4: Quality Review & Development

Contents

What is Quality Review & Development?

Quality Review & Development is an annual visit to look at your centre-wide quality assurance systems. It ensures that you have measures in place to ensure effective management and delivery of BTEC qualifications.

Which qualifications does Quality Review & Development cover?

Quality Review & Development covers the following qualifications:	It **does not** cover the following qualifications:

• All BTECs from Entry to Level 3:
   o BTEC (QCF) from 2010
   o Next Generation BTEC (NQF) from 2012 and 2013
   o BTECS accredited by the Scottish Qualifications Authority (SQA)
• BTEC components of The Diploma.
	• BTEC Levels 4-7
	• Programmes delivered within BTEC Apprenticeship Framework
	• BTEC Customised/ Self Regulated Framework
	• Functional Skills, ESOL, Key Skills, Skills for Life, Essential Skills Wales, Core Skills
	• All levels of stand-alone NVQ/SVQ.

Which centres are involved?

All centres with learners registered on the qualifications identified above will have a Quality Review & Development visit. Where centres are working together and have BTEC Consortium approval, each centre within the consortium with active registrations will be visited. At the visit, you may find it necessary to have staff available from other consortium partner centres if they have responsibility for managing your consortium programmes.

What is new for 2013-14?

Quality Review & Development is designed to be flexible, and year on year it is important to refresh the process. This makes sure that it remains relevant and responds to changing regulatory requirements and ongoing findings from our wider quality assurance processes.

Therefore, although all objectives and measures must be covered at the visit, it is useful to look at an overarching theme, especially when returning to centres that have had Quality Review & Development visits for a number of years.

Last year, we focused on registration and certification. This year, we will be paying particular attention to **assessment practice**.

For next generation BTECs from 2012 (NQF), there are specific requirements relating to formative assessment, summative assessment and resubmissions. These are also currently promoted as best practice for BTECs (QCF).

However, in response to your feedback, and in order to improve rigour in BTEC assessment, from **September 2014** we will be making these requirements mandatory for **all** BTECs from Entry Level to Level 3, including those on the QCF. Full guidance on assessment requirements can be found in the **BTEC Centre Guide to Assessment (Entry Level-Level 3)**: www.btec.co.uk/keydocuments

We hope to use Quality Review & Development to help you prepare for any changes in assessment practice that may be required in your centre. As a result, this year there are a few changes to the quality objectives and the process. Please see the **quality objectives and measures guide** later in this chapter for details.

Roles and responsibilities

Pearson

Centre Quality Reviewer

We will aim to tell you who your Centre Quality Reviewer is in September or October. If you are a new BTEC centre starting after September, then we will tell you 4 to 6 weeks after you first register learners.

The Centre Quality Reviewer will:
- liaise with you to arrange a visit
- provide advice and guidance on the process
- provide you with a **Centre Engagement Document** to help you prepare for the visit
- conduct the visit, looking at your systems, meeting with the Quality Nominee and practitioners
- make judgements against each of the quality objectives, confirming whether:
  - o All quality processes are in place and effective
  - o All quality processes are in place but some/all are not effective
  - o There is insufficient evidence that effective quality processes exist
- provide verbal feedback at the end of the visit, confirming their judgements and offering constructive advice
- submit a Quality Review & Development report online within 10 working days of the visit
- monitor any identified Essential Actions within three months of submission of the report.

If any Recommendations have been identified, these will be reviewed at the next Quality Review & Development visit.

Regional Quality Manager

Your centre has a designated Regional Quality Manager. Each of these has a responsibility for centres within a geographical area. They are able to provide quality assurance support and guidance for anyone managing or delivering BTECs.

For Quality Review & Development, the Regional Quality Manager will support:
● you at all stages of the process
● Centre Quality Reviewers where particular quality matters are raised
● you to resolve any Essential Actions and Recommendations, where required.

Your Regional Quality Manager will take over the allocation if a certification block is confirmed and will work with you to address the issues.

A UK Map with Regional Quality Manager contact details can be found here: www.btec.co.uk/support

Centres

Quality Nominee

Each centre appoints a member of staff as the Quality Nominee to act as the main point of contact between Pearson and the centre. The Quality Nominee should be someone who has the capacity and authority to act for the centre. It is extremely important that Quality Nominee details are kept up to date. You can do this easily via Edexcel Online: www.edexcelonline.com

As a Quality Nominee, you should ensure the effective management of BTEC programmes and actively encourage and promote good practice. For Quality Review & Development you should liaise with appropriate practitioners and internal verifiers, and ensure that Centre Quality Reviewers are able to carry out their role.

For Quality Review & Development visits, you will:
● negotiate and agree the date for the Centre Quality Reviewer to visit
● agree the agenda for visit with the Centre Quality Reviewer
● complete the Centre Engagement Document before the visit, which includes:
   o progress on previous Essential Actions and Recommendations
   o updates on changes to systems and procedures
   o a statement on general strengths and weaknesses
● manage the visit, bringing together the relevant practitioners and evidence
● receive feedback from the Centre Quality Reviewer at the end of the visit
● be informed via an automated email that the report is available on Edexcel Online

- provide feedback on the Centre Quality Reviewer via Edexcel Online
- manage the resolution of any identified Essential Actions or Recommendations
- provide the Centre Quality Reviewer with an update on progress in resolving any Essential Actions within three months of receiving the report.

For the visit you should bring 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 Centre Quality Reviewer requires an overview of the provision, so the number of people required to attend will vary according to the size and nature of your centre.

