



**wwetb**

Bord Oideachais agus Oiliúna  
Phort Láirge agus Loch Garman  
*Waterford and Wexford  
Education and Training Board*

# **Waterford and Wexford Education and Training Board**

## **Guide to the Authentication Process**

### **Stage 2 of the Overall Assessment Process (Internal Verification & External Authentication)**

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## Assessment Process Overview

### 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

## What is the Authentication Process?

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 supplemental award.

The Authentication Process will ensure that QQI receives accurate and quality assured learner results. The Authentication Process includes **internal verification** and **external authentication**.

## What is Internal Verification (IV)?

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.

The Internal Verification process involves checking that the provider's assessment procedures have been applied across the range of assessment activities from planning to finalising results including checking/monitoring the accuracy of assessment results to ensure learner evidence exists and that results and grades are correctly computed and recorded.

*(Quality Assuring Assessment –Guidelines for Providers, Version 2 Revised, QQI 2018).*

## What are the Roles and Responsibilities associated with Internal Verification?

The **Programme Manager/Coordinator** or other designated personnel is responsible for the overall coordinating of the IV process. They will ensure:

- staff recognise and understand the importance of the IV process
- staff are trained in the IV process and are informed of key dates (EA visit, QQI certification deadlines)
- evidence is corrected and internally verified in a timely manner after delivery concludes
- that the internal verification procedure is carried out independently of the assessor responsible for the assessment of a module
- that the IV report is reviewed and where possible corrections are addressed prior to the visit of the External Authenticator (EA) visit
- that the IV report is available to the EA and forwarded to QA in time for the Results Approval Process.

Following assessment and grading of learner results, the **Assessor** will:

- compile a portfolio of learner evidence to include a Teacher Pack and Learner portfolios including all necessary documentation
- will submit their portfolios to their coordinator/relevant personnel at an agreed date prior to the commencement of the IV process.
- ensure the evidence can be made accessible in a hard copy or electronically or using a combination of both.
- be available to be contacted during the Internal Verification and External Authentication processes

**The role of the internal verifier is to:**

1. Check adherence to the provider's quality assured assessment procedures
  2. Check results are recorded for ALL learners being entered for the award
  3. Confirm the accuracy of assessment results for a SAMPLE of learner evidence
  4. Identify and correct any errors
  5. Note any irregularities and take corrective action
  6. Complete an internal verification report
  7. Sign Authentication Report by L earner Group by Minor Award Results Sheet(s)
- 1. Check adherence to the provider's quality assured assessment procedures**
    - Confirm that appropriate documentation is available in the teacher/tutor pack
      - Confirm that learner evidence matches the assessment requirements of the award standard by confirming assessment techniques used are appropriate
      - Confirm that learner evidence has been generated as agreed within the validated programme
      - Confirm that appropriate documentation was used to record learner results
  - 2. Check results are recorded for *all* learners being entered for the award**
    - Are the results recorded for ALL learners on the *QBS Authentication Report by Learner Group by Minor Award Results Sheet*?
    - Is there evidence available for ALL learner results recorded?
    - Are marks transferred correctly from Learner Marking Sheets through to the overall Module Results Sheet and subsequently to the *QBS Authentication Report by Learner Group by Minor Award Results Sheet*?
  - 3. Confirm the accuracy of assessment results for a sample ([click here for sampling strategy](#)) of learner evidence**
    - Confirm that appropriate documentation was issued to learners
    - Confirm that information on assessment was provided to learners
    - Confirm that feedback has been provided to learners
    - Are marks totalled and percentage marks calculated correctly and transferred to Learner Marking Sheet?
    - Are percentage marks and grades allocated consistent with QQI grading bands?
  - 4. Identify and correct any errors (where possible)**
  - 5. Note any irregularities, notify appropriate staff members to take corrective action**
  - 6. Complete an internal verification report ([click here for IV Report Template](#)) and forward to programme/centre manager**
  - 7. Sign Authentication Report by L earner Group by Minor Award Results Sheet(s)**

**Please note** that an assessor cannot internally verify their own work.

## What is External Authentication?

External authentication (EA) 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.

