

# BTEC Centre Risk Assessment 2009-2010

## Quick Reference Guide

Level 2 and Level 3 BTEC Qualifications  
(Including short Courses Levels 1-3)

BTEC Work Skills

Foundation Learning Tier (FLT)

CRA NVQ Phase II Pilot

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## BTEC mission statement

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We aim to reduce the bureaucratic burden of assessment and assessment-related processes on centres whilst maintaining the quality of provision. We will achieve this through effecting a change of focus from an Edexcel-driven model of 'Quality Control' to one of centre-driven 'Quality Assurance'.

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# Introduction

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## What is Centre Risk Assessment (CRA)?

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- A quality check, which looks at centre-wide quality assurance systems.
- It ensures that internal controls are in place to minimise the risks inherent in managing BTEC and NVQs.

## How to use this guide

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This guide provides a summary of the risks and expected controls that Edexcel will apply when making judgements during the course of Centre Risk Assessment. Each table refers to a specific section of the CRA Report.

It is designed to be used in preparatory meetings between the Quality Nominee and relevant practitioners. It is a useful quick reference tool when preparing evidence and responses for either a CRA visit or self assessment.

## Where can I find more?

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For full detail on Centre Risk Assessment, please refer to the Centre Briefing: Centre Risk Assessment 2009-10, which is published on the Edexcel website. The Centre Briefing includes:

- An introduction to CRA.
- Roles & responsibilities.
- Support contacts.
- Key dates & actions.
- Full guidance on the risks & controls.
- Risks & controls mapped to NVQ sanctions.
- Regional Quality Manager contacts.

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# CRA Risks and Controls

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## Managing Assessment

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These risks, when uncontrolled, compromise the assessment of national standards and can compromise the safety of certification and ultimately the credibility of BTEC qualifications. As such lack of satisfactory control of these risks requires immediate corrective action.

Category	Risk	Risk Controls
A.1 Outcomes of Verification	Poor verification strategy, processes and management can potentially lead to blocked programmes and the non-certification of learners.	<p>A.1.1 Correct and timely samples are provided for external verification.</p> <p>A.1.2 The outcomes of external verification are monitored and acted upon at centre and programme level.</p> <p>A.1.3 Internal verification operates in line with Edexcel and other regulatory requirements on internal verification.</p> <p>A.1.4 Internal verification processes and practices effectively ensure the standardisation of assessment practice and outcomes.</p> <p>A.1.5 Internal verifier roles are clearly defined and have the status required to influence assessment outcomes and practice.</p> <p>A.1.6 Internal verification roles are clearly understood by all members of delivery teams.</p> <p>A.1.7 Internal verification documentation is clearly understood by internal verifiers and assessors and is utilised consistently across the centre.</p> <p>A.1.8 Weaknesses in assessment identified through external and internal verification lead to remedial action that improves assessment practice.</p> <p>A.1.9 Internal verification strategies and plans are in place, operational and cover all assessment locations, all assessors, all units and touch all learners.</p> <p>A.1.10 Support mechanisms are in place for all internal verifiers and evidenced.</p>