Practitioners

For the purposes of Quality Review & Development, practitioners are centre staff actively engaged in delivering BTEC programmes. They may be curriculum or programme managers, lead internal verifiers, teaching staff and internal verifiers. The people directly involved with Quality Review & Development may change according to the types of programmes you run at your centre.

If you have particularly large vocational provision, you should discuss with your Centre Quality Reviewer how best to manage the practitioner meeting. In these cases, it isn't necessary for someone from every single programme to be present, but there should be sufficient representatives available who can speak on behalf of all the subject areas you deliver.

Quality Review & Development and certification

In order to ensure that all centres have effective procedures in place, quality objectives **A1**: **Verification of assessment outcomes** and **A2**: **Registration and certification** are linked to certification. If we have serious concerns about your centre's ability to meet either of these quality objectives, we may temporarily block certification while we provide extra support to resolve the issues. We will respond as quickly as possible to support you to help ensure standards are met, enabling the block to be released.

Remember, in order to claim certificates for each Principal Subject Area a centre must have an accredited lead internal verifier in place (where required by the qualification), or have successfully completed Standards Verification. Please refer to the relevant Quality Assurance Handbook sections for details.

What constitutes a certification block?

The Centre Quality Reviewer will make judgements against each of the quality objectives, based on whether you have evidence that you effectively cover all of the Quality measures.

If the Centre Quality Reviewer judges that for either Quality Objective **A1: Verification of assessment outcomes** or **A2: Registration and certification**, there is "*insufficient evidence that effective quality processes exist*", then:

- they will inform you of their judgment at the visit and explain that we may temporarily block certification
- explain the next steps if a certification block is confirmed
- a certification block will be recommended. This will affect certification of all BTEC programmes within your centre
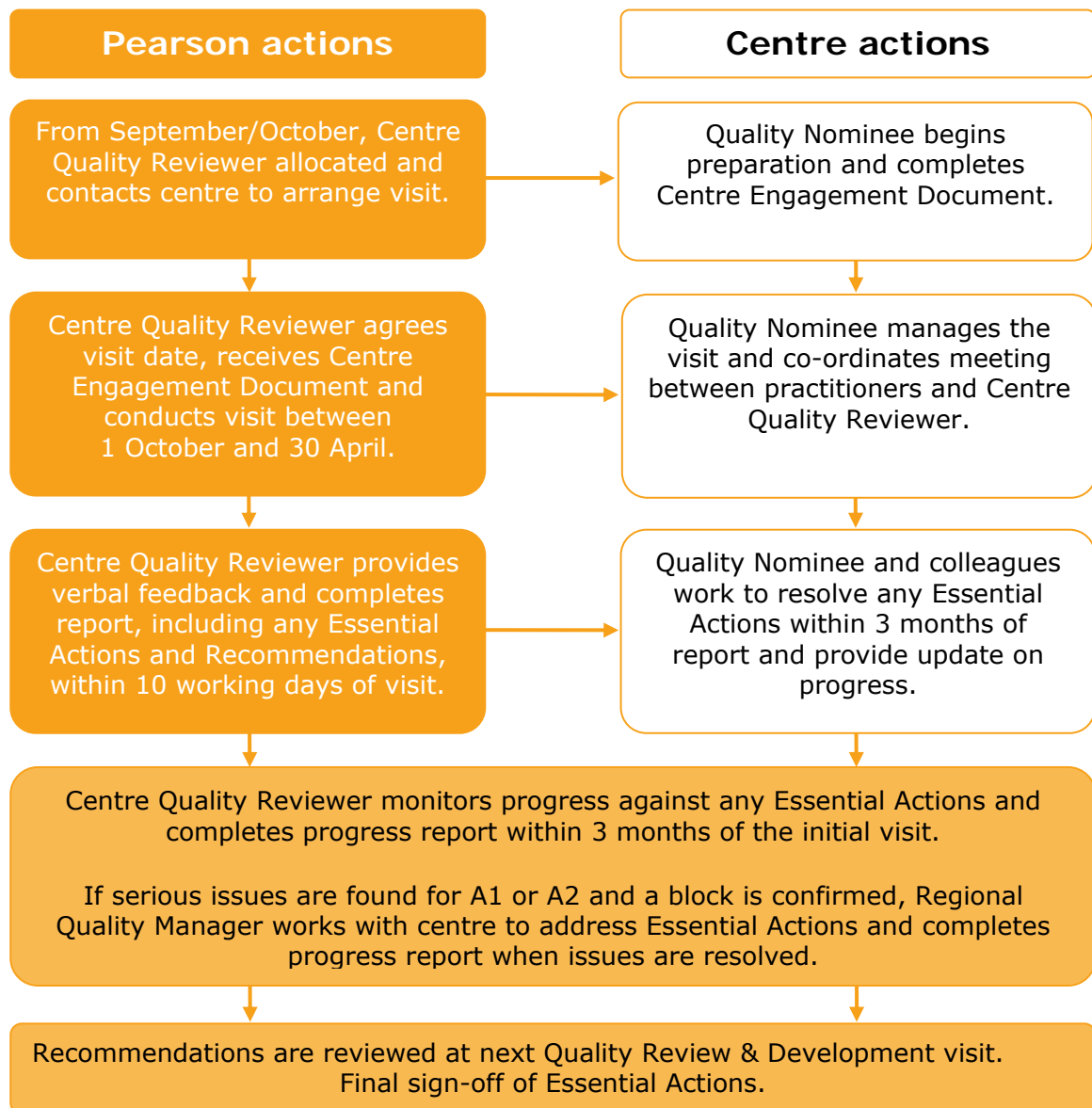- the report will be immediately scrutinised by the Regional Quality Manager.

