DRAFT

TECHNICAL AND VOCATIONAL EDUCATION AND TRAINING AUTHORITY

Quality Assurance Manual

TVETA Quality Assurance Training and Quality Audit Manual

Assuring mandatory TVET quality for a competent nation

Nairobi, 1 September 2018
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Introduction

The assurance of TVET quality throughout our nation is a prime task of the TVET Authority. The TVET Act No. 29 of 2013 tasks the TVET Authority to ensure quality throughout the entire TVET sector in Kenya. We have been assigned quality assurance as one of our core functions as external quality assurance body for all TVET institutions.

Our task is it to approve, register, accredit and license all TVET institutions, their programmes, courses and trainers as well as assessment centres. We are also appointing external quality assurance related personnel, monitors and evaluators. TVETA shall ensure that all TVET institutions in the Republic of Kenya are complying with minimum quality standards of TVET provision.

In this function TVETA is both a coordinating body and regulator as well as advisor and partner for all our TVET institutions to help them in their quest for quality. Quality in education and training is a multifaceted concept, which needs utmost attention, passion and diligence. We as TVETA shall ignite a spirit of quality into TVET with our example, passion for quality in everything we are doing and sincere dedication.

Why do we need quality assurance and management in TVET? The answer is to be found in labour market needs, in regional and global developments, the complexity of technological developments and in continuous change in global competition for resources, investments and markets.

Without a strong education and training foundation, which is keeping up with industry demands, economies are losing the productivity race. Without quality in every aspect of TVET delivery, the system will be ineffective and useless. Through our support, external regulation and the quality assurance we can instil international best practices and the findings of our continuous TVET research and stakeholder consultations into the sector.

TVET quality can be assured through the establishment of a quality system, which includes all components of education and training provision in TVET, such as the material basis, the human resources and the programmes, units and curricula as well as the way TVET is provided (methodology and real work life exposure through industry cooperation).

Therefore, we are applying minimum quality standards and the QA tools, which are approval, registration, accreditation or licensing to all these components through our institutional, programme/course and TVET trainer registration and licensing. We do this in line with our overall national TVET strategy and fundamental concepts, such as CBET and the national qualifications framework, KNQF\(^1\) based on industry driven occupational standards.

This QA Manual is part of the national TVET quality assurance framework. We have produced this guideline for external quality assurance to inform, facilitate and guide. We hope that this manual will be helpful to all those using it to cope with new challenges of TVET provision and requirements from market, employers and competition.

This Quality Assurance (QA) and Quality Audit Manual is our guideline for the external TVET quality assurance, for which we as the leading TVET agency of Kenya are responsible. It provides full and transparent information on our procedures and standards for mandatory registration, accreditation, licensing of TVET institutions, their personnel, and approval programmes/courses or assessment centres. Anyone should know how we are implementing the tasks given to us by the TVET Act.

This manual shall ensure that programmes and courses are complying with standards and are approved, before being mounted in credible TVET institutions. It enables QA personnel and training institutions to

\(^1\) Kenya National Qualifications Framework
understand the process and requirements for registration, accreditation and licensing or approval, thereby enabling them to properly plan before setting up a TVET institution or offering vocational training as an individual institution. It aims to ensure that quality auditors, external evaluators and monitors come to consistent conclusions as well as sound and uniform decisions about an institution. TVET institutions performing periodic self-audits/self-evaluations aimed at enhancing internal quality assurance may also find this manual valuable.

The manual outlines the objectives of external TVET QA, regulatory aspects of registration, accreditation, licensing, the external QA processes and standards/procedures. It was developed through an inclusive and participatory consultative process with various stakeholders.

Finally, this manual will be the guideline for all our QA personnel performing Quality Audits and conducting the registration, accreditation and licensing as well as approval on behalf of TVETA. We, therefore, recommend all our QA staff to use it for the best benefit of the Kenyan TVET sector.

Dr Ahmed Ferej
Board Chairman

Dr Kipkirui Langat
Director General/CEO

Technical and Vocational Education and Training Authority (TVETA), Nairobi 2018
Chapter 1  TVET Quality Assurance - Introduction

Assuring the quality and relevance of TVET has become an increasingly challenging task, which has to comply with the current labour market’s fast changes. If TVET does not lead to satisfactory outcomes, everyone loses. TVET quality, therefore, is of common interest and this is what motivates cooperation and concerted efforts in the field of quality assurance in TVET. In today’s fast changing environment, new innovative approaches to performance monitoring, measurement of quality or output-based policies, such as CBET are applied to assure the required quality. In the meantime, TVET quality assurance is in motion and development with countries applying different concepts, approaches and regulations.