Category	Risk	Risk Controls
<b>A.2 Centre Assessment Practice</b>	Poor assessment strategy, processes and management can potentially lead to blocked programmes and the non-certification of learners.	<p>A.2.1 Assessor roles are clearly stated and understood.</p> <p>A.2.2 Assessment statements and procedures are in place, operational and cover all assessment locations, all assessors, all units and all learners.</p> <p>A.2.3 Assessment documentation is clearly understood by assessors and learners, and is utilised consistently across the centre.</p> <p>A.2.4 Assessment methodology leads to valid and reliable assessment outcomes that are in line with Edexcel and other body requirements.</p> <p>A.2.5 Access to assessment is equal for all learners.</p> <p>A.2.6 Support mechanisms for assessors are in place and evidenced.</p> <p>A.2.7 If the qualification demands testing the centre must comply with the Edexcel testing requirements.</p>
<b>A.3 Maintenance &amp; Audit Of Learner Records</b>	Learner records have the potential to be inaccurate, out of date and insecurely stored.	<p>A.3.1 All records are securely and safely maintained.</p> <p>A.3.2 Records of learner achievement are up to date, provide accurate tracking facilities, and are reviewed for accuracy.</p> <p>A.3.3 Verification records are maintained for centre and awarding body scrutiny.</p> <p>A.3.4 Current learner evidence is available for centre and awarding body scrutiny if required.</p> <p>A.3.5 Key learner records are stored and retrievable for a period of 3 years following certification.</p>
<b>A.4 Malpractice &amp; Assessment Appeals Practice</b>	Centre learner appeals and learner/staff assessment malpractice polices, procedures and practice are insufficient to meet Edexcel requirements and significantly affect the fairness and rigour of the assessment process.	<p>A.4.1 Policies and procedures for learner appeals and for learner/staff malpractice are in place and operational.</p> <p>A.4.2 All learners and staff are aware of what constitutes an appeal and assessment malpractice.</p> <p>A.4.3 Potential malpractice should inform planning and delivery of programmes.</p> <p>A.4.4 There is a robust system for recording and managing all assessment appeals and malpractice.</p> <p>A.4.5 There is a process to report serious assessment malpractice to Edexcel.</p>

Category	Risk	Risk Controls
A.5 Registration & Certification Claims	The administrative processes within the centre could result in the making of inaccurate or late registrations or inaccurate and unsafe certificate claims.	<p>A.5.1 A procedure which ensures timely and accurate registration is in place, operational and monitored.</p> <p>A.5.2 There is a mechanism for programme teams to check the accuracy of learner registrations.</p> <p>A.5.3 A procedure is in place, operational and monitored which ensures timely and accurate certification claims, checked against assessment records.</p> <p>A.5.4 Certificates are checked against assessment records prior to issue.</p> <p>A.5.5 Inaccurate, early/late and fraudulent registration and certification claims are managed at a senior level within the organisation and reported to Edexcel.</p>

## Managing Learning

Whilst these risks do not present an immediate compromise to national standards, if not addressed deterioration could ensue.

Category	Risk	Risk Controls
L.1 Policies, Systems & Procedures	Centre quality is ineffective due to weak centre systems, ineffective policies, the poor management of procedures.	<p>L.1.1 Quality systems are in place and supported by policies and procedures, appropriate to centre size and the qualification requirements. These systems are supported by both senior managers and assessment teams.</p> <p>L.1.2 The centre has policies for managing equality and diversity; health &amp; safety; special consideration &amp; reasonable adjustment; accreditation of prior learning.</p> <p>L.1.3 There is a system for the regular review and evaluation of centre policies.</p> <p>L.1.4 Effective internal and external communication systems operate to ensure the accurate and timely dissemination of key messages to enable quality management, assurance and improvement.</p> <p>L.1.5 There is continuous compliance with the Edexcel published policies and procedures, and regulatory requirements.</p> <p>L.1.6 The centre assures that BTEC and NVQ qualifications carrying a UK only Edexcel approval are not delivered outside of the UK.</p>
L.2 Roles & Team Working	A lack of dedicated quality roles and appropriate team working reduces the effective implementation and delivery of programmes.	<p>L.2.1 There needs to be someone with an overarching organisational responsibility for quality to act as the Edexcel contact (Quality Nominee).</p> <p>L.2.2 There is a defined, delegated authority for programme teams to plan and manage the quality of programme delivery and assessment across all sites. Key roles have been assigned and understood by staff.</p> <p>L.2.3 There is time set aside on a regular basis for programme teams to have formal, minuted meetings to discuss teaching and assessment and verification.</p> <p>L.2.4 There is a cross centre mechanism to ensure effective communication within and between programme teams, and with Edexcel.</p> <p>L.2.5 The organisational structure reflects a culture of quality assurance and improvement.</p>

