastery of skill or application of knowledge. The level and degree of skill are reflected in the level indicators in the framework.	✓	✓
Special Purpose	A special-purpose award is made for specific relatively narrow purposes. It does not have to link to a major award e.g. Fork Lift Truck Driving.	✓	✓
Standards	Standards identify the knowledge, Skill and/or competence that must be attained in order to achieve an award.	✓	✓
Supplemental	A supplemental award is an award to recognise learning which involves updating/up-skilling and/or continuing education and training with specific regard to occupations e.g. Gas Installation	✓	✓
Summative Assessment	Summative assessment is generally carried out at the end of a programme or 'unit' of learning, e.g. written examination. It is comprehensive in nature and is generally used for certification purposes. It is based on the cumulative learning experience that takes place in a programme or 'unit'. Assessment undertaken for the purpose of submitting authenticated results to QQI for the purpose of requesting an award is summative assessment.	✓	✓
Transfer	Refers to a learner's ability to move from one programme leading to an award to another, including at the same level of the framework, having received recognition for knowledge, skill or competence acquired	✓	✓
Validation	Validation is the process through which QQI determines that the programmes devised by providers will enable learners to achieve the standards required for an award.	✓	NCVA/QQI

Purpose

The purpose of this assessment process is to assist Co Donegal ETB's in the development and implementation of quality assured processes and procedures for the fair and consistent assessment of learners. They set out our best practice with regard to assessment, authentication, results approval and processing appeals.

Assessment of learners may take place in a range of settings including: classrooms, the workplace, on the job, community setting or by computer based/e-assessment. Co Donegal ETB's Quality Assuring Assessment Process is applicable to all types of delivery and assessment settings.

9. Donegal ETB's Quality Assuring Assessment Process



Quality Assuring Assessment Policies & Procedures



Oideachais Aosaigh
Adult Education

Overview: 5 Key Stages

9.1 Assessment: The Assessor will:

- implement our Quality Assuring Assessment for Assessors and Learners
- implement our QQI Assessor's Handbook and provide an Assessor's Module Folder for the Internal and External Authentication processes
- assess and judge learner evidence
- record outcome

9.2 Authentication Process

a) Internal Verification - internal verifiers will:

- ensure our Quality Assuring Assessment for Assessors and Learners has been applied
- monitor the outcome of the Assessment Process:
 - confirm results are recorded for all learners
 - evidence is available for all learners.
 - check the assessment results on a sample basis

b) External Authentication

- an external authenticator will be assigned based on the broad award/field of learning
- the external authenticator will moderate assessment results by sampling learner evidence

9.3 Results Approval

Donegal ETB's Results Approval Panel will:

- approve and sign-off assessment results
- make results available to learners

9.4 Appeals Process

Donegal ETB's Appeals Process will:

- allow a 14 calendar days for learners to lodge an appeal of the assessment process or result
- process all appeals

9.5 Request for Certification

Programme Co-ordinators will:

- submit all learner results to QQI
- when doing so, flag results under appeal

9.1 Assessment: The Assessor

The role of the assessor is to evaluate learner evidence and make the decision on whether the outcomes of knowledge, skill or competence as outlined in the Module Descriptor have been achieved. The assessor must determine that the evidence is valid, reliable and sufficient to make the assessment decision.

The specific responsibilities of the assessor are to:

- Implement our Quality Assuring Assessment for Assessors and Learners
- Provide opportunities for learners to generate appropriate evidence
- Design assessment instruments
- Devise marking schemes and grading criteria
- Review and judge learner evidence
- Make the assessment decision
- Provide information and feedback to learners
- Produce QQI Assessor's Module Folder for each Module being assessed.
- Attend training sessions on QQI Assessor's Handbook and Assessor Module Folder.

It is the responsibility of the Programme Co-ordinator to ensure that Assessors are provided with the QQI Assessor's Handbook and that they attend training sessions.

9.2 Authentication Process

Assigning Internal Verifier(s)

The responsibility for internal verification lies with the Centre/School Programme Co-ordinator(s) **and/or** the County Programme Co-ordinator for each Adult Education & Training Centre Programme, i.e. BTEI, VTOS, Youthreach etc. Each Centre/School must produce their own Internal Verification Report(s) per Programme for which they are responsible.