Cooperation and strong TVET QA research are needed to capture and capitalize on the state of the art developments in this field. External quality assurance, therefore, is permanently developing and the task of TVETA is to achieve the overall objective of Kenya’s TVET system, which is to contribute to a competent nation. This manual is a starting point and needs to be continuously updated to cope with ongoing developments.

Technical and Vocational Education and Training is a priority sector in Kenya supporting the achievement of an educated, competent and competitive nation not only on a regional scale, but globally. Quality TVET, which is relevant, accessible and labour market oriented, creates welfare, employment opportunities, enhances labour productivity and improves the daily lives of all Kenyans.

To fulfil the important mission of TVET quality, the TVET Authority has set up different procedures and methods to implement the existing innovative policies and strategies of strengthening and ensuring education and training quality in all TVET institutions on a systemic level. The aim is to improve and strengthen human capacity and skills and equip the TVET trainees and graduates with a spirit of professional excellence, entrepreneurship, continuous improvement, creative ideas, job conscientiousness, high responsibilities, honesty, discipline, good ethics and morality.

Therefore, TVET quality is an utmost important factor in developing human resources in order to contribute to social and economic development. Human resources development demands monitoring and evaluating TVET provision regularly, with focus on implementing the legal framework, policies, guidelines and QA procedures in order to implement the TVET strategic plan and TVET reforms in Kenya.

High quality of education and training provision is a mandatory precondition for its attractiveness. TVET quality increases transparency, mutual trust, the mobility of workers, trainees and graduates, and lifelong learning. Quality of education and training has different aspects including the competence of trainers, the quality of curricula, programmes and training courses, the quality of materials used, the quality of the facilities and workshops, the quality of cooperation and, of course, the quality of the TVET institution, its leadership, staff and processes. Only when all ingredients are of good quality, the result will be good too.

Turning to quality in TVET, the first step is to consider what qualities trainees or apprentices are to possess to be successful in work and society and to be able to ‘give back’ something to their society and the nation’s development. The Kenya National Qualifications Framework (KNQF) helps to determine those qualities and to design meaningful TVET programmes. TVET is concerned with the development of knowledge, skills and minds of trainees and apprentices. TVET institutions train humans for a competent nation who, by virtue of their vocational education and training, make their way through their professional careers and society to their own, their community’s and the nation’s benefit.
Improving quality is probably the most important task that the TVET system is facing in Kenya. The TVET Act has assigned the task of external quality assurance to TVETA. This manual is the guidance for TVETA through the processes of external quality assurance. It also intends to transparently inform all interested stakeholders in TVET about the processes and criteria applied to TVET under the external quality assurance in Kenya. External quality assurance aims to assure that all TVET institutions in Kenya comply with minimum quality standards of TVET delivery.

However, despite its importance, quality in TVET is a concept that is difficult to define and measure. Ideas of quality often conflict with one another. So, what is TVET Quality?

**TVET Quality:** The quality of technical and vocational education and training is a set of characteristics of a TVET programme / competence based training and of its institution, through which mandatory standards set by TVETA and other agencies in charge as well as stakeholder and labour market expectations are met. TVET quality relates to the achievement of the outcomes and competences (knowledge, skills and attitudes) as described in the Kenya Qualifications Framework fulfilling the expectations of trainees and apprentices as well as graduates, their families, employers, community and nation.

Quality is an elusive concept and a dynamic idea. The meaning of the term quality can be discussed endlessly. The two-fold character of technical and emotional aspects makes it difficult to define quality accurately. The technical character of quality is best described by the concept of “quality in fact” as the conformity of an output or service with certain specifications and standards, which is the main concept of external quality assurance. The emotional aspect includes the relative notion of quality between bad and excellent.

Quality in complex systems like TVET is not a particular procedure, but stems from the way in which the product/service takes shape as it moves through this system. Quality assurance in TVET is not a matter of simply fulfilling performance targets either. The idea of a graduate as a standard product does not fit the complexity of the education and training process.

Figure 1: Quality A and the 4p ability model

The capacity of a TVET institution to generate quality is not limited to numerical measures alone due to the multifaceted nature of TVET quality, which involves performance, purpose and process of productive work. The model shows the interconnection of competences and aptitudes leading to the ability to produce products or services. QA needs to address all the aspects of the ability model depicted to the left.

