

BTEC Centre Risk Assessment 2009-2010

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

BTEC mission statement

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'.

Preface

This handbook is aimed at Quality Nominees, programme managers and practitioners in centres.

It applies to the quality assurance processes for BTEC Level 2 and 3 qualifications, BTEC short courses at Levels 1-3, BTEC Work Skills, Foundation Learning Tier (FLT) programmes and the CRA NVQ Phase II Pilot. Throughout this handbook there are references to further guidance documents, the BTEC NSS Briefing, and many more available via the BTEC Quality Assurance area of the Edexcel website, www.edexcel.com.

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1 Introduction

What is Centre Risk Assessment (CRA)?

- 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.

Which qualifications does CRA cover?

- BTEC levels 2 and 3 (including Short Courses levels 1 to 3).
- BTEC Work Skills.
- Foundation Learning Tier Qualifications - BTEC vocational titles - Personal, Social and development.
- CRA NVQ Phase 2 Pilot.

Which centres are involved?

- All BTEC centres will be required to undertake CRA in 2009-10.
- An explanatory letter will be sent to your Head of Centre during August 2009.
- Centres participating in the NVQ CRA phase II pilot will be required to undertake CRA in 2009-10. Separate instructions will be sent to these centres.

Are there any exceptions?

- Newly approved centres will be excluded during the first year.
- Centres with small BTEC provision may be excluded from the process.
- Instead, the Regional Quality Manager for these centres will provide individual support.

What's new for 2009-10?

- For centre visits only, there are changes in the way we are asking you to prepare for CRA. Your Risk Assessor will ask you to complete a simple Centre Engagement document prior to the visit.
- CRA will not identify specific programmes or groups of programmes, but will look at BTEC provision across all sectors.
- BTEC Work Skills and the Foundation Learning Tier programmes are included this year.
- Centres involved in the NVQ phase 2 pilot will also look at NVQ provision on the same report.
- There have been some changes made to the Risk Areas and Controls. The Risks and Controls Guide section provides details.
- All actions identified at CRA will be monitored within three months.

2 Roles and responsibilities

The role of the Risk Assessor

Centres selected for a CRA visit will be allocated a Risk Assessor. The Risk Assessor will:

- Liaise with the Quality Nominee (Quality Nominee) to arrange a visit.
- Provide advice and guidance on the process and ask for evidence to be sourced.
- Conduct the visit, looking at centre systems and meeting with practitioners.
- Provide verbal feedback at the end of the visit.
- Submit their CRA report within 10 days of the visit.
- Monitor any identified actions within three months of submission of the report. If any recommendations have been identified, these will be reviewed at the next CRA.

Centre roles

Quality Nominee

Each centre is asked to appoint a member of staff as the Quality Nominee, who acts as the main point of contact between Edexcel and the centre. The Quality Nominee should be someone who has the capacity and authority to act for the centre.

Quality Nominees should ensure the effective management of BTEC and NVQ programmes and actively encourage and promote good practice. They liaise with the appropriate practitioners and internal verifiers, and ensure that Risk Assessors are able to carry out their role.

For CRA visits, the Quality Nominee:

- Agrees agenda for visit with the Risk Assessor.
- Completes the centre preparation document prior to the visit, which includes progress on previous actions and recommendations; updates on changes to systems and procedures; statement on general strengths and weaknesses.
- Manages the visit, bringing together the relevant practitioners and evidence.
- Should be present when the Risk Assessor provides verbal feedback at the end of the visit.
- Is informed via email when the CRA report is submitted to Edexcel online.
- Manages the resolution of any identified actions or recommendations.

For CRA self assessment, the Quality Nominee:

- Manages the self assessment process.
- Manages the resolution of previous actions and recommendations.
- Gathers evidence from the relevant practitioners.
- Completes and submits the CRA report via Edexcel online.
- Monitors any identified actions within three months of submission of the report. If any recommendations have been identified, these will be reviewed at the next CRA.

Practitioners

For the purposes of CRA, practitioners are centre staff who are actively engaged in delivering programmes. They may be curriculum or programme managers, teaching staff and internal verifiers.

Qualification types

The people directly involved with CRA may change according to the types of programmes you run at your centre.

- **BTEC levels 2 and 3 (including Short Courses levels 1-3)**

The Quality Nominee brings together sufficient representation of BTEC practitioners who are able to talk with authority about the operation of BTECs in the centre. Please bear in mind that the Risk Assessor requires an overview of the BTEC provision, so the people and number will vary according to the size and nature of your centre.

- **WorkSkills / Foundation Learning Tier**

As well as the above, the identified Lead Internal Verifier for WorkSkills / Foundation Learning Tier programme groups must be present.

- **NVQ**

In order to meet the requirements of the NVQ Code of Practice, all NVQ Lead Internal Verifiers must be present.

3 Support

For further information on CRA

- CRA pages on www.edexcel.com: www.edexcel.com/iwantto/Pages/craa.aspx.
- 'I Am A Quality Nominee' page on www.edexcel.com: www.edexcel.com/i-am-a/qualitynominee.
- 'What is a BTEC?': www1.edexcel.org.uk/quality-info/whatisabtec.

Enquiries

- BTEC and NVO enquiries: 0844 576 0026.
- Email: CRA@edexcel.com.

Regional Quality Managers (RQMs)

Edexcel Regional Quality Managers (RQMs) have a responsibility for centres within a geographical area. They are able to provide quality assurance support and guidance for anyone managing or delivering BTECs and NVOs.

For CRA, the RQMs will:

