Centre Guide to

Quality Management Review

2018-2019

Version 1.1 – September 2018
DCL1 - Public
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Quality Objectives and Measures Guide

Guide to developing policies and procedures for quality assurance
Introduction

Welcome to this guide to Quality Management Review. The guide provides you with the information you need to be prepared for this process in 2018-2019.

The guide walks you through:

• what you need to do
• who’s responsible at each stage

and provides additional advice and guidance on best practice.

We’ve aimed to cover all relevant points to help you successfully meet the requirements outlined in the Quality Objectives and Measures framework. We hope you find this guide useful.

We’re here to help

If you need more information or support at any stage, please contact the Vocational Quality Advisor Team at: qualitynominees@pearson.com

We are here to help you with all your vocational quality queries.

For other general queries, please visit the “contact us” pages of our website so your questions can be answered as quickly as possible by the relevant Pearson team.
How to use this guide

1. What do you need to do

Step 1: Read the current information regarding Quality Management Review that is published on our website.

If you are new to delivering BTEC qualifications it may be useful to start by familiarising yourself with the term ‘quality management review’, and how we quality assure a centre’s processes and procedures for managing the delivery and quality of their vocational provision. This document provides more information on the process and offers support to help you prepare for the annual activity.

Step 2: Read this guide

This guide provides you with the additional information you need to undertake the quality management review process for:

<table>
<thead>
<tr>
<th>Quality Management Review covers the following qualifications:</th>
<th>It does not cover the following qualifications:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• All BTECs from Entry Level to Level 3:</td>
<td>• Programmes delivered within BTEC Apprenticeship Framework</td>
</tr>
<tr>
<td>• BTEC (QCF) from 2010</td>
<td>• BTEC Customised/ Self-Regulated Framework</td>
</tr>
<tr>
<td>• BTEC (NQF) from 2012, 2013, 2014</td>
<td>• Functional Skills, ESOL, Key Skills, Skills for Life and Specialist Qualifications</td>
</tr>
<tr>
<td>• BTEC Nationals from 2016</td>
<td>• Essential Skills Wales, Core Skills</td>
</tr>
<tr>
<td>• BTEC Technicals from 2017</td>
<td>• All levels of stand-alone NVQ/SVQ.</td>
</tr>
<tr>
<td>• BTEC Levels 4-7</td>
<td>*For guidance on BTEC (SQA) qualifications please refer to the BTEC Security Centre Management Handbook.</td>
</tr>
<tr>
<td>• BTECs accredited by the Scottish Qualifications Authority (SQA)*</td>
<td></td>
</tr>
</tbody>
</table>

There’s detailed, step-by-step guidance for your Quality Nominee and internal teams so you can be confident that you have everything covered.
2. What do you need to know

Key Points to support you:

- Centres will be able to upload either a Word or PDF version of their CED up to a maximum size of 6MB: For those centres who are allocated a centre visit you will be required to upload your CED 10 working days prior to your arranged visit or by 10 December at the very latest, whichever comes first. For those centres allocated a DeskTop Review (DTR) the deadline date for upload is 10 December.

- Once allocated to your centre, the Centre Quality Reviewer will be able to view what programme approvals are in place at your centre: centre’s will only need to include evidence of collaborative arrangements if applicable as part of their evidence base for 1.1.

- The process still includes 10 Quality Objectives, four (QO.1, QO.3, QO.4 and QO.9) of which are objectives required for certification.

- As of September 2017 the QMR process as been developed into a three year cycle for centres with annual activity: centres receive a face-to-face visit at least once during the 3 year cycle. Where a centre is not allocated a visit within an academic year, they will be subject to a DeskTop Review (DTR).

- DeskTop Review (DTR) is a remote review process which covers QO.1, QO.3, QO.4 and QO.9.
Quality Management Review

Visit

DeskTop Review (DTR)

Centre Engagement Document (CED)

Centre Engagement Document (CED)

CQR visit

CQR reviews evidence remotely

QMR report submitted on EOL within 10 working days

DTR report submitted on EOL within 10 working days

Actions reviewed within 3 months

Evidence sent to CQR

DESKTOP Checklist

Evidence sent to CQR

Prepared by Centre Management, Version 1.1 September 2018
DCL1 Public
How we review Quality Management

We allocate a Centre Quality Reviewer to conduct a review of your centre-wide quality assurance systems against the Quality Objectives and Measure framework in order to provide judgements and feedback. Centre Quality Reviewers support you in identifying good practice and areas for further development. If our Centre Quality Reviewers find that your centre-wide systems do not meet the requirements outlined in the Quality Objectives and Measures framework, they may record the outcome as ‘Centre Quality Manager Support required’, which is reviewed by the Centre Management team. This process is undertaken to safeguard the safe certification of BTEC qualifications.

Roles with responsibilities

It is important that you have a team in place at your centre in order to deliver and assess your BTEC programme effectively. Our website provides an overview of the main quality assurance responsibilities for each role here.

Planning

Good planning is the first step to managing the quality of your vocational provision. It helps to confirm that centre systems and processes are in place to ensure programme teams are supported in meeting our quality assurance requirements.

How will this process work if my centre is part of a consortia arrangement?

Each centre in a consortium is responsible for the BTEC learners registered at their centre. Therefore, each centre within the consortium with active registrations will be required to complete the Quality Management process.

If you only offer BTEC qualifications through an approved collaborative consortium arrangement and your centre does not deliver or assess these qualifications, please read the Centre and CQR additional guidance for QMR.
Quality Management Review

1. Allocation of your Centre Quality Reviewer and type of annual activity

We begin to allocate Centre Quality Reviewers to centres in October with a view to completing this activity by the end of November. Notification of the allocation will automatically be sent to the Centre’s Quality Nominee and with this, the type of annual activity will be highlighted i.e. A QMR visit or a DeskTop Review.

Top tip: check details of your Quality Nominee are correct on Edexcel Online in August/September every year

Your Centre Engagement Document for the current year becomes active once you have received your allocation.