External quality assurance with a range of measurable criteria and standards, however, can make quality in TVET delivery tangible and measurable. Applying these criteria and standards to a TVET institution gives TVETA, the external quality assurance body, the instrument to determine whether a TVET institution, its programmes or courses and trainers as well as assessment centres comply with minimum requirements for official recognition. In Kenya, this means registration and/or accreditation and licensing or approval by TVETA.

What are the specifics of TVET services?

- There can be no absolute consistency or homogeneity in TVET provision. The consistency can be assured only within determined boundaries, which can be set by the introduction of standards. For

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2 Quality in fact is the basis of the quality assurance systems as applied by the international certification standard for quality management systems ISO 9000 – Requirements for Quality Management Systems
external QA this means the setting of minimum mandatory quality standards for the different components of a TVET system;

- TVET services have to be delivered on time and are ‘utilized’ at the moment of delivery, and this is as important as the specifications of the services. External quality assurance, therefore, has to look at the quality of delivery processes and the quality of TVET ‘ingredients’ involved (trainers, facilities, materials etc.). Unlike a tangible product, education and training services cannot be mended. A poor training cannot be ‘repaired’. Re-training will be needed instead. The standard for the services and its provision should be right every time;

- QA by Quality Audit is always too late. However, close personal interactions found in services allow multiple opportunities for feedback and evaluation and these provide the main, but not the only, means of deciding whether customers are satisfied with it. Continuous and systemic quality management, including the monitoring of quality indicators, is required to assure quality;

- Education and training services are intangible. It is often difficult to describe exactly what is being offered and expected. It is usually more important how an outcome is produced (processes) than what the outcome is. The methods applied by external quality assurance are, therefore, the definition and measuring of necessary competences of graduates at the output/outcome of the TVET process as well as the quality of the process of occupational and training standard development at the input side of the TVET process;

- Lastly, it is very difficult to measure success and quality in TVET. Meaningful performance indicators are those of graduate and employer satisfaction. Intangible soft indicators such as care, usefulness, courtesy, concern, friendliness and helpfulness are often as important to quality as hard and objective performance indicators. Finally, success is determined by sustainable achievement in life and career in terms of meaningful and decent employment often shown long after initial training.

“Training” includes technical, industrial and vocational education and training leading to an award of a certificate, diploma. TVET Act

The education and training services are at the core of TVET provision. However, one has to bear in mind that quality TVET includes much more than just the training as defined in the TVET Act. It also includes the qualitative choice, career guidance and admittance into TVET programmes based on interest, aptitudes and potential of trainees. Additionally, it involves continuous motivation, the qualitative identification of occupations and competences with potential for sustainable employment based on needs determined with an outlook into the future, the qualitative assessment and the award of widely recognised certificates. Finally, it means the equipment of graduates with the skill for lifelong learning and continuous improvement.

Quality makes the difference between success and failure. Good TVET institutions and service institutions, whether public or private, understand quality and its sources. Amongst these sources are:

- Outstanding trainers;
- Strong and purposeful leadership;
- High moral values;
- Care and concern for trainees;
- Excellent assessment and certification systems;
- Support of business, parents and society;
- Sufficient resources;
- Application of modern technologies;
✓ Well-balanced, challenging and responsive TVET programmes.

Turning to quality in TVET, the first step is to consider what qualities (competences) trainees/graduates are to possess to be successful in work and society and to be able to ‘give back’ something to society and the nation’s development. The KNQF helps to determine those qualities and to design meaningful TVET programmes. TVET is concerned with the development of skills and minds of trainees. Training institutions train humans who, by virtue of their vocational education and training, make their way through their professional careers and society to their own and society’s benefit.

External QA supports this through robust external guidance, alignment and orientation along the lines of comprehensive minimum quality standards for all the elements of the TVET system and their maintenance. Table 1 proposes a systematic overview over the crucial components of TVET delivery and target areas for external QA consisting of six components with 50 general indicators. A complete list of indicators and criteria for the external audit of TVET institutions, Annex 2, is attached to this manual. TVETA applies a set of indicators grouped into six components of TVET quality. A number of them are indispensably mandatory; others are included to provide a measure of advancement of the TVET institution and to make it comparable with others. The six audit components are aligned with the generic standards for quality management systems as included in the TVETA QMS manual.