A Programme Co-ordinator, who is also an Assessor, **cannot** internally verify their own assessment work **Appendix 3 and 4** or complete any element of the Internal Verification Report **Appendix 6** relating to it. This must be done by another Programme Co-ordinator or an Assessor that you have appointed to do this.

Assigning External Authenticators

1. Programme Co-ordinator(s) for the Centre/School will liaise with each other to avoid duplication of work and to identify fields of learning and the number of authenticators required for that Centre/School. This will also reduce the costs for the authentication process for that Centre/School. The **Assessment Entry Form AEF** (see **Appendix 1**) which is completed by each assessor will aid this process.
2. The Programme Co-ordinator will email the **Request External Authenticator Form** (see **Appendix 2**) to ea@donegaletb.ie according to the Co Donegal ETB QQI Certification Schedule and Information.

The FBS online system will assist in completing the Request External Authenticator Form when completing the following sections: This will ensure that the appropriate authenticators are assigned to each Centre/School. **Example:**

Authenticator Field:	<ul style="list-style-type: none">• Health, Education and Welfare
Authenticator Subfield:	<ul style="list-style-type: none">• Education & Training
Authenticator Domain:	<ul style="list-style-type: none">• Childcare

3. The EA Office will acknowledge receipt of this email and form immediately and will confirm that it will be processed within 14 days. If the **Appendix 2** is not completed correctly this will be emailed back to you within 7 days for you to correct. This must be resubmitted to the EA office for processing again.
4. The EA Office will email you the dates and the name(s) of the **proposed** External Authenticator(s) who are assigned to the Centre/School, and the completed **Appendix 2 Request External Authenticator** will also be returned to you. If a conflict of interest is evident over the assigned External Authenticators to your Centre/School, you need to email the EA office with your concerns within 3 days.
5. The EA Office will then, having acknowledged and acted upon any notified conflict of interest, email you the **confirmed** dates and the name(s) of the External Authenticator(s) assigned to the Centre/School. The completed **Appendix 2 Request External Authenticator** will also be returned to you.
6. The EA Office will forward your contact details to the External Authenticator so they can write to you directly within 7 days (of being assigned by the EA Office) requesting the documentation they require before their visit. See page 12, Request Information section, for further information.
7. The EA Office will also send the External Authenticator the following information before the authentication visit regarding the templates and payment procedures for our VEC.
 - **Completed Appendix 2 Request External Authentication Form for your Centre/School** (information for the External Authenticator regarding number of learners and modules).
 - **Appendix 7 Donegal ETB External Authentication Report Template** (for the External Authenticator to complete. Upon completion by the Authenticator, this will be returned to the Programme Co-ordinator).
 - **Donegal ETB Itinerary Form** (Upon completion by the Authenticator, this will be returned to EA Office).
 - **Donegal ETB Travel and Subsistence Claim Form** (Upon completion by the Authenticator, this will be returned to the Programme Co-ordinator).
 - **Donegal ETB QQI External Authenticator Claim Form** (Upon completion by the Authenticator, this will be returned to the Programme Co-ordinator).
 - **Donegal ETB Letter of Appointment to External Authenticator** (contains travel rate, rates of pay, etc).
 - **Donegal ETB Start Up Form** (to be completed if you are not currently or have never been paid by Co. Donegal ETB. Upon completion by the Authenticator, this will be returned to the Programme Co-ordinator)
8. After the External Authenticator has carried out the authentication process in the Centre/School they will send you back the completed paperwork **for you to process**:
 - **Donegal ETB QQI External Authenticator Claim Form**
 - **Donegal ETB Travel and Subsistence Claim Form**
 - **Appendix 7 Donegal ETB External Authentication Report Template**
 - **Donegal ETB Start Up Form**
9. To assist the selection of External Authenticators in future, we would ask you to email the EA Office of any issues you may have had with any External Authenticator(s) that was assigned to you as this will ensure a quality process going forward.