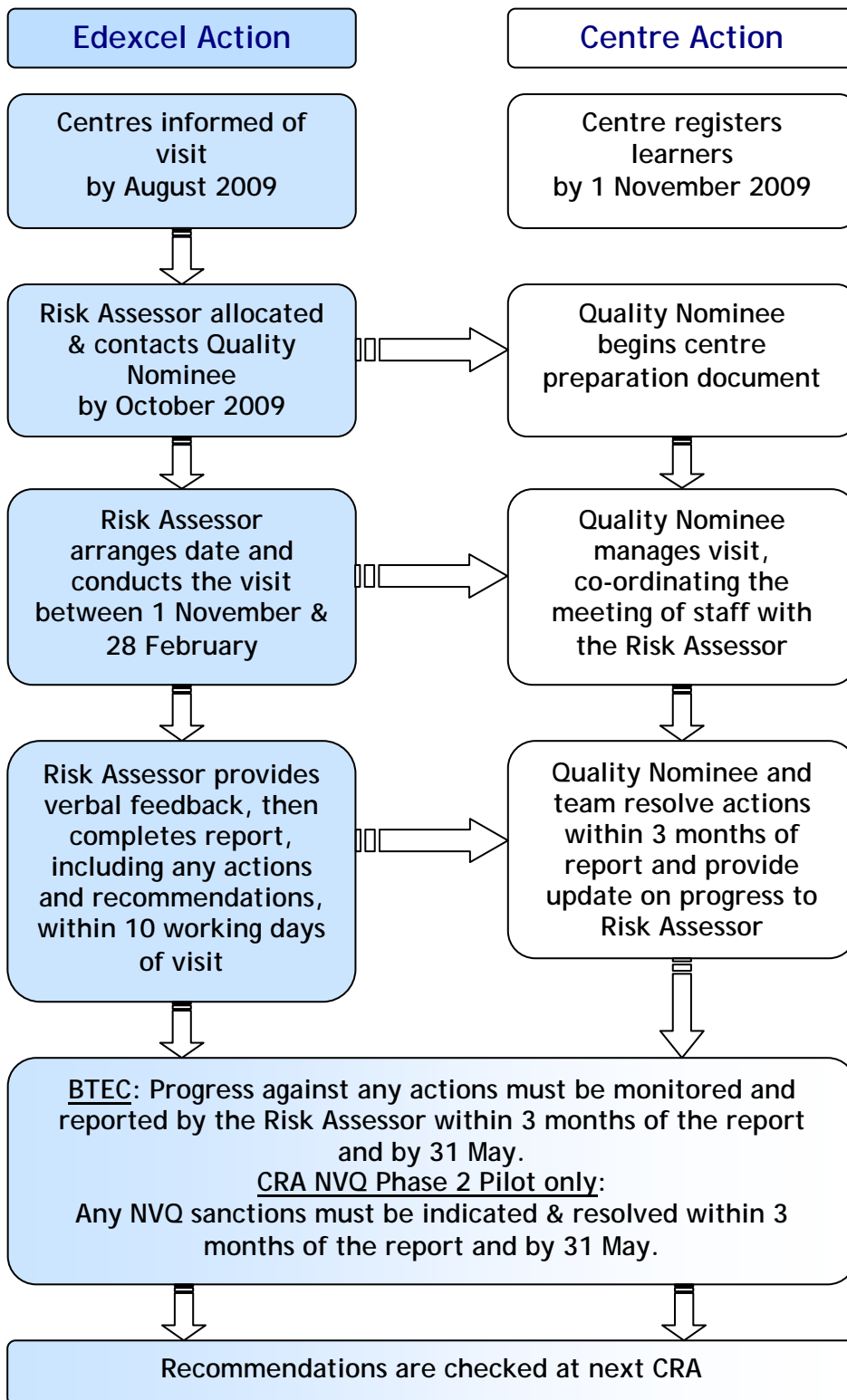
- Support Risk Assessors where particular quality matters are raised.
- Support Quality Nominees at all stages of the process.
- Support centres in the resolution of actions and recommendations as required.

A UK Map with RQM email details is included in Appendix 2 and can also be found here:

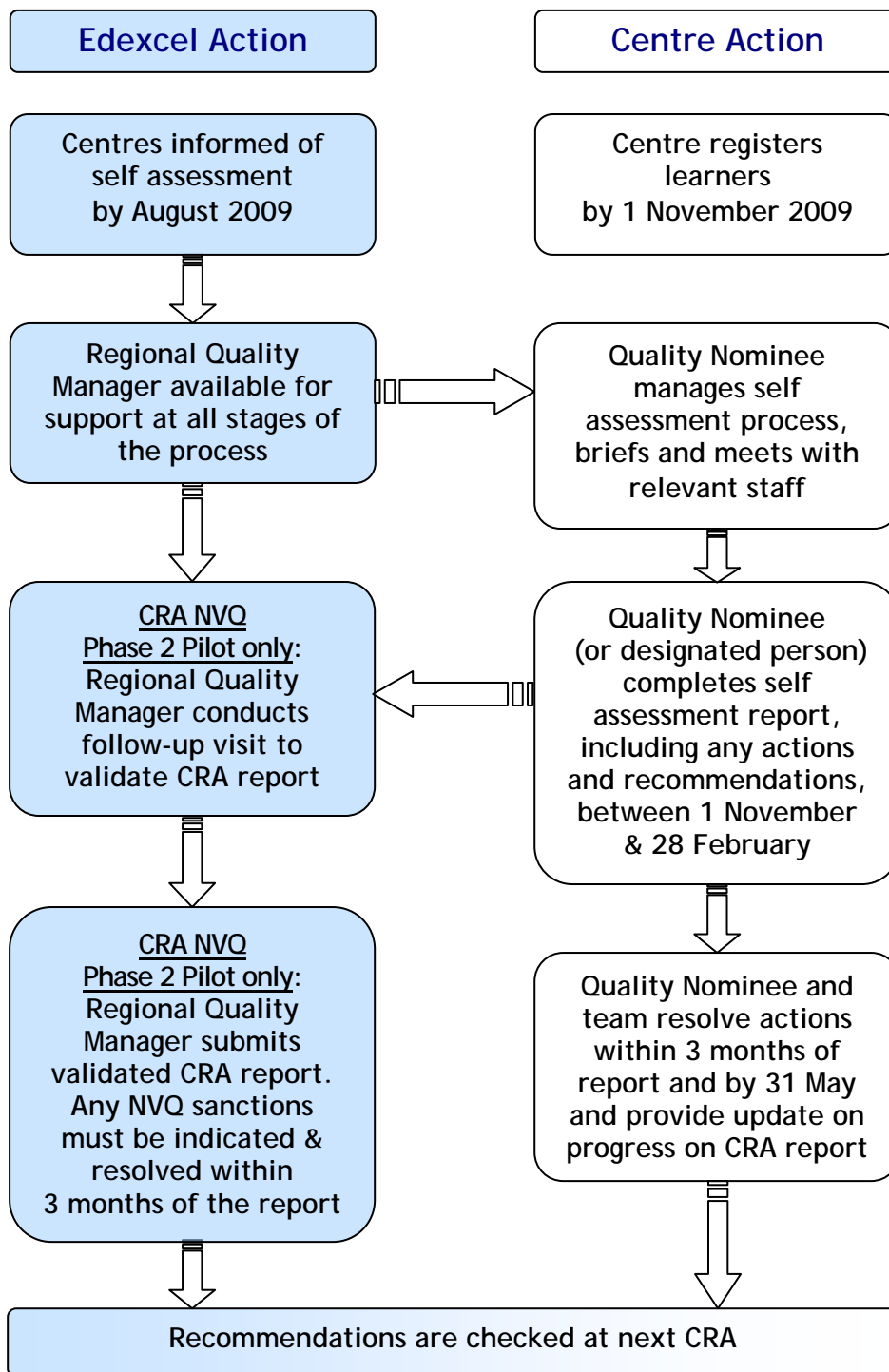
<http://www.edexcel.com/i-am-a/qualitynominee/Documents/BTEC%20Regional%20quality%20managers%20by%20region.pdf>

4 Key dates and actions

The CRA visit process



The CRA self assessment process



5 Risks and controls guide

Centres are expected to control the quality of their BTEC programmes. This guide provides details of the risks and expected controls that are applied when making judgements during the course of CRA. They have been developed to ensure that there is visibility of the standards against which risk assessment judgements are being made. This guide should be used by the centre when either preparing for a visit assessment or undertaking self assessment. During a visit assessment, the Risk Assessor will refer to these risks and controls as they form the basis of judgements made in the report.