Category	Risk	Risk Controls
L.3 Review, Evaluation & Improvement	Poor quality review and evaluation processes and/or non-compliance with CRA will impede the continuous improvement of programme planning or delivery.	<p>L.3.1 Senior staff lead quality review and improvement processes.</p> <p>L.3.2 There is a cycle of centre and programme quality review and evaluation to assure the quality of the learning experience.</p> <p>L.3.3 There is a centre focus on continuous quality improvement that is demonstrated in all aspects of the centre's activities and engagement with learners</p> <p>L.3.4 Both learners, staff and other stakeholders are consulted as part of the ongoing review process.</p> <p>L.3.5 The outcomes of the review process inform change, which will aid continuous improvement and ensure that provision is fit for purpose.</p> <p>L.3.6 There is continuous compliance with Edexcel approval criteria and quality systems requirements.</p>
L.4 Learner Recruitment	Learners are recruited onto inappropriate programmes that do not meet their needs, and this impedes achievement.	<p>L.4.1 The centre provides relevant programme information, together with guidance and advice, to enable informed choice by the learner.</p> <p>L.4.2 Published entry criteria and appropriate standardised selection procedures are used to ensure that learners are recruited with integrity.</p> <p>L.4.3 During recruitment the learners' development needs are established against the qualification and their Individual Learning Plan.</p>
L.5 Learner Support & Review	Lack of support and monitoring of learners, which reduces programme effectiveness and undermines learner achievement.	<p>L.5.1 There is an active procedure to identify and provide appropriate learner support to assist achievement.</p> <p>L.5.2 Teaching and assessment methodology encourages learner engagement and fosters a sense of responsibility.</p> <p>L.5.3 Information relating to learner support is published.</p> <p>L.5.4 Learner progress is reviewed and action plans agreed using a process of constructive feedback.</p> <p>L.5.5 Learner support for progression is provided.</p> <p>L.5.6 The centre provides facilities to provides unit certification outcomes for learners.</p>

## Managing Resource

Although these risks do not themselves present a compromise to national standards, they could affect programme delivery in the longer term if left unresolved.

Category	Risk	Risk Controls
R.1 Staff Resources	The delivery and assessment of Edexcel programmes is compromised due to understaffing, inappropriately qualified staff, a lack of vocational expertise amongst staff and insufficient staff time for planning, delivery, assessment, monitoring and evaluation. Staff do not view quality and improvement as an inherent part of their job role.	Staffing on Edexcel programmes is reviewed to maintain adequate numbers of appropriately qualified and vocationally experienced personnel. There is a robust recruitment and selection process which ensures the maintenance of adequate and appropriate staffing. Staff on Edexcel programmes have sufficient time for the planning, delivery, assessment, verification and evaluation of Edexcel programmes. Where external expertise is utilised, the centre ensures that the experts are familiar with the specification and assessment requirements of the programme. Quality assurance remains the responsibility of the centre.
R.2 Staff Induction & Development	A lack of induction and /or development leads to staff who are out of date with national standards, industrial trends and developments in teaching and assessment.	Staff induction is available for all staff new to the centre and/or to Edexcel programmes which includes familiarisation with Edexcel philosophy and requirements. There is a process of staff development to meet the needs of the organisation and delivery and assessment of Edexcel programmes. There is evaluation of the staff induction and development provision, individual access to it and an assurance that it remains fit for purpose.
R.3 Physical Resources	Poor provision and maintenance of physical resources can lead to inadequate or unsuitable learning and reduced staff and learner safety.	Recommended specialist and general resources are in place. There is sufficiency of required physical resources for all learners, together with adequate access arrangements. General and specific resources are monitored regularly to ensure they are fit for purpose and safe to use. General and specific resources are available when considering the introduction of new programmes. Where external physical resources are utilised, the centre ensures that they are fit for purpose, appropriate and safe.

For more information on Edexcel and BTEC qualifications  
please visit our website: [www.edexcel.com](http://www.edexcel.com)

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