Dates for Certification

Donegal ETB's Authentication will take place normally in JUNE, AUGUST and DECEMBER. Donegal ETB will produce a QQI Certification Schedule and Information Document each year to highlight key dates and information that provides the Programme Co-ordinators with the cut off dates for certification. Remember all results being submitted for the period must have gone through internal verification, external authentication and results approval.

NOTE: Each Programme Co-ordinator should ensure that the data input process starts well in advance of the final submission. It is strongly recommended that each Programme Co-ordinator develop a schedule which will ensure that results are checked before the submission date, allowing time for subsequent amendments to be made to data, if necessary.

Verifying Assessment Procedures

The internal verifier will check adherence to our Quality Assuring Assessment; this will be carried out by verifying that:

- our Quality Assuring Assessment for Assessors and Learners are implemented across all programmes for which they are responsible
- learner evidence matches the assessment requirements for the award standard by confirming assessment techniques used are appropriate
- learner evidence has been generated as agreed within the validated programme
- information on assessment was provided to learners i.e. submission dates, guidelines/briefs, assessment criteria, etc.
- appropriate documentation was issued to learners
- appropriate documentation was used to record learner results

The internal verifier must complete a **Verification of Assessors Assessment Procedures Form** for each module name/component title being assessed by the assessor (see **Appendix 3**).

Checking and Confirming Assessment Results

The internal verifier will ensure the following is undertaken for all learners being assessed:

- confirm results are recorded for all learners being entered for assessment and
- confirm evidence is available for all learner results recorded

The internal verifier must complete the **Assessment Check & Sampling Template** (see **Appendix 4**). The assessor will have completed their sections of this form, you must complete the **coloured** sections.

If any learner results or evidence is missing corrective action will need to be taken.

Internal Verification Sampling Strategy

Apply the sample to a minimum of 50% of all learners portfolios for each module being assessed. Your sample must cover;

- borderline grades: Unsuccessful/Pass, Pass/Merit, Merit/Distinction
- the full range of grades achieved: Successful, Unsuccessful, Pass, Merit, Distinction

The internal verifier must complete the **Assessment Check & Sampling Template** (see **Appendix 4**). The assessor will have completed their sections of this form. The Programme Co-ordinator must complete the **coloured** sections.

After the checking and sampling processes are complete, the Programme Co-ordinator will enter the assessment results on the QBS. Print the report Results By Group from the FBS and check the details against **Appendix 4**. This check will ensure you have not made any errors while entering the assessment results on the FBS.

Appendix 4 will form the sampling basis to be used during the External Authentication Process. These documents must be made available to the External Authenticator(s) as it forms part of the authentication process. The External Authenticator(s) can request this information in advance of their visit.

Claiming an Exemption on the Common Awards System

When claiming an exemption for an existing component award towards a NEW common MAJOR or SPECIAL PURPOSE award, the Assessor and Programme Co-ordinator must complete an **Exemption Claim Form** (Appendix 5).

- The Programme Co-ordinator informs the learners which, if any, of his/her existing components can be used towards the new major, special purpose or supplemental award s/he is working towards.
- For each existing component held, the learner presents the original QQI certificate/transcript to the Centre. The Programme Co-ordinator should verify the codes and titles.
- The Programme Co-ordinator takes a copy of the certificate(s)/transcript(s) and completes the Exemption Claim Form.
- The Programme Co-ordinator places the copy of the certificate and the signed form in the learner's portfolio for internal verification and external authentication purposes.
- When entering the learner's results, (FBS) the Programme Co-ordinator should enter the learner for the new common award component (e.g. 3N0896 Career Information) but should specify that an **Exemption** is being used and should also identify the existing component (WF0006 Career Information) from the list of **Alternates** provided in FBS.

Verification/Authentication Reports

The internal verifier will complete the **Internal Verification Report(s)** (see **Appendix 6**)

The external authenticator will complete the **External Authentication Report(s)** (see **Appendix 7**)

9.3 Results Approval

All QQI results are now approved through Co Donegal ETB's Results Approval Panel. This panel will sign off all Adult Education Services (AES) and Post Leaving Certificate (PLC) results. See Donegal ETB QQI Certification Schedule and Information for further information.