*(Quality Assuring Assessment –Guidelines for Providers, Version 2 Revised, QQI 2018).*

## What are the Roles and Responsibilities associated with External Authentication

The **Centre/Provision contact with responsibility for QA** will:

- provide certification estimates to the Quality department in a timely manner
- following confirmation of External Authenticator(s) details from the Quality department, liaise with EA regarding dates/times/etc.
- ensure all learner evidence, tutor packs, IV reports and previous EA reports (where possible) are available for the EA on the day of visit/remote access
- be available to the EA throughout the day should any queries arise

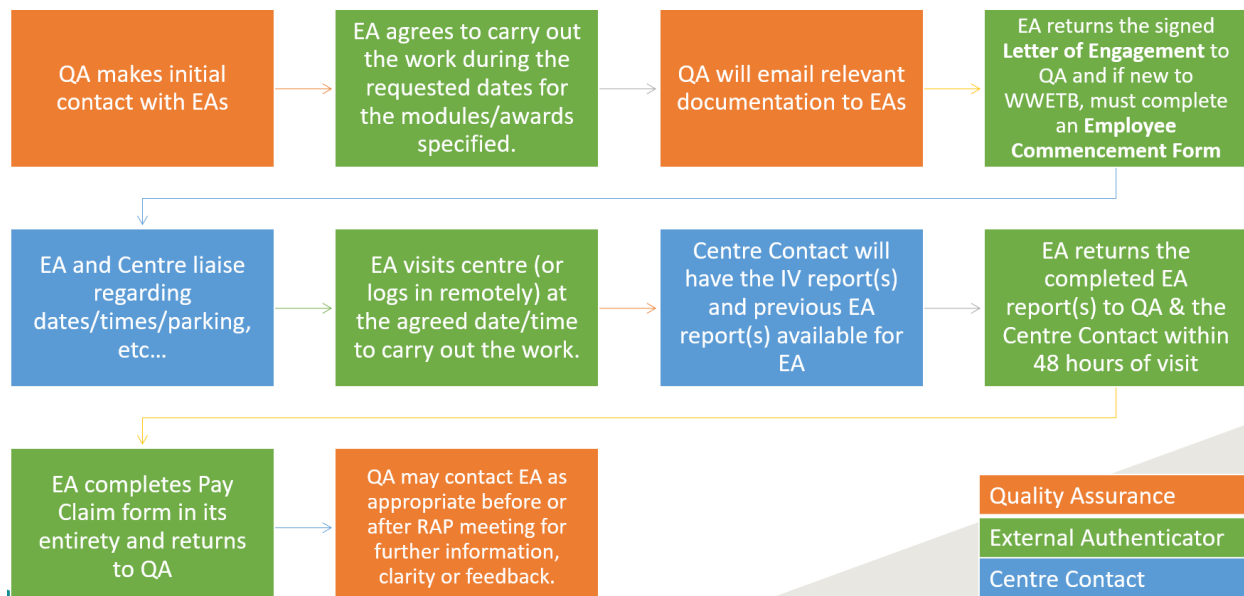
The **Quality** department are responsible for selecting an appropriate External Authenticator from the ETBI EA directory. Care will be taken to ensure the Authenticator has technical/subject matter expertise within the appropriate award area/field of learning. The Quality department will ensure that the EA is available to the relevant centre/provision at the preferred times and that the EA is independent of the centre to which they are assigned.

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:

- visit the centre/access work remotely and liaise with appropriate staff
- confirm the fair and consistent assessment of learners consistent with the provider's procedures and with QQI policy on quality assuring assessment
- review internal verification report(s) and authenticate the findings/outcomes
- apply a sampling strategy ([click here for sampling strategy](#)) to moderate assessment results in accordance with standards outlined in the Award Specification
- recommend results for approval
- produce a complete external authentication report ([click here for EA Report Template](#)) for each major award and submit to Quality department and Centre Contact within 48 hours of visit.

## Communication Process

(Centre Contact, Quality department and External Authenticator)



## Which awards and how often will awards be internally verified and externally authenticated?

- Assessment portfolios for **ALL** awards will be internally verified per assessment cycle.
- All major award programmes will be externally authenticated per assessment cycle.
- Assessment portfolios for all minor awards will be externally authenticated over two assessment cycles.