Table 1: Target areas for external QA standards (interrelated with the internal quality management of TVET institutions)

<table>
<thead>
<tr>
<th>I. Institutional Leadership, Management and Governance</th>
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<tbody>
<tr>
<td>1. Establishment of vision and mission of the TVET institution well known by all stakeholders (management, trainers, staff, parents, private sector, supporters, and trainees). Are vision and mission in line with national development policies and the vision of TVET quality?</td>
</tr>
<tr>
<td>2. Establishment of objectives in accordance with policies, roles, responsibilities, capacities of the institution and in line with needs of industries and occupational and socio-economic development of community and nation</td>
</tr>
<tr>
<td>3. Review of objectives in order to serve socio-economic development in line with Government policies.</td>
</tr>
<tr>
<td>4. Strategic and operational plans established and correspond with the institution’s capacity and purpose</td>
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<tr>
<td>5. Objectives are established and in line with national policies, development plans and industry needs</td>
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<tr>
<td>6. The TVET institution has a clear functional and adequate management structure with clearly defined roles and responsibilities</td>
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<tr>
<td>7. Management procedures are clearly defined and documented including all sub-management systems (HR, Finances …….)</td>
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<td>8. Management is competent. Top management undergoes regular governance/leadership training as necessary.</td>
</tr>
<tr>
<td>9. The institution has a functioning and effective Management Information System covering all aspects of the institution and its operations</td>
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<td>10. The institution has a documented quality management system in place.</td>
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<tr>
<td>11. The financial management of the institution is robust and supports smooth operation, investment and liquidity. Budget utilization is effective and efficient. Financial plans are established and adhered to.</td>
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<tr>
<th>II. Physical resources (property, facilities, equipment)</th>
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<tr>
<td>12. The institution has sufficient facilities to deliver its programs and courses, the property and facilities are mapped. Their use is covered by respective contracts and arrangements and not legally disputed. The boundaries are clearly demarcated.</td>
</tr>
<tr>
<td>13. The general quality of buildings and facilities is good and in compliance with standards</td>
</tr>
<tr>
<td>14. Hygiene, restrooms, drainage, sewage comply with standards and mandatory requirements. Facilities are regularly cleaned.</td>
</tr>
<tr>
<td>15. The furniture of the TVET institution is of good quality and sufficiently available.</td>
</tr>
<tr>
<td>16. The TVET institution complies with all mandatory legal and regulatory requirements (e.g. health, fire, and safety). Safety and health regulations and emergency plans are displayed. Response to emergencies is regularly trained. First aid equipment is available.</td>
</tr>
<tr>
<td>17. Classrooms, laboratories and workshops are available in line with program and course requirements. Access to the classrooms, laboratories and workshops is ensured for all trainees, including those with special needs.</td>
</tr>
<tr>
<td>18. Necessary machines and equipment is installed, operated and maintained properly (in line compliance with industry and TVET standards). Equipment is regularly checked, maintained and calibrated as necessary. The equipment is stored safely. The institution has a complete inventory, which is regularly updated.</td>
</tr>
<tr>
<td>19. All necessary teaching and learning equipment, models, materials, textbooks, visuals etc. are available and of good quality.</td>
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### III. Human Resources

20. Trainers are competent to deliver the programs and courses. Trainers are innovative, engaged and interested in professional development. They are registered and accredited.

21. Trainer:trainee ratios are supportive to the training purpose and compliant with standards

22. Trainers and staff are encouraged to develop professionally. Annual trainer professional development reviews and development talks conducted. Further and advanced training plans in place and executed.

23. Staff is competent in all management, administrative and support processes.

24. The staff is sufficient for the purposes and operations of the TVET Institution. The staff composition facilitates effective operations of the institution. Human resources are planned according to identified needs and plans.

25. The institution has a human resources policy and procedure in place and job descriptions are available for all positions.

26. Opportunities for continuous improvement and capacity development and building are provided or facilitated.

27. The institution provides a clear career perspective and guidance as well as motivating opportunities for internal and external training.

### IV. Training delivery

28. Curricula are designed, developed and approved to meet the needs of labour and employment markets and the community. Curricula development follows the TVETA CBETA standards and guidelines.

29. Delivery of training aligned with national competence based occupational and training standards and workplace training provided as indicated in the curriculum

30. Appropriate training methods are used and teaching and learning is supportive to trainees.

31. Trainings are quality assured as part of the institution’s quality management system

32. Textbooks, learning materials, consumables and equipment are sufficiently provided for programme delivery.

33. Learning support provided inclusively to all categories of trainees with special needs and requirements.

34. Delivery of training carried out as planned

35. Assessments are conducted in approved centres as set out in mandatory procedures. Assessors and verifiers are competent and approved.

36. Monitoring mechanism of training delivery in place

37. Evaluation of training methods and mechanisms for improvement in place

### V. Trainee support

38. The management information system of the institution includes all necessary information about the trainees to undertake timely necessary action and activities. The information includes the tracing of graduates.