9.4 Appeals Process

Programme Co-ordinators - Roles and Responsibilities

1. The Appeals Process will enable the learner to appeal:
 - a) The Assessment Process, if they perceive there to be irregularities/inequalities in its implementation
 - b) The Assessment Result

Only approved results which have been formally processed by Donegal ETB's Results Approval Panel can be formally appealed by the learner.

2. Programme Co-ordinators will inform learners of their statement of results by letter, (**see Appendix 8**). If a learner is making an appeal they will contact the school/centre requesting the '**Learner Appeal Application Form**' (**see Appendix 9**), available directly from their school/centre. A fee of €20 will apply for each module/component appealed which will be returned to the learner if the outcome of the appeal is successful. The fee of €20 per module **MUST** be paid by **BANK GIRO** to:

<p style="text-align: center;">Donegal ETB</p> <p style="text-align: center;">Bank of Ireland, Main Street, Letterkenny, Co Donegal</p> <p style="text-align: center;">Account Number: 28494102</p> <p style="text-align: center;">Sort Code: 90-49-15</p>
--

3. Only evidence that has previously been presented by the learner and has been retained in the school/centre following the initial assessment can be considered as part of an appeal. No new evidence can be submitted.
4. All assessment evidence as required by the module descriptor must be available for the appeal. Any evidence not available will be assumed not to have been completed or submitted.
5. Upon receipt of the **Learner Appeal Application Form** and **Bank Giro Receipt Stamped by Bank Cashier**, the School/Centre will forward the learner's assessment evidence and material for evaluation. The assessor who evaluates the learner appeal will not be the assessor who made the original assessment decision.
6. The Programme Co-ordinator must email **ea@donegalvec.ie** to request an assessor(s) to re-mark the learner(s) evidence for the appeal(s). The Programme Co-ordinator will receive the completed **Appendix 9 Learner Appeals/s Application Form** from the learner who is making the appeal. The Programme Co-ordinator will complete the section **Office Use Only** indicating the areas of study for which an appeal assessor is required.
7. The Programme Co-ordinator will sign and date the form, scan it and email to the EA Office for processing. An email will be sent within 14 days to confirm the name of the assessor(s) and the date(s) on which they will visit the Centre/School to re-mark the evidence for the learner(s) who is/are appealing.

APPEALS CANNOT BE PROCESSED WITHOUT THE PAYMENT OF FEES

8. The work will be reviewed against the stipulated assessment criteria and the findings submitted within 14 calendar days of receiving the Learner's work.
9. The learner will be informed of the outcome of the Appeals Process upon completion by the Programme Co-ordinator.
10. Following the completion of Co Donegal ETB's Appeals Process, the results for the learner(s) concerned will be forwarded to QQI as the final result by the Programme Co-ordinator. These final results are the basis on which QQI will issue Certificates.

QQI National Appeals Process

If a learner requests further action, Co Donegal ETB will then lodge an appeal on behalf of the learner to QQI. QQI will not accept an appeal on behalf of a learner until that appeal has gone through 'due process' within Co Donegal ETB's Appeals Process and all opportunities to appeal within this process have been exhausted.

QQI's National Appeals Process will **not** alter the grade or result of the learner and will only investigate Co Donegal ETB's assessment process, **not** the result. QQI will only accept appeals from Co Donegal ETB on behalf of learners.

Appendices for Appeals Process:

- **Appendix 8** - Statement of Results Letter (to be sent out by Programme Co-ordinator)
- **Appendix 9** - Learner Appeal's Application Form (to be completed by the Learner in order to process an appeal)
- **Appendix 10** - Statement of Outcome - Co Donegal ETB Appeals Process (to be completed by Programme Co-ordinator upon completion of appeal and send to QQI)
- **Appendix 11** - Sample Successful Letter of Appeal from School/Centre to Learner (to be sent out by Programme Co-ordinator)
- **Appendix 12** - Sample Unsuccessful Letter of Appeal from School/Centre to Learner (to be sent out by Programme Co-ordinator)

9.5 Requesting Certification

All Statement of Results for learners are available for Programme Co-ordinators to download from the FBS website when the authentication process had been complete. Remember to **FLAG** any learner appeal on the FBS website.

Results approved by the Results Approval Panel are forwarded to QQI for the purpose of issuing certificates.

At the point of requesting certification for learners the Programme Co-ordinator must confirm that it has implemented all elements of the authentication process and adhered to all agreed procedures. All appropriate learner data will need to be supplied with the learner results e.g. Personal Public Service Number (PPSN).

QQI will issue certificates to learners once quality assured and fully authenticated results are received from the provider. If the Programme Co-ordinator has notified QQI that certain results may be under appeal, QQI will await the outcome of the appeal before issuing certificates to the learners in question.

10. Centre/School Documentation for Quality Assuring Assessment - Authentication Process

To assist the authentication process it is necessary that each Centre/School/Programme prepares a documentation folder (Quality Assuring Assessment - Authentication Process) for submitting to the External Authenticator and the Results Approval Panel.

This folder will contain all **completed** appendices from the QAA for Programme Co-ordinators and QQI Result Reports from the FBS. This folder will also be required for the **Results Approval Panel** with **Sections 1 to 9** completed and will be returned to the Centre/School after the Results Approval Panel meeting for you to complete **Sections 10 to 15** to finish the Authentication Process.

This folder will also assist Co Donegal ETB QQI Quality Assurance Monitoring Team when conducting monitoring of Quality Assurance System.

Quality Assuring Assessment - Authentication Process Folder

Section 1	Assessment Entry Form (AEF)	Appendix 1
Section 2	Request External Authenticators Form	Appendix 2
Section 3	Verification of Assessor's Assessment Procedures	Appendix 3
Section 4	Assessment Check & Sampling Form	Appendix 4
Section 5	Exemption Claim Form	Appendix 5
Section 6	Internal Verification Report	Appendix 6
Section 7	External Authentication Report	Appendix 7
Section 8	Printed Authentication Report by Learning Group by Minor Award Results from QBS for External Authenticators to sample and moderate	
Section 9	Printed Authentication Report by Learning Group by Minor Award Results from QBS after Moderation Process by the External Authenticators	
Section 10	Learner Statement of QQI Results printed from QBS	Appendix 8
Section 11	Learner Appeal/s Application Form	Appendix 9
Section 12	Statement of Outcome - Donegal ETB Appeals Process	Appendix 10
Section 13	Successful Letter from School/Centre to Learner	Appendix 11
Section 14	Unsuccessful Letter from School/Centre to Learner	Appendix 12
Section 15	Review of Donegal ETB's Quality Assuring Assessment Process	Appendix 13

11. Review of Donegal ETB's Quality Assurance Process Assessment

Upon completion, the following documents must be forwarded to the Donegal ETB QQI Quality Assurance Monitoring Team:-

- **Internal Verification Report(s) (Appendix 6)**
- **External Authentication Report(s) (Appendix 7)**
- **Review of Donegal ETB's Quality Assuring Assessment (Appendix 13).**

This will form part of Donegal ETB's Quality Assurance Monitoring System and will ensure the Fair and Consistent Assessment of Learners Policy is adhered to.

B6. Fair and Consistent Assessment of Learners

- 6.1 Coordinated Planning of Assessment
- 6.2 Information for Learners
- 6.3 Security
- 6.4 Reasonable Accommodation
- 6.5 Consistency between Assessors
- 6.6 Assessment Performed by Third Parties
- 6.7 Authentication Process
- 6.8 Feedback to Learners
- 6.9 Learner Appeals
- 6.10 Results Approval
- 6.11 Corrective Action

These completed forms must be forwarded to:

Centres

Crona Gallagher AEO and/or Martin Gormley AEO
Adult Education Services
Co Donegal ETB
Ard O'Donnell
Letterkenny
Co Donegal

Schools/Colleges

Anne McHugh
Co Donegal ETB
Ard O'Donnell
Letterkenny
Co Donegal

12. APPENDICES 1-13

Appendix 1 - Assessment Entry Form (AEF) Template

Assessment Period: _____

Assessor Name(s): _____



Programme: (please tick ✓ one only) VTOS PLC BTEI SF Night Classes YR ITTC Learning for Living

Page () of ()

Class Name	Programme Module Code	Programme Module Name	Number of Learners	Office Use Only	
				Roll Class Name	Subject Area of External Authenticator Needed?

Schools/Centre Stamp & Date

Return to:
Programme Co-ordinator

Office Use Only:
 Date entered on QQI Business System: _____
 External Authenticator Request Date from AES : _____
 Signed: _____

Appendix 2 - Request External Authenticators Form

Centre/School Name:						QQI Centre Number:								
Assessment Period:	Total Number of Learners in Assessment Period:					Page () of ()								
Named Programme(s) PLEASE TICK ✓	• L for L		• YR		PLC		• VTOS		• BTEI		• SF Night Classes		• ITTC	
Named Major Awards Title and Codes:	•					•								
Named Major Awards Title and Codes:	•					•								
Component Details:	Programme Module Name				Programme Module Code:	No. of Portfolios:	Programme Module Name				Programme Module Code:	No. of Portfolios:		
Named Minor Awards and Codes:	1.						1.							
	2.						2.							
	3.						3.							
	4.						4.							
	5.						5.							
	6.						6.							
	7.						7.							
	8.						8.							
	9.						9.							
	10.						10.							
	11.						11.							
	12.						12.							
Total number of portfolios	•					•								
What Programme(s) is/are paying for this Authenticator	•					•								
Authenticator Field:	•					•								
Authenticator Subfield:	•					•								
Authenticator Domain:	•					•								
Preferred dates for Authentication in Centre/School	1					1								
	2					2								
	3					3								
Programme Co-ordinator email:														
Programme Co-ordinator email:														
EA Office Use Only:														
Authenticator Name(s)														
Confirmed dates for Authentication in Centre/School														

Appendix - 3 Verification of Assessor's Assessment Procedures Form

Assessor Name:			
Programme Module Name and Code:			
QQI Assessors Module Folder presented for Assessment: ✓		YES	NO
Reason for NO:			
QQI Assessors Module Folder Details	Checked by Internal Verifier ✓ or N/A for that Level	Comments:	Corrective Action, if required.
Programme Module Descriptor			
Scheme of Work			
Schedule of Assessment Plan			
Assessment Integration Table			
Learning Grid/Assessment Grid			
Lessons Plans			
Assessment Briefs			
Assessor Assessment Feedback Schedule			
Assessor Record of Receipt of Learner's Assessment			
QQI Marks Breakdown Grid			
Assessment Marking Scheme			
Examination Paper			
Examination Marking Scheme			
Examination Attendance Roll			
Mock Examination Papers			
Assessment Provisional Results Entry Form (APREF)			
Assessor Receipt for Portfolios & Exams to Programme Co-ordinator			
Reference Material & Handouts			
Programme Co-ordinator Signature:			Date:

Appendix 4 - Assessment Check & Sampling Template

This form is known by Assessors as Assessment Provisional Results Entry Form (APREF) the coloured areas are to be completed by Internal Verifier

Assessment Period: _____ Assessor Name: _____ Class Name: _____

Programme: (please tick✓ one only) VTOS PLC BTEI SF Night Classes YR ITTC Learning for Living

Award Title: _____ Award Code: _____ Roll Class Name: _____

Programme Module Code: _____ Programme Module Name: _____

Page () of ()

Learner Name: (IN ALPHABETICAL ORDER BY SURNAME AND BLOCK CAPS ONLY)	PPSN	DOB	Marking Sheet 1 _____ %	Results & evidence is available ✓	Mark Sheeting 2 _____ %	Results & evidence is available ✓	Marking Sheet 3 _____ %	Results & evidence is available ✓	Marking Sheet 4 _____ %	Results & evidence is available ✓	Marking Sheet 5 _____ %	Results & evidence is available ✓	Total Mark %, R, S	GRADE Referred (R) Successful (S) Unsuccessful Pass Merit Distinction	Office Use Only			
				Sampling Strategy														
				Insert S for Sample		Marks checked for Sample												
			Mark	Grade														

School/Centre Stamp & Date

Return to:
Programme Co-ordinator

Office Use Only:
Date sampling took place: _____
Date entered on QQI Business System: _____
Signed: _____

Appendix 5 - Exemption Claim Form

This form is to be completed by a Centre/School if and when it wishes to claim an exemption for an existing component towards a new common major or special purpose award.