If, on scrutiny of the report, the Regional Quality Manager agrees that a certification block is appropriate, it will be applied. Then:

- the Regional Quality Manager takes ownership of the allocation and works with you to agree remedial action
- once the issues have been resolved, the Regional Quality Manager submits the progress report which releases certification.

If the Regional Quality Manager does not agree that a certification block is required, the:

- Regional Quality Manager amends the judgement for Quality Objective A1 and/or A2 and submits the report
- Regional Quality Manager contacts the Centre Quality Reviewer to advise them of the change
- allocation remains with Centre Quality Reviewer to monitor any Essential Actions and they will keep you informed.

Process map

Pearson actions	**Centre actions**
From September/October, Centre Quality Reviewer allocated and contacts centre to arrange visit.	Quality Nominee begins preparation and completes Centre Engagement Document.
Centre Quality Reviewer agrees visit date, receives Centre Engagement Document and conducts visit between 1 October and 30 April.	Quality Nominee manages the visit and co-ordinates meeting between practitioners and Centre Quality Reviewer.
Centre Quality Reviewer provides verbal feedback and completes report, including any Essential Actions and Recommendations, within 10 working days of visit.	Quality Nominee and colleagues work to resolve any Essential Actions within 3 months of report and provide update on progress.

Centre Quality Reviewer monitors progress against any Essential Actions and completes progress report within 3 months of the initial visit.

If serious issues are found for A1 or A2 and a block is confirmed, Regional Quality Manager works with centre to address Essential Actions and completes progress report when issues are resolved.

Recommendations are reviewed at next Quality Review & Development visit.
Final sign-off of Essential Actions.

Quality objectives and measures guide

This guide provides details of the quality objectives and measures that the Centre Quality Reviewer follows when making judgements. They have been developed to ensure that you have a clear understanding of the standards against which judgements are being made.

Quality objectives and measures are prescriptive and have been developed to:

- provide guidance on our requirements
- encourage a common understanding within your centre
- promote consistent application across all of our vocational centres

Please use this guide when preparing for a visit. It identifies the quality objectives and measures that will appear on the Quality Review & Development report and gives further explanation on how you can meet them, with examples of the types of evidence you may have available.

Assessment Objectives

Managing Assessment: Verification of assessment outcomes

Quality objective

A.1 There is a robust, consistent and transparent approach to verification and the management of any BTEC external assessment undertaken at the centre, that:

- utilises standardisation materials provided to ensure all assessors and internal verifiers are aware of the national standards required
- enables internal verification to drive and maintain assessment standards
- utilises the outcomes of Pearson Standards Verification and Quality Review and Development to inform and enhance internal verification
- ensures that BTEC regulations are followed.

Quality measures

In order to do this, you will need to:

A.1.1 for QCF programmes, have identified and registered an appropriate Lead Internal Verifier for each Principal Subject Area who is trained and accredited, or seeking accreditation within a defined time scale, where this is required by the qualification.

A.1.2 for NQF programmes, have identified and registered an appropriate Lead Internal Verifier for each Principal Subject Area who must use the standardisation materials provided with assessors and internal verifiers.

A.1.3 deliver an internal verification process that is compliant with awarding organisation and regulatory requirements.

A.1.4 ensure that each Lead Internal Verifier is appropriately prepared and clear about their responsibilities in relation to the completion and recording of standardisation of assessment across a Principal Subject Area; incorporating both pre-assessment standardisation activities and the standardisation of assessed learner work.

A.1.5 have processes for dealing with weaknesses in assessment, whether highlighted internally or externally.

A.1.6 have cover for absence and succession plans in place for Lead Internal Verifiers.

A.1.7 maintain accurate and up to date records of learner progression and achievement in order to support the accurate sign off of learner achievement and certification claims.

A.1.8 utilise the outcomes of our external monitoring to improve internal systems, processes and assessment outcomes.

A.1.9 ensure that adequate centre and learner preparation is made to meet the requirements relating to any externally set assessment within a BTEC qualification.

How to meet quality measures

Ref	Comments	Suggested evidence
A.1.1	You should understand the process for gaining lead internal verifier accreditation via online standardisation. This is required for each BTEC (QCF) Principal Subject Area, so it is important that all relevant staff are briefed. This is not required for BTEC programmes in the Children's Care Learning & Development, Security or Emergency Services sectors, where Standards Verifiers are allocated annually.	Appropriate Pearson and centre documentation. Centre organisation chart. Evidence of required action taken via OSCA
A.1.2	For BTEC Firsts (NQF), a lead internal verifier should be registered, download the training materials provided and use them with their programme team.	Appropriate Pearson and centre documentation. Centre organisation chart. Evidence of required action taken via OSCA
A.1.3	Effective mechanisms should 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.	Internal verification plans and records. Internal verification process and meeting documentation. Centre roles chart.
A.1.4	Lead internal verifiers should access the induction and ensure that practice standardisation materials provided are made available for all assessors. They should be aware of the standardisation windows and the outcomes of the standardisation exercise for BTECs (QCF). For BTECs (NQF), the Lead Internal Verifier should confirm that they have used the standardisation materials with their team by completing the declaration on OSCA.	Records of accessing lead internal verifier materials. Evidence of standardisation meetings. Registration and confirmation on OSCA.