Risk controls are prescriptive and have been developed to provide transparency; a common understanding within the centre; and promote consistent application across all Edexcel centres. They are also a developmental tool to help manage the quality of provision. The advice and guidance that Risk Assessors provide is underpinned by these controls.

Risk Assessors will apply certain considerations when making judgements and giving advice:

- Avoid leading a centre towards a solution that represents the Risk Assessor's favoured position as this merely provides a short-term solution that is often not sustainable.
- Give broad-based advice to support sustainable solutions.
- Provide specific, measurable, achievable, realistic and timed actions and recommendations.
- Base assessment decisions only on the risks and controls identified within this document, which will ensure objective and consistent judgements.

Managing assessment: Outcomes of verification

Risk

- A.1 Poor verification strategy, processes and management can potentially lead to blocked programmes and the non-certification of learners.

Risk controls

- A.1.1 Correct and timely samples are provided for external verification.
- A.1.2 The outcomes of external verification are monitored and acted upon at centre and programme level.
- A.1.3 Internal verification operates in line with Edexcel and other regulatory requirements on internal verification.
- A.1.4 Internal verification processes and practices effectively ensure the standardisation of assessment practice and outcomes.
- A.1.5 Internal verifier roles are clearly defined and have the status required to influence assessment outcomes and practice.
- A.1.6 Internal verification roles are clearly understood by all members of delivery teams.
- A.1.7 Internal verification documentation is clearly understood by internal verifiers and assessors and is utilised consistently across the centre.
- A.1.8 Weaknesses in assessment identified through external and internal verification lead to remedial action that improves assessment practice.
- 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.
- A.1.10 Support mechanisms are in place for all internal verifiers and evidenced.

How to meet risk controls

Reference	Commentary	Suggested evidence
A.1.1	Centre understands what constitutes the correct sample for external verification and is able to provide what the external verifier requests within the expected timeframe, to ensure resolution of issues in a timely way.	Appropriate Edexcel and centre documentation.
A.1.2	A Quality Nominee will be in post and a senior staff member be responsible for external verification quality. A tracking process usually ensures the speedy follow up of external verification report actions and recommendations. This will be complemented by rigorous programme IV, which effectively identifies and resolves assessment problems.	IV process and meeting documentation. Centre roles chart.
A.1.3	The centre's internal verification policy and processes should be developed with reference to Edexcel and other internal verification guidance. A review process will ensure that changes in guidance are reflected in the centre policy and processes. (Note: Joint Awarding Body guidance on Internal Verification for NVQs must be consulted as required).	Policy detailing all qualification IV requirements. Version dated to show review dates.
A.1.4	Standardisation practices will be adopted by assessors to ensure assessment accuracy and consistency. The internal verification process will monitor the effectiveness of these practices. Access to appropriate training and updating should be provided as required.	Meeting minutes/meetings schedule.
A.1.5	The centre will have a clear role specification for internal verifiers that ensures appropriately qualified and competent staff are used. Internal verifiers will have adequate authority to effectively carry out the role.	Role specification. Centre organisation chart.
A.1.6	Adequate staff briefing will be present on the function and the character of internal verification. New staff will be fully briefed and inducted about the policy and processes. Periodic updating and refresher training regarding changes in practices and issues. should be in place.	Induction policy and handbook. Training meeting records.
A.1.7	Checks to assure that internal verification is correctly, consistently and systematically carried out across Edexcel provision: an internal audit mechanism be used. The centre should ensure assessors are familiar with internal verification processes and documentation. Changes should be clearly communicated to staff.	Induction policy and handbook. Internal verification meeting records and documentation.
A.1.8	Strategies will be evident to ensure that improvements in assessment practice identified by external and internal verification are carried out. This may include management process changes, and staff improvement training and CPD.	Staff training needs analyses, plans and records. Staff review and training audit records.
A.1.9	Effective mechanisms will exist to ensure that a consistent and uniform internal verification process applies at all locations where approved programmes operate. Records will demonstrate that internal verification applies systematically to all assessors and learners.	Centre internal verification plans and records.
A.1.10	Strategies will be in place to support internal verifiers. This may be through ongoing management processes; through regular staff performance review; and programme review and evaluation.	Centre staff and programme review documentation and records.

General matters

CRA focuses on the systems in place to manage the centre's ability to comply with assessment and verification requirements. Centres must effectively respond to issues raised by external and internal verification activity. Centres with robust quality procedures will have proactive processes to monitor verification. Good practice constitutes a sharing of verification feedback and actions across Edexcel practitioners within a centre. Centres will make decisions about the deployment of staff for these duties.

BTEC Programmes: Centres internally must verify all assessment materials to ensure that they meet the required standards laid down by the appropriate Edexcel specification. This applies equally to assessment materials produced by Edexcel or acquired from centres where such assessments may have been verified by Edexcel.

This both assures the standard locally and also ensures that the assessment is fit for purpose within the context of the centre. When collating external verification samples of learner evidence and related records, centres should ensure that the sample is comprehensive, secure and safeguarded. Where evidence and records are posted to external verifiers for this purpose, Edexcel recommends that only copies of evidence and records be used for this purpose. Centres may also provide samples electronically.

NVQ Programmes: all assessors and internal verifiers should maintain valid and reliable assessment outcomes that are in line with the Sector Skills Council assessment strategies and National occupational standards. Centres will need to make countersigning arrangements available for unqualified NVQ assessors and verifiers.

Managing assessment: Centre assessment practice

Risk

- A.2 Poor assessment strategy, processes and management can potentially lead to blocked programmes and the non-certification of learners.

Risk controls

- A.2.1 Assessor roles are clearly stated and understood.
- A.2.2 Assessment statements and procedures are in place, operational and cover all assessment locations, all assessors, all units and all learners.
- A.2.3 Assessment documentation is clearly understood by assessors and learners, and is utilised consistently across the centre.
- A.2.4 Assessment methodology leads to valid and reliable assessment outcomes that are in line with Edexcel and other body requirements.
- A.2.5 Access to assessment is equal for all learners.
- A.2.6 Support mechanisms for assessors are in place and evidenced.
- A.2.7 If the qualification demands testing the centre must comply with the Edexcel testing requirements.

How to meet risk controls

Reference	Commentary	Suggested evidence
A.2.1	The assessor role and practice will be clearly laid down, understood and adopted by staff. There should be written policies and procedures detailing staff responsibilities.	Staff handbook. Assessment policy and procedures.
A.2.2	An assessment statement and procedures will be present, which are effectively and consistently adhered to. There will be records to demonstrate the procedures apply at any assessment location; cover all assessors, units and learners. These records will be available for inspection.	Learner handbook. Assessment and internal verification documents and records.