FETAC Centre Number:		Centre/School Name:		
Learner Name:		Learner PPSN:		
Major or Special Purpose:		Award Title:		
Award Code:				
Assessor Name(s):				
Old NCVA/FETAC System		New Common Award System (CAS)		
Module Descriptor Details		New Component Details		
Code	Module Name	Code	Title	

I confirm that I have seen the original FETAC certificate and/or transcript listing the existing component(s) shown in the table above.

Assessor

Date

Assessor

Date

Programme Co-ordinator

Date

Appendix 6 - Internal Verification Report (Template)

This template is provided as a tool for providers. A provider may however devise their own internal verification report. They must ensure the Process outline for internal verification is adhered to and verified in the report.

Registered Provider/Centre/School Name:							
Registered QQI Number:							
Named award(s) and codes Named award(s) for which results are being internally verified	<ul style="list-style-type: none"> ▪ ▪ ▪ 						
Date of internal verification:							
Internal verifier(s): (names and signatures of staff member(s) carrying out the internal verification)	<table> <tr> <td>1. Name:</td> <td>Signature:</td> </tr> <tr> <td>2. Name:</td> <td>Signature:</td> </tr> <tr> <td>3. Name:</td> <td>Signature:</td> </tr> </table>	1. Name:	Signature:	2. Name:	Signature:	3. Name:	Signature:
1. Name:	Signature:						
2. Name:	Signature:						
3. Name:	Signature:						

Assessment Processes and procedures	Verification of adherence to provider's assessment procedures. Commentary should be provided as appropriate.				
Assessment procedures <i>I (we) confirm that the assessment procedures as agreed through this provider's quality assurance have been applied across all assessment activities for this award.</i>	<table border="1" data-bbox="857 320 1249 619"> <tr> <td data-bbox="857 320 987 472"> Yes </td> <td data-bbox="987 320 1249 472"></td> </tr> <tr> <td data-bbox="857 472 987 619"> No </td> <td data-bbox="987 472 1249 619"></td> </tr> </table> <p data-bbox="857 660 1413 695">Comments/action points as appropriate</p>	Yes		No	
Yes					
No					

Internal verifier(s)

Name:

Signature:

Date:

**Internal Verification
Monitoring of Assessment Results: Report**

Number of assessors for whom assessment results were sampled:.....

Number of learners in the sample:.....

Please complete for each named award/group of assessment results verified	Is the documentation available and completed correctly? e.g. mark sheets, learner records		Is sufficient and reliable assessment evidence available for all learners presented?		Was the evidence generated in accordance with the techniques and instruments indicated in the validated programme		Have marks been correctly totalled and grades awarded in line with FETAC requirements		Comments/action points (if 'No' please identify issues/make recommendations)
	Yes	No	Yes	No	Yes	No	Yes	No	
Named award title									

Internal verifier:

Name

Signature:

Date:

Appendix 7 - External Authentication Report (Template)

This template is provided as a tool for providers and external authenticators. A provider may however devise their own external authentication report. They must ensure the Process outline for external authentication is adhered to and verified in the report.

Registered Provider/Centre/School Name:	
Registered QQI Number:	
Date of External Authentication Process:	

Indicate sample basis and sample size:	
---	--

Named award(s) and codes for sample selected (Named award(s) for which results are being externally authenticated)	<ul style="list-style-type: none"> ▪ ▪ ▪ ▪
--	--

External authenticator details	Name: (Please Print): Address/contact detail
---------------------------------------	---

Report on External Authentication of Assessment Results

Please complete for each named award/group of assessment results being authenticated	Have the results been internally verified by the provider?		Was the evidence assessed in accordance with techniques outlined in the Award Specification?		Are the results presented consistent with national standards for the award? (If no, identify results which have been changed)		Comments/Action Points (If 'No' identify issues/make recommendations).
	Yes	No	Yes	No	Yes	No	
<i>Named award title</i>							Comments

Awards moderated	
Number of grades changed	
% of grades changed	

Describe examples of good practice observed/identify concerns:	
Outline areas for improvement	

Signatures:	External authenticator:	Date:
	Provider:	Date:

This report will be made available to the QQI Monitor.