If you have no BTEC programmes with no active learners but are allocated a Centre Quality Reviewer, then please notify us as soon as possible at vocationalqualitystandards@pearson.com

2. Reviewing your current quality management processes and procedures

Top tip from the Vocational Advisor team: Wherever possible, involve all of your internal team in your review

In our experience, centre’s more often than not, already have in place what is required, but it may be structured differently to our framework. Best practice is to use our framework to map what existing processes and procedures already support the objectives and measures - this approach allows you to identify any gaps that need addressing.
3. Completing and submitting your Centre Engagement Document

All centres will be required to complete and submit their Centre Engagement Document by no later than 10 December regardless of the annual activity allocated. However for those who have a centre visit arranged prior to this date, as per previous years please ensure you have uploaded your CED at least 10 working days prior to the visit. All documents are submitted via Edexcel Online.

Top tip: Share your completed Centre Engagement Document with all members of your internal team

This document includes a re-declaration of acceptance of our terms and conditions for both your Centre Recognition (formerly known as Centre Approval) and Qualification Approvals. This document must be signed by the Head of Centre: this signature can either be a physical signature or an electronic signature. To find support for completion of the CED please visit the Guide to completing the Centre Engagement Document.

Remember if you register learners as part of a consortium, your Centre Engagement Document commentary needs to take account of the delivery and quality management activities for these learners too. If you only register & claim learners as part of a collaborative/consortia arrangement you need to read our Centre and CQR additional guidance for QMR.

Top tip: Your Centre Engagement Document forms are an important part of the review process, so take the time to plan and complete it in detail. Ensure you comment against each of the quality measures.
4. Preparing for and completing a visit

Agreeing the date

Your Centre Quality Reviewer will make contact with the Quality Nominee in early November, introducing themselves and suggesting a proposed date for the visit. Most centre visits will take a full day. However, there are some centres that deliver a significant number of programmes across a number of sites. In cases like this, there may be a requirement to arrange a two day visit - Centre Quality Reviewers will discuss this with centres.

Preparing an agenda

Once a date has been set, your Centre Quality Reviewer will send a proposed agenda for the day detailing whom they would like to meet with. Centres can negotiate the timings of meetings to coincide with staff availability.

Who needs to be involved?

The Quality Nominee is the Centre Quality Reviewer’s main point of contact during the visit and will need to be on hand throughout the duration. As part of the visit, the Centre Quality Reviewer will also need to meet with:

- The Exams Officer
- Lead Internal Verifiers for each of the BTEC programmes a centre delivers (where a large number of programmes are delivered, this may be a sample of LIV from the largest programmes)

What evidence base do we need to provide?

Centre Quality Reviewers make judgements on each of the quality objectives and measures contained in our framework using the evidence base provided by a centre. A centre does not need to wait for an allocation to begin their internal review of evidence and planning how they will present this during the Quality Management Review visit. We have prepared a suggested sources of evidence document.
to aid you with this process. Remember our Vocational Quality Advisors can support you when reviewing what evidence you have in place. You can choose how you present your evidence base: it can be electronically or in paper form.

How will we know what the outcome is?

At the end of the visit the Centre Quality Reviewer will provide verbal feedback on the findings from their review. This feedback will highlight any actions that will appear in your report and also indicate what the likely outcome of the process will be.

Availability of your Quality Management Review Report

For the majority of visits, your Centre Quality Reviewer will provide you with a written report within 10 working days of the visit. Should there be a delay in this process your Centre Quality Reviewer will communicate this to you. Once the report has been completed, the Quality Nominee will receive an email from the Centre Quality Reviewer to let them know the report is available to view at Edexcel Online.

As part of our own internal quality assurances processes, the first report prepared by a Centre Quality Reviewer, is reviewed by their Team Leader as part of an annual cycle. This critical step in the process ensures that reports are prepared to a high standard, but can result in a delay in the release of a report. Should this be the case for your allocated Centre Quality Reviewer, s/he will advise of this during their verbal feedback.

5. Preparing for and completing DeskTop Review

DeskTop Review (DTR) is a remote process which you can begin to prepare for straight away once the activity is identified. Your Centre Engagement Document will become available for the current year to download and complete.

Agreeing a date

The Centre Quality Reviewer will make contact with the Quality Nominee from 1st November onwards, to arrange a suitable date for completion of the DeskTop Review. All DeskTop Review activity must be completed between 1 November and 30 April.
Completing your DeskTop Review Centre Checklist

The checklist will be accessed through [Edexcel online](https://www.edexcel.com) with the Centre Quality Reviewer allocation on the Quality Management Review page. It is important to remember that this can only be submitted once during the annual review cycle, so review it carefully and ensure it is fully completed before you submit it. This must be completed and submitted by 10 December.

To access your centre checklist go to your Quality Management Review page on Edexcel Online follow these steps below

- **Step One**: click on the Quality Management Review Tab, to see your current allocation for this year.
- **Step two**: You will see the allocation. The Report type will say DESKTOP click on the DESKTOP (see below)
- **Step Three**: The centre checklist will appear for you to complete.

![Checklist Screenshot](image)

**IMPORTANT** - you must click ‘Save’ first to save your entries on the checklist, then click ‘Submit’. If successful as message will appear saying ‘successfully submitted.’ This is important, as the Centre Quality Reviewer will not be able to complete their report until the centre has successfully completed the checklist.

Note for centres delivering Tech Awards to 14-16 year olds: the QMR requirements relating to Employer Involvement in QO1, QO4 & QO7 do not apply to 14-16 delivery. In your DeskTop checklist for Q01, question 10, please answer ‘No’ here.

Centre Quality Reviewers make judgements for each of the quality objectives and measures contained in our Framework using the evidence base provided by the Centre. The DeskTop Review will focus on Quality Objectives 1, 3, 4 and 9 (required for certification) and will draw evidence from the completed Centre Engagement Document and Centre Checklist.
Who needs to be involved?