A.2.3	Assessment documentation must be understandable to both assessors and learners. There will be of a uniform, cross-centre standard. Review processes will demonstrate a consistent use; for example, internal audits; programme reviews.	Staff and learner handbooks. Centre assessment records.
A.2.4	Adequate documentation and assessor support will ensure valid and reliable assessment outcomes. There is a process to address assessment issues, which includes internal verifier feedback and training support. Assessment processes should be updated to ensure assessors are informed about changes in awarding body and other requirements:	Centre policy and documentation evidences formal awarding body or regulatory requirements.
A.2.5	The centre will have in place ways of ensuring that all learners have prompt and adequate access to assessment. That access should not be compromised where the centre operates in locations away from its main base.	Assessment schedules for every programme that maps into Internal verification schedule.
A.2.6	Staff have access to appropriate training and up dating programme strategies. The sharing of good practice is evident within and between teams. The development and maintenance of staff vocational expertise is important. Adequate records, like CPD records, are available to provide an evidence base (see R.2).	Staff training and CPD records.
A.2.7	This risk control applies to programmes that include testing requirements. Here, the published guidelines should be followed: the centre must be able to demonstrate the published testing requirements are met.	Centre testing policy and procedures.

General matters

Centres should consistently assure that assessed learner evidence meets national standards. There will be a standard and consistent approach to the assessment of learner evidence, including managing deadlines, feedback to learners and allowing learners to revisit evidence requirements. A good centre will disseminate good practice by encouraging assessors to discuss experience. Centres will make decisions about the deployment of staff for these duties and resolve any queries about assessment and verification.

NVQ programmes: All assessors and internal verifiers should maintain valid and reliable assessment outcomes that are in line with the Sector Skills Council assessment strategies and national occupational standards. Centres will need make countersigning arrangements available for unqualified NVQ assessors.

Managing assessment: Maintenance and audit of learner records

Risk

A.3 Learner records have the potential to be inaccurate, out of date and insecurely stored.

Risk controls

A.3.1 All records are securely and safely maintained.

A.3.2 Records of learner achievement are up to date, provide accurate tracking facilities, and are reviewed for accuracy.

A.3.3 Verification records are maintained for centre and awarding body scrutiny.

A.3.4 Current learner evidence is available for centre and awarding body scrutiny if required.

A.3.5 Key learner records are stored and retrievable for a period of 3 years following certification.

How to meet risk controls

Reference	Commentary	Suggested evidence
A.3.1	Records will be secure against hazards like theft and fire etc. Data is only accessible by relevant staff.	Protection of data information. Visual check by RA.
A.3.2	Up to date and accurate learner progress information is recorded: registration; learner feedback and progress; achievement. Staff check accuracy of information recorded. Learner records and monitoring information kept in an appropriate and accessible format. Records are available for Edexcel audit.	Learner records. Team records. Programme file.
A.3.3	Internal verification records are maintained and checked. Records are securely kept for Edexcel audit.	Internal verification records.
A.3.4	Learner work is made available for Edexcel as required. The format and storage of evidence facilitates this: security needs to be maintained. Evidence storage is usually at programme team level.	Learner record procedures.
A.3.5	All assessment and verification records kept for 3 years after certification date: registration; achievement; assessment; verification and certification records. The retention of learner work is not needed beyond the specified qualification requirements.	Learner records.

General matters

Records can be paper based or electronic and could be used as a motivational tool to discuss progress with learners. CRA should check whether such records are monitored by an internal audit. Many centres store learner work throughout the year, although storage restrictions may prevent this. Work should be made available for external verification. Work that is kept can be returned to learners after certification has taken place.

NVQ programmes: For A.3.5 there are special requirements for NVQ.

Managing assessment: Malpractice and assessment appeals practice

Risk

A.4 Centre learner appeals and learner/staff assessment malpractice policies, procedures and practice are insufficient to meet Edexcel requirements and significantly affect the fairness and rigour of the assessment process.

Risk controls

- A.4.1 Policies and procedures for learner appeals and for learner/staff malpractice are in place and operational.
- A.4.2 All learners and staff are aware of what constitutes an appeal and assessment malpractice.
- A.4.3 Potential malpractice should inform planning and delivery of programmes.
- A.4.4 There is a robust system for recording and managing all assessment appeals and malpractice.
- A.4.5 There is a process to report serious assessment malpractice to Edexcel.

How to meet risk controls

Reference	Commentary	Suggested evidence
A.4.	Appeals and Assessment malpractice procedures will target both learners and staff. The procedures should identify and eliminate malpractice and be known and understood by learners and staff.	Learner and staff assessment malpractice.
A.4.2	Procedures should be known and understood by learners and staff. Malpractice issues will be addressed by ensuring learners/staff are aware of the issues: plagiarism, collusion, fabrication of results, falsifying grades, fraudulent certification claims; referencing skills; promote a zero tolerance approach. The appeals process will be understood by learners and staff. It must be transparent and enable formal challenges to assessment grades. Learners will be informed of these matters at induction and through the programme.	Appeals and malpractice policy and documentation. Verbal questioning of staff.
A.4.3	Planning and delivery should minimise malpractice opportunities. Assessment planning practices should help limit malpractice: e.g. supervise learners producing evidence; question learners on skills and knowledge; regular change of assignment briefs. Assessment and internal verification should confirm work is the learners own, supported by transparent and open assessment practices. Use vigilance when recording achievement and claiming certification to avoid errors and false claims.	Schemes of work, assessment and Internal verification records. Assessment and Internal verification records.
A.4.4	Procedures should investigate and record alleged appeals and malpractice; managing learners/staff if allegations true.	Investigation records of appeals and malpractice.
A.4.5	The extent of assessment malpractice or of an appeal should be fully appraised and action taken. The centre should have a liaison point for these matters. A process will exist to report serious malpractice to Edexcel.	Procedure and records.

General matters

Assessment malpractice is not tolerated by Edexcel: centres procedures need to include both learners and staff. If malpractice is not challenged, the maintenance of national standards and the integrity of Edexcel qualifications will be compromised. Edexcel malpractice policy can inform the centre's approach.

NVQ programmes: Please note that the Code of Practice requires an authenticity statement in each learner's portfolio.

Managing assessment: Registration and certification claims

Risk

A.5 The administrative processes within the centre could result in the making of inaccurate or late registrations or inaccurate and unsafe certificate claims.

Risk controls

A.5.1 A procedure which ensures timely and accurate registration is in place, operational and monitored.

A.5.2 There is a mechanism for programme teams to check the accuracy of learner registrations.

A.5.3 A procedure is in place, operational and monitored which ensures timely and accurate certification claims, checked against assessment records.

A.5.4 Certificates are checked against assessment records prior to issue.

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.