Appendix 8- Learner Statement of Results Template

21 May 2015

Re: Statement of Results

Dear Learner

Please find attached your statement of results from the Donegal ETB. Please check this statement for errors i.e. Name, DOB and PPSN and notify the Centre/School in writing, within 10 calendar days of the date on this letter, so that any necessary amendments can be made to QQI at no cost to you. A fee of €20 will be incurred by you after the 10 days has passed.

If you wish to appeal any of your results or assessment processes, please write to the Centre/School within 14 calendar days of the date on this letter. An Appeals Application will be posted to you to commence the Appeals Process.

Wishing you every success in the future.

Yours sincerely

Programme Co-ordinator

Appendix - 9 Learner Appeal/s Application Form

Learners wishing to appeal their received final result or any aspect of the assessment process must complete this form and return it to their School/Centre before:

DATE:

APPEALS RECEIVED AFTER THIS DATE WILL NOT BE PROCESSED

A fee of €20 is payable in respect of each module/component being appealed. This fee is refundable in the case of successful appeals. Fees should be paid by Bank Giro directly to:

Donegal ETB, Bank of Ireland, Letterkenny, Co Donegal
 Account Number: 28494102
 Sort Code: 90-49-15

**APPEALS WILL NOT BE PROCESSED WITHOUT A BANK GIRO CREDIT RECEIPT
 STAMPED BY A BANK CASHIER**

Centre/School Name: _____ QQI Centre No: _____

Learner's Name: _____ Roll Class: _____

Learner's PPSN: _____

PROGRAMME MODULES BEING APPEALED

Programme Module Code	Programme Module Name:	FEE PAID (please tick)	Office Use Only: Area of study that an appeal assessor is required:	EA Office Use Only: Assessor Name & Date Assessor is confirmed to conduct the Appeal
	TOTAL FEE DUE (No of Programme Modules X €20)			

I attach a Bank Giro receipt on the total amount of € _____ in respect of this appeal/s

Learner's Signature: _____ Date: _____

Programme Co-ordinator: _____ Date: _____

Date of request to EA Office: _____

Appendix 10 - Statement of Outcome – Co Donegal ETB Appeals Process

Centre/School Name: _____ QQI Centre No: _____

Learner's Name: _____

Learner's PPSN: _____

OUTCOME OF DONEGAL ETB APPEAL

PROGRAMME MODULE CODE	PROGRAMME MODULE NAME	ORIGINAL GRADE	APPEAL GRADE

Where the appeal has resulted in the original result being upgraded, the statement of results will be amended and the candidate will be issued with a new Certificate in due course.

The appeal fee of €20 will be reimbursed in due course for every module/component were the appeal resulted in an upgrading.

Appendix 11 - Sample Successful Letter from School/Centre to Learner

Date

Learner Name

Address

Re: Learner Appeal

Dear Learner

Your appeal in respect of Programme Module Name and Code:
has been successful and a grade of <Amended Grade> has been awarded.

Your statement of results has been amended and QQI will issue you with a new
Certificate in due course. Your appeal fee of €20 will be reimbursed.

Yours sincerely

Programme Co-ordinator

Appendix 12 - Sample Unsuccessful Letter from School/Centre to Learner

Date

Learner Name
Address

Re: Learner Appeal

Dear Learner

With regard to an appeal lodged for Programme Module Name and Code:

This appeal has been unsuccessful and there is no change to your grade. Your certification has been issued with <Assessment Period> Certificates.

Yours sincerely

Programme Co-ordinator

Appendix 13 - Review of Donegal ETB Quality Assuring Assessment Process

Centre Name	
Centre Number:	
Programme Co-ordinator Name:	
Programme Name:	
Quality Assurance Assessment for Programme Co-ordinators	
Strengths	Comments: Please Reference Section
Areas for Improvement	Comments: Please Reference Section
Quality Assurance Assessment for Assessors	
Strengths	Comments: Please Reference Section
Areas for Improvement	Comments: Please Reference Section
Quality Assurance Assessment for Learners	
Strengths	Comments: Please Reference Section
Areas for Improvement	Comments: Please Reference Section