A.1.5	Standardisation practices should 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. Checks should be in place to assure that internal verification is correctly, consistently and systematically carried out across all provision: an internal audit mechanism should be used.	Assessment / internal verification records. Meeting minutes/meetings schedule. Training events attended.
A.1.6	This is about succession planning. Lead internal verifiers must re-register annually to confirm that they are still in post. The responsibilities of the lead internal verifier are important to ensure consistency and standardisation across the programme team. Therefore, cover and succession planning is crucial. For BTECs (QCF), if an accredited lead internal verifier leaves during the academic year, your Principal Subject Area is still released for certification for that academic year, but you must ensure that their role and responsibilities are being carried out effectively by their replacement.	Staff handbook. Centre roles chart. Internal verification records. Staff induction policy and handbook.
A.1.7	Accurate recording of assessment and internal verification must be kept up to date so that learner achievement can be tracked and assure that certificate claims are 100% accurate.	Assessment / internal verification records. Agreed certification procedures.
A.1.8	Strategies should 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.	Records of action taken following standards verification. Internal programme reviews. CPD records and other relevant training details.
A.1.9	Where a BTEC has externally assessed elements, e.g. BTEC Firsts (NQF), you must ensure that all regulations and requirements are being adhered to in reference to external assessment. Each qualification will have clear instructions and guidelines in the form of an **Instruction for the Conduct of Examination (ICE)** document on conducting controlled or external assessments. Specific arrangements for external assessment are available before the start of each academic year on the relevant specification page of the BTEC website: www.btec.co.uk.	Staff Handbook / Assessment Policy and Procedures

Managing Assessment: Registration and certification

Quality objective

A.2 Administrative processes and procedures must ensure that all registrations and certificate claims:

- are accurate and timely
- reflect a learner's course of study and level of achievement
- are reported to us where they are inaccurate or unsafe.

Quality measures

In order to achieve this, you will need to:

A.2.1 have a procedure for the timely and accurate registration of learners that is operational and monitored.

A.2.2 have a mechanism for the checking of the accuracy of learner registrations.

A.2.3 follow a procedure which ensures timely and accurate certification claims that are checked and verified against assessment records.

A.2.4 have a procedure for registering learners for any externally set assessment that forms part of a BTEC qualification. This procedure should take account of any requirements for the re-assessment of learners that may be in force.

A.2.5 have a procedure for checking certificates received against assessment records, prior to issue.

A.2.6 investigate and report all inaccurate, early/late and fraudulent registrations or certification claims, via internal senior management, to us.

A.2.7 provide unit certification claims for learners where appropriate.

How to meet quality measures

Ref	Comments	Suggested evidence
A.2.1	The deadline for registrations is published in the Information Manual: www.edexcel.com/infomanual. Use the correct programme number to register learners. Registration details should be checked and monitored before submission to Pearson. 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 Pearson.	Learner registration details. Discussion with Exams Officer.
A.2.2	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. Discussion with programme teams/Exams Officer.

A.2.3	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. These records must be available for Pearson staff to check if required.	Centre certification claim process. Claims verification records. Attainment and achievement figures.
A.2.4	Specific arrangements for external assessment, including the registration of learners, are available before the start of each academic year on our website: www.btec.co.uk. Centre staff must make sure that they access and follow the instructions for external assessment at the start of the year.	Assessment Policy and Procedure. External Assessment Records.
A.2.5	When certificates are received, it is recommended that a sample checking of certificates is checked against reported results. Any anomalies should be reported to Pearson and the certificate withheld until resolved.	Examinations Office records.
A.2.6	A senior member of staff should be responsible for registration and certification processes and any untoward practices should be reported to Pearson so that a full investigation can take place.	Pearson roles and responsibilities information.
A.2.7	Where learners do not complete a full qualification, there is a system in place for accurate reporting and certificate claim made to ensure that unit credit can be achieved.	Programme and certificate claim records.

Managing Assessment: Assessment practice

Quality objective

A.3 Assessment strategy, processes and management underpin an assessment system that:

● delivers valid and reliable outcomes

● follows Pearson regulations and requirements currently in force for external assessment, where this is appropriate

● reflects national standards

● leads to the safe certification of learner achievement.

Quality measures

In order to achieve this, you will need to:

A.3.1 have clearly defined assessment roles and personnel.

A.3.2 have clearly defined internal and/or external assessment procedures that are operational at all assessment locations and across all assessors, units and learners, as appropriate.

A.3.3 have clearly defined requirements for formative and summative assessment and resubmissions of learner work, in line with BTEC requirements.

A.3.4 have assessment recording documentation that is clearly understood by assessors and learners and is utilised consistently across the centre for internal and external assessments as appropriate.

A.3.5 use assessment methodology that leads to valid and reliable assessment outcomes, which are in line with regulatory and standards setting body requirements. For internal assessment, this should be decided by the centre, based upon advice given by Pearson. For external assessment, the centre will follow the Pearson regulations and requirements currently in force.

A.3.6 provide equal access to internal and/or external assessment for all learners, as appropriate.

A.3.7 comply with the Pearson externally set assessment and testing requirements currently in force, as appropriate.