How to meet risk controls

Reference	Commentary	Suggested evidence
A.5.1	The deadline for registrations is published in the Information Manual. Use the correct programme number to register learners. Registration details should be checked and monitored by centre staff before submission to Edexcel.	Learner registration details.
A.5.2	Use Edexcel online to check the accuracy of registrations so that any problems can be identified and resolved before learners finish their programme.	Learner registration details.
A.5.3	A certification claims verifying process should be used, involving assessment and administration staff. Claims will reflect achievement in assessment records. Avoid one person reporting results, as mistakes can be made easily. Some centres use public forums, like staff meetings, to discuss and confirm learner achievement. Unit certification should be available for learners. These records should be available for Edexcel staff to check if required.	Centre certification claim process. Claims verification records. Attainment and achievement figures.
A.5.4	When certificates are received, it is recommended that a sample checking of certificates is checked against reported results. Any anomalies should be reported to Edexcel and the certificate withheld until resolved.	Examinations Office records.
A.5.5	A senior member of staff should be responsible for registration and certification processes and any untoward practices should be reported to Edexcel so that a full investigation can take place.	Edexcel roles and responsibilities information.

General matters

Many centres have a central examinations office which deals with registrations and certification claims. Some centres may have identified members of staff taking this on as an additional responsibility, there should be good communication between those with administrative responsibilities and practitioners on programmes, to ensure that accurate information is submitted to Edexcel.

Registration of learners joining a programme in August/September should take place by 1 November of that year. Learners joining at other times in the year, should be registered within a month of enrolment. Late registrations will jeopardise the allocation of an EV and RA which may jeopardise certification. Failure to register learners on time will incur late registration fees. Incorrect registrations against the wrong/expired version of the programme will result in non-certification. There is an expectation that results reporting will be carried out electronically using Edexcel Online or EDI. The deadline for main stream learners is early July in the year of completion. Untimely and inaccurate reporting may result in non certification of learners. Fraudulent reporting will result in withdrawal of that certification and could affect approval status. Unit certification should be available for learners.

NVQ Programmes: All certificate claims need to be checked for conformity to the 10 week rule.

Managing learning: Policies, systems and procedures

Risk

- L.1 Centre quality is ineffective due to weak centre systems, ineffective policies, the poor management of procedures.

Risk Controls

- 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.
- L.1.2 The centre has policies for managing equality and diversity; health & safety; special consideration & reasonable adjustment; accreditation of prior learning.
- L.1.3 There is a system for the regular review and evaluation of centre policies.
- 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.
- L.1.5 There is continuous compliance with the Edexcel published policies and procedures, and regulatory requirements.
- L.1.6 The centre assures that BTEC and NVQ qualifications carrying a UK only Edexcel approval are not delivered outside of the UK.

How to meet risk controls

Reference	Commentary	Suggested evidence
L.1.1	The centre has policies and procedures appropriate to its activity, which consistently regulate practice. These are process not people driven to ensure on going consistency. Procedures will enable the monitoring of quality assurance practice, allowing shortfalls to be identified and remedial action taken. They should encourage continuous improvement.	Centre policy and procedures documents. Centre policy: quality and continuous improvement.
L.1.2	The range of policies that inform practice cited here is the minimum expected in an educational setting to ensure the safe and secure access of all learners to the learning and assessment processes.	Centre policy and procedures documents.
L.1.3	Policies and procedures should be dated and regularly reviewed. Where appropriate, revisions are made. Quality assurance is dynamic and as such staff should be aware of its nature and have easy access to updates and information.	Policy procedures review plan. Master copies of documentation.
L.1.4	Edexcel guidance and updates should be passed to all centre staff. The Quality Nominee role is key in this and important at points of change. Information is available on the website and an email alert is available.	QUALITY NOMINEE record of briefings to staff.
L.1.5	Edexcel publishes its policies on the website. These give guidance on all aspects of qualifications and should be used to inform centre policy and procedures.	Centre policies and procedures.
L.1.6	UK centre and qualification approval is restricted to delivery operations in the UK. Centres wanting to operate outside of the UK must apply for a separate international approval.	Approval records.

General matters

Roles, responsibilities and other information may be kept in the quality file, or on the centre's intranet. This should be readily accessible. The Edexcel approval declaration details that centres are required to have certain policies in place to ensure the correct and safe operation of Edexcel programmes and to regulate practice. CRA monitors this.

A centre's size, and scale of its vocational provision, will influence policies, procedures and practices. Large, multi-site centres need to have more complex processes compared to smaller single-site centres.

Large centres may develop a formal, centralised approach to programme management and quality, through standard policies and procedures. In smaller centres, volumes may mean that a simpler structure will suffice, together with a reliance on short written statements outlining quality procedures and practice. Relying solely upon established custom and practice is an unsafe approach to quality management as it rarely ensures standardised practice, tends to change over time and does not usually survive major changes in staffing. The processes in place should be communicated to all staff and actively supported by senior management.

Risk Assessors will judge the appropriateness of the quality management approach adopted by the centre. It should be effective and enforced. Increasing numbers of centres are using internal audit as part of their review process to ensure that policies and procedures are operational. There should be a proactive response to issues and change, together with a commitment to providing appropriate resources and training to ensure the successful operation of Edexcel programmes.

Centres are approved to operate BTEC and NVO qualifications only within England, Wales and Northern Ireland (NVO Code of Practice, paragraph 25). If a centre wishes to deliver approved NVO qualifications outside of these areas they should contact Edexcel as different requirements apply.

Managing learning: Roles and team working

Risk

- L.2. A lack of dedicated quality roles and appropriate team working reduces the effective implementation and delivery of programmes.

Risk controls

- L.2.1 There needs to be someone with an overarching organisational responsibility for quality to act as the Edexcel contact (Quality Nominee).
- 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.
- 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.
- L.2.4 There is a cross centre mechanism to ensure effective communication within and between programme teams, and with Edexcel.
- L.2.5 The organisational structure reflects a culture of quality assurance and improvement.

How to meet risk controls

Reference	Commentary	Suggested evidence
L.2.1	The Quality Nominee role is critical to programme quality and the promotion of good practice. The Quality Nominee has operational authority to liaise with Edexcel, to receive information electronically and to circulate to appropriate staff. The Quality Nominee is involved in planning and devising quality procedures and their implementation.	Quality Nominee appointment and role description. Verbal evidence.
L.2.2	Programme teams share responsibility for programme planning, delivery and assessment. A programme leader should take responsibility for operational management and liaises with the Quality Nominee about quality requirements: contact with the EV: evidence preparation for EV; addressing any quality issues.	Programme file. External verification reports.
L.2.3	Team planning and operational meetings are key. Meetings should be formal and agendas include: learner progress; EV; Quality Issues should be discussed, analysed and resolved. Decisions should be recorded, actions monitored and enable continuous improvement. Attendance of part time staff should be encouraged. Attendance at standardisation meetings should be in line with qualification requirements as appropriate.	Meetings schedule, agendas and minutes.
L.2.4	Communication between programme teams encourages the sharing of good practice and a consistent approach to programme management. The adoption of a cross-centre BTEC Forum might foster this activity. In large, multi-site centres or for centres working in consortia, effective team communication when working across sites is important.	Meetings schedule, bulletin boards or a centre's intranet.
L.2.5	The organisation structure will demonstrate the management of Edexcel programmes and responsibility for programme quality assurance at centre and programme levels.	Organisation chart with names and roles identified.