## What Sampling Strategy will be applied?

The following sampling strategy for WWETB will be applied by the internal verifier (FE Levels 4-6) and the external authenticator (all levels):

#Assessment Portfolios	FE Levels 1-3	FE Levels 4-6
≤ 12	3	*Between 3 & 6
Between 13 & 25	5	*Between 4 & 6
>25	20%	*20%

**\*At levels 4-6:** Minor Awards selected by the external authenticator should include the following in the sample, so as to allow the EA to determine the cut-off points between the grade:

- Lowest Distinction
- Highest Merit
- Lowest Merit
- Highest Pass
- Lowest Pass
- Highest Unsuccessful

## Can I combine Portfolios for Sampling Purposes?

Where one assessor is delivering the same module to more than one learner group in a location; for the purposes of EA sampling, all the learner portfolios for these groups may be combined.

## How do I record what portfolios I have sampled?

- **Internal Verification** – Place a tick beside the learner(s) sampled and sign the Authentication Report by Learner Group by Minor Award Results Sheet(s)
- **External Authentication** – Record grades for all authenticated portfolios in the relevant column on Authentication Report by Learner Group by Minor Award Results Sheet(s) **AND** clearly highlight any mark/grade changes





QAI AWARD

## INTERNAL VERIFICATION REPORT



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<b>Registered Provider/Centre Name:</b>	
<b>Registered Number:</b>	

<b>Named award(s) and codes (Include Major and Minor awards)</b>	<ul style="list-style-type: none"> <li>▪</li> <li>▪</li> <li>▪</li> </ul>
Named award(s) for which results are being internally verified (sampled)	
<b>Date of internal verification:</b>	

<b>Internal verifier(s):</b> (names and signatures of staff member(s) carrying out the internal verification)  <b>(*Names can be typed in for remote/online IV)</b>	1. Name:	Signature:
	2. Name:	Signature:
	3. Name:	Signature:

<b>Assessment processes and procedures</b>	<b>Verification</b> of adherence to provider's assessment procedures. Commentary should be provided as appropriate.
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<p>Basis on which sample of learner evidence was selected (i.e. Identify learner groups and total learner population being sampled and sample size selected)</p>					
<p><b>Assessment procedures</b></p> <p><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></p> <p><i>Tick as appropriate</i></p> <table border="1" data-bbox="206 608 495 849"> <tr> <td data-bbox="206 608 300 730">Yes</td> <td data-bbox="300 608 495 730"></td> </tr> <tr> <td data-bbox="206 730 300 849">No</td> <td data-bbox="300 730 495 849"></td> </tr> </table>	Yes		No		<p>Comment as appropriate (<i>If 'No' – identify issues arising and corrective action taken</i>)</p>
Yes					
No					

**Internal verifier(s)**

Name: .....

Signature: .....

Date: .....

**Internal verification**  
**Monitoring assessment results**

Please complete for each named award/group of learner results verified		Number of Learners in group	Number of Learners sampled	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 appropriate assessment techniques and instruments?		Have marks been correctly totalled and grades awarded in line with QQI requirements?		Comments/action points (if 'No' please identify issues/make recommendations)
				Yes	No	Yes	No	Yes	No	Yes	No	
Award Title and Award Code <sup>1</sup>	Teacher/Tutor Name											

<sup>1</sup> Repeat rows or copy this page as necessary



## EXTERNAL AUTHENTICATION REPORT



<b>Registered Provider/Centre Name/Centre Number</b>	
<b>Date of External Authentication visit:</b>	
<b>Major Award and Code for Authentication</b>	

### Guidelines for EAs on completion of External Authentication Reports for WWETB

1. Please submit report to QA Officer & Programme/Centre coordinator in Microsoft Word format if possible.
2. It would be expected that External Authentication Report would be submitted no later than 3 days after completion of the EA visit.
3. It would be expected that there would be brief comment against each award/group. If there are no issues/recommendations please make a brief comment on good practice.
4. Highlight Grade Changes for each award/group. Learners should be identified by their initials.

#### Sampling Strategy:

Sample selected by the **External Authenticator** should cover a range of attainment, across grades achieved. Must be sufficient in size to enable sound judgements to be made about the fairness and consistency of assessment decisions.

The following sampling strategy for WWETB will be applied by the external authenticator (all levels):

#Assessment Portfolios	FE Levels 1-3	FE Levels 4-6
≤ 12	3	*Between 3 & 6
Between 13 & 25	5	*Between 4 & 6
>25	20%	*20%

**\*At levels 4-6:** Minor Awards selected by the external authenticator should include the following in the sample, so as to allow the EA to determine the cut-off points between the grade: Lowest Distinction, Highest Merit, Lowest Merit, Highest Pass, Lowest Pass, Highest Unsuccessful

#### Total number of learners sampled.

<b>External Authenticator Name (PRINTED):</b>	<b>Date:</b>
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Please complete one row for each award/group 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 not, identify results which have changed ?	Are you recommending the results of this award for certification?	<b>Comments/Action</b> <b>Note: It would be expected that there would be brief comment against each award/group.</b> <b>If there are no issues/recommendations please make a brief comment on good practice.</b> <b>Highlight Grade Changes for each award/group. Learners should be identified by their initials.</b>
Award Title and Award Code <sup>2</sup>	Teacher/Tutor Name	Y/N	Y/N	Y/N	Y/N	Identify issues/make recommendations/good practice

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<sup>2</sup> Repeat rows or copy this page as necessary

## Comment on Internal Verification Report (I.V.)

**Summary of Internal Verification Findings. Based on the evidence reviewed, please indicate which of the following best summarises the Internal Verification process at this centre**

**Internal Verification Report:**

- Was available to the External Authenticator (originally only major award conclusion given) Yes  No
- Was signed and dated by the Internal Verifier(s) Yes  No
- Was signed off the Centre Manager/College Principal(brought to principal and signed) Yes  No

**Choose any ONE of the following statements which best describes the effectiveness of the I.V process**

**Used as an effective tool by the centre:**

- Compliance/non-compliance with all assessment processes and procedures noted Yes  No
- Instances of good practice highlighted Yes  No
- Areas for improvement highlighted Yes  No
- Issues were identified and acted upon prior to External Authenticator visit Yes  No

**Partly used as an effective tool by the centre**

- Not all modules were monitored Yes  No
- Room for improvement in some areas Yes  No

**Ineffective use of the tool**

- Issues arose during authentication which were not highlighted in the I.V. report Yes  No
- Issues identified but not acted upon prior to the visit of the External Authenticator Yes  No

**Summary of Internal Verification Findings. Based on the evidence reviewed, please indicate which of the following best summarises the Internal Verification process at this centre.**

**YOUR GUIDE:**    **Very Effective:**    The centre is very effective at implementing the assessment processes and procedures (no room for improvement)  
                           **Effective:**                    The centre is effective at implementing the assessment processes and procedures with some minor areas for improvement  
                           **Acceptable:**                    The centre is acceptable at implementing the assessment processes and procedures with a number of minor and/or significant areas requiring improvement  
                           **Unsatisfactory:**                The centre is unsatisfactory in a number of areas which may threaten the integrity of the assessment process

<b>Very Effective</b> <input type="checkbox"/>	<b>Effective</b> <input type="checkbox"/>	<b>Acceptable</b> <input type="checkbox"/>	<b>Unsatisfactory</b> <input type="checkbox"/>
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## Overall Findings of Authentication Process

<b>Number of grade changes recommended<sup>3</sup>:</b>	
<b>Have recommendations in the previous EA Report been addressed?</b>  <p style="text-align: center;">Yes <input type="checkbox"/>      No <input type="checkbox"/></p>	<b>Comment:</b>

<b>Recommendations:</b>	
<b>Summary of good practice observed:</b>	
<b>Areas where immediate attention is required:</b>	

<b>External Authenticator (Signature):<sup>4</sup></b> _____ <b>Contact Details:</b> _____ <b>Email:</b> _____	<b>Date:</b> _____ <b>Mobile No:</b> _____
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<sup>3</sup> **Grade changes should be highlighted beside each award/group. Learners should be identified by their initials.**

<sup>4</sup> EA Signature can be entered electronically