How to meet quality measures

Ref	Comments	Suggested evidence
A.3.1	The assessor role and practice must be clearly stated, understood and adopted by staff. There should be written policies and procedures detailing staff responsibilities.	Staff handbook. Assessment policy and procedures.
A.3.2	An assessment statement and procedures should be present, which are effectively and consistently adhered to. There will be records to demonstrate that the procedures apply at any assessment location; cover all assessors, units and learners. These records must be available for inspection.	Learner handbook. Assessment and internal verification documents and records.
A.3.3	Assessment procedures must clearly identify dates for recording formative assessment and a deadline for summative assessment. Formative assessment provides feedback on work in progress while learners are still generating evidence. It should not confirm summative achievement at this stage. One opportunity only must be provided for summative assessment of finished work, at which point the assessor confirms the specific assessment criteria achieved. One further resubmission may be authorised by the lead internal verifier where required, but at this stage the learner must work independently with no further guidance from the assessor. These requirements are currently mandatory for next generation BTECs (NQF) and, from September 2014, will be mandatory for all BTECs from Entry Level to Level 3. Full guidance can be found in the BTEC Centre Guide to Assessment (Entry Level-Level 3): www.btec.co.uk/keydocuments.	Assessment policies and procedures. Assessment Plans. Staff and learner handbooks. Programme files.

A.3.4	Assessment documentation must be understandable to both assessors and learners. They should be of a uniform, cross-centre standard. Review processes should demonstrate a consistent use; for example, internal audits; programme reviews.	Staff and learner handbooks. Centre assessment records. Assessment Plans. Programme files.
A.3.5	Adequate documentation and assessor support must 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.3.6	You must have in place ways of ensuring that all learners have prompt and adequate access to assessment. That access should not be compromised where you also operate in locations away from your main site.	Assessment schedules for every programme that map into Internal Verification schedule.
A.3.7	This measure applies to programmes that include testing requirements and/or external assessment. Here, the published guidelines must be followed: you should be able to demonstrate the published testing requirements are met.	Centre testing policy and procedures.

Managing Assessment: Assessment recording

Quality objective

A.4 All assessment must be recorded in such a way that:

- assessment evidence is clearly measured against national standards
- learner progress can be accurately tracked
- the assessment process can be reliably verified
- there is clear evidence of the safety of certification.

Quality measures

In order to achieve this, you will need to:

A.4.1 store all assessment records securely and safely relating to both internally and externally set assessments.

A.4.2 maintain records of learner achievements that are up to date, regularly reviewed and tracked accurately against national standards.

A.4.3 retain both internal and external assessment records for centre and awarding organisation scrutiny for a minimum of three years following certification.

A.4.4 have all current learner evidence available for centre and awarding organisation verification processes.

A.4.5 have all current learner records of formative and summative feedback available for awarding organisation verification processes.

How to meet quality measures

Ref	Comments	Suggested evidence
A.4.1	All assessment records must be secure against hazards like theft and fire etc. The records must be of sufficient detail to show exactly how assessment decisions were made (i.e. to assessment criterion level). Data should only be accessible by relevant staff.	Protection of data information. Visual check by CQR.
A.4.2	Up to date and accurate learner progress information must be recorded: registration; learner feedback and progress; achievement (at assessment criterion level). Where learner evidence has been resubmitted, this must be clearly recorded. Staff must check accuracy of information. Learner records and monitoring information should be kept in an appropriate and accessible format. This may be electronic. Records must be available to Pearson audit on request. This is particularly important when there are changes to assessment staff. Experience tells us that this is a common cause of quality issues.	Learner records. Team records. Programme file.
A.4.3	Internal verification and assessment records are maintained and checked. These should be of sufficient detail to show exactly how assessment decisions were made (i.e. to assessment criterion level). Records must be securely kept for Pearson audit and in case of learner appeals, certification issues, etc.	Internal verification and assessment records.
A.4.4	Learner work must be made available to Pearson as required. Occasionally, the regulator will also require scrutiny of learner portfolios. The format and storage of evidence must facilitate this: security needs to be maintained. This is usually at programme team level. It is a risk to allow learners to keep work long-term while on programme. Wherever possible, evidence produced by learners still on programme should be kept at the centre. Of course, while learner work is in progress, they may keep it, but once summative assessment as been completed, we recommend keeping learner evidence securely on site until certificates have been received. Electronic archiving is encouraged, providing it is sufficient and accessible on request.	Learner record procedures.

A.4.5	While learners are on programme, you must keep records of formative and summative assessment feedback so that guidance given to learners can be seen during standards verification. The regulator may also require access to learner feedback during inspections.	Assessment feedback documentation.

Managing Assessment: Malpractice and appeals

Quality objective

A.5 Learner appeals and learner/staff assessment malpractice:

- policies and procedures are sufficiently rigorous to meet awarding organisation and regulatory requirements
- investigations are robust, free from bias, conducted in line with policy and accurately documented
- outcomes are fair, consistent, in line with policy and accurately recorded/communicated to all stake-holders.

Quality measures

In order to achieve this, you will need to:

A.5.1 have policies and procedures for dealing with learner appeals and learner/staff malpractice that are in line with our guidance and operational requirements.

A.5.2 have a means for ensuring all learners and staff are aware of:

- what constitutes an appeal and what is considered assessment malpractice
- the related processes for instigating an appeal or investigating malpractice
- the possible outcomes that may be reached
- the consequences of both internal and external outcomes
- the process that exists to enable learners to make an appeal with Pearson relating to the external or internally awarded assessment outcomes.

A.5.3 demonstrate how the potential for any internal and/or external assessment malpractice informs programme planning and delivery.