General matters

The centre needs quality roles and personnel in place, appropriate to its Edexcel provision, which are identified at centre and programme levels. A formal and effective model to enable practitioners to enable systematic programme planning, delivery, and assessment should be in place. The use of specialist vocational teams in larger centres is often beneficial, but where provision is small, the use of a cross centre team - a BTEC forum or committee - might achieve the benefits of this work pattern. Regardless of the size, the Quality Nominee role is indispensable in facilitating both effective communication between Edexcel and centre and within the centre. This role also provides a proactive approach to the resolution of problems and queries.

Managing learning: Review, evaluation and improvement

Risk

L.3 Poor quality review and evaluation processes and/or non-compliance with CRA will impede the continuous improvement of programme planning or delivery.

Risk controls

- L.3.1 Senior staff lead quality review and improvement processes.
- L.3.2 There is a cycle of centre and programme quality review and evaluation to assure the quality of the learning experience.
- 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.
- L.3.4 Both learners, staff and other stakeholders are consulted as part of the ongoing review process.
- L.3.5 The outcomes of the review process inform change, which will aid continuous improvement and ensure that provision is fit for purpose.
- L.3.6 There is continuous compliance with Edexcel approval criteria and quality systems requirements.

How to meet risk controls

Reference	Commentary	Suggested evidence
L.3.1	Senior management is the driving force for culture a of continuous improvement and have a strategic overview and responsibility for the quality assurance. Systematic and formalised review should be present and proactive. The 'record, analyse, inform, implement and improve' loop is evident.	Organisation Chart. Senior team meeting records.
L.3.2	Centre systems are reviewed regularly to ensure fitness for purpose. They should give a focus on achievement and address delivery, assessment and operational issues, as well as general administration matters. Mechanisms to record both staff and learner opinions. An investment of time and resources for such review and evidence of resulting action plans.	Review reports and action plans. Minutes from quality meetings.
L.3.3	An investment in quality takes various forms: provision of time and other resources allowing people to make practical quality improvements; the support, empowerment and recognition given to staff; the inclusion of quality improvement in full and part time job descriptions; administrative support; access to ICT; the support of vocational instruction and learning practices.	Evidence relating to the investment types.
L.3.4	Improvement and change plans take account of learner, staff, and other stakeholder views. Future planning and improvements are affected by learner achievement and changes to the internal and external programme environment. All may have affects on resources, staffing and learner numbers.	Planning evidence relating to external factors.
L.3.5	Reviews should be carefully compiled and accurate actions recorded. Outcomes are used to inform future delivery and enhance the continuous improvement of provision.	Review reports and analysis on action plans.
L.3.6	Centre and qualification approval requirements are annually monitored by CRA visit assessment or self assessment. There is compliance in completing the assessment or actions arising from maintains approvals.	Approval documentation. CRA reports.

General matters

CRA seeks to support centre-driven quality assurance. Effective quality management is at the heart of Edexcel programme delivery and the centre should be fully committed to the idea of excellence and continuous improvement of quality. Centre review and evaluation might be linked to external inspection requirements by agencies like Ofsted and LSC, as well as CRA. The process should make a judgement on programme success.

Managing learning: Learner recruitment

Risk

- L.4 Learners are recruited onto inappropriate programmes that do not meet their needs, and this impedes achievement.

Risk Controls

- L.4.1 The centre provides relevant programme information, together with guidance and advice, to enable informed choice by the learner.
- L.4.2 Published entry criteria and appropriate standardised selection procedures are used to ensure that learners are recruited with integrity.
- L.4.3 During recruitment the learners' development needs are established against the qualification and their individual learning plan.

How to meet risk controls

Reference	Commentary	Suggested evidence
L.4.1	The key is that learners are recruited with integrity, avoiding enrolment onto inappropriate programmes. There should be evidence of accurate entry requirements, detailed learning information, and progression opportunities. Patterns of advice and guidance vary according to centre size and whether learners are recruited internally or externally.	Centre prospectus. Enrolment documentation.
L.4.2	Entry requirements are explained to applicants and a standard, valid, fair recruitment procedure used. Centres use different methods to recruit and select learners: taster sessions, initial assessment, skills screening, interviews and auditions.	Detail of entry requirement and selection procedures.
L.4.3	Identification of learning needs and specific support on programme is planned here. Advice is sought from Edexcel as required about qualification skill sets. The centre should place the learner on the correct programme and level, either through using initial assessment or other knowledge of the learner.	Policy and procedures on the provision of ILP and development needs.

General matters

Some centres will provide a coherent 'student services' function which supports all aspects of learner recruitment.

Managing learning: Learner support and review

Risk

- L.5 Lack of support and monitoring of learners, which reduces programme effectiveness and undermines learner achievement.

Risk Controls

- L.5.1 There is an active procedure to identify and provide appropriate learner support to assist achievement.
- L.5.2 Teaching and assessment methodology encourages learner engagement and fosters a sense of responsibility.
- L.5.3 Information relating to learner support is published.
- L.5.4 Learner progress is reviewed and action plans agreed using a process of constructive feedback.
- L.5.5 Learner support for progression is provided.
- L.5.6 The centre provides facilities to provide unit certification outcomes for learners.

How to meet risk controls

Reference	Commentary	Suggested evidence
L.5.1	Clear, accessible initial assessment procedures identifying learning needs and support are available before learning starts.	Learner assessment records.
L.5.2	Effective learner induction is used to initiate the independence of learning ideal, to orientate learners, and help achieve their potential. Vocational teaching and assessment methods will foster this ideal, which may be demonstrated by learners carrying out research, undertaking practical activities, demonstrating their skills and keeping work logs, etc.	Induction information and materials. Schemes of work.
L.5.3	Available support is publicised and accessible to all learners, regardless of their needs. This support will include induction, tutorial reviews, pastoral support, monitoring of absence, in addition to learning support.	Learner Handbook, or similar statement of learner support.
L.5.4	Periodic progress feedback is given. This includes attendance, achievement of deadlines and formative feedback on submitted work, together with planned improvement, in order to motivate the learner. These elements are planned and tracked through the programme.	Feedback records and action plans. Learner tracking records.
L.5.5	Progression support provided throughout the programme that informs learners of all available options, which may be further study, a move into employment or the progression of a career.	Tutorial records Careers support.
L.5.6	The appropriate use of unit certification for learners should be considered by the centre. This will permit learners to be able to demonstrate achievement at sub-qualification level.	Learner feedback and achievement records.

General matters

If additional support requirements are identified, these should be planned and made available as required. The provision of learner support should be consistent and understood by the learner and teacher. Support should not simply give learners the answers. Outcomes should be the learners' own work, and their achievement should be solely judged against grading criteria. Feedback should seek to reveal their strengths and weaknesses, from which appropriate improvements can be made.

Managing resource: Staff resources

Risk

R.1 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.