The Quality Nominee is the Centre Quality Reviewer’s main point of contact for the DeskTop Review and will need to be responsible for completing and submitting the Centre Engagement Document, Centre Checklist and ensuring the required evidence is provided to the allocated centre quality reviewer.

What evidence base do I need to provide to the CQR

The DeskTop Review process is a remote monitoring process, which will require you to give access to specific evidence for the Centre Quality Reviewer. Our framework provides Centres with the evidence which will be required by the Centre Quality Reviewer to undertake DTR, which includes:

- BTEC Organisation Chart
- LIV registration information (NQF)
- Assessment and Internal Verification Policy
- Registration & Certification Policy
- Malpractice Policy
- Appeals/Complaints Policy
- Consortia Confirmation (If applicable)
- Tracking of Employer Involvement (If applicable)

You will need to plan how best to make this available to the Centre Quality Reviewer i.e. through email or access to a shared drive or cloud storage area.

How will we know what the outcome is?

The outcome of the DeskTop Review will be one of two judgements:

- Sufficient quality processes are in place and effective

Top tip: It is important that the completion of the Centre Engagement Document is well planned and is used as a self review process for the centre, in preparation for the DeskTop Review.
• There is insufficient evidence that effective quality processes exist (Centre Quality Manager Support required)

The Centre Quality Reviewer will email you once the review is complete, with the outcome. If the Centre Quality Reviewer recommends ‘Centre Quality Manager Support’ required, this will then be reviewed by a Centre Quality Manager before the report is submitted. If the outcome is ‘Centre Quality Manager support required’ the Centre Quality Manager will then contact you to arrange a visit, if appropriate.

Availability of your Quality Management Review Report

Your Centre Quality Reviewer will submit your report to Edexcel Online within 10 working days of their visit. Should there be any delay in this process your Centre Quality Reviewer will contact you. Once submitted, you will be able to view it and download it in the same way you access the QMR visit report, via Edexcel online.
### 6. Outcomes from the annual activity

<table>
<thead>
<tr>
<th>Overall Judgement</th>
<th>Outcome</th>
</tr>
</thead>
<tbody>
<tr>
<td>Submitted</td>
<td>• Your Centre Quality Reviewer has judged that your centre is meeting the expectations outlined in the Quality Objectives and Measures Framework.</td>
</tr>
<tr>
<td></td>
<td>• This means that certification at Centre Level is released for this academic year and no further action is required.</td>
</tr>
<tr>
<td>Sumitted (with recommendations)</td>
<td>• Your Centre Quality Reviewer has judged that your centre is meeting the expectations outlined in the Quality Objectives and Measures Framework but could build on current practice to further improve.</td>
</tr>
<tr>
<td></td>
<td>• This means that certification at Centre Level is released for this academic year and the update on your response to the recommendation(s) is required as part of the next annual activity.</td>
</tr>
<tr>
<td>Pending - Centre Actions Required</td>
<td>• Your Centre Quality Reviewer has judged that your centre has a number of essential actions that need to take place to ensure full compliance with the Quality Objectives and Measures Framework.</td>
</tr>
<tr>
<td></td>
<td>• This means that, although certification at Centre Level is released for this academic year, an update on progress against actions is required within 3 months by your Centre Quality Reviewer.</td>
</tr>
<tr>
<td></td>
<td>• If a centre fails to update their Centre Quality reviewer of the progress made</td>
</tr>
</tbody>
</table>
Overall Judgement

against essential actions, this will result in the centre automatically receiving a visit in the following academic year. Continued failure is a breach of a centre’s terms of conditions of recognition and may result in removal of centre recognition.

Centre Quality Manager Support required

• Your Centre Quality Reviewer has judged that there is “insufficient evidence that effective quality processes exist” for one or more of the following Quality Objective(s):
  • QO.1: Centre Management Systems
  • QO.3: Learner Registration & Certification
  • QO.4: Annual Programme Evaluation & Review
  • QO.9: Standards of Internal & External Assessment

• In such cases, certification is temporarily suspended for all programmes in scope until a Centre Quality Manager has reviewed the evidence base.

Pending - Centre Actions Required actions cont.
7. What happens if my centre receives ‘Centre Quality Manager Support required’?

In these rare cases, Centre Quality Reviewers are required to inform our Centre Quality Managers that they are making the judgement outcome ‘Centre Quality Manager Support required’ and will provide their draft report to this team within 10 working days for scrutiny.

If the Centre Quality Manager agrees that ‘Centre Quality Manager Support required’ is appropriate, it will be applied and the report submitted to the Centre. The centre’s Quality Management Report on Edexcel Online will indicate ‘Centre Quality Manager Support required’. At that point, the Centre Quality Manager takes ownership of the centre allocation and works with the Centre to agree remedial actions. Once remedial actions are resolved, the report is updated to ‘Certification Released’ for the current academic year.

If however, the Centre Quality Manager does not agree that ‘Centre Quality Manager Support required’ is appropriate, the report content is updated, the Centre Quality Reviewer is advised and the report is submitted to the Centre. Where essential actions are identified, the Centre will still need to update their Centre Quality Reviewer within the 3 month progress update window.

Remember that you can get support with quality assurance at any point, by making contact with the Vocational Quality Advisor team. Details can be found on the Quality Nominee page of our website.
8. Checklist

We’ve provided a simple checklist to support you with the Quality Management Review process.

<table>
<thead>
<tr>
<th>Before allocation of a Centre Quality Reviewer</th>
<th>Completed</th>
</tr>
</thead>
<tbody>
<tr>
<td>I have familiarised myself with the Quality Management Review Process</td>
<td></td>
</tr>
<tr>
<td>I have reviewed what evidence we have in place against the Quality Objectives and Measures Framework and identified any gaps</td>
<td></td>
</tr>
<tr>
<td>I have briefed my internal team on the process for the current academic year and we have an action plan in place to address any gaps identified through my review</td>
<td></td>
</tr>
<tr>
<td>I have ensured all our registration data on EOL is up to date</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>From allocation</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>I have received notification of my Centre Quality Reviewer and which annual activity my centre will be undertaking this year and advised my internal team</td>
<td></td>
</tr>
<tr>
<td>My Centre Quality Review has made initial contact with me</td>
<td></td>
</tr>
<tr>
<td>I have completed our Centre Engagement Document and submitted on EOL</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Visit</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>I have agreed a visit date with my Centre Quality Reviewer and internal team between 1 November and 30 April</td>
<td></td>
</tr>
<tr>
<td>I have confirmed the agenda and arrangements for the visit with my internal team and my Centre Quality Reviewer</td>
<td></td>
</tr>
<tr>
<td>I have briefed the Exams Officer and the Lead Internal Verifier(s) on the visit</td>
<td></td>
</tr>
<tr>
<td>My Centre Quality Reviewer has provided our report within 10 working days of the visit</td>
<td></td>
</tr>
<tr>
<td>I have shared the report with my internal team: where required we have an action plan in place to address any essential actions within the 3 month window and a strategy for considering any recommendations before next year’s activity</td>
<td></td>
</tr>
<tr>
<td>I have provided a progress update to my Centre Quality Reviewer within the stipulated 3 month window</td>
<td></td>
</tr>
<tr>
<td>DeskTop Review</td>
<td></td>
</tr>
<tr>
<td>-------------------------------------------------------------------------------</td>
<td>---</td>
</tr>
<tr>
<td>I have agreed a completion date of the process between 1st November and 30th April with my Centre Quality Reviewer</td>
<td></td>
</tr>
<tr>
<td>I have completed the DESKTOP Checklist on Edexcel online by 10 December</td>
<td></td>
</tr>
<tr>
<td>My Centre Quality Reviewer has advised what evidence they need us to provide</td>
<td></td>
</tr>
<tr>
<td>I have provided the evidence requested to our Centre Quality Reviewer</td>
<td></td>
</tr>
<tr>
<td>My Centre Quality Reviewer has provided our report within 10 working day of the agreed review date</td>
<td></td>
</tr>
<tr>
<td>I have shared the report with my internal team</td>
<td></td>
</tr>
</tbody>
</table>
Quality Objectives and Measures Framework

Centre Quality infrastructure objectives

QO.1 Centre Management Systems (required for certification)

Quality Objective:

Centre must have in place administrative systems, policies and procedures to ensure that there is effective management of the delivery and assessment of qualifications, ensuring that:

- qualification approvals are accurate and timely and reflective of a centre delivery
- the centre continues to meet all Qualification Approval criteria for each qualification
- adequate records are maintained to meet Pearson requirements and made available to Pearson representatives, as required.

Quality Measures

1.1 Ensure approval is authorised prior to the commencement of and qualification, including consortia collaborative arrangements and have a procedure in place for informing Pearson of any changes to approval criteria.

1.2 Identify a range of key quality systems that meet with Pearson and other regulatory requirements and are:

- supported by policies and procedures that are annually reviewed
- appropriate to centre size and the qualification requirements
- supported by senior managers and implemented by programme teams
- provided with adequate job descriptions and a centre organisation chart
- able to ensure arrangements for consortium and collaborative agreements with other providers or organisations and for distance learning are appropriately recorded on Pearson systems
- ensure that the centre does not provide BTEC provision outside of the
UK without a specific Pearson approval.

1.3 Have policies and procedures for managing:
- equality, diversity safeguarding, and health & safety
- arrangements for consortium and collaborative agreements with other providers or organisations and for distance learning being appropriately recorded on Pearson systems
- special consideration & reasonable adjustment
- recognition of prior learning and the way this informs learner assessment
- the managing of the provision and learning experience of all levels BTEC provision
- centre and individual learner involvement with employers*
- the identification and investigation of learner and staff malpractice, including how to report this to the relevant awarding organisation.

1.4 Have an adequate provision of safe and appropriate physical resources, including appropriately qualified and vocationally competent staff, that are sufficient for the:
- needs of the curriculum and current learner volumes, together with a planning capability to review resource needs as provision increases
- conduct of all internal and external assessment
- appropriate and fair access of all learners regardless of ability or disability.

1.5 Provide effective internal and external communications to ensure that staff, learners and other stakeholders are correctly informed about all relevant aspects of BTEC programmes.

* This applies to centres delivering the new BTEC Technical Qualifications 2016 onwards. See the Centre Guide for Employer Involvement or Engagement.
QO.2: Supporting Centre Roles & Team Working

Quality Objective:

The centre must ensure they have appropriate personnel in place for the effective implementation and monitoring of quality assurance processes throughout the academic year.

Quality Measures

2.1 Identify a Quality Nominee, who acts as a main contact point with Pearson for:

- overarching organisational quality matters
- liaising about regulatory requirements
- updating centre contact details

2.2 Ensure staff are informed and updated on quality requirements as required.

2.3 Identify a programme leader and team with appropriate shared responsibilities for assisting in the management of:

- enrolment and registration of learners
- tracking and recording of learner achievement
- administration and conduct of any Pearson BTEC programme external and/or controlled assessments
- safe claiming and distribution of learner certificates.

2.4 Provide senior manager oversight, whilst giving delegated authority to programme teams to plan and manage the quality of programme delivery and assessment across all delivery sites.

2.5 Set aside structured time for programme teams to have formal meetings to discuss delivery, assessment, verification, and other activities and strategies, in order that staff:

- have sufficient time to effectively fulfil all aspects of the role
- are provided with adequate induction that is appropriate to the level of BTEC provision being delivered
- have sufficient access to monitored annual continuous professional development.
QO.3: Learner registration & certification (required for certification)

Quality Objective

Administrative processes and procedures must ensure that all registrations and certificate claims are:

- accurate and timely
- recorded, stored and auditable
- reflective of a learner’s programme of study and level of achievement

Where any registration or certificate claim is found to be inaccurate or unsafe, this will be reported to Pearson.

Quality Measures

3.1 Have appropriate operational and monitored procedures for the timely and accurate registration of learners on all BTEC provision at the centre, with a checking process of the accuracy of each registration and the identity of each learner.

3.2 Have a procedure for registering learners for any BTEC externally set assessment. This procedure will take account of any re-assessment regulations currently in force.

3.3 Check the maintenance of accurate and current records of attendance for every learner, whilst they are registered learners at the centre.

3.4 Ensure timely and accurate certification claims, verified against assessment records. This will include the provision of unit certification as appropriate. Certificates received will be checked against assessment records, prior to issue.

3.5 Have procedures to verify the accuracy of learner registrations and certifications and to identify and report any inaccurate, late or potentially false registrations or certification claims, via centre senior management, to Pearson.
QO4. Annual Programme Evaluation & Review (required for certification)

Quality objective

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.

The centre needs to assure and annually confirm that programmes continue to meet our centre and qualification approval criteria and quality requirements.

Quality Measures

4.1 Identify senior staff to lead on quality review and improvement processes.

4.2 Have a cycle of programme review and evaluation to assure the quality of the learning experience and the internal and any external assessments for each BTEC programme.

4.3 Consult with learners, staff and other stakeholders as part of all programme review processes to inform how the programme has positively impacted upon the learner experience.

4.4 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
   - provide confirmation that centre procedures to track centre employer involvement have been monitored and verified; and that employer involvement records for individual learners have been accurately maintained *

4.5 Demonstrate continuous compliance with Pearson centre recognition and qualification approval criteria and quality requirements as part of the annual evaluation and review process.

1 This applies to centres delivering the new BTEC Technical Qualifications 2016 onwards. See the Centre Guide for Employer Involvement or Engagement
QO.5: Centre Record Systems

Quality Objective

The centre must ensure the systematic, accurate and secure maintenance of all assessment, learner, and other quality management records, and record systems. All aspects of centre quality management must be recorded in such a way that:

- an audit trail of assessment records supports safe certification by providing evidence of consistently accurate assessment against the correct standards; reliable verification; and demonstrates learner progress
- an audit trail of centre quality management processes is being maintained
- all centre BTEC programme records are made available and auditable to Pearson representatives upon request

Quality Measures

5.1 Store all centre records securely and safely relating to learners at every stage of the learner process through the centre.

5.2 Ensure all current learner records, including assessment feedback and verification are available for Pearson verification processes and other forms of scrutiny.

5.3 Maintain records of learner achievements that are up to date, regularly reviewed and tracked accurately against the current programme specification.

5.4 Retain internal and any external assessment learner and verification records for centre and Pearson scrutiny for a minimum of three years following certification.

5.5 Have all current learner evidence available for centre and verification processes. Learner work is to be retained until twelve weeks after the issue of certificates.
Quality of Learner Experience Objectives

QO.6: Enabling Learner Enrolment & Induction

Quality Objective:

Learners are enrolled with integrity onto appropriate programmes that will:

- meet their needs
- enable and facilitate learning and achievement
- enable progression.

Quality Measures

6.1 Appropriately publish programme information that is accurate and provides learners with a basis for making an informed choice about enrolment decisions.

6.2 Enable appropriate structured discussion with the applicant, with appropriate guidance and advice, to enable informed learner choice.

6.3 Assess the applicant’s suitability, learning needs, progression aspirations, and any additional on-programme support requirements.

6.4 Provide opportunities to inform and engage applicants’ parents/advocates where appropriate in the application and enrolment processes.

6.5 Provide an appropriate learner induction that:

- explains the demands, structure, content, and assessment requirements of their programme
- informs learners of the learner appeals, complaints and malpractice procedures
- clarifies the formal requirements and deadlines of both internal and any external assessment
- explains learner facilities
- identifies learners’ development needs
- develops an individual learning plan.
QO.7: Learner on Programme Support & Progress

Quality Objective

Provide support processes appropriate to the level of study and learner need that assures the structured monitoring of individual learner progress, achievement and progression.

Quality Measures

7.1 Provide a learning experience that:

- engages learners through effective teaching and assessment processes that foster independent learning, and effective pastoral care to support learning.
- identifies learner’s additional needs with appropriate support to assist progression and achievement.
- reviews learner progress and develops agreed action plans through a process of constructive feedback and dialogue.
- provide a learning experience that enables individual learners to have realistic opportunities to participate in appropriate employer involvement activities that enhance their programme of study.*

7.2 Provide a learner review process that is clear, equitable and open equally to all learners.

7.3 Ensure strategies are in place to identify support mechanisms are in place and the provision of effective pastoral care that supports learning and achievement.

7.4 Continuously improve and update learning and support material, including programme schedules and learner handbooks.

7.5 Have a reporting process that records each learner’s achievement and progression to further study or employment.

*This applies to centres delivering the new BTEC Technical Qualifications 2016 onwards. See the Centre Guide for Employer Involvement or Engagement
QO.8: Managing Assessment

Quality Objective

Provide a formalised approach to both internal and external assessment that:

• delivers valid and reliable assessment outcomes in line with national standards
• follows Pearson regulations and requirements
• leads to the safe certification of learner achievement.

Quality Measures

8.1 Ensure current programmes of study comply with the requirements of Pearson, and external regulatory and quality bodies.

8.2 Have clearly defined assessment roles.

8.3 Have clearly defined and auditable internal and/or external assessment procedures that are operational at all assessment locations and across all assessors, units and learners, as appropriate. These procedures will:

• provide equal access to both internal and any external assessment for all learners, as appropriate
• have a process that verifies each learner’s identity and the authenticity of each piece of work submitted for assessment
• meet Pearson’s current requirements for conducting internal assessment and/or external assessment.

8.4 Maintain assessment recording documentation that is:

• clearly understood by learners and assessors
• used consistently across all centre assessment locations
• kept up to date
• regularly reviewed and tracked accurately against regulated standards.

8.5 Use an assessment methodology that leads to valid and reliable assessment outcomes against current national standards.
QO.9 Standards of Internal & External Assessment (required for certification)

Quality Objective

Provide appropriate processes to accurately manage internal and the external verification, and the conduct of any external assessments by:

- following Pearson regulations and requirements
- utilising available standardisation materials to standardise all assessors and internal verifiers
- enabling the outcomes of internal verification and Pearson Standards Verification and Quality Monitoring Review to improve assessment and internal verification standards.

Quality Measures

In order to do this, you will need to:

9.1 Appropriately register and accredit a Lead Internal Verifier for each sector as required, and who:

- understands their responsibilities regarding internal standardisation of assignments and assessed learner work
- assures assessment standards amongst all assessors and internal verifiers
- provides the required internal standardisation training for teaching staff.

9.2 Deliver and monitor an internal verification process to inform and record that all assignments and assessment outcomes are compliant with awarding organisation and regulatory requirements, by ensuring:

- an appropriate planning schedule that assures:
  (i) all assignment briefs are internally verified annually, and
  (ii) sufficient samples of learner work will touch all assessors and all taught unit assessment criteria annually
- a record of verification outcomes is maintained
- a process to deal with inaccuracies and weaknesses in assessment identified by internal verification, or by Pearson quality processes
- the centre will have cover for absence and succession plans in place for Lead Internal Verifiers.
9.3 Maintain accurate and up to date records of learner assessment tracking and achievement in order to support the accurate sign off of learner achievement and certification claims.

9.4 Facilitate the conduct of both remote and face to face Standards Verification by provision of timely samples of learner work, and responses to requests made for additional information, additional sampling material, or further Pearson investigation.

9.5 Ensure that correct centre and learner preparation is undertaken for both internally or externally set assessments. This will include both registering requirements and the provision of resource and facilities for conducting the assessment.

9Q.10: Managing Assessment Safeguards

Quality Objective

All assessment must be recorded in such a way that the centre:

- policies and procedures meet Pearson and regulatory requirements.
- provides robust investigations, free from bias, and conducted in line with policy
- ensures fair, consistent documented outcomes, in line with policy and accurately recorded/communicated to all stakeholders.

Quality Measures

10.1 Ensure learners and staff are aware of the:

- learner appeal process, learner complaints process (for learners on BTEC L4-7 programmes), and what constitutes assessment malpractice
- related processes for instigating an appeal or investigating malpractice
- possible outcomes that may be reached
- consequences of internal and external outcomes
- process for a learner appeal to Pearson relating to internal and external assessment outcomes.
10.2 Provide learners with sufficient written information and practical instruction at the beginning of the programme to enable them to appreciate the nature of plagiarism and assessment malpractice and provide them with the study skills to research and prepare assignments.

10.3 Demonstrate how the potential for any assessment malpractice informs learner achievement, programme planning and delivery.

10.4 Have robust systems for recording and managing all assessment appeals, complaints (where applicable), and malpractice, including plagiarism.

10.5 Have a process for reporting serious assessment malpractice, appeals and complaints (where applicable) to Pearson.
Guide to developing policies and procedures for quality assurance
How do I develop policies and procedures to meet Pearson requirements?

These examples are what your policies and procedures might look like. You can use them as a starting point for your own policies which you should customise and badge for your centre.

**IMPORTANT:** These on their own are not sufficient to meet the requirements of Pearson quality assurance. Specific procedures, based on your centre policies, relevant to your centre, should be developed.

### Registration & Certification Policy

**Aim:**

1. To register individual learners to the correct programme within agreed timescales.
2. To claim valid learner certificates within agreed timescales.
3. To construct a secure, accurate and accessible audit trail to ensure that individual learner registration and certification claims can be tracked to the certificate which is issued for each learner.

**In order to do this, [add centre name] will:**

- Register each learner within the awarding body requirements
- Provide a mechanism for programme teams to check the accuracy of learner registrations
- Make each learner aware of their registration status
- Inform the awarding body of withdrawals, transfers or changes to learner details
- Ensure that certificate claims are timely and based solely on internally verified assessment records
- Audit certificate claims made to the awarding body
- Audit the certificates received from the awarding body to ensure accuracy and completeness
• Keep all records safely and securely for three years post certification.

Top tip: You now need to add your centre specific procedures, making sure that you cover the following as a minimum requirement. You can do this in a format that suits you (i.e. flowchart, process map, bullet points or descriptive text etc)

Procedures for
• Registration
• Transfer
• Withdrawal
• Unit Certification
• Certification

Staff roles and responsibilities for each process, as appropriate

Key dates & actions

Policy review & update and version control details

Links
Add links here to key Pearson and /or centre documents that may be helpful when reading or using this policy & procedure:

Information manual: this is published by Pearson each year and provides detailed information for Exams Officers about registration and certification procedures for all Pearson programmes on our website.
Assessment Policy

Aim:
1. To ensure that assessment methodology is valid, reliable and does not disadvantage or advantage any group of learners or individuals
2. To ensure that the assessment procedure is open, fair and free from bias and to national standards
3. To ensure that there is accurate and detailed recording of assessment decisions.

In order to do this, [add centre name] will:

- Ensure that learners are provided with assignments that are fit for purpose, to enable them to produce appropriate evidence for assessment
- Produce a clear and accurate assessment plan at the start of the programme/academic year
- Provide clear, published dates for handout of assignments and deadlines for Assessment
- Assess learner’s evidence using only the published assessment and grading criteria
- Ensure that assessment decisions are impartial, valid and reliable
- Not limit or ‘cap’ learner achievement if work is submitted late
- Develop assessment procedures that will minimise the opportunity for Malpractice
- Maintain accurate and detailed records of assessment decisions
- Maintain a robust and rigorous internal verification procedure
- Provide samples for standards verification/external examination as required by the awarding organisation
- Monitor standards verification/external examination reports and undertake any remedial action required
- Share good assessment practice between all BTEC programme teams
- Ensure that BTEC assessment methodology and the role of the assessor are understood by all BTEC staff
- Provide resources to ensure that assessment can be performed accurately and appropriately.
Top tip: You now need to add your centre specific procedures, making sure that you cover the following as a minimum requirement. You can do this in a format that suits you (i.e. flowchart, process map, bullet points or descriptive text etc).