A.5.4 have robust systems for recording and managing all internal and/or external assessment appeals and malpractice.

A.5.5 have a process for reporting serious internal and/or external assessment malpractice to us.

How to meet quality measures

Ref	Comments	Suggested evidence
A.5.1	Assessment malpractice is not tolerated by Pearson. Appeals and Assessment malpractice procedures must relate to both learners and staff. The procedures should identify and eliminate malpractice and be known and understood by learners and staff.	Appeals and malpractice policy and documentation. Verbal questioning of staff.
A.5.2	Procedures should be known and understood by learners and staff. Malpractice issues can be minimised by ensuring learners/staff are aware of the issues: plagiarism, collusion, fabrication of results, falsifying grades, fraudulent certification claims; referencing skills; promoting a zero tolerance approach. The appeals process must be understood by learners and staff. It must be transparent and enable formal challenges to assessment grades. Learners should be informed of these matters at induction and through the programme.	Appeals and malpractice policy and documentation. Verbal questioning of staff.
A.5.3	Planning and delivery should minimise malpractice. 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. Ensure that all regulations and requirements are met in reference to external assessment. 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.5.4	Procedures should investigate and record alleged appeals and malpractice relating to both internal assessment and management and conduct of controlled and external assessment activities. Processes must be in place for the management of learners/staff if allegations are found to be true.	Investigation records of appeals and malpractice.
A.5.5	The extent of assessment malpractice or of an appeal should be fully appraised and action taken. You should have a liaison point for these matters. A process should exist to report serious malpractice to Pearson. Ordinarily, this would be through your Regional Quality Manager in the first instance, who will liaise with our Quality Standards team.	Procedure and records.

Learning Objectives

Managing Learning: Maintaining quality

Quality objective

L.1 There are effective systems and procedures developed and agreed by managers, which cover both internal and external assessment processes as appropriate and are:

● regularly reviewed and updated

● readily available to all staff and learners

● operational throughout the organisation.

Quality measures

In order to achieve this, you will need to:

L.1.1 identify a range of key quality systems that are:

    ● supported by policy

    ● appropriate to centre size and the qualification requirements

    ● supported by senior managers

    ● implemented by assessment and delivery teams.

L.1.2 have policies and procedures for managing:

    ● equality and diversity

    ● health & safety

    ● special consideration & reasonable adjustment

    ● recognition of prior learning

    ● assessment, internal verification, malpractice and appeals.

L.1.3 review and evaluate centre policies annually.

L.1.4 effectively manage accurate and consistent internal and external communications that ensure the accurate and timely dissemination of key messages to all stake-holders.

L.1.5 have continuous compliance with our published policies, procedures and regulatory requirements.

L.1.6 assure us that BTEC qualifications on the NQF or QCF are not delivered outside of the UK without our approval.

How to meet quality measures

Ref	Comments	Suggested evidence
L.1.1	Your centre's size and scale of vocational provision will influence policies and procedures. Large, multi-site centres need to have more complex processes compared to smaller single-site centres. You should have policies and procedures appropriate to your activity, which consistently regulate practice. These are process - not people - driven to ensure ongoing consistency; monitoring quality assurance practice, allowing shortfalls to be identified and action taken, and encouraging 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 should be 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	Pearson guidance and updates should be passed to all staff. The Quality Nominee and lead internal verifier roles are key in this and important at points of change. Information is available on the website and email alerts are available.	Quality Nominee; lead internal verifier; record of briefings to staff.
L.1.5	Pearson publishes its policies on the website: www.edexcel.com/policies. 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. You are approved to operate BTEC qualifications within England, Scotland, Wales and Northern Ireland. If you wish to deliver approved qualifications outside of these areas you should contact Pearson, as different requirements apply.	Approval records.

Managing Learning: Roles and team working

Quality objective

L.2 Roles are clearly identified and appropriate people appointed in order to ensure:

- effective centre management
- accurate administration of learner activity
- high quality teaching and delivery
- valid assessment and consistent verification.

Quality measures

In order to achieve this, you will need to:

L.2.1 identify an individual with overarching organisational responsibility for quality to act as our contact (Quality Nominee), who has time set aside to liaise with Pearson for both regulatory requirements and for updating opportunities.

L.2.2 identify an individual or team with overarching responsibility for the:

- enrolment and registration of learners
- tracking of learner achievement

- administration of controlled assessments (where appropriate)
- administration and conduct of any Pearson external assessments that form part of a BTEC programme
- safe claiming and distribution of learner certificates.

L.2.3 give delegated authority to programme teams to plan and manage the quality of programme delivery and assessment across all delivery sites.

L.2.4 set aside time, on a regular basis, for programme teams to have formal minuted meetings to discuss teaching, assessment and verification activities and strategies.

L.2.5 ensure that the organisational structure reflects a culture of quality assurance and improvement.

How to meet quality measures

Ref	Comments	Suggested evidence
L.2.1	The Quality Nominee is critical to programme quality and the promotion of good practice. The Quality Nominee has authority to liaise with Pearson, to receive information electronically and to circulate to appropriate staff. The Quality Nominee is involved in planning and devising quality procedures and their implementation. We recommend that the Quality Nominee is a person with overarching responsibility for the vocational curriculum in your centre. It is vital that the Quality Nominee is kept up to date on regulatory and awarding organisation requirements, so the centre should recognise that time will be required to do this. We provide twice yearly free Quality Nominee Networks and Pearson sends out regular updates to Quality Nominees via email. Therefore it is extremely important that the Quality Nominee contact details are kept up to date via Edexcel Online. Further details on the Quality Nominee role can be found in the Roles & Responsibilities chapter of this handbook.	Quality Nominee appointment and role description. Verbal evidence.
L.2.2	Programme teams share responsibility for programme planning, delivery and assessment. A programme leader or lead internal verifier should take responsibility for operational management and liaise with the Quality Nominee about quality requirements: contact with the Standards Verifier; evidence preparation for Standards Verification; external assessment; 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; Standards Verification; quality issues should be discussed, analysed and resolved. Decisions should be recorded and actions monitored. 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. A cross-centre BTEC Forum might help 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 Pearson programmes and responsibility for programme quality assurance at centre and programme levels.	Organisation chart with names and roles identified.

Managing Learning: Programme review, evaluation and improvement

Quality objective

L.3 Effective continuous improvement systems are in place and operational for the cyclical review, evaluation and improvement of programme delivery and assessment that involves:

● delivery and assessment staff

● senior management

● learners.

Quality measures

In order to achieve this, you will need to:

L.3.1 identify senior staff to lead on quality review and improvement processes.

L.3.2 have a cycle of programme review and evaluation to assure the quality of the learning experience and the internal and external assessments that form part of that learning experience.

L.3.3 consult with learners, staff and other stakeholders as part of all programme review processes.

L.3.4 demonstrate that the outcomes of review process:

● inform change

● drive continuous improvement

● ensure that all learning and assessment provision remains effective and fit for purpose.

L.3.5 demonstrate continuous compliance with our centre and qualification approval criteria and quality requirements.

L.3.6 ensure staff are updated annually on quality requirements.

How to meet quality measures

Ref	Comments	Suggested evidence
L.3.1	Senior management is the driving force for a culture of continuous improvement and must have a strategic overview and responsibility for quality assurance. Systematic and formalised review should be present and proactive: Record, analyse, inform, implement and improve.	Organisation Chart. Senior team meeting records.
L.3.2	Centre systems are reviewed regularly to ensure fitness for purpose. They should focus on achievement and address delivery, assessment and operational issues, as well as general administration. Record both staff and learner opinions and 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. Assessment recording at criterion level provides an essential and useful tool for identifying the effectiveness of teaching and learning related to achievement and should be used to drive continuous improvement in teaching and assessment practice.	Planning evidence relating to external factors.
L.3.5	Centre and qualification approval requirements are annually monitored by Quality Review & Development. There should be evidence of completing any actions arising from it. This in turn provides evidence of maintaining approval requirements. Reviews should be carefully compiled and actions recorded. Outcomes are used to inform future delivery and enhance the continuous improvement of provision.	Approval documentation. Quality Review & Development reports. Review reports and analysis on action plans.
L.3.6	Regulatory and other requirements inevitably change over time. A major contributing factor to quality issues is staff working to out of date guidance. Therefore, it is crucial that all staff involved in delivery, assessment and verification of BTECs are made aware of the current requirements at the beginning of each academic year. You must ensure that all relevant staff have accessed and read the latest versions of the: qualification specification; quality assurance handbook; and related assessment guidance.	Minutes of BTEC staff meetings. CPD plans.

Managing Learning: Learner recruitment

Quality objective

L.4 Learners are recruited with integrity onto appropriate programmes that will:

● meet their needs

● enable and facilitate learning and achievement

● enable progression.

Quality measures

In order to achieve this, you will need to:

L.4.1 provide relevant programme information, guidance and advice, to enable informed learner choice.

L.4.2 publish entry and selection criteria.

L.4.3 demonstrate that learners are recruited with integrity.

L.4.4 carry out comprehensive learner induction that:

● addresses the assessment and organisational requirements of their programme

● explains learner facilities

● identifies learners' development needs

● develops an individual learning plan.

How to meet quality measures

Ref	Comments	Suggested evidence
L.4.1	Learners need to understand the nature and requirements of the relevant programme. Specific advice and guidance will vary according to centre size and whether learners are recruited internally or externally.	Centre prospectus. Options choices. Enrolment documentation.
L.4.2	Entry requirements must be 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	The learners must be recruited with integrity, avoiding enrolment onto inappropriate programmes. Identification of learning needs and specific support on programme must be planned and monitored. Specification documents provide details of skills sets required for each qualification. Learners must be placed 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.
L4.4	Learner induction should provide all necessary information relating to their programme facilities and requirements together with those of the organisation. Equality and diversity issues should be addressed together with an Individual Learning Plan.	Induction programme, centre and/or programme handbook, ILP.

Managing Learning: Learner support and review

Quality objective

L.5 Learners are supported, monitored and their progress continually reviewed in order to:

- provide constructive feedback
- enhance progression
- maximise achievement
- identify progression.

Quality measures

In order to achieve this, you will need to:

L.5.1 publish a learner review process that is clear, equitable and open equally to all learners.

L.5.2 identify learner development needs and provide appropriate support to assist progression and achievement.

L.5.3 engage learners through effective teaching and assessment methodology that fosters a sense of individual responsibility.

L.5.4 ensure that learners are aware of, and prepared for, the internal and external assessment requirements of their programme, as appropriate.

L.5.5 review learner progress and develop agreed action plans through a process of constructive feedback and dialogue.

How to meet quality measures

Ref	Comments	Suggested evidence
L.5.1	Clear, accessible initial assessment process identifying learning needs and support are available before learning starts.	Learner assessment records. Screening programme results.
L.5.2	Available support should be 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. 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 must not simply give learners the answers. Outcomes must be the learners' own work, and their achievement must be solely judged against unit criteria. Interim feedback should seek to reveal strengths and weaknesses, from which appropriate improvements can be made. Centres may need to refer to the Pearson 'Special Assessment or Reasonable Adjustments Policy'. | Induction information and materials. Schemes of work. |

L.5.3	Effective learner induction should be used to initiate the independence of learning ideal, to orient 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.	Feedback records and action plans. Learner tracking records.
L.5.4	Learners should be fully briefed on the internal and external assessment requirements on their programme of study. For aspects of external assessment centre staff must make sure that they access and follow the instructions for controlled and external assessment at the start of the year which are available on the relevant specification page of our website at www.btec.co.uk.	Learner Handbook/ Induction information.
L.5.5	Periodic progress feedback should be 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 should be planned and tracked through the programme.	Learner Handbook or similar statement of learner support.

Resource Objectives

Managing Resource: Staff resources

Quality objective

R.1 The delivery and assessment of our programmes is enhanced by an appropriate programme team that is:

● appropriately qualified in the art of teaching and assessment
● vocationally competent to teach and assess the subject
● given sufficient time to effectively fulfil all aspects of the role
● effectively engaged in quality improvement.

Quality measures

In order to achieve this, you will need to:

R.1.1 demonstrate that staffing on programmes is continuously monitored in order to maintain adequate numbers of appropriately qualified and vocationally experienced personnel.

R.1.2 have an effective recruitment and selection process which ensures the maintenance of adequate and appropriate staffing.

R.1.3 give teaching and assessing staff sufficient time for programme planning, delivery, assessment, verification and evaluation activities.

R.1.4 ensure that external experts who deliver and assess on programmes are familiar with the specification and assessment requirements.

How to meet quality measures

Ref	Comments	Suggested evidence
R.1.1	Senior management should review regularly the structure of the programme teams to ensure that there is 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. Though it is no longer mandatory in post-16 education institutions, it is desirable that assessment staff 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. The vocational nature of these qualifications should be recognised; 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 Pearson vocational programmes to national standards.	Review meeting minutes. Centre Strategy documents. Staff CVs.
R.1.2	Standard recruitment and transparent selection process should be 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 should be given sufficient time for 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. 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.	Records relating to the use of external people.

Managing Resource: Staff induction and development

Quality Objective

R.2 Induction and continuous professional development ensures that staff are:

● up to date with national trends and standards in teaching and assessment

● aware of industrial trends and developments

● conversant with all organisational procedures and policy.

Quality measures

In order to achieve this, you will need to:

R.2.1 induct all staff new to the centre and/or programmes in:

- local educational policies and procedures
- team and programme management structures and accountabilities
- vocational assessment philosophy
- regulatory and awarding organisation requirements.

R.2.2 ensure ongoing staff development that meets the needs of the organisation and the delivery and assessment of our programmes.

R.2.3 evaluate staff induction and development provision to ensure:

- equal access for all staff
- that it remains fit for purpose
- that it delivers against its outcomes.

How to meet quality measures

Ref	Comments	Suggested evidence
R.2.1	You should have a formal induction programme for new staff, as well as CPD for existing staff. Staff new to BTEC must understand assessment and verification requirements.	Induction documents. CPD plans and documentation.
R.2.2	Regular Pearson 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 multimedia 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 programmes.	Staff feedback sheets.

Managing Resource: Physical resources

Quality Objective

R.3 There is adequate provision of physical resources that will:

- support general learning and assessment
- enhance subject specific and technical learning and assessment
- ensure learner and staff safety.

Quality measures

In order to achieve this, you will need to:

R.3.1 have specialist and general resources available that are sufficient for learner volumes.

R.3.2 have the required facilities and resources required by Pearson for the conduct of external assessment, where this forms part of a BTEC programme.

R.3.3 have appropriate and fair access arrangements for all students regardless of ability or disability.

R.3.4 monitor all resources regularly to ensure they are fit for purpose and safe to use.

R.3.5 consider the provision of general and subject specific resources when planning the introduction of new programmes.

R.3.6 ensure that, when used, external resources are fit for purpose, appropriate and safe.

How to meet quality measures

Ref	Comments	Suggested evidence
R.3.1	You should have physical resources to meet specification requirements, general educational needs and additional learning needs, as confirmed at approval. You 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. Use the essential resources section of each unit.	Pearson specifications.
R.3.2	Specific arrangements for external assessment are available at the start of each academic year on the relevant specification pages of our website www.btec.co.uk.	Assessment policy and procedure.
R.3.3	Appropriate and fair access arrangements should be published for all learners and, where necessary, meet legal requirements.	Resource management information.
R.3.4	You should have procedures for regular monitoring, maintenance and replacement of all resources needed to deliver Pearson programmes. This will include vocationally specific resources, audio visual 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.3.5	Physical resources are a prime consideration when new programmes or new units are planned. Procedures should be in place to renew resources and meet changing curriculum, specifications and learner requirements.	Resource planning and renewal records.
R.3.6	You may access external physical resources and expertise where it is impractical to maintain your own. This can include short-term leasing/borrowing or the use of resources at a third party site. Reasonable steps must be taken to ensure the safety, appropriateness and integrity and continuity of such resource. Such arrangements are your responsibility and contingency plans against the withdrawal of resource whilst the programme is running are a good idea.	External resource procedures and records.