Risk Controls

- R.1.1** Staffing on Edexcel programmes is reviewed to maintain adequate numbers of appropriately qualified and vocationally experienced personnel.
- R.1.2** There is a robust recruitment and selection process which ensures the maintenance of adequate and appropriate staffing.
- R.1.3** Staff on Edexcel programmes have sufficient time for the planning, delivery, assessment, verification and evaluation of Edexcel programmes.
- R.1.4** 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.

How to meet risk controls

Reference	Commentary	Suggested evidence
R.1.1	Senior management should review regularly the structure of the Edexcel programme teams to ensure that there are sufficient staff to effectively deliver and assess the programme. This includes full and part time staff. Staff should have appropriate academic qualifications and vocational experience. They should have, or are working towards, a teaching qualification. Expertise in the vocational area and recent industrial experience are good practice, as is access to industrial updating.	Review meeting minutes. Centre Strategy documents. Staff CVs.
R.1.2	Standard recruitment and transparent selection process in place which seeks to recruit qualified and experienced staff. Consideration should be given to management of agency staff.	Centre recruitment processes.
R.1.3	In addition to the recommended guided learning hours for delivery and assessment, staff are given sufficient time to planning, review and evaluation in order to improve programme quality.	Staff timetables.
R.1.4	External people engaging with the learning process should be familiar with the programme specification and assessment standards. They should be adequately briefed.	Records relating to the use of external people.

General matters

The vocational nature of these qualifications requires consideration; the vocational and professional skill set of staff should be adequate for the programme and the level. Inappropriate practitioners often experience difficulties in delivering and assessing Edexcel vocational programmes to national standards. Risk assessment will judge whether the vocational skills and experience of staff are adequate. Consideration should be given for fractional and part-time staff to access to training, meetings, and managing programme assessment. Practitioners should understand the workplace and the sector in which they are teaching. It is recognised as good practice for staff to have past or current employment experience in the sector.

External expertise takes different forms: lectures and seminars given by visiting local experts; mentoring programmes; employer link activities; work experience (note: this is sometimes a requirement of the specification). External experts involved in assessment activities must be familiar with assessment requirements: the responsibility for managing delivery and quality assurance remains with the centre.

NVQ Programmes: Additionally, NVQ practitioners must have the necessary degree of sector competence to work successfully with the National Occupational Standards. Additionally, they will understand the appropriate Sector Skills assessment strategies, which inform the regulatory requirements for NVQ qualifications.

Managing resource: Staff induction and development

Risk

R.2 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.

Risk Controls

R.2.1 Staff induction is available for all staff new to the centre and/or to Edexcel programmes which includes familiarisation with Edexcel philosophy and requirements.

- R.2.2 There is a process of staff development to meet the needs of the organisation and delivery and assessment of Edexcel programmes.
- R.2.3 There is evaluation of the staff induction and development provision, individual access to it and an assurance that it remains fit for purpose.

How to meet risk controls

Reference	Commentary	Suggested evidence
R.2.1	Centres will have a formal induction programme for new staff, as well as CPD for existing staff. Staff new to Edexcel must understand assessment and verification requirements (see A.2.6).	Induction programme file.
R.2.2	Regular Edexcel training events and briefings covering assessment, delivery and quality assurance are available: all staff should have access and be encouraged to participate. In house training can also be used. The use of a multi-media approach is acceptable for all development. Training needs should come out of the performance review process.	Staff Development Policy. Staff Training Needs analyses. Training materials.
R.2.3	Staff development should be monitored to ensure it helps in the improvement, delivery and assessment of all Edexcel programmes.	Staff feedback sheets.

General matters

The centre should provide opportunities for appropriate staff development for practitioners to both enhance programme skills and maintain vocational skills over time. The need for both permanent and temporary staff to be updated with all aspects of Edexcel's requirements and wider practitioner developments should be recognised. A funded and planned staff development programme should be in place. Appropriate industrial updating is viewed as good practice. Staff may be encouraged to become Edexcel assessment associates.

A culture of centre quality improvement recognises the individual contribution of all staff in enabling success is endorsed by adequate CPD (cross reference with L3 above).

NVQ Programmes: The centre must provide sufficient staff development to ensure correct and accurate interpretation of national occupational standards, and the appropriate Sector Skills Council assessment strategy.

Managing resource: Physical resources

Risk

- R.3 Poor provision and maintenance of physical resources can lead to inadequate or unsuitable learning and reduced staff and learner safety.

Risk Controls

- R.3.1 Recommended specialist and general resources are in place.
- R.3.2 There is sufficiency of required physical resources for all learners, together with adequate access arrangements.
- R.3.3 General and specific resources are monitored regularly to ensure they are fit for purpose and safe to use.
- R.3.4 General and specific resources are available when considering the introduction of new programmes.
- R.3.5 Where external physical resources are utilised, the centre ensures that they are fit for purpose, appropriate and safe.

How to meet risk controls

Reference	Commentary	Suggested evidence
R.3.1	The physical resources to meet specification requirements, general educational needs and additional learning needs affirmed at approval, should be confirmed. The essential resources section of each unit will guide the centre here.	Edexcel specifications.
R.3.2	Centres need sufficient physical resources for the size of learner groups together with reasonable access, which mirrors timing of learning. Different ways of managing resources include: sharing, loan allocation, booking arrangements and third party access.	Resource management information.
R.3.3	Centres will have procedures for regular monitoring, maintenance and replacement of all resources needed to deliver Edexcel programmes. This will include hard media, ICT facilities, learning areas, internet access. If these are lacking or are poorly maintained learners may not achieve their qualifications or their safety might be at risk.	Resource management procedures.
R.3.4	Physical resources should be a prime consideration when new programmes or new units for existing programmes are planned. Presence of procedures to renew resources, and meet changing curriculum and learner where requirements.	Resource planning and renewal records.
R.3.5	Centres access external physical resources and expertise, where it is impractical to maintain their own. This can include short-term leasing or borrowing, or the use of resources at a third party site. Reasonable steps must be taken to ensure the safety, appropriateness and integrity of such resource. A continuity of use should also be safeguarded. Such arrangements are the centre's responsibility and contingency plans are wise against the withdrawal of resource whilst the programme is running.	External resource procedures and records.

General matters

Detailed inventories are not required: risk assessment judges the sufficiency and accessibility of specialised and general resources. The provision of industry standard resources will be seen as best practice.

In relation to external staffing see R2, and in relation to monitoring of external programme materials and assessments, see A2.

Appendix 1: Risks and controls mapped to NVQ Sanctions

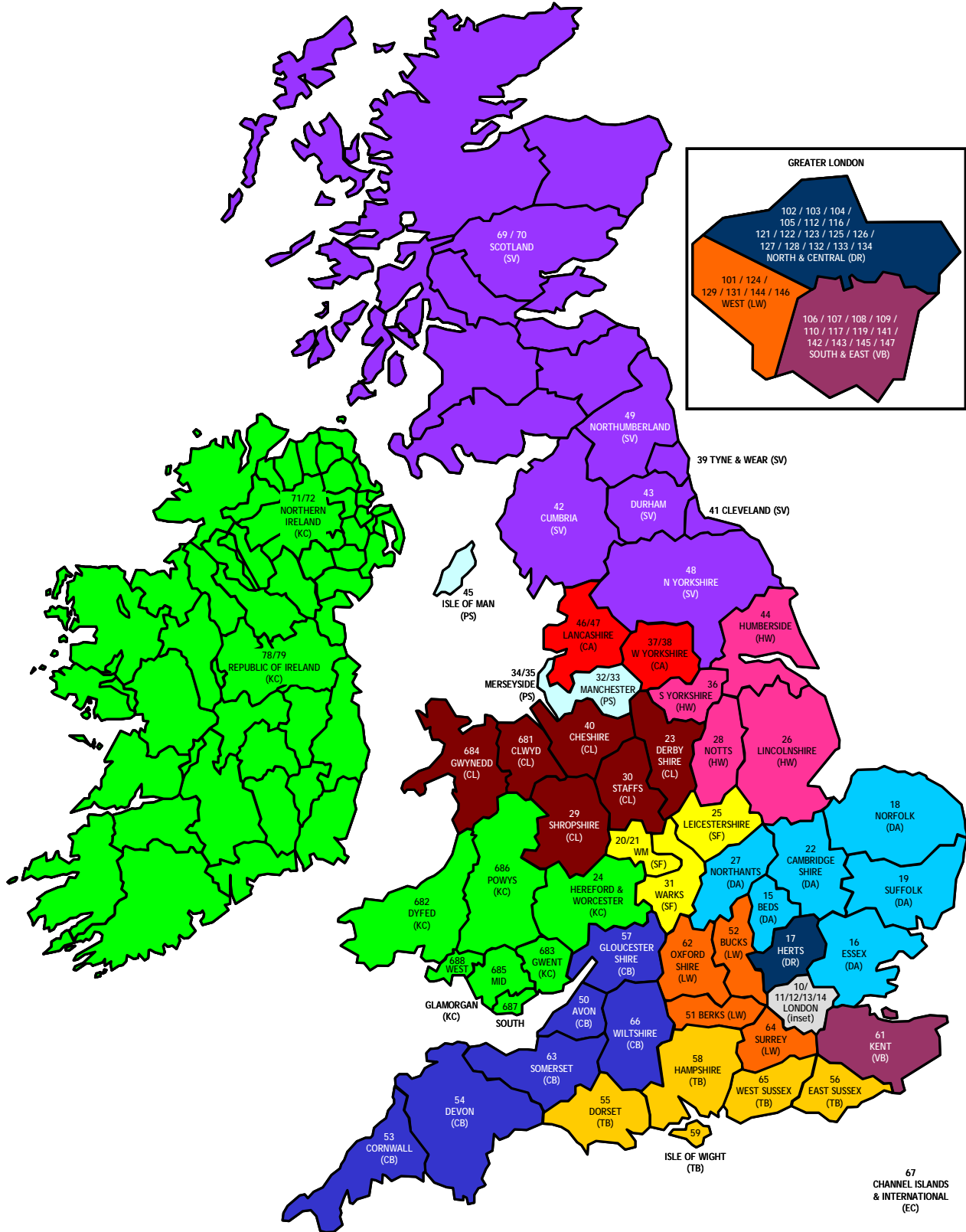
Risk	NVQ Code of Practice non-compliance issue	Maximum Sanction Level
A1 (All except Control A1.10)	Any controls not in place. 2.5 Countersigning unqualified Internal Verifier decisions.	1 2
A2 (All except Control A2.6) (Controls A.2.4 and A.2.7)	Any controls not in place. 2.2 Countersigning unqualified Assessor decisions. 3A.1 Assessment processes disadvantage learners.	1 2 3A
A3	Any controls not in place. 2.6 Records are insufficient to allow audit of assessment.	2 (Depending on severity)
A4	Any controls not in place.	1
A5 (All except Control A.5.5)	Any controls not in place. 3B.6 Certification before 10 weeks from registration.	1 3B
L1	Any controls not in place.	1
L2	Any controls not in place.	1
L3	Any controls not in place..	1
L4	Any controls not in place.	1
L5 (All except Control L5.4)	Any controls not in place. 3A.1 Assessment processes disadvantage learners.	1 3A
R1 (All except Controls R.1.2 and R1.3)	Any controls not in place. 2.4 Insufficient internal verifiers. 2.1 Assessors have insufficient time, resources or authority to perform their role.	1 2 2
R2	Any controls not in place.	1
R3	Any Controls not in place.	1

If any controls are not in place then this requires an **Action** to be identified. This automatically relates to a **Level 1 Sanction**.

Sanction levels

- **Level 1:** Action identified. Non-compliance with centre approval, but no threat to the integrity of assessment decisions.
- **Level 2:** Removal of direct claim status, certification must be authorised by an External Verifier. Close scrutiny of the assessment decisions required.
- **Level 3A:** Suspension of registration. Threat to learners.
- **Level 3B:** Suspension of certification. Loss of integrity of the assessment decisions and danger of invalid certificates.

Appendix 2: Regional Quality Manager contacts



Region		Regional Quality Manager	Centre Range (see map)
Northern England & Scotland	SV	Sharon.Veitch@edexcel.com	39; 41; 42; 43; 48; 49; 69; 70
North Central England	CA	Christine.Arnold@edexcel.com	37; 38; 46; 47
North West England & Isle of Man	PS	Paul.Sneade@edexcel.com	32; 33; 34; 35; 45
Central England West & North Wales	CL	Carol.Lunt@edexcel.com	23; 29; 30; 40; 681; 684
Central England East	HW	Howard.Wilson@edexcel.com	26; 28; 36; 44
Central England	SF	Simon.Fox@edexcel.com	20; 21; 25; 31
Eastern England	DA	Denise.Augar@edexcel.com	15; 16; 18; 19; 22; 27
Hertfordshire, North & Central London	DR	Dave.Roberts@edexcel.com	102; 103; 104; 105; 112; 116; 121; 122; 123; 125; 126; 127; 128; 132; 133; 134; 17
Central England South & West London	LW	Linda.Wain@edexcel.com	101; 124; 129; 131; 144; 146; 51; 52; 62; 64
South East England, South & East London	VB	Valerie.Benney@edexcel.com	106; 107; 108; 109; 110; 117; 119; 141; 142; 143; 145; 147; 61
Southern England	TB	Tricia.Burton@edexcel.com	55; 56; 58; 59; 65
South West England	CB	Caroline.Bland@edexcel.com	50; 53; 54; 57; 63; 66
Ireland, South & Mid Wales, Hereford & Worcestershire	KC	Kath.Carmody@edexcel.com	24; 682; 683; 685; 686; 687; 688; 71; 72; 73; 76; 78; 79
International	EC	Elizabeth.Crofts@edexcel.com	67; 74; 75; 77; 90; 91; 92; 93; 94; 96; 97
Quality, Standards & Regulation Manager	KB	Keith.Brooker@edexcel.com	n/a
NB. For centres with numbers that have no set region, please contact the relevant RQM for your region.			001 - 009

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