Procedures for
- Assessment
- Resubmission/ retakes (as appropriate)
- Assignment design / assignment brief
- Assessment plans
- Assessment recording/ tracking for learners

Staff roles and responsibilities for each process, as appropriate

Key dates & actions

Policy review & update and version control details

Links
Add links here to key Pearson and/or centre documents that may be helpful for staff when reading or using the policy & procedures. A few are already listed that may be useful. It is important that this document links to the BTEC Guide to Internal Assessment and other key documents related to assessment, such as:

Pearson Qualification Subject pages
BTEC Centre Guide to Internal Assessment
Assessment and verification templates
Internal Verification Policy

Aim:
1. To ensure there is an accredited Lead Internal Verifier in each principal subject area (BTEC Entry Level-Level 3)
2. To ensure that Internal Verification is valid, reliable and covers all Assessors and programme activity.
3. To ensure that the Internal Verification procedure is open, fair and free from bias
4. To ensure that there is accurate and detailed recording of Internal Verification decisions.

In order to do this, [add centre name] will:

- Where required by the qualification, a Lead Internal Verifier is appropriately appointed for each subject area, is registered with Pearson and has undergone the necessary standardisation processes
- Each Lead Internal Verifier oversees effective Internal Verification systems in their subject area
- Staff are briefed and trained in the requirements for current Internal Verification procedures
- Effective Internal Verification roles are defined, maintained and supported Internal Verification is promoted as a developmental process between staff
- Standardised Internal Verification documentation is provided and used
- All centre assessment instruments are verified as fit for purpose
- An annual Internal Verification schedule, linked to assessment plans, is in place
- An appropriately structured sample of assessment from all programmes, units, sites and Assessors is Internally Verified, to ensure centre programmes conform to national standards
- Secure records of all Internal Verification activity are maintained
- The outcome of Internal Verification is used to enhance future assessment practice.

Top tip: You now need to add your centre specific procedures, making sure that you cover the following as a minimum requirement. You can do this in a format that suits you (i.e. flowchart, process map, bullet points or descriptive text etc)
• IV schedules
• LiV registration
• OSCA accreditation / standardisation activities
• Staff briefing / annual updating
• IV of assignments
• IV of assessment decisions
• Maintenance of IV records
• Standards verification (Entry to L3) / External Examination (L4-7) monitoring and review

Staff roles and responsibilities for each process, as appropriate
Key dates & actions for processes & procedures
Policy review & update and version control details

Links

Add links here to key Pearson and /or centre documents that may be helpful for staff when reading or using the policy & procedures. A few are already listed that may be useful. It is important that this document links to the BTEC Guide to Internal Verification and and other key documents related to IV, such as:

**BTEC Centre Guide to Internal Verification**

**BTEC Centre Guide to Standards Verification**

**Assessment & verification tools/ templates**

**BTEC Centre Guide for Lead Internal Verifiers**
Appeals Policy

Aim:

1. To enable the learner to enquire, question or appeal against an assessment decision
2. To attempt to reach agreement between the learner and the Assessor at the earliest opportunity
3. To standardise and record any appeal to ensure openness and fairness
4. To facilitate a learner’s ultimate right of appeal to the Awarding Body and the Office of the Independent Adjudicator (BTEC Level 4-Level 7), where appropriate
5. To protect the interests of all learners and the integrity of the qualification.

In order to do this, [add centre name] will:

- Inform the learner at induction, of the Appeals Policy and procedure
- Record, track and validate any appeal
- Forward the appeal to the Awarding Body when a learner considers that a decision continues to disadvantage her/him after the internal appeals process has been exhausted
- Keep appeals records for inspection by the Awarding Body for a minimum of 18 months
- Have a staged appeals procedure
- Will take appropriate action to protect the interests of other learners and the integrity of the qualification, when the outcome of an appeal questions the validity of other results
- Monitor appeals to inform quality improvement.

Top tip: You now need to add your centre specific procedures, making sure that you cover the following as a minimum requirement. You can do this in a format that suits you (i.e. flowchart, process map, bullet points or descriptive text etc)
Learner induction, informing them about the appeals procedure
Stages of learner appeals procedure (both internal and external stages)
Recording each stage of the appeals procedure
Monitoring appeals
Roles / responsibilities of staff within the process

Links

Add links here to key Pearson and/or centre documents that may be helpful for staff when reading or using the policy & procedures.

**BTEC qualification specifications:** These provide guidance on assessment for each BTEC qualification.

**Enquiries and appeals about Pearson vocational qualifications and End Point Assessment Policy:** This is Pearson’s policy on learner appeals. Please note, this does not apply until internal centre processes have been exhausted.
Assessment Malpractice Policy

1. To identify and minimise the risk of malpractice by staff or learners
2. To respond to any incident of alleged malpractice promptly and objectively
3. To standardise and record any investigation of malpractice to ensure openness and fairness
4. To impose appropriate penalties and/or sanctions on learners or staff where incidents (or attempted incidents) of malpractice are proven
5. To protect the integrity of this centre and BTEC qualifications.

In order to do this, [add centre name] will:

• Seek to avoid potential malpractice by using the induction period and the learner handbook to inform learners of the centre’s policy on malpractice and the penalties for attempted and actual incidents of malpractice
• Show learners the appropriate formats to record cited texts and other materials or information sources
• Ask learners to declare that their work is their own
• Ask learners to provide evidence that they have interpreted and synthesised appropriate information and acknowledged any sources used
• Conduct an investigation in a form commensurate with the nature of the malpractice allegation. Such an investigation will be supported by the Head of Centre / Principal / CEO and all personnel linked to the allegation. It will proceed through the following stages:
  • Make the individual fully aware at the earliest opportunity of the nature of the alleged malpractice and of the possible consequences should malpractice be proven
  • Give the individual the opportunity to respond to the allegations made
  • Inform the individual of the avenues for appealing against any judgment made
  • Document all stages of any investigation.

Where malpractice is proven, this centre will apply the following penalties / sanctions:

[add details here]
Definition of Malpractice by Learners
This list is not exhaustive and other instances of malpractice may be considered by this centre at its discretion:

• Plagiarism of any nature
• Collusion by working collaboratively with other learners to produce work that is submitted as individual learner work
• Copying (including the use of ICT to aid copying)
• Deliberate destruction of another’s work
• Fabrication of results or evidence
• False declaration of authenticity in relation to the contents of a portfolio or coursework
• Impersonation by pretending to be someone else in order to produce the work for another or arranging for another to take one’s place in an assessment/examination/test.

Definition of Malpractice by Centre Staff
This list is not exhaustive and other instances of malpractice may be considered by this centre at its discretion:

• Improper assistance to candidates
• Inventing or changing marks for internally assessed work (coursework or portfolio evidence) where there is insufficient evidence of the candidates’ achievement to justify the marks given or assessment decisions made
• Failure to keep candidate coursework/portfolios of evidence secure
• Fraudulent claims for certificates
• Inappropriate retention of certificates
• Assisting learners in the production of work for assessment, where the support has the potential to influence the outcomes of assessment, for example where the assistance involves centre staff producing work for the learner
• Producing falsified witness statements, for example for evidence the learner has not generated
• Allowing evidence, which is known by the staff member not to be the learner’s own, to be included in a learner’s assignment/task/portfolio/coursework
• Facilitating and allowing impersonation
• Misusing the conditions for special learner requirements, for example where learners are permitted support, such as an amanuensis, this is permissible up to the point where the support has the potential to influence the outcome of the assessment
• Falsifying records/certificates, for example by alteration, substitution, or
by fraud
• Fraudulent certificate claims, that is claiming for a certificate prior to the learner completing all the requirements of assessment.

Top tip: You now need to add your centre specific procedures, making sure that you cover the following as a minimum requirement. You can do this in a format that suits you (i.e. flowchart, process map, bullet points or descriptive text etc)

How you minimise the risk of learner malpractice
How you minimise the risk of staff malpractice
How you deal with malpractice
Informing Pearson of any malpractice
Staff roles and responsibilities for each process, as appropriate
Key dates & actions for processes & procedures
Policy review & update and version control details

Links

Add links here to key Pearson and/or centre documents that may be helpful for staff when reading or using the policy & procedures. A few are already listed that may be useful.

Pearson Centre Guidance on dealing with malpractice and maladministration in vocational qualifications; This is Pearson’s policy on dealing with assessment malpractice and maladministration relating to BTEC programmes

Plagiarism Factsheet
Employer Involvement Policy

Aim

1. Employer involvement in the delivery and/or assessment of technical qualifications provides a clear ‘line of sight’ to work, enriches learning and raises the credibility of the qualification
2. To ensure a designated lead for Employer Involvement
3. requires all learners to undertake meaningful activity involving employers during their study
4. To ensure that there is an accurate and detailed recording of meaningful employer involvement for every individual learner
5. The contribution of meaningful activities to the qualification must be significant and relate to the qualification as a minimum.

In order to do this, [add centre name] will

- Produce an Employer Involvement plan at the start of the programme that reflects the meaningful activities that contribute to the technical qualification.
- Produce a clear and accurate meaningful activity plan that covers all learners
- Establish and agree milestones with employers to develop, execute and review meaningful activities for learners
- Confirm learner engagement against the defined meaningful activities identified.
- Ensure effective, reliable and accurate tracking / recording of individual learner involvement in meaningful activity in relation to the individual learner field of study
- Prepare the learner to engage actively and positively with opportunities offered with employer involvement
- Develop robust and accurate recording procedures that minimise the opportunity for malpractice Maintain a robust and rigorous quality assurance procedure
- Provide evidence for standards verification and quality management review as required by the awarding body
- Monitor SV and QMR reports and undertake any remedial action required
- Share good practice between all Technical qualification teams in reference to employer involvement
- Ensure that all staff teaching on Technical qualifications understand the requirements and importance of meaningful employer involvement.
• Provide resources to ensure effective employer involvement and accurate monitoring and recording.
• Adopt a standardised centre approach to documentation used across the centre for the purpose of employer involvement
• An annual review of employer involvement to ensure that activities are meaningful and appropriate and enhance all future employer involvement
• Secure records of all activities are maintained

Top tip: You now need to add your centre specific procedures, making sure that you cover the following as a minimum requirement. You can do this in a format that suits you (i.e. flowchart, process map, bullet points or descriptive text etc)

• Staff roles and responsibilities
• Staff updating/ briefing
• Employer involvement plan
• Confirmation of meaningful activity
• Internal verification of meaningful activity
• Standards verification review & monitoring
• Maintenance of records of meaningful activity
• Key dates & actions for processes & procedures
• Policy review & update and version control details

Links

Add links here to key Pearson and /or centre documents that may be helpful for staff when reading or using the policy & procedures. A few are already listed that may be useful.

BTEC qualification specifications: These provide guidance on assessment for each BTEC qualification. All staff teaching on BTEC programmes must have access to the relevant specification. They are
published on our website.

Other valuable resources for centres in planning, quality assuring and delivery BTEC programmes:

BTEC Centre Guide to Internal Assessment
BTEC Centre Guide to Assessment Levels 4-7
BTEC Centre Guide to Standards Verification
BTEC Centre Guide to Internal Verification
BTEC Centre Guide to Employer Involvement