# **St. Kitts-Nevis Technical and Vocational Education and Training Council**

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**Quality Assurance Manual and Procedural Guidelines**

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***PREAMBLE***

This Quality Assurance Procedural Guidelines Manual has been developed for the St. Kitts-Nevis TVET Council and Secretariat to comply with the requirements for Awarding Bodies desirous of issuing the Caribbean Vocational Qualification (CVQ). As the coordinating body for Technical and Vocational Education and Training (TVET) in the Federation, the Guidelines are in direct alignment with the *CANTA Quality Assurance Guidelines (2015)* and describe best practice to assure quality, standardization and continuous improvement in the training, assessment, and certification activities, towards the issuance of qualifications in the St. Kitts-Nevis Qualifications Framework and the CARICOM/Regional Qualifications Framework. It therefore embodies policies, procedures, and guidelines.

Key stakeholders, including The TVET Council, The Ministry of Education, training providers, administrators, coordinators, managers, assessors, and verifiers are expected to use these Guidelines to assure quality throughout the TVET system. While several templates and forms are provided, the Manual should be used in conjunction with the following supporting documents, which give additional details on procedures:

* Assessment and Certification System for St Kitts and Nevis TVET Council (2018)
* Standards Development Training Manual (2018)
* Prior Learning and Recognition Manual (2018)
* Marketing and Promotional Plan for TVET in St. Kitts-Nevis (2018)
* Checklist for Maintenance of Facilities (2019)
* Assessor Training Manual (2018) - *To be provided by the GNTA*
* Verifier Training Manual (2018) - *To be provided by the GNTA*

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**ACRONYMS**

CANTA Caribbean Association of National Training Authorities

CARICOM Caribbean Community

CBET Competency Based Education and Training

COHSOD Council for Human and Social Development

CVQ Caribbean Vocational Qualification

IV Internal Verifier

EV External Verifier

NVQ National Vocational Qualification

NVQ-SKN National Vocational Qualification of St. Kitts and Nevis

OS Occupational Standards

PLAR Prior Learning and Assessment

QA Quality Assurance

QMS Quality Management System

SKN-NQF St. Kitts and Nevis National Qualifications Framework

SKN-TVET St. Kitts and Nevis TVET

SKNTVETC St. Kitts-Nevis TVET Council

TVET Technical Vocational and Education and Training

1. **Overview: Organizational Context**

The St. Kitts and Nevis TVET Council and its Secretariat, reviews, validates and adopts competency-based occupational standards, trains and maintains a cadre of assessors and internal and external verifiers for the purposes of conducting and verification of TVET assessment outcomes, provides centre approval services for interested vocational institutions or on-the job training plants with the required facilities, to offer assessment services, certifications and awards, leading to a National Vocational Qualification (NVQ), a Caribbean Vocational Qualification (CVQ) and/or Statements of Competence.

The expectation therefore, is that the primary purpose of the TVET Council in the National TVET System in St. Kitts and Nevis is to facilitate and enable the coordination and management of the Technical and Vocational training system in order for individuals in the country to achieve portability of quality vocational and technical skills and for persons with these skills to benefit from their training, and for companies and enterprises to confidently recruit graduates from the TVET system to contribute to the economic growth of the companies and the country.

The Quality Assurance Guidelines of the St. Kitts and Nevis TVET Council are developed in accordance with CANTA’s established Criteria and Guidelines for the Caribbean Vocational Qualification (November 2015). The offices of the St. Kitts and Nevis TVET Secretariat are located at:

**The Ministry of Education**

**Stanford Building, Golden Rock**

**Basseterre, St. KITTS, W.I.**

1. **Mission**

*The leading provider of trained and certified workers with the competencies and values of enterprise, self-sufficiency, and lifelong learning to operate in a continuously evolving economy.*

1. **Vision**

*A competent, marketable, and productive workforce, contributing to the global competitiveness and sustainable development of St. Kitts and Nevis.*

1. **Political-Economic-Social-Technological-Legal-Environmental (PESTLE Analysis)**

The external and internal issues relevant to the organization have been identified but are not limited to following areas:

Political

* Government Requirements
* Employment and operational laws
* Political Stability
* Taxation policies

Economic

* Economic growth rate
* Investment trends
* National growth and development
* Labour market status
* Labour costs
* Unemployment rate

Social

* Educational partnership potentials
* Population growth and distribution
* Cultural and social norms and values
* Educational influence
* Employability and Skill set

Technological

* Pool of expertise (human resources)
* Outsourced suppliers
* Research and development
* National, regional, and international linkages
* Availability of physical resources
* Emerging technologies/software, hardware etc.

Legal

* Taxation regulations
* Labour laws
* Current and impending legislation
* Disposal of materials

**1.1. Scope of the Quality Management System (QMS)**

* Governance, Leadership and Management
* Design and Development of Occupational-Competency Standards
* Approval /Accreditation of TVET institutions and assessment centres
* Provision of training and maintaining a database of a cadre of trained assessors and external verifiers
* Processing of certificates of competence (NVQ and/or CVQ), Statements of Competence and transcripts
* Quality assuring of assessment activities in TVET
* Customer Service and Communication
* Equity and Inclusiveness
* Monitoring and Evaluation

**1.2**. **Objectives of the QMS-SKN-TVET Council/Secretariat**

* Communicate and continuously promote TVET as a viable pathway to employment, life-long learning, and socio-economic development to all stakeholders in the Federation
* Ensure that critical and core functions are in alignment with policies of Government, other Ministries and Agencies towards sustained development of the Federation
* Establish define processes and criteria to ensure effective operations of the Secretariat and Council
* Analyses its process measures, using data from established processes, to determine a plan of action that ensures the operation achieves planned results and identifies areas for continual improvement
* Addresses the current/potential risks and opportunities, through its top management, to ensure alignment with the requirements; these are evaluated, and the applicable changes are implemented to achieve the intended results
* Increase **vocational certification** and award rates each successive financial year.
* Establish and implement requisite criteria and guidelines in alignment with those of CANTA (November 2015) and to receive accredited status from CANTA and the Council for Human and Social Development (COHSOD) of CARICOM to award the CVQ by November-December 2020.

1. **LEADERSHIP AND MANAGEMENT**

**Organization and Governance Structure**The Senior Management of the TVET Council ensures that the required human, physical and financial resources are made available within defined constraints and limitations, for the implementation and achievement of its business goals and strategy.

**Critical Components and Scope**

* Human Resources - Organizational structure and competent staff to execute the required job functions with clearly defined reporting relationships
* Terms of Reference and functionality of a governance structure (the TVET Council) and defined reporting relationship between the Secretariat and Council
* Physical Resources - suitable and appropriate work environment conducive to the staff carrying out required job functions
* Financial Resources - adequate budgetary allocation to support the operations of the TVET Secretariat and Council.

**Fig 1: SKN- TVET Council Organization Chart**

Diagram

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**Summary of Job Functions**

The Senior Executive of the SKN-Secretariat is the **Chief Executive Officer (CEO)**. Reporting to the Chair of the TVET Council and the Minister - Ministry of Education.

1. **The Chief Executive Officer:**

* Establishes the vision and direction for the organization.
* Ensures necessary resources are identified and provided.
* Formulates policies governing the operations of the TVET Secretariat and Council.
* Aligns objectives with the goals of the Ministry of Education.
* Ensures policy requirements are understood throughout the organization.
* Reviews and approves continual improvement of core processes
* Provides leadership and top management support to ensure that the identified annual objectives of the Secretariat and Council are achieved.

1. **Quality Assurance Officer**

* Participates in the development of SKN-TVET Council's/Secretariat's operational plans.
* Conducts and reports on centre approval audits for review and status determination by the Council.
* Develops/reviews policies and procedures to guide the establishment and maintenance of quality systems within approved centres and monitors and evaluate assessment and external verification activities.
* Develops and implements strategies to promote the quality assurance systems in TVET.
* Develops and implements systems to effectively manage clients’ complaints and measure customer satisfaction.
* Provides technical advice to the CEO, training managers, and other personnel on quality assurance matters as required.
* Reviews and maintains the quality management system (QMS) of the SKN-TVET Council and Secretariat.
* Schedules, conducts, and reports on internal audits of the QMS of the SKN-TVET Council and Secretariat.

1. **Standards and Promotions Officer**

* Participates in the development of SKN-TVET Council's/Secretariat's operational plans.
* Establishes and conducts meetings with local industry lead group experts to review, discuss and adopt material from regional occupational standards.
* Leads validation sessions with industry lead groups.
* Submits draft of occupational standards to Council for review and approval
* Publishes and promotes occupational standards
* Establishes and implements communication and promotion strategies for the services and products of the TVET Council, to ensure stakeholder engagement and buy-in.

1. **Training and Assessment Officer**

* Provides oversight to curriculum and training programmes in training institutions.
* Conducts professional development workshops for relevant staff on the effective use of curricula and training materials.
* Develops and implements monitoring and evaluation tools to improve programme quality.
* Provides oversight to the CBET assessment process in TVET institutions’ design;
* Documents the design and development phases and procedures for administering assessment products;
* Evaluates assessment tools used in the assessment of candidates for certification and recommends design changes.
* Quality checks and approves prototypes of assessment products;
* Maintains a database of assessment instruments.
* Conducts periodic evaluations of the assessment system.

**e) Registrar**

* Provides leadership for the Secretariat in record-keeping, certification and registration of assessors, verifiers and hosting of the qualifications and occupational standards.
* Collaborates with Information Technology and other key personnel in the Secretariat.
* Acts as the information host regarding data and statistics for the TVET system in the Secretariat.
* Considers all complaints and appeals regarding assessment and certification activities and responds accordingly.
* Is the depository of all publications for the TVET Council and the Secretariat.
* Enables teamwork, collaboration, and information-sharing with all stakeholders internally and externally to foster better customer service.
* Coordinates the collection and maintenance of statistics for planning and reporting purposes (internal, external, and governmental).

**f) Executive Assistant-Senior Secretary**

* Establishes and Maintains a Records and Information Management System for the Office:
* Receives sorts and logs incoming correspondence and acts as directed. Dispatches outgoing correspondence in accordance with established guidelines.
* Receives and collates reports as required
* Maintains schedule for the CEO:
* Establishes and maintains and efficient filing system which facilitates the security, easy access, and retrieval of documents.
* Provides routine information to staff and other enquirers in relation to the work of the Secretariat and Council.
* Schedule’s appointments and maintains the CEO’s diary.
* Screens and directs calls to the relevant persons, minimizing the CEO’s involvement in simple/routine matters.
* Receives and hosts visitors to the CEO.
* Makes travel arrangements for the CEO and other staff for local and overseas travel as requested.
* Plans and organises meetings and other functions:
* Coordinate’s meetings ensuring that notices, agenda, and other documents are prepared and circulated.
* Attends meetings and reproduces minutes.
* Carries out follow-up action from decision taken at meetings as required.
* Ensures that housekeeping and other logistics are properly coordinated, minimizing delays.
* Coordinates/assists with the preparation and distribution of documents for seminars and other functions.

**g) The TVET Council**

Through the implementation of Committees (e.g., Assessment and Certification, Standards and Quality Assurance), the TVET Council facilitates and enables the coordination and management of the Technical and Vocational Education and Training system in St. Kitts-Nevis including:

* Strategic Planning
* Financial Management
* The Management of Information and Records
* Curriculum and Learning Resources Management
* Supporting the delivery of CBET/CVQ/NVQ/TVET
* Managing quality in the system
* Marketing and promoting the development of TVET
* Managing Assessment and Certification
* Issue awards
* Reporting

**Responsibility/Process Owner(s)**

* Chief Executive Officer (CEO) -TVET Secretariat
* Minister-Ministry of Education
* Chair -TVET Council

**Evidence Guide - Organization Structure**

* Job descriptions staff
* Terms of Reference for Council:
* Procedures for selection and approval of Council members
* Frequency of meetings
* Constitution of a quorum
* Agenda, minutes, and work-action plans from Council meetings
* Agenda, minutes, and work-action plans- staff and Senior Management meetings for the Secretariat.
* Annual approved budget and forecasted estimates to support the operations of the TVET Council/Secretariat.

**2.1. Financial Resources**

The operations of the SKN-TVET Council are supported by an annual budgetary allocation from the Ministry of Education. Additionally, the SKN-TVET Council shall establish and implement mechanisms for revenue generation from various services in furtherance of ensuring adequate financial resources are available to support its functions. These include the following:

1. Application fees for centre approval.
2. Registration fees for assessment per learner.
3. Registration fees for prior learning assessment and recognition (PLAR), per individual.
4. Assessor and verifier training.
5. Certification (NVQ and CVQ) replacement fees.
6. Replacement fees - Statements of Competence.

**Responsibility/Process Owner(s)**

* Registrar
* Chief Executive Officer (CEO) -TVET Secretariat

**2.1. Document and Information Management**

**Policy:-** The TVET Secretariat has established and implemented systems to ensure effective

document control and management of information and records to support the

consistency, continuity, efficiency, productivity, and the delivery of its respective services in reliable and equitable ways.

**Critical Components**

* Policy Manuals and Guidelines
* Strategic Objectives
* Work Plans
* Occupational/Competency Standards
* Training Materials
* Assessment and verification documents and templates
* Reports
* Agendas and minutes of meetings (staff, senior management, council)
* Statements of Competence and Certification (NVQ and/or CVQ)
* Forms and templates used for various activities: (standards development, centre approval application and audits, assessment, and certification
* Internal and external correspondence and financial and legal records
* Appropriate and secure record and information storage facilities
* Ease of access to records and retrieve
* Version control of documents
* Retention, archival and disposal

**Scope:-** This policy applies to all information (paper, electronic or in other formats) that is received, created, or held during the SKN-TVET Council/Secretariat's operations.

**Procedures**

**Document Creation- Version Control and Review**

The CEO and/or the Quality Assurance Officer, or any other designated officer or process owner shall prepare revisions. Documents are controlled according to the following:

* Document name
* SKN-TVET Council– indicating that the document was created and owned by the Council and Secretariat
* Version Control Number to indicate either the establishment or revision of the document
* Revision Date

**Document Creation- Version Control and Review**

* Upon creation, version control shall commence with 1.0.
* Minor revisions made to any document will result in the version number increasing incrementally to .1. Therefore, the version control number will move from 1.0 to 1.1. or 1.1. to 1.2., etc.
* Major revisions to any document will result in the version control number moving by 1. Therefore 1.0 or 1.1. will become 2 or 2.1.
* Each revision will have a version number, and the date on which the creation or revision of the document is effective, e.g., 1.0 September 2019 or 1.1 February 2020.
* Version/Revision control is accomplished in the lower left-hand corner of each page according to the following format: document identification letters and/or the full name of the document/version number/ effective date of creation or revision.
* A Directory of all documents, forms, templates, and records shall be created and shall reflect date of creation, revision dates and approval by the process owner, which will be the CEO, the Quality Assurance Officer, or other designated officer(s).

**Record Management -Storage**

* Certificates to be stored in fireproof vault or cabinet with listing of individuals with access and approval for access
* Files to be stored in filing cabinets:
* Clearly labeled or indexed (for example name of files, files stored in alphabetical or numerical order
* Easy to retrieve
* Clean, neat, and well-protected storage areas.

**Table 1: Record Management – Retention Periods**

|  |  |  |
| --- | --- | --- |
| **Document Name** | **Retention Period-Filing Cabinets** | **Retention Period -Electronic Archives** |
| Agenda/Minutes of Council Meetings | Permanent | Permanent |
| Agenda/Minutes of Staff Meetings | Permanent | Permanent |
| Employee Files | Permanent and six (6) months after separation | Permanent |
| Performance Objectives and Annual  Staff Appraisals | One (1) year after signing off by employee and supervisor | Permanent |
| Centre Approval Audit Reports | Two-three years depending on duration of centre approval status | Permanent |
| Training Manuals (CBET, Assessor and Verifier) | Permanent unless revised | Permanent |
| Training and workshop materials (agenda, register of attendance, work sheets etc.) | Permanent | Permanent |
| Assessor and External Verifiers Portfolios | Permanent | Permanent |
| Quality Assurance Guidelines and Procedures | Six (6) months after revision & approval | Permanent |
| Competency Standards | One (1) year after revision | Permanent |
| Training Manual for Assessors and External Verifiers | Six (6) months after revision | Permanent |
| Assessor and External Verifier Reports | One (1) year from the date of assessment and verification activities | Permanent |
| Moderation Reports | Permanent | Permanent |
| Monitoring and Evaluation Reports of Assessment Activities | One (1) year | Permanent |
| Sample of Assessment Scripts | Six (6) months then returned to approved centre (s) | Permanent |
| Assessment Appeals | Two (2) years after appeal hearing and decision | Permanent |
| Certificates of Competence -NVQs/CVQs or Statements of Competence (***Uncollected or Returned***) | Permanent | Permanent |
| Assessment templates, forms, checklists | Permanent until revised | Permanent |
| Financial Records | Permanent | Permanent |
| Communication Plans, brochures, and flyers, press kits, annual reports etc. | Permanent until revised | Permanent |
| Data and feedback information from stakeholders | One (1) year after completion of analysis and reports | Permanent |
| Stakeholder feedback reports for M&E | Permanent | Permanent |
| Internal and Gap Audit Reports | Two (2) years | Permanent |
| CANTA Audit Reports | Permanent | Permanent |

**Responsibility-Process Owner(s)**

* Chief Executive Officer
* Quality Assurance Officer
* Executive Assistant-Senior Secretary

**2.3. Risk Management**

**Policy:-** The SKN-TVET Secretariat is committed to the establishment and implementation of a framework to identify and evaluate risks which can affect the operations and the quality of the services provided for the benefit of its stakeholders. As such, the SKN- TVET Secretariat has categorised two types of risks, which can affect its operations, which are: significant and moderate.

**Significant Risk**: is a risk event, that if it occurs, will have a significant impact on the performance and achievement of targets set by the Secretariat.

**Moderate Risk**: is a risk event that if it occurs will have some impact on the extent to

which the performance of the Institute can somewhat be affected as well as the achievement of the respective goals and objectives.  **Critical Components**

* Risk Register -list of possible risks identified
* Risk Register- Risk Mitigation Strategies established.

**Table 2** provides a list of potential risks, which the SKN-TVET Secretariat/Council may be exposed to, the possible risk impact; (moderate or significant) and the recommended risk management strategies to be implemented in minimising or eliminating the possibility of the risk occurring.

**Table 2. Risks and Mitigation Strategies**

|  |  |  |
| --- | --- | --- |
| **Identified Risk** | **Impact** | **Risk Management Strategies** |
| Lack of awareness or poor perception by critical stakeholders regarding the services and products of the SKN-TVET Council | **Significant** | Implementation of marketing and communication strategies and on-going monitoring and feedback from stakeholders to ensure continuous improvements in service delivery |
| Inadequate number of trained and certified Assessors and External Verifiers | **Significant** | Implementation of on-going training of instructional delivery personnel in TVET institutions and on the job facilities as Assessors and Verifiers for respective TVET programmes |
| Assessment and verification activities conducted without adherence to robust guidelines for determining learner's competence | **Significant** | Periodic assessment and other quality assurance audits of approved centres, during and after assessment activities and the use of moderation exercises to identify gaps, implement recommendations for corrective actions and robust monitoring and evaluation of the assessment process. |
| Inadequate financial resources to sustain the core operations of the SKN-TVET Council which include:   * Standards Development * Centre Approval Audits * Capacity building of TVET Secretariat staff * Capacity building of instructional delivery staff at TVET Centres * Capacity building of a cadre of assessors and external verifiers with the expansion of TVET services throughout the Federation * Marketing and Promotion of TVET services and products | **Significant** | On-going expansion of TVET services and Implementation and management of fee for services:   * Application fee-Centre Approval * Assessment fees -institutions * Assessment fees -PLAR * Capacity building fees - Assessors and Verifiers * Replacement fees - NVQ, CVQ and Statements of Competence |
| Inadequate labour market data to appropriately plan and develop occupational standards in alignment with the requirements of industry and the economy | **Moderate** | Establish working cross-functional teams with Ministry of Labour and identify relevant personnel from industry sectors to actively contribute to Industry Lead Groups for the development, review, and approval of occupational standards. |
| Constraints and challenges in creating and sustaining an environment that facilitates NVQ/CVQ graduates to matriculate into higher level programmes | **Moderate** | Leveraging of the established SKN-NQF |

**Responsibility/Process Owner(s)**

* Chief Executive Officer
* Quality Assurance Officer

1. **DESIGN AND DEVELOPMENT: OCCUPATIONAL STANDARDS  
   Development of Occupational - Competency Standards Policy**

The SKN-TVET Secretariat and Council shall develop, review, adopt and adapt occupational standards as a platform for the provision of vocational education and training at relevant prescribed levels as required by various sectors and industries within the Federation of St. Kitts and Nevis. The SKN-TVET Secretariat is committed to ensuring robust best practices are adhered to in the development and approval of occupational standards.

**Core Components**

* Establishment and implementation of Industry Lead Groups to review units of competence
* Documentation and review of:
* Name of the qualification/occupational standard and level
* Performance criteria
* Range statements
* Underpinning knowledge and skills
* Critical employability skills
* Approval of each Occupational Standard prior to publication, dissemination to and utilization by training and assessment providers (see illustration of the Standards development process below).

**3.1. Format of the Occupational Standard**

* Title and the NVQ Level - for example, Electrical Installation NVQ Level 2
* Occupational Standards shall reflect only core or mandatory units – and therefore will not include any electives

The following guidelines as established by the Standards Sub-Committee of CANTA shall also be adhered to:

* Legend will be included for the Unit Code.
* The Key will only reflect the sector codes specific to the respective standard.
* The footer will read: Approved at (insert date) by the SKN-TVET Council
* Units will be merged to reflect functions that are trainable, assessable, and certifiable.
* The ROS will have a book number at the head of the page.
* Each unit will also have a number to indicate the page number of the total pages in that specific unit, which will be placed on the bottom right-hand corner of the page.

**The** **Qualification Overview** shall contain:

* The jobs associated with this qualification.
* Uses and benefits of the Occupational Standard.
* A glossary will be included in the Occupational Standard; to be placed after the overview or at the back of the Standard.

**Units of Competence** shall contain:

* The unit descriptor will read: ‘This unit deals with the skills, knowledge and attitude to …’.
* Elements: ‘Candidates must be able to’ will be placed below the title box.
* Range statement: the narrative will read: ‘May include but not limited to:’
* The range statements will be numbered.

**Units Knowledge and Skills:**

* The **s**tatement will be placed under the title box and will be reworded as follows: ‘Candidates should know and understand’.
* Adefinition will be included in the glossary to clarify any further misinterpretation.
* Critical aspects of evidence to be numbered instead of bullet points and the Method of Assessment and the Context of Assessment will be specific to the unit. A generic statement will be included in the template as a guide.

**Critical Employability Skills:**

* Communication/communicate ideas and information.
* Application of Number/Collect, analyze, and organize information.
* Information and communication technology/use technology.
* Problem solving/solve problems.
* Improving own performance/plan and organize activities.
* Personal management, to include professionalism, time management, etiquette, and deportment.

**3.2. Approval Process**

* Chair of the Lead Group signs and dates the approval form (see Lead Group checklist and approval form: **Appendix 1**).
* The Occupational Standard and Approval Form submitted to the Standards Sub-Committee of the Council for review and approval. Approval is evident through the affixing of signature and date by the Chair of the Standards Sub-Committee.
* The occupational standard and approval form are submitted to Council meeting for review and approval.
* The Chair of the Council signs and dates the Approval Form (see Occupational Standards Approval Form: **Appendix 2**).
* The Occupational Standard is published with the approval date as indicated by the Council.

**Responsibility/Process Owner(s)**

* Standards Officer
* Chief Executive Officer
* Standards Sub-Committee –Council

**Fig 2: The Standards Development Process**

If standards

**Exist**

Modify and Adopt

**Research/Background**

**Analysis**

**If not**

**Data Collection Plan**

Approve and

Publish

Conduct Industry

Validation

Develop Draft Standards at NVQ Levels

Conduct Field Research & Scope the industry

**(Adapted from the “*Regional Process for Workforce Training, Assessment and Certification”*)**

1. **ASSESSMENT**

**Policy: -** The SKN-TVET Secretariat shall ensure that robust systems and practices are implemented to ensure the conduct of authentic, valid, and reliable assessment activities to evaluate and determine learners’ competence at the prescribed levels, in approved assessment and training centres, leading to the award of National Vocational Qualifications (SKN-NVQ), Statements of Competency and once conferred with accredited status from CANTA, the Caribbean Vocational Qualifications (CVQs).

**Core Components**

* Guidelines for centre approval
* Centre approval audit and reporting template
* Assessor Training Manual
* External Verifier Training Manual
* PLAR Guidelines (Refer to PLAR Guidelines 2018)
* Assessment templates: (plan, conduct and review assessment)
* Moderation checklist
* Monitoring and Evaluation of Assessment and Verification activities checklist and report
* Request for Certification template
* Approval templates for the award of certification and/or statements of competence by the Council
* Sample SKN- NVQ
* Sample SKN-TVET-Statement of Competence.

**4.1. Centre Approval**

**Policy: -** The SKN-TVET Secretariat and Council has established and implemented systems

to ensure that vocational education, training, and assessment services are

delivered in approved centres.

**Procedures**

* All centres providing TVET and assessment services in the Federation, shall submit a centre approval application form to the SKN-TVET Council (See Centre Approval Application Form- **Appendix 3**).
* The SKN-TVET Secretariat, upon receipt of application from or prior shall conduct sensitization session with the institution or organization regarding the requirements and process for centre approval status.
* A centre approval audit plan shall be submitted to institution or organization within five (5) working days prior to the conduct of the centre approval audit. (See Centre Approval Audit Plan- **Appendix 4**).
* The centre approval audit will be conducted to determine compliance with the following criteria:
* Staff resources - instructional and administrative staff have the required qualifications and experience
* Management of information, record management and storage, adequate facilities exist for the safe storage of files and records, and these are easy to retrieve
* Physical resources - adequate tools, equipment, materials, and storage facilities exist for the provision of training and assessment in a safe and healthy work environment
* Adequate learning support resources are available (access to internet, and/or library facilities and provision of guidance and career counselling
* Institution or organization has access to trained assessors and external verifiers for the conduct of on-going external assessments.
* The scope of the audit in the initial stages of determining centre approval audit may focus only on a few areas: (physical resources, information and record management and staff resources); to facilitate capacity building initiatives of each centre for a period not exceeding two (2) years.

**(See Centre Approval Criteria and Reporting Form -Appendix 5).**

* The centre approval audit report shall be prepared and submitted to the Council within twenty (20) business days from the date of the audit for a decision to be made
* The decision of the Council shall be submitted in writing no later than five (5) business days after
* If the decision of the SKN-TVET Council is not to grant a centre approval status, the Management team of the audited centre may appeal the decision as follows:
* Submit in writing to the CEO of the Secretariat and copied to the Chair, an appeal letter within ten (10) business days of receiving the decision
* The appeal letter shall include evidence of compliance which may have been overlooked by the auditor(s)
* The Council upon review may request a *special audit* to be conducted of the centre or to let the original decision stand
* A special audit will be conducted, if the Council so decides within ten (10) business days of the decision of the Council and the Council shall receive the special audit report within five (5) business days after the conduct
* Council will review the special audit report and determine the outcome
* The decisions made by the Council at the end of the appeal process shall be final and shall be submitted in writing to the Centre, no later than five (5) business days after.
* Centre approval status granted by the SKN-TVET Council, shall last for a period not exceeding two (2) years.

**Responsibility/Process Owner(s)**

* Quality Assurance Officer

**4.2. Assessment Guidelines**

* Assessment activities leading to the award of a NVQ, CVQ and or Statement of Competency by the SKN-TVET Council shallbe criterion referenced and in keeping with principles of validity, reliability, and **fairness**.
* Assessment shall focus on relevance and sufficiency of evidence.
* Assessment of candidates and the recording of assessment information shall comply with the agreed criteria as approved by CANTA as seen in Table 4 on Assessment Methods and Guidelines for CVQs Levels I and 2 (*Reference also Assessment and Certification System 2018).*

**Table 3: Assessment Levels and Guidelines**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **METHOD/**  **INSTRUMENT** | | **SUITABILITY FOR** | | **GUIDELINES** | |
| **LEVEL 1** | **LEVEL 2** |
| **Multiple Choice** | | √ | √ | Appropriate for all levels. Attention must be paid to structuring items to test at the appropriate levels of blooms taxonomy, e.g., knowledge, understanding, application. | |
| **Case Studies** | | √ | √ | Appropriate for all levels. | |
| **Completion Questions** | | √ | √ | Appropriate for all levels. | |
| **Extended Response** | | X | √ | Suitable only for level two. Level one worker is not expected to perform extended written tasks in their daily work. | |
| **Logbooks** | | √ | √ | Appropriate for all levels. These include logs kept by a worker to capture day-to-day tasks completed. These can then be used by the assessor as part of the evidence gathering. | |
| **Oral Questions** | | √ | √ | Appropriate for all levels. Several questions are prepared in advance; however, additional questions can emerge during the conduct of assessments. | |
| **Personal Interviews** | | X | X | Usually reserved for Level 3 and above. | |
| **Practicals /Demonstrations** | | √ | √ | Appropriate for all levels. | |
| **Portfolios** | | √ | √ | Appropriate for all levels. Attention is drawn to the fact that portfolios can include written, graphical, audio and video artifacts. The use of e-portfolios is strongly encouraged | |
| **Projects** | | √ | √ | Appropriate for all levels. | |
| **Questionnaires** | | √ | √ | Appropriate for all levels, particularly when designed to assess the affective domain. | |
| **Restricted Response** | | √ | √ | Appropriate for all levels. However, care should be used when using them at Level 1. | |
| **Role Plays** | | √ | √ | Appropriate for all levels. | |
| **Simulations** | | √ | √ | Appropriate for all levels. | |
| **Short Answer Questions** | | √ | √ | Appropriate for all levels. | |
| **Structured Questions** | | √ | √ | Appropriate for all levels. | |
| **ASSESSMENTS ENCOURAGING REFLECTIVE LEARNING** | | | | | |
| **Reflective journal** | √ | | √ | | Appropriate for all levels. Note must be taken that the reflective journal could also take the form of audio or video recordings. |
| **Self-assessment** | √ | | √ | | Appropriate for all levels. Evidence from this form of assessment should be treated as supplementary evidence. |
| **Peer assessment** | √ | | √ | | Appropriate for all levels. Evidence from this form of assessment should be treated as supplementary evidence. |

* The methods of assessment shall be consistent with the approved competency requirements and shall appropriately assess knowledge, skill, and attitudes.
* Assessment guidelines shall define assessment methods and clearly describe:
* Conditions and requirements for workplace, simulated environment, and continuous assessment.
* Conditions and requirements for integrated assessment.
* Requirements for candidate’s self- assessment and assessor’s pre-assessment activities.
* Assessment decisions made by the SKN-TVET Council and assessors and verifiers, acting on its behalf, shall be guided by a rating criterion where assessment activities include the use of written methodologies:
* The rating system shall conform with the standard agreed by CANTA.
* Guidance for the use of the rating criteria shall be documented and included in the training programme for assessors and verifiers. The rating criteria can be seen in Table 4 below:

**Table 4 -Rating Scales**

|  |  |  |  |
| --- | --- | --- | --- |
| **SCORE (%)** | **PROFICIENCY LEVELS** | *NARRATIVE* | *COMPETENCY/*  *LEVEL* |
| ***80 – 100*** | ***5*** | Mastery of technical and related knowledge and skills; Can perform the task demonstrating mastery, autonomy, responsibility, and control in a wide range of working condition. | Mastery |
| ***65 – 79*** | ***4*** | Good working technical and related knowledge and skills; Can perform the task in a wide range of working conditions, demonstrating good working knowledge of the skill, initiative, and adaptability to problem situations. | Proficient |
| ***50 – 64*** | ***3*** | Satisfactory technical and related knowledge and skills; Can perform the task demonstrating sufficient knowledge of the skill, and an ability to operate satisfactorily displaying some initiative and adaptability to problem situations. | Competent |
| ***35 - 49*** | ***2*** | Insufficient technical and related knowledge and skill; Can perform limited parts of the task satisfactorily but require considerable assistance. | **Not Yet Competent** |
| ***Below 35*** | ***1*** | Insufficient evidence of attainment of competence; Has not demonstrated sufficient knowledge, skill, and attitude on which a judgement can be made. | **Not Yet Competent** |

* The core components of an assessment package shall be specified in the assessment guidelines and contain the following as a minimum requirement:

1. Pre- assessment checklist and candidate’s self-assessment checklist.
2. Assessment plans.
3. Competency checklists.
4. Templates for reporting, feedback, and summary records of achievement.
   * Assessment templates shall have key features to include the following:

* Content requirements of standards;
* Candidate data and centre identification;
* Competency identification/codes;
* Appropriate signatures and dates.

Examples of suggested assessment templates to be used are provided in the document Assessment and Certification System (2018).

1. Templates for recording allowable adjustments to assessments.
2. Other guidelines for assessment activities include:
   1. **Planning the Assessment**
   * The assessor shall meet with learners to explain the assessment process.
   * The assessor, based on the units of competence to be assessed, will determine the appropriate assessment method - (written, practical, oral etc.); to determine learning outcome and learner's competence.
3. **Conducting the Assessment**
   * Using the assessment instruments, the assessor shall collect the evidence about learners’ competence and make a decision based on the evidence collected.
   * Feedback shall be provided to the learner regarding the assessment outcome.
   * Assessors shall appropriately complete all required templates and provide all the documentary evidence to the approved centre.
   * Approved centres shall be required to:
4. Appropriately store all assessment instruments,
5. Complete master lists of individuals deemed competent in the respective units,
6. Provide evidence of assessment records for review by assessors and for completion of the external verification process.
7. Submit sample records of assessment evidence along with list of learners recommended for statements of competence and or full certification to the SKN-TVET Council
8. Retain sufficient samples of all assessment records for quality assurance audits by the SKN-TVET Secretariat
9. **Reviewing the Assessment**
   * All assessors shall be required to review the assessment process to determine if assessment questions and methods were fair, too difficult, or too easy for learners.
   * Assessors shall be required to participate in appeal hearings (if required) and reassessment of learners whose appeals were considered successful by the appeal committee.

* **Assessment Audits**
  + Assessments conducted for the NVQ and CVQ shall be subjected to quality audits by the SKN-TVET Council. These audits activities shall assess compliance with these guidelines and the documented assessment process and guidelines of the system being audited. The documented assessment system should include:

1. Assessment procedures.
2. Reporting timelines for the following:

* Appeals.
* Assessment records;
* Summary records;
* Mechanisms for feedback, appeal, and corrective actions;

1. Guidance for the management of assessment records which includes considerations for the following:

* Legibility;
* Storage;
* Access and retrieval;
* Security and confidentiality;
* Archiving and disposition.

***A Glossary of assessment terms, which promulgate and support the understanding of the CBET philosophy, is supplied at the end of this Manual.***

**Responsibility/Process Owner(s)**

* Assessment and Training Officer
* Quality Assurance Officer

**4.3. Assessor Training**

To be eligible to be trained as an Assessor, individuals must complete the Registration Form provided on the following page (***also documented in the Assessment and Certification System, 2018***) and submit it to the SKN-TVET Council along with the following:

* A copy of the applicant's relevant certification **or** testimonials/reference letters validating their experience and competence within a particular operational area and or industry experience equivalent to a minimum NVQ/CVQ Level 3.
* A copy of the applicant's resume.
* The registration fees.
* All applications shall be reviewed and approved by the CEO.

**APPLICATION AND REGISTRATION OF ASSESSORS FORM**

**All prospective assessors for the NVQ/CVQ Quality Assurance and Assessment system are required to complete and submit this form to facilitate training and certification.**

**FILL IN ALL SECTIONS CLEARLY**

**NAME:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**SURNAME FIRST NAME MIDDLE NAME**

**SEX:   DATE OF BIRTH:** Click or tap to enter a date.

**M F**

**MAILING ADDRESS:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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**BUSINESS ADDRESS:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
  
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**TEL. #: HOME:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **BUSINESS:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**EMAIL ADDRESS:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**EMPLOYMENT STATUS:**

**Full-time Part-time Self-employed Unemployed**

**PRESENT OCCUPATION:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**INDUSTRY/SECTOR:**  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**SUB-SECTOR:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Example: Building & Construction Example: Masonry

**EDUCATIONAL RECORD & ACHIEVEMENTS**

***(List the institutions attended, certificates obtained, and the date started and completed. Please attach copies of all certificates).***

| **NAME (INSTITUTION & COURSE)** | **FROM** | **TO** | **CERTIFICATE/DEGREE** |
| --- | --- | --- | --- |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

**EMPLOYMENT RECORD**

**(Put in chronological order, beginning with the most recent position. Please attach extra sheets if necessary)**

| **NAME & ADDRESS OF EMPLOYER** | **POSITION HELD** | **FROM** | **TO** |
| --- | --- | --- | --- |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

**IF YOU HAVE BEEN TRAINED AS AN ASSESSOR, PLEASE LIST CODE & UNITS BELOW:**

***(If not, leave blank)***

|  |  |
| --- | --- |
| **CODE** | **UNIT TITLE** |
|  |  |
|  |  |
|  |  |
|  |  |

***I hereby certify that the information I have provided on this form is accurate.***

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Applicant’s Signature Date:

**FOR SKN-TVET COUNCIL USE ONLY**

**Registration Form Received by: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

Amount Paid: \_\_\_\_\_\_\_\_\_\_\_\_\_ Receipt No.: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Receipt Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Qualifications/Competency Units Approved:** \_\_\_\_\_\_\_\_\_\_ **Qualifications/Competency Units Not Approved:** \_\_\_\_\_\_\_\_\_

(Initial if approved) (Initial if not approved)

**Comments: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Indicate the highest level of Qualification the applicant can assess:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Level 1 | Level 2 | Level 3 | Level 4 | Level 5 |

**Approved by: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

*Print Name**Position*

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** Click or tap to enter a date.

*Signature**Date*

**GUIDELINES AND REQUIREMENTS FOR**

**CENTRE APPROVAL**

**4.4. External Verification**

To be eligible to be trained as an External Verifier, individuals shall be required to complete the registration form (Appendix 8) and submit it to the SKN

TVET Council along with the following:

* + A copy of the applicant's relevant certification **or** testimonials/reference letters validating their experience and competence within the occupational area(s) and or industry experience equivalent to a minimum NVQ/CVQ Level 3.
  + A copy of the applicant's resume.
  + The registration fees.
  + Certified as an Assessor

**Note: All applications shall be reviewed and approved by the CEO.**

**Responsibility/Process Owner(s)**

* Assessment and Training Officer

**4.5. Prior Learning Assessment and Recognition (PLAR)**

The process of recognition and accreditation of prior learning through non-formal study and experience is not new and has been practiced in many parts of the world for a long time. Each country or region and institution must customize the approach to PLAR based on the needs and circumstances. In some instances, the emphasis is on assessing and certifying individuals from the informal education and training system who did not have an opportunity to gain formal certification of their knowledge and skills within a particular industry. In others, the emphasis is on encouraging life-long learning and to earn credits toward re-entering the formal education and training system.

Individuals must demonstrate prior learning based on specific learning outcomes (using various assessment strategies) and are awarded credits, which are used to articulate into higher education and training systems within the qualification framework. All standards, principles and conditions must be adhered to in conducting PLAR.

**PLAR Process - The Basic Steps**

1. **Pre-entry**: The learner/student shows interest and investigates PLAR at the college or educational institution, collects PLAR information and schedule initial assessment.
2. **Initial Assessment:** Assessor and candidate meet to conduct initial assessment meeting to discuss occupational area; self-assessment; available evidence and schedule orientation meeting
3. **Orientation and Registration:** Orientation (PLAR overview); registration of candidate and scheduling of pre-assessment meeting
4. **Pre-assessment:** Assessor, PLAR Advisor and candidate develop assessment plan; review occupational standards, discuss collection of evidence and assessment strategy; set dates and times for assessment
5. **Assessment:** Candidate undergoes assessment based on pre-selected strategy/plan; practical demonstration; review of portfolio and professional discussion; assessment decision made; feedback and review; record and submission of claim
6. **Certification:** External Verification review (Quality Assurance); process certification claim; printing and issuing of N/CVQ certificate or unit statement of competence
7. **Post-Certification**: Post certification review; additional training initiated

A group of boxes

Description automatically generated with low confidence

**SKN PLAR Process - Steps**

**Core Components to Quality Assure PLAR**

To ensure the credibility and consistency of PLAR and certification, the following core quality assurance mechanisms are frequently used:

* Common standards
* Ensuring the availability of competent RPL practitioners
* Collaborating with employers’ and workers’ organizations and other relevant stakeholders in the assessment and verification process
* Developing assessment tools and methodologies
* Accrediting PLAR centres.
* Moderating assessments
* Monitoring and evaluation frameworks
* Independent auditing of the entire PLAR process
* Disseminating results.

The process for PLAR is illustrated in the flow chart on the following page:

**Fig 3: The PLAR Process**

**Interest in PLAR**

Diagram

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**Contact PLAR**

**Advisor**

A picture containing diagram

Description automatically generated

**PLAR information & guidance**



|  |  |  |  |
| --- | --- | --- | --- |
|  |  | **Self-assessment &** |  |
|  |  | **identification of** |  |
| **Demonstrate prior** |  | **prior learning** |  |
| **learning for** |  |  |  |
|  |  |
| **assessment against** |  |  |  |
|  |  |  |  |



1. **Assessment of educational document**
2. **Complete portfolio for assessment**
3. **Complete challenge process (i.e., projects, assignments, interviews, product assessment, skill demonstration, etc.**

**Accepted for Employment Opportunity**

Shape, rectangle

Description automatically generated

**Credits granted/not granted**

**Continuous Assessment: Measured against outcomes**



Employment or registration at an institution

**Issue of Award**

Complete Courses in Selected Program

**Demonstrate Prior Learning for Career Opportunity**

**Responsibility/Process Owner(s)**

* Assessment and Training Officer

**4.6. Award of NVQ - Statements of Competence**

**Procedures**

* Upon completion of the assessment and external verification activities, the approved centre shall submit to the TVET Council**.**
* Once all quality assurance activities related to the assessment has occurred, the Quality Assurance Officer shall submit the listing of names of learners from respective centres and programmes who are eligible for certification and/or statements of competence to the assessment and certification sub-committee of the Council for review and approval.
* The approval list shall be submitted to the Registrar for the preparation of certificates and/or statements of competence.
* Each NVQ and statement of competence shall carry a unique number, the SKN-TVET Council seal and other security features.
* Statements of Competence and NVQs shall be signed and dated by both the CEO and the Chair of the Council.
* Certificates and Statements of Competence shall be submitted with a cover letter from the Registrar or the CEO, to the approved centre for distribution to the respective learners or candidates.

**Responsibility/Process Owner(s)**

* Registrar
* CEO

**4.7. Moderation**

**Procedures**

* Moderation meetings shall be chaired by the Training and Assessment Officer
* Other participants shall include
* Quality Assurance Officer -SKN-TVET Secretariat
* Standards Officer -SKN-TVET Secretariat
* Chair of Lead Group (s) for programme(s) being moderated
* Assessors
* External Verifiers
* Instructors/Training personnel from approved centres
* Samples of assessment scripts for the respective programmes along with assessor and external verifier reports shall be referenced as evidence for moderation activities
* Moderation activities shall focus on:
* assessment methodologies and appropriateness
* questions and learner's responses
* sufficiency of evidence.
* general conduct of assessment
* adjustment to standard/assessment instruments.
* Reports of all moderation along with the completed Moderation Checklist (as seen on the following page); shall be completed and submitted to Council for review, discussions, and further recommendations. The report shall include but not limited to the following areas:
* Occupational area and name of centre(s)
* Units sampled
* Delivery and management of the programme
* Suitability of the assigned task
* Sufficiency of evidence
* General conduct of assessment
* Adjustment to standard/assessment instruments
* Recommendations

**Responsibility/Process Owner(s)**

* Training and Assessment Officer

1. **CUSTOMER SERVICE AND COMMUNICATION**

**Communication and Promotion** (*Ref. Marketing and Communication Plan 2018)*

**Policy:-** The SKN-TVET Secretariat shall ensure that it establishes and implements a policy framework that facilitates the timely dissemination of information to both its internal and external stakeholders regarding its operational process, services, and products

**Core Components**

* Promulgation of occupational standards as foundation for training and employment activities.
* The benefits of the NVQ and CVQ as a vehicle for mobility in industry, portability to gain access to higher level training and free movement of labour throughout the region.
* The use of NVQ and CVQ to enhance productivity of the labour force.
* The use of the NVQ and CVQ in developing a world class world force for both the region and globally.
* The process for centre approval processes.
* Promotion of opportunities for TVET personnel and individuals within industry for capacity development through**:**

1. CBET Instructor Training
2. Assessor Training
3. Verifier Training

* Efficient customer response to:
* Queries and complaints.
* Appeals.
* Student’s complaints.
* Malpractices and misconduct during assessment activities.

**Table 5: Message and Communication Goal for Target Audience**

|  |  |
| --- | --- |
| **TARGET GROUP** | **METHODS, MESSAGE AND COMMUNICATION GOAL** |
| **The TVET Council/Secretariat** | Advocate the necessity of TVET and its linkages to economic development  Reduction of stigma  Role of CANTA  Offer CVQs  In partnership with the Ministry of Labour/Statistics, implement Labour Market Surveys  Establish career pathways  Lead and engage in national marketing campaigns  Introduce training for emerging sectors  Use a variety of assessment modes to certify successful graduates including PLAR  Conduct Tracer Studies  Highlight Success Stories |
| **Employers** | Recognition and acceptance of CVQs  Value of Occupational and Competency Standards  Awareness of the descriptors of levels in the NQF  Hierarchy of professions within the NQF  Participate in Labour Market Surveys |
| **Training Providers** | Improve training facilities  Adjust TVET offerings to reflect market needs  Ensure that the global standards are met  Practise CBET  Create enabling environment for the delivery of TVET  Introduce relevant courses that are demand- driven  Promote parity of esteem  Implement TVET policies  Encourage and promote life-long-learning  Provide career guidance  Offer relevant CVQs |
| **Ministries of Education, Labour**  **Human Resource Development** | Develop TVET/CBET/CVQ/Career Development Policies  Introduce relevant courses that are demand-driven  Support the TVET Council |
| **Parents**  **Learners, Students**  **Teachers, Special Needs** | Change mind-set that TVET is for low achievers and is a viable choice  TVET critical to development of self and country  Offer career guidance |
| **Government** | Develop and implement TVET policies  Provide funding |
| **Nation** | The use of internationally benchmarked standards leads to a highly skilled  labour force, attracting international investments |

**Responsibility/Process Owner(s)**

* CEO
* Registrar

1. **EQUITY AND ACCESS**

**Policy:-** Equity, access, and Inclusiveness are integral to achieving the strategic actions of TVET in St. Kitts-Nevis. Equal opportunities will be provided for males and females to access and pursue training and certification in demand-driven occupational areas including those that are non-traditional for members of both sexes. Access to TVET programmes will also be provided for individuals considered marginalised including unattached youths and special needs groups  
 **Strategy**

* Enrol women, unattached youths, and special needs groups in TVET programmes
* Promote access of females, unattached youths, and special needs groups in TVET programmes
* Information to candidates
* Candidate guidance and induction materials
* Details of support services available
* Appeals procedures (Appendix for Appeal Form).

**Responsibility/Process Owner(s)**

* + - CEO
    - Registrar

1. **MONITORING AND CONTINUOUS IMPROVEMENT**

**Policy:-** The SKN-TVET Secretariat shall ensure that it establishes and implements mechanisms to continuously monitor and evaluate the achievement of its strategic and operational objectives to facilitate the continuous improvement in the quality of its services delivery.

**Core Components**

* On-going data gathering from all stakeholders to receive, analyze and report on stakeholder feedback.
* Internal and gap audits against CANTAs Quality Assurance Criteria and Guidelines for the CVQ (November 2015).

**Stakeholder Feedback**

**Procedures**

* Administration of satisfaction surveys to centres to include feedback on occupational standards.
* Administration of surveys to NVQ graduates
* Administration of surveys to employers
* Focus group meetings with key stakeholders
* Analysis of feedback data collected and preparation of reports and findings
* Discussion of reports with:
* SKN-TVET Secretariat staff members
* SKN-TVET Council
* Establish implementation and monitoring plans with regards to recommendations.

**Internal and Gap Audits**

**Procedures**

* Preparation and submission of formal internal and gap audit plans to process owners - SKN-TVET Secretariat.
* Conduct and prepare audit reports within two (2) weeks of the audits.
* Discuss findings at staff and Council meetings
* Implement corrective actions as recommended.

**Process Owner(s)**

* Quality Assurance Officer
* Registrar

# **GLOSSARY**

**Approved centre**

An approved centre is an organisation that has been granted permission by the SKN TVET Council to register, train and assess candidates for NVQ or CVQ certification.

**Assessment**

This is the process of judging performance. It involves generating evidence of performance at work, through simulation or role-play, or from previous activities that have been documented by a competent witness or verifiable source.

**Assessment guidelines**

Assessment guidance is how the SKN TVET Council explains how knowledge and understanding, skills and outcomes may be assessed in a particular CVQ or cluster of competency units. These guidelines include advice on the type and amount of evidence to be collected by candidates.

**Assessment plan**

This is a plan agreed between the candidate and the assessor showing how, where and when evidence will be generated and collected. The plan may be revised if circumstances change to allow more time to do the assessments or to fit in with a new work schedule.

**Assessment strategy**

An assessment strategy is the set of recommendations and specifications about the approach to the assessment arrangements associated with a CVQ to meet the criteria established. The strategy may be applied to a single CVQ/NVQ or to a group of qualifications. The strategy is likely to include:

* Recommendations on how external verification of assessment will be done
* Aspects of the standards that must be assessed through performance in the workplace
* The extent to which simulated working conditions may be used to assess competence
* Characteristics that simulation should have
* Definitions of a realistic working environment
* Consultation with awarding bodies in defining the technical expertise of assessors and verifiers

**Assessor**

A person selected by an organisation to judge the performance of learners/candidates against the requirements of competency standards. The assessor is sufficiently experienced, trained, and competent to assess the candidate’s performance.

**Authenticity**

This is the term given to a process of establishing the ownership of evidence presented to prove competency and involves investigation of the material to prove that it is either the sole work of the candidate, or the candidate’s contribution to the evidence is clearly identified.

**Candidate**

When an application for a CVQ/NVQ has been made and the registration has been accepted by the Awarding Body, the applicant is then described by the Awarding Body, and by those assessing and verifying his/her work, as a candidate for the award for which he or she is enrolled.

**Certification**

This is the process by which a centre requests, and the SKN TVET Council provides, a certificate for each candidate on completion of

* The entire set of units required for the award of the CVQ/NVQ
* One or more units of an CVQ/NVQ

**Core Units**

This is a term used to describe mandatory units i.e., those that must be taken for the award of the CVQ/NVQ, as opposed to optional units, which allow a choice to be made from a selection of units.

**Currency**

Currency is the term applied to the timeframe within which evidence (e.g., for witness testimony) or experience (e.g., for assessors) is deemed to be acceptable in the regulations and assessment guidance for the award of CVQ/NVQs.

**Electives**

Electives are optional units, which may be chosen for the award of a CVQ, provided that the required number of units has been achieved within the qualifications structure for a particular CVQ. They are also known as optional units.

**Element**

A CVQ/NVQ unit or qualification is made up of several elements, each of which consists of a title and a written set of performance criteria to be met within stated contexts, together with any statements about knowledge or understanding needed to support the criteria.

**Evidence**

Evidence is information or material, collected or provided by a candidate for a CVQ/NVQ unit that can be used to assess his or her skills, knowledge and understanding of the elements of that unit. Type of evidence is a category within which material required to demonstrate competence would be placed, such as:

* Outcome of observation of performance,
* Witness testimony of previous attainment
* Prior learning
* Results of oral or written examinations

The type of evidence recommended as appropriate for inclusion in a candidate’s portfolio for the various units and elements would typically be provided in the competency units.

**External Assessment**

A form of independent assessment where assessment tasks are set, and candidates’ work assessed, by the SKN TVET Council.

**External Moderation**

This is the process through which internal assessment is monitored by an awarding body to ensure that it is valid, reliable, fair, and consistent with national standards. The process is sometimes called ‘external verification’. The role is sometimes referred to as ‘external verifier’.

**External Verifier (EV)**

An external verifier is a person contracted or employed by the SKN TVET Council to carry out verification activities of the CVQ/NVQ provision in an Approved Centre (including equal opportunities, access, and health and safety) to ensure that Centres approved to offer CVQ/NVQs are consistently judging candidates equally, fairly and to the national standards.

The External Verifier audit the assessment system, including arrangements for the selection, recruitment and training of assessors, records of evidence and assessments, and will sample assessment in action where possible to monitor the administration and practice of assessment within the Centre. The EV is an experienced practitioner in the field.

**Independent Assessment**

This describes assessment of candidates’ work that is carried out by assessors who do not have a vested interest in the outcome.

**Industry Lead Body**

This is an organisation responsible for development, maintenance, and review of the national standards of competence that should be attained at specified levels by those working in occupations.

**Internal assessment**

This is the examination of a learner/candidate’s performance, where the assessment tasks are set and work assessed, entirely within the centre. This is subject to external verification. Internal assessment may be based on a portfolio of evidence or continuous assessment, internally assessed, and externally verified.

**Internal Verification**

This is a process by which an identified person in a centre ensures that the standards of assessment in the centre are consistent both across the centre and with national standards.

**Internal Verifier (IV)**

An internal verifier (IV) is a person with direct responsibility for thequality assurance of the assessment process in an approved centre and in any of its satellite sites in which candidates are assessed.

**Level**

Each CVQ/NVQ is assigned to a level in the qualifications framework. The level determines the award or certification received.

**Performance Criteria**

Performance criteria are statements of the actions or competence in terms of knowledge, skill, or attitude that candidates must demonstrate to meet the requirements of an element within the national standards.

**Portfolio**

A portfolio is a collection of material that candidates assemble and present as evidence that they have achieved the standards required for competence as defined by the standards.

**Quality Assurance**

This is the audit system adopted by the SKN TVET Council for CVQ/NVQs to ensure that approved centres meet the criteria for all activities associated with achieving and maintaining standards for the delivery of CVQ/NVQs.

**Range**

This is a part of the competency standards that describes the conditions within which competence must be demonstrated e.g., type of equipment, extent of procedures, the nature of environment.

**Registration**

This is the process of entering a candidate on the SKN TVET Council database and allocating a unique candidate number with the intention to participate in assessment for CVQ/NVQ certification.

**Reliability**

Reliability is the degree to which the interpretation of the results of an assessment can be shown to be consistent throughout several applications.

**Sampling**

Sampling is a process used to establish the extent of competence being demonstrated or provided via evidence by a candidate, to establish confidence in the level and consistency of judgements made by assessors and to establish compliance by an approved centre with quality standards agreed between the centre and SKN TVET Council.

**Simulation**

A simulation is the creation of an alternate situation that resembles/mimics a real-life situation to assess a candidate’s competence. It is appropriate in training where it may be too dangerous or expensive, or there may not be an opportunity, for candidates to demonstrate competence in a particular activity. In such circumstances, in keeping with approved assessment strategy, a scenario as close as possible to the real environment may be set up so that candidate performance may be judged.

**Standards**

These are the written descriptions of the industry agreed statements of competent performance in occupational roles. The standards, which include knowledge, skills and attitudes required for each role, are presented as several units containing elements, performance criteria and range of performance.

**Standardisation**

This is a process that ensures that the assessment criteria for a qualification or unit are applied consistently by instructors, assessors, moderators, and verifiers.

**Sufficiency (of evidence)**

This is the extent to which evidence provided by a candidate covers the context, criteria and range required to demonstrate competence in an element or unit of the competency standards. It includes the number of times performance must be observed or recorded, or the timeframe between performances, for competence to be inferred.

**Validity**

Validity is the extent to which an assessment measures that which it purports to determine, established by the degree to which the evidence or outcome of the assessment is in accord with the stated standards.

**Witness (and Witness testimony)**

A witness is an independent, responsible person providing evidence or confirming testimony about candidate performance in situations where the assessor has not observed the candidate in action. There are two main categories of witness testimony:

* Peer or peer group testimony, where it is appropriate for colleagues to testify to the level of performance of the candidate
* Management/managerial testimony, used where it is desirable that a line manager or superior officer endorses the evidence of performance
* Advice on the appropriate category of witness testimony for inclusion in portfolios is normally given in the assessment guidelines wherever relevant within a unit or an element.

**REFERENCES**

Assessment and Certification System for St. Kitts and Nevis TVET Council (2018)

Assessor Training Manual (2018)

CARICOM Process for Training, Assessment and Certification (2006)

CANTA Quality Assurance Guidelines (2015)

Checklist for Maintenance of Facilities (2019)

Marketing and Promotional Plan for TVET in St. Kitts-Nevis (2018)

Prior Learning and Recognition Manual (2018)

Qualifications Framework of St. Kitts-Nevis (2016)

Saint Kitts-Nevis Strategic Plan (2018)

Standards Development Training Manual (2018)

Verifier Training Manual (2018)

**APPENDICES AND TEMPLATES**

***Appendix No.:***

1. Lead group checklist and Approval form
2. Occupational Standards Approval Form
3. Centre Approval Application Form
4. Centre Approval Audit Plan
5. Model Plan- Internal Auditing Process
6. Centre Approval Audit Criteria and Reporting Form
7. Appeal of Assessment Outcome Form
8. Internal/external verifier application Form
9. Internal verifier checklist
10. Moderation Checklist and General Review of Assessment Tool
11. Internal Audit Criteria (Monitoring and Evaluation) and Reporting Form
12. SKN-TVET Council N/CVQ QMS Diagram.

**ST. KITTS-NEVIS TVET COUNCIL**

**INDUSTRY LEAD GROUP CHECKLIST AND APPROVAL FORM**

Industry Lead Group Performance Reports submitted and received by Chairman

Draft of standards circulated to Industry Lead Group members.

Recommended changes submitted for review and consideration by Industry Lead Group.

Final Draft submitted to Industry Lead Group for their approval.

Final Draft is to be submitted by Lead Group Chairman to SKNTVET Council for final approval and publication.

**Approved for Submission to SKNTVET Council**

**.................................................................**

**Signed – Chairman, Industry Lead Group**

**.......................................**

**Date:**

**ST. KITTS-NEVIS Technical and Vocational Education and Training Council**

**Occupational Standards Approval Form**

Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Level: \_\_\_\_\_\_\_\_ Code: \_\_\_\_\_\_\_\_\_\_\_\_

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Number of Standards Submitted: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Approved by

Name of Committee Members:

2)

3)

4)

Signature, Committee Chair: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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| **Application for Centre Approval** | | | | | | | | |
| **St. Kitts-Nevis Technical and Vocational Education and Training Council** | | | | | | | | |
|  | | | | | | | | |
| This Form Must Be Completed in Its Entirety for All Centre Seeking Approval in Typescript | | | | | | | | |
|  | | | | | | | | |
| Guidelines for the Completion of this Form is Outlined in SKN TVET Quality Assurance and Guidelines Manual | | | | | | | | |
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| **Section 1: Organizational Information** | | | | | | | | |
| Institution Name: | |  | | | | | | |
| Identification Number: | |  | | | | | | |
| Physical Address: | |  | | | | | | |
| Telephone: | |  | | | | | | |
| Email Address: | |  | | | | | | |
| Web Site: | |  | | | | | | |
| Centre Director/President: | |  | | | | | | |
| Number of Locations (Please Complete Form AL1 for Additional Locations): | |  | | | | | | |
| Type of Application | | Training & Assessment | | Assessment Only | Reaffirmation | | | |
| Ownership Structure: | | Public | | | Private | | | |
| If Private, Business Entity Type | | Sole Proprietor | | Limited Liability | Corporation | | | |
| Owner's Name | |  | | | | | | |
| Address | |  | | | | | | |
| Telephone Number | |  | | | | | | |
| Email Address | |  | | | | | | |
| Have You Ever Had Any Application Denied by SKN TVET Council? | | Yes: | | | No: | | | |
| If Yes, Please Provide Details Below: | | | | | | | | |
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| Have You Ever Had Centre Approval Withdrawn by The SKN TVET Council? | | Yes: | | | No: | | | |
| If Yes, Please Provide Details Below: | | | | | | | | |
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| **Section 2: Staff and Faculty Information** | | | | | | | | |
| **Key Staff Personnel** | | | | | | | | |
| **Name** | | **Position** | | **Qualifications** | **Skill Area** | | **Industry Experience (Years)** | **Training Experience (Years)** |
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| **Faculty Listing** | | | | | | | | |
| **Name** | | **Professional/Academic Qualifications** | | | **Skill Area** | | **Industry Experience (Years)** | **Training Experience (Years)** |
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| **Staff and Faculty Categorization** | | | | | | | | |
| **Category** | | | | | **Part-Time** | | **Full-Time** | |
| Number of Administrative Staff | | | | |  | |  | |
| Number of Instructional Staff | | | | |  | |  | |
| Number of Trained Assessors | | | | |  | |  | |
| Number of Trained Assessors - Certified | | | | |  | |  | |
| Number of Instructional Staff - Certificate or Equivalent | | | | |  | |  | |
| Number of Instructional Staff - Diploma or Equivalent | | | | |  | |  | |
| Number of Instructional Staff - Bachelor's Degree or Equivalent | | | | |  | |  | |
| Number of Instructional Staff - Higher Degrees or Equivalent | | | | |  | |  | |
| Number of Trained Internal Verifiers | | | | |  | |  | |
| Number of Trained Internal Verifiers - Certified | | | | |  | |  | |
|  | | | | | | | | |
| **Section 3: Programme Information** | | | | | | | | |
| Programme Name | Level | Award  Type  (N/CVQ) | Programme Length (weeks) | | Current Enrolment | | Training & Assessment | Assessment Only |
| FT | PT |
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| **Section 4: Systems Information** | | | | | | | | |
| **Please Answer All Questions by Checking the Appropriate Box** | | | | | | | | |
| Use the Comment Box to Reference Supporting Materials or Expand on Your Answers | | | | | | | | |
| **Do you currently have or propose to have systems in place that addresses the following?** | | | | | | | | |
| Criteria | | Yes | No | Not Applicable | Comments/Evidence | | | |
| **Management** | | | | | | | | |
| There is a clear management / organisational structure at the Centre | |  |  |  |  | | | |
| There is a documented quality management system | |  |  |  |  | | | |
| There is a system in place for promoting and implementing the qualifications for which approval is sought. | |  |  |  |  | | | |
| The centre has an organised communication system with the NTA and candidates. | |  |  |  |  | | | |
| Procedures are in place to obtain feedback from staff, candidates and employers in order to evaluate the quality and effectiveness of the training. | |  |  |  |  | | | |
| There are procedures in place for reviewing the Centre ‘s achievements against its stated aims | |  |  |  |  | | | |
| There is a system for implementing corrective measures recommended from internal and external audits | |  |  |  |  | | | |
| **Management of Information - Records Management, Security & Storage** | | | | | | | | |
| There is a procedure to accurately record and monitor learners’ information (registration and assessment) | |  |  |  |  | | | |
| There is a procedure for storing information on NVQ/ CVQ awards in a manner that is secure and safe | |  |  |  |  | | | |
| Systems are established for version control and approval of critical documents | |  |  |  |  | | | |
| **Staff Resources** | | | | | | | | |
| The centre has a policy/procedure in place for recruiting instructors | |  |  |  |  | | | |
| There are sufficient competent and qualified instructors to conduct training. | |  |  |  |  | | | |
| There is a system in place to ensure that all administrative and clerical staff are appropriately skilled and qualified to perform their functions. | |  |  |  |  | | | |
| There is a system in place to access sufficient competent and certified assessors and internal verifiers to meet the demand for assessment and verification activities. | |  |  |  |  | | | |
| A staff development programme is established to cater for identified training needs. | |  |  |  |  | | | |
| The centre has a structure in place for instructors to maintain on-going relevant industry exposure | |  |  |  |  | | | |
| **Physical Resources** | | | | | | | | |
| The size and layout of the classroom space are in accordance with the facility standards | |  |  |  |  | | | |
| The centre has sufficient equipment and tools available for conducting training and assessment. | |  |  |  |  | | | |
| The physical facility/accommodation provided for conducting training and assessment complies with the health and safety requirements. (Proper lighting and ventilation, easily accessible) | |  |  |  |  | | | |
| There are procedures in place for timely and appropriate maintenance of tools and equipment | |  |  |  |  | | | |
| The centre has systems established to ensure that health and safety mechanisms are in place and are in compliance with regulatory requirements. (First aid kits, fire extinguishers, fire points, emergency plan, etc.) | |  |  |  |  | | | |
| There are adequate and appropriate storage facilities for all tools and equipment | |  |  |  |  | | | |
| **Learning Resources and Support Services** | | | | | | | | |
| There is provision for access to library and internet facilities | |  |  |  |  | | | |
| There are resource materials like multi-media, instructional charts and DVDs available to enhance instructional delivery. | |  |  |  |  | | | |
| There is provision for counselling services | |  |  |  |  | | | |
| There is an established system for handling grievances and complaints. | |  |  |  |  | | | |
| There is an established malpractice policy | |  |  |  |  | | | |
| **Training** | | | | | | | | |
| There are time schedules for both theoretical and practical aspects of the training. | |  |  |  |  | | | |
| There is a system for the orientation of candidates to programmes | |  |  |  |  | | | |
| The occupational standards for the programme to be delivered are available | |  |  |  |  | | | |
| Curriculum is available for each standard in which training will be offered | |  |  |  |  | | | |
| Lesson plans are made and used for training | |  |  |  |  | | | |
| Records of continuous assessment (in-class activities, coursework) are kept. | |  |  |  |  | | | |
| There is a system in place for the delivery of the Life Skills training by competent instructors. | |  |  |  |  | | | |
| The organization has provisions in place for learners to be engaged in work experience or traineeship. | |  |  |  |  | | | |
| **Assessment and Verification** | | | | | | | | |
| Procedures are in place to ensure assessments are conducted in accordance with the requirements of the occupational standards and the SKNTVETC Assessment Guidelines | |  |  |  |  | | | |
| Procedures are in place for conducting verification activities which are in line with the SKNTVETC requirements and for ensuring the quality and consistency of assessment | |  |  |  |  | | | |
| Procedures are in place to ensure that assessment is conducted by certified and occupationally competent assessors | |  |  |  |  | | | |
| The centre has procedures in place for handling appeals | |  |  |  |  | | | |
| **Statutory Compliance** | | | | | | | | |
| The centre is a legally registered business with the national registry. | |  |  |  |  | | | |
| The centre is officially registered with the Ministry of Education. | |  |  |  |  | | | |
| The Centre is registered with the National Insurance Scheme/Social Security Etc | |  |  |  |  | | | |
| The Centre is registered with the Inland Revenue Department | |  |  |  |  | | | |
| The Centre has been inspected by the relevant health and safety authorities. | |  |  |  |  | | | |
| The Centre has been registered with the St. Kitts-Nevis Accreditation Board | |  |  |  |  | | | |
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| **NOTE** | | | | | | | | |
| **Documentation and evidence supporting your answers must be presented to the Systems Verifier at the time of the site visit.** | | | | | | | | |
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| **Section 5: Declaration** | | | | | | | | |
| I declare that to the best of my knowledge the information furnished within this application and attached documents is correct. | | | | | | | | |
| I confirm that the centre will have the necessary financial and other applicable resources to effectively support delivery of the NVQ and CVQ which it wishes to offer. | | | | | | | | |
| I agree to provide access to the TVET Council Verifiers or other staff and to appropriate national agencies. I do understand that this is to allow national standards to be monitored and evaluated, as well as for the collection of data for statistical purposes | | | | | | | | |
| Signature: | |  | | | | | | |
| Print Name: | |  | | | | | | |
| Position: | |  | | | | | | |
| Date: | | 23/09/2021 | | | | | | |
|  | | | | | | | | |
| **PLEASE SUBMIT THIS APPLICATION ALONG WITH ALL SUPPORTING DOCUMENTATION TO:** | | | | | | | | |
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| **St. Kitts-Nevis Technical and Vocational Education and Training Council**  **Stanford Building, Golden Rock**  **Basseterre, St. Kitts**  **Telephone: 869-467-1106**  **Email: tvetcouncil@moeskn.org** | | |
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**CENTRE APPROVAL AUDIT PLAN**

**(Institution Name)**

**(Date)**

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| Reference Documents |  |
| Audit Team |  |
| Language and Date of Audit |  |
| Name of TVET Programmes |  |
| Audit Schedule |  |
| Agenda-Opening and Closing Meetings |  |
| Confidentiality Requirement |  |
| Report Distribution and Expected date of Issue |  |
|  |  |

**1. Scope and Objectives of Audit**

**1.1 Scope**

The scope of the **audit** is to determine the effectiveness of implemented mechanisms by (institution Name) for the delivery and assessment of the TVET programmes for which it has applied for centre approval by the SKN-TVET Council and to provide feedback and recommendations to improve the following areas as reflected on the audit criteria so that the institution can better provide assessment and training services:

* Staff resources
* Information Management
* Physical Resources
* Learner support resources
* Assessment

**1.2 Objectives**

The following are the objectives of the audit:

1. to identify best practices and gaps which exist in relation to the five (5) areas of the audit criteria and to provide feedback to the institution to improve the quality of TVET delivery and assessment activities for the identified TVET programmes.
2. to determine the conformity or non-conformity of the quality systems, policies, and procedures against the established audit criteria

**2. Critical positions in the Institution to be audited:**

1. Director/Principal/Head of Department:
2. Teacher/Instructors for identified programmes:
3. Demonstrators (where applicable) for identified programmes:

**3. 1 Reference Documents**

1. Centre Approval Audit Criteria.
2. Evidence of instructional and administrative staff qualifications and experience.
3. Inventory listing of tools and equipment
4. Curriculum or Occupational Standard used for training and assessment
5. Listing of trained assessors
6. Same of assessment scripts.

**4. Audit Team:**

|  |  |  |
| --- | --- | --- |
| **EVALUATION TEAM MEMBERS** | **POSITION** | **ORGANIZATION** |
|  | **Lead Auditor** |  |
|  |  |  |
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**5. Language of the Audit:**  
 The language of the Audit is English

6. Date of Audit**: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**7. Programme(s) to be audited:**

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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**8. Audit Schedule**

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| --- | --- | --- |
| **Friday February 24, 2020** | | |
| **Time** | **Activities** | **Personnel** |
| 8:00– 8:20 am | Opening Meeting  (See section 9.1 below for agenda) | Principal and Programme Teachers/Instructors/Demonstrators |
| 8:20 am – 12:00 noon | **Conduct of Facility Audit for each Identified TVET Programme** | |
| **12:00 noon – 12:45 pm** | **LUNCH** | |
| 12:50 pm – 2.:30 pm | Completion of the centre approval audit activity | |
| 2:45 pm – 3:30 pm | Closing Meeting  (See section 9.2 below for agenda) | Principal and Programme Teachers/Instructors/Demonstrators |

**9.1 Opening Meeting Agenda**

* Introduction
* Signing of Attendance Register
* Explanation/Review of Objectives and Scope
* Summary of Methods and Procedures to be used in the centre approval audit
* Clarification of unclear details of Audit Plan
* Overview of timetable

**9.2 Closing Meeting Agenda**

* Signing of attendance register
* Presentation of findings
* Information regarding submission of report
* Closing remarks

**10. Confidentiality Requirement:**

The audit exercise requires a high degree of confidentiality. The findings relating to an organization are exchanged within an atmosphere of trust, confidentiality, and professional integrity. The information collected will only be shared with members of the audit team, the SKN-TVET Council and the Principal/Director/CEO of the Institution.

**11. Expected Date of Issue and Evaluation Report & Distribution List**

**11.1 Expected Date of Issue**: February 7, 2020

**11.2 Distribution List**

1. SKN-TVET Council
2. CEO-SKN-TVET Secretariat
3. Principal/Director - CFBC.

**Definitions and Appendix**

***Definitions***

**Auditor:** A person who has the qualification to perform Quality Audits

**Conformity:** Fulfilment of specified requirement

- Conformity is confirmed when there is:

- Quality implementation of systems, procedures, and policies

- Effective documentation

**Non-conformance:** The non-fulfilment of specified requirement against the established requirements/guidelines

**Major Non-conformance**: neither practice nor documentation of policies/procedures is in place or policies/procedures in place but no practice, or significant shortcomings exist in the effectiveness of practice and/or policies and procedures.

**Minor Non-conformance**: effective practice is in place but there is no documentation of policies/procedures, or minor shortcomings exist in the effectiveness of practice and/or policies and procedures.

**Quality system:** The organizational structure, responsibilities, procedures, processes, and resources for implementing a quality management system [ISO 8420]

**Auditors Responsibilities**

Auditors are responsible for:

* complying with the procedural requirements for the conduct of the audit
* planning and carrying out assigned responsibilities effectively and efficiently;
* documenting the observations;
* reporting the audit results;
* retaining and safeguarding documents pertaining to the audit:
  + submitting such documents as required,
  + ensure and protecting the confidentiality of such documents,
  + treating privileged information with discretion;
* co-operating with and supporting the Lead Auditor

Auditors are required to

* remain within the audit scope;
* exercise objectivity;

- act in an ethical manner.

**Lead Auditor’s Responsibility**

* assisting with the selection of the other audit team members;
* the preparation of the audit plan;
* representing the team with the institution’s management;
* compiling and submitting the audit report.

The Lead auditor should:

* define the requirements of each audit assignment;
* comply with applicable audit requirements;
* plan audit, prepare working documents and brief audit team;
* report nonconformities to the institution immediately;
* report any major obstacles encountered in performing the audit;
* Report on audit results clearly, conclusively and without undue delay

**MODEL PLAN – INTERNAL AUDIT PLANNING PROCESS**

The following outlines a planning process for setting up an internal audit in the institution:

* Provide training for potential auditors
* Maintain a register of auditors and their audit activity
* Ensure that the auditors comply with the CANTA Code of Practice
* Establish a lead auditor who is responsible for all phases of the audit process
* Establish clear description of roles and responsibilities of all personnel in the audit process
* Encourage audits to be conducted in teams to:
* Enable effective mentoring to occur between experienced auditors and inexperienced auditors
* Ensure that teams provide the mix of expertise required
* Develop suitable documentation to support the audit process
* Conduct feedback sessions for auditors annually to review the audit process
* Conduct audits using personnel who do not have direct responsibility for the area being audited
* Establish an audit plan that is:
* Approved by all stakeholders
* Flexible, to enable changes in emphasis and resources
* Develop an audit plan that includes:
* Clear objectives and scope
* Identification of procedures to be audited
* Identification of audit team members
* Identification of personnel contacted in the audit
* Date and place of audit
* Develop an audit observation form to enable the summary of the audit event; include such information as:
* Identification of policy, procedure or aspect of the Standards being audited
* Date of audit
* Observation notes
* Recommendations for improvement
* Names and signatures of audit team.

Centre Approval Audit Criteria and Report Form

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **SECTION 1. Management**  **Centre Approval Audit Criteria and Reporting Form** | | | | |
| **CRITERIA** | | **EXAMPLES OF EVIDENCE** | **FINDINGS** | |
| 1.1 There is a clear management / organisational structure at the Centre | | * Organizational Chart * Resumes of Administrative and Instructional staff | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement | |
| 1.2 There is a documented quality management system | | * Documented QMS | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement | |
| 1.3 There is a system in place for promoting and implementing the qualifications for which approval is sought. | | * Copies of promotional methods used to advertise your centre's * training programmes(flyers, posters, payment for television of radio advertisements) | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement | |
| 1.4 The centre has an organised communication system with the Secretariat and candidates. | | * Communication with the TVET Council/Secretariat (Letters, memos, emails) * Communication with candidates to include emails etc * Learner handbooks | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement | |
| 1.Procedures are in place to obtain feedback from staff, candidates, and employers in order to evaluate the quality and effectiveness of the training. | | * Training feedback forms * Suggestion box | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement | |
| 1.6 There are procedures in place for reviewing the Centre ‘s achievements against its stated aims | | * Agenda and minutes of meetings | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement | |
| 1.7 There is a system for implementing corrective measures recommended from internal and external audits | | * Internal audit schedules and reports * Corrective actions taken | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement | |
| **SECTION 2. Staff Resources** | | | | |
| **CRITERIA** | **EXAMPLES OF EVIDENCE** | | | **FINDINGS** |
| 2.1 Instructional Staff have the required CBET qualifications and experience and Industry experience to deliver training programme at the specified Level | * Procedures for minimum Instructional staff qualifications & experience * Signed copies of certificates of competence attesting to Instructors Qualifications in Instructional Delivery * Signed copies of industry related certification attesting to Instructor’s expertise in specific skills areas   Resumes of Instructional staff | | | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| 2.2. Evidence exists to demonstrate that each trainer in a technical field maintains on –going relevant industry exposure | * Evidence of field trips to relevant industry * Documentation to reflect periodic visits to relevant industry * Short-term training course | | | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| 2.3. Evidence exists to support that administrative and clerical staff employed at the centre, are appropriately skilled/qualified to conduct their job functions | * Resumes * Signed copies of certificates/qualifications * On-going professional development   Other – (specify) | | | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| **SECTION 3. Information Management: (Records Management, Security and Storage** | | | | |
| **CRITERIA** | **EXAMPLES OF EVIDENCE** | | | **FINDINGS** |
| 3.1. Systems are in place for the maintenance, management; preservation and security of learner’s records. | * Duplicate physical or computer records, filing cabinets and/or any other measures that ensures the preservation & security of records * Database of client’s records * Adequate and appropriate filing system for storage & retrieval of client’s records * Information technology system for electronic backup and retrieval of records – (network system, CD’s, flash drives etc.) | | | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| 3.2 Systems are established for the version control and approval of critical documents | * Procedures established for version control * Systems in place for a minimum/maximum retention of critical records (candidates/students’ records) * All critical documents have version control * Systems in place for routing of documents to relevant authority for approval | | | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| **SECTION4. Physical Resources** | | | | |
| **CRITERIA** | **EXAMPLES OF EVIDENCE** | | | **FINDINGS** |
| 4.1. The physical plant provides appropriate space/facilities to accommodate the scheduled number of learners/clients for TVET training  and/or assessment activities. | * Appropriate layout of physical space as specified in facility standards * Client capacity as specified by facility standards * Timetables/schedules available to inform on usage of practical workshops or labs according to specific group | | | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| 4.2. Appropriate and adequate storage areas are available for storage and retrieval of tools, materials, and hand –held equipment | * Storage lockers, shelves etc. are appropriately configured and installed * All storage areas are appropriately labelled for ease of identification of tools, materials, and hand –held equipment and for removal and replacement of items * Inventory listing to record all items in all storage areas and for tracking of removal and replacement of items to & from storage | | | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| 4.3. The centre has established systems to ensure that health and safety mechanisms are in place and maintained in compliance with regulatory requirements | * Health and safety procedures inclusive of safety risks in various workshops and how these can be prevented * Safety/Instructional signs regarding wear and use of safety gears (clothing, head gear, boots. respirators, hand –gloves, etc.) * Safety guards on industrial equipment * Appropriate electrical systems and labelling/colour coding * Fire extinguishers available, mounted and serviced * First aid kit easily accessible with appropriate medical supplies * Appropriate labelling of health & safety routes * Installation of safety lines around industrial equipment * Appropriate layout of equipment & workstations for easy movement & manoeuvrability   Safety inspections/audit by relevant department (fire, food handling, etc.) | | | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| 4.4 The centre has mechanisms in place to ensure timely and appropriate maintenance of tools and equipment to ensure that they are safe, efficient, and functional. | * Maintenance schedule to provide projected timeframe for maintenance activities and responsible personnel * Maintenance logs/tags affixed to equipment to indicate implementation * Non –functional tools/equipment labelled ‘out of service/use * Records of maintenance (invoices for repairs, general servicing, cleaning, and maintenance agreements/contracts) * Tools/equipment in good working condition | | | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| 4.5. The centre has relevant and appropriate hand-tools and equipment to support training and/or assessment activities for the specified programmes/qualifications | * Inventory of hand-tools and equipment by qualification & dated * Number of hand-tools and equipment can accommodate client numbers as scheduled for practical workshops/labs * Range of e hand-tools and equipment available and in working condition * MOU with partnering organization and facility audit report to demonstrate arrangement to use workshop/lab hand-tools and equipment and adequacy, at nearby facility * Purchase orders for equipment to be received | | | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| 4.6 The centre has relevant and appropriate hand tools to support the training and activities for the specified programmes/qualifications. | * Inventory of tools by qualification * Number of tools to accommodate client numbers scheduled for use in workshops/labs * Range of tools available and functional * Purchase order of tools to be received | | | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| **SECTION 5. Learning Support Resources** | | | | |
| **CRITERIA** | **EXAMPLES OF EVIDENCE** | | | **FINDINGS** |
| 5.1. The centre has relevant and appropriate educational materials and technology to support the programmes offered | * Library resource materials available for research, assignments, and projects * Books related to the qualifications * Learner guides * Periodicals/journals related to qualifications offered * Computer labs with internet access for research activities and to provide learners with critical computer literacy employability skills * Availability of multi-media & overhead projectors and instructional charts as part of the instructional delivery * DVD’s or downloaded clips from internet as part of demonstration activities for instructional delivery   Adequate classroom space with black or white board/flip charts, instructional charts etc. for theoretical delivery of qualifications | | | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| 5.2 The centre has appropriate methods to provide support and advisement to students | * Guidance is provided to students as how competence in specific units or full qualification will contribute to career and personal development * Information, advice, and guidance about N/CVQ training and assessment procedures, practices, and requirements are provided to learners/potential learners and candidates * Information and advice are provided to learners pursuing N/CVQ programmes to encourage their continued training and certification in vocational qualifications * Training and assessment are communicated to students/candidates including process for appeals and external verification * Aims and objectives of the centre are communicated to learners | | | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| **SECTION 6. Assessment** | | | | |
| **CRITERIA** | **EXAMPLES OF EVIDENCE** | | | **FINDINGS** |
| 6.1. The centre can demonstrate evidence of contractual arrangements with trained and certified assessors to conduct external assessments. | * Contract agreements with certified assessors * Registers of attendance/assessment templates signed by contracted and approved assessors * Copies of signed certificates along with resumes of contracted assessors | | | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| 6.2. The centre can demonstrate evidence that assessments are conducted within the established guidelines of the SKN TVET Council. | * Assessment guidelines from SKN TVET Council * Reports as evidence of verification by the centre that assessors use appropriate assessment instruments and methodologies for external assessments and those templates are appropriately completed * Tracking forms to capture completion status of candidates, verification of assessment outcomes * and eligibility for certification (NVQ/CVQ) of candidates * Reports of moderation meetings helped internally and copies of registers of attendance as evidence of participating in the external moderation meetings held by the SKN TVET Council   Reports of corrective actions implemented to the external assessment process, based on verification and moderation activities | | | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| 6.3 The centre has procedures in place for appeal of internal and external outcomes of candidates | * Documented appeal procedures * Appeal application forms for candidates | | | Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| **SECTION 7: Training** | | | | |
| **CRITERIA** | **EXAMPLES OF EVIDENCE** | | | **FINDINGS** |
| 7.1 There are time schedules for both theoretical and practical aspects of the training. | * Copies of timetables/schedule for use of classroom/labs/workshops | | | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| 7.2 There is a system for the orientation of candidates to programmes | * Trainee Orientation Manual * Attendance Rosters/Sign in Sheets * Students’ handbook /manuals | | | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| 7.3 The occupational standards for the programme to be delivered are available | * Copies of Occupational Standards for all programme offering | | | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| 7.4 Curriculum is available for each standard in which training will be offered | * Copies of curriculum for all programmes offered * Course outlines, syllabis | | | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| 7.5 Lesson plans are made and used for training | * Copies of lesson plans | | | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| 7.6 Records of continuous assessment (in-class activities, coursework) are kept. | * Copies of continuous assessments (test, practical etc.) | | | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| 7.7 There is a system in place for the delivery of the Life Skills training by competent instructors. | * Copies of Lesson plans * Copies of attendance rosters * Contract for facilitators delivering Life skills training | | | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| 7.8 The organization has provisions in place for learners to be engaged in work experience or job attachment. | * Copies of MOUs * Attendance Rosters at job sites * Candidate performance evaluation * Forms for tracking trainees on job sites | | | Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| **SECTION 8: Verification (Internal and External)** | | | | |
| **CRITERIA** | **EXAMPLES OF EVIDENCE** | | | **FINDINGS** |
| 8.1. The centre has a cadre of trained and certified Internal Verifiers from its Administrative Staff and or Instructional Staff to monitor registration and enrolment into training programmes and/or assessment activities | * Evidence of Internal Verifier Training in the form of: * Register of attendance of training * Certificates (if provided) * Evidence of Internal Verifiers activities related to: * Monitoring and validating internal assessment activities and internal assessment outcomes * Registration and enrolment activities for training and or assessment * Coordination of external assessment activities: (scheduling, contracting of assessors and monitoring of external assessments) * Evidence of Internal Verifiers communication with External assessment process to candidates * Copies of signed certificates along with resumes of contracted assessors | | | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| * 1. Internal Verifiers conduct systematic and routine monitoring activities to protect the integrity of both the Internal and External Assessment activities outcome | * Verification of internal assessment outcomes from both instructors using sampling methods of both assessment instrument and assessment outcome scripts of student’s * Ensuring that only candidates deemed COMPETENT in specific units of competence are registered for final external assessment * Documented tracking of report form to track candidate’s performance from training to final assessment activities * Report form/checklist to ensure that External Verifiers employ the appropriate strategies in Verification of external assessment outcomes | | | Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| 8.3 External Verifiers are appropriately facilitated and accommodated to conduct external verification of assessment outcomes | * Register of attendance * Storage of external assessment records to allow for sampling by external verifiers * Checklists used to report activities conducted by External Verifiers   Corrective action – implementation reports based on findings from External Verifiers and Moderation activities | | | Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| **SECTION 9: Statutory Compliance** | | | | |
| **CRITERIA** | * **EXAMPLES OF EVIDENCE** | | | **FINDINGS** |
| 9.1. The centre is a legally registered business entity and or a registered institution with the relevant government ministry (Ministry of Education), with the local Accreditation Board/Council, and or other regulatory body | * Articles of Incorporation for the institution/organization (applicable to private training providers or industry on-the-job based facilities) * Documents of registration from relevant Ministries or other regulatory bodies * Documents of registration/approval/accreditation from local awarding bodies/agencies * Registers of attendance/assessment templates signed by contracted and approved assessors * Copies of signed certificates along with resumes of contracted assessors | | | □ Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |
| 9.2. The centre has been inspected by the appropriate Health & Safety authorities to ensure that it is safe to accommodate clients and to provide its stated training programmes and assessment | * Evidence of inspection and approval by local fire authorities * Inspection and approval by health officials (Applicable for provisions of training in Food Services, Cosmetology, etc) * Approval Permits | | | Conformance  □ Non-conformance  Major (□) Minor (□)  □ Opp. For Improvement |

**APPEAL OF ASSESSMENT OUTCOME FORM**

Name of Candidate: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Contact Details: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Institution:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Assessment Date:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Qualifications Assessed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Relevant Unit(s) of Competency: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Assessor’s Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**I hereby appeal the outcome of the assessment and request a review by the Appeals Panel of the SKNTVET Council.**

Name of Candidate: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

***For Office Use Only***

***Received By:***

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Council’s Decision**

Assessment Decision Upheld  Assessment Decision Reversed

Chairperson Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Chairperson Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_­­­­\_\_

**ST. KITTS-NEVIS TVET COUNCIL**

**INTERNAL/EXTERNAL VERIFIER APPLICATION FORM**

# **1. Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**2. Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**3. Telephone Number: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**4. E-mail Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**\_**

**5. Position: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

(Internal or External)

**6. Industry: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

7. List all CVQ Level 4 Units or Qualifications in which you have gained Certification:

|  |  |
| --- | --- |
| **CVQ CERTIFICATION/UNIT OF COMPETENCE** | **YEAR** |
|  |  |
|  |  |
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**Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**INTERNAL VERIFIER CHECKLIST**

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| --- |
|  |

**Initial Documentation Check**

|  |  |  |  |
| --- | --- | --- | --- |
| **PRESENT IN THE PORTFOLIO** | **YES** | **NO** | **COMMENTS** |
| Candidate Assessment Record |  |  |  |
| Assessment Plan(s) |  |  |  |
| Summary Assessment Matrices |  |  |  |
| Candidate Feedback Forms |  |  |  |
| Witness List |  |  |  |
| Appeals Procedure |  |  |  |
| Internal Verification Sampling Report Forms |  |  |  |

**Secondary Documentation Check**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **FORM** | | **YES** | **NO** | **COMMENTS** |
|  | **Assessment Plan** | | | |
| Has the assessor signed and dated the plan when it was originally agreed? | |  |  |  |
| Has the candidate signed and dated the plan when it was originally agreed? | |  |  |  |
| Has the assessor signed and dated the plan when it was fully completed? | |  |  |  |
| Do the assessment dates link into the Summary Assessment and Feedback Forms? | |  |  |  |
| Have you validated the assessment plan? (Signed and dated) | |  |  |  |
| **SUMMARY ASSESSMENT MATRICES** | | **YES** |  | **COMMENTS** |
| Is the candidate/assessor/IV information complete? | |  |  |  |
| Is the ‘Authority’ box complete? | |  |  |  |
| Are all assessment dates listed? | |  |  |  |
| Are the additional assessment methods listed?  (Observations, witness testimonies, questioning, etc.) | |  |  |  |
| Do assessment dates link into the Assessment Plan(s) and Candidates Feedback Forms? | |  |  |  |
| Has feedback been given within one week of the dates listed? | |  |  |  |
| Have you entered your sampling date? | |  |  |  |
| Have you ‘signed off’ the matrix when complete? | |  |  |  |
| **CANDIDATE FEEDBACK FORMS** | | **YES** | **NO** | **COMMENTS** |
| Has the assessor signed and dated each form? | |  |  |  |
| Has the candidate signed and dated each form? | |  |  |  |
| Is the Form Reference section completed? | |  |  |  |
| Has the feedback been presented within one week of the assessment taking place?  (Refer to the dates on the Summary Assessment Matrices) | |  |  |  |
| Do the feedback forms link back to the Assessment Plan(s) and Summary Assessment Matrices? | |  |  |  |
| Is it clear what evidence has been assessed during each assessment? | |  |  |  |
| Is it clear when competence has been confirmed? | |  |  |  |
| Have you validated each form?  (Signed and dated) | |  |  |  |
| **WITNESS LIST** | | **YES** | **NO** | **COMMENTS** |
| Are all the witnesses listed? (Used for observations, witness testimonies, questioning, etc., (Refer to the Summary Assessment Matrices) | |  |  |  |
| Does it reflect the Summary Assessment Matrices? (Observations, witness testimonies listed as evidence) | |  |  |  |
| Have you validated the form?  (Signed and dated) | |  |  |  |

|  |  |
| --- | --- |
| Verifier’s Name: |  |
| Verifier’s Signature: |  |
| Date: |  |

**Moderation Checklist**

**Name of Qualification:**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **CRITERIA/ACTIVITY** | | | | **YES** | **NO** | **N/A** | **Comments/**  **Recommended Action(s)** |
| Assessors, Internal & External Verifiers & Instructor(s) present at moderation meeting | | | |  |  |  |  |
| Assessment activities were conducted at an Approved Centre | | | |  |  |  |  |
| Assessments were conducted by certified assessor(s) | | | |  |  |  |  |
| Internal & External verification audits/checks conducted, signatures affixed to relevant templates and dated & reports submitted | | | |  |  |  |  |
| Performance criteria, underpinning knowledge and critical employability skills were assessed using (please tick relevant box):   * Unit clustering * Practical * Short Answer Questions * (Oral assessments) -Questioning/interviews * Projects * Portfolios * Role Play * Simulations * Multiple Choice | **Yes** | **No** | **N/A** |  |  |  |  |
|  |  |  |
| Assessment performance criteria- questions and tasks evaluated & discussed for validity & reliability | | | |  |  |  |  |
| Appropriateness of evaluation templates –evaluated & discussed | | | |  |  |  |  |
| Rubrics/checklists for all practical tasks, role play, simulations and oral assessments prepared when used as assessment strategies- evaluated & discussed for accuracy | | | |  |  |  |  |
| Feedback to trainees & assessment outcomes for each unit of competence evaluated and discussed | | | |  |  |  |  |
| Suitability of training materials & equipment relevant to the assessment activities evaluated & discussed | | | |  |  |  |  |
| The appropriate communication methods used by Instructor/Assessor in planning & conducting the assessment activities evaluated & discussed | | | |  |  |  |  |
| Appropriate **Verification** activities conducted and signatures of assessors, candidates & verifiers affixed & templates dated. | | | |  |  |  |  |

Name of Lead Moderator: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Appendix 12**

**SKN-TVET COUNICL N/CVQ-QUALITY MANAGEMENT SYSTEM (QMS) DIAGRAM**

# hallmarks-1