39. Procedures for admittance, enrolment, course registration, feedback and complaints and graduation are established and implemented

40. Systematic and continuous academic/professional support for trainees including scholarship information or support

41. Student activities for environment, sport, arts, and culture (involving communities and society)

42. Where necessary the institution may organise or provide hostel opportunities in line with the KEBS national trainee accommodation standard

43. Networks for job and employment opportunities of trainees after graduation and alumni network

### VI. Research, Innovation and Stakeholder Cooperation

44. The institution is a learning organisation and regularly updating on policies, industry developments and national development strategies. It is introducing innovations systematically.

45. The institution conducts research if useful and necessary and supportive to its core functions

46. The TVET institution has effective mechanisms for feedback from stakeholders and industry

47. The TVET institution exchanges with other education and training institutions on new developments and cooperation potential

48. Partaking in innovation workshops, contests and conferences

49. Innovative concepts such as Greening TVET are included in curricula and research of the institution

50. Supportive to business incubation and entrepreneurship centres – Technopreneurship

TVET is a service delivered through processes using products. The distinction between a tangible product and a service is important due to their fundamental differences affecting on how their quality can be assured. Education and training is a service, which uses tangible measurable goods in a service delivery process, such as facilities, equipment, materials and curricula.

Whilst not all of the quality aspects of a TVET institution are mandatory, the inclusion of important themes of a modernized and future-oriented TVET system, such as Greening TVET and entrepreneurship as
crosscutting issues, can give an additional orientation to the external QA auditor on the level of the institution towards excellence.

Greening TVET underpins many of the proposed goals and the achievements of sustainable development and is crucial for reorienting society to adopt an environmentally sustainable mentality addressing climate change and future challenges. Entrepreneurship skills and competences supporting the establishment of new economic establishments all over Kenya strengthening the SME sector of the economy should be another important crosscutting issue supported by the TVET institution.

Meanwhile external quality assurance itself is a process of audit and evaluation of compliance with criteria and standards. The process model distinguishes between inputs, processes and outputs, which means that if the inputs and transforming processes are of good quality, the outputs will be of good quality too. **Thus, the task of the external quality assurance body is to audit those inputs and processes against minimum standard criteria. If inputs and processes of the TVET institution, the programmes or units, trainers comply with or exceed these criteria, registration and accreditation shall be granted and a license issued.** Therefore, both qualitative and quantitative measures should be applied to external quality assurance.

**Quality Assurance** can be defined as the processes and procedures ensuring that qualifications in terms of competences and ability, assessment and programme delivery meet certain standards. Quality assurance comprises the processes of ensuring that specified standards and requirements for TVET provision, curriculum design and development, learning, TVET management, accreditation, assessment and the recording of achievements are met.

The general quality assurance and management process includes four phases, each including a number of processes and features. As in many other models, such as the PDCA (Plan Do Check Act) cycle of continuous improvement, described and used in the ISO 9001 standard for quality management systems, QA in TVET can be described as a sequence or cycle of four fundamental activities or phases.

1. Planning QA and setting quality goals and targets - leadership;
2. Implementation of planned QA measures and activities to achieve planned goals and targets;
3. Monitoring, evaluation and assessment of achieved results and outcomes;
4. Review of the QA system and measures, e.g. the discussion of the results of quality audits, and improvement of QA.

The external QA processes, standards and applied indicators ideally should capture the entire cycle and support a holistic view on training quality. In order to provide a holistic understanding of quality and, hence, develop a comprehensive national approach on improving TVET quality, TVET stakeholders need to agree on a common understanding of TVET quality and how to involve the key stakeholders under a national TVET QA framework (KEN TVET QAF). Stakeholder interests need to be considered in any TVET QA approach.

Reasons for and purposes of external QA procedures and regulations and institutional arrangements must be carefully chosen, agreed upon through consensus, understood and accepted by the stakeholder community. The goal is to cultivate a culture of quality in education and training at all TVET levels. The main procedures for external quality assurance are the review of documented evidence, records and self-audit records and the on-site Quality Audit of TVET institutions.

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3 The well-known PDCA (plan, do, check, act) cycle as developed by Deming (1982) was meant to support continuous quality improvement within all types of organizations.
This TVETA Quality Assurance Manual aims to be a useful document for all TVETA QA staff as well as the TVET institutions in Kenya for understanding TVET Quality Assurance, procedures of external QA and mutually beneficial cooperation. The main objective of this manual is to provide procedures, rules and methods of external TVET quality audits for the purposes of registration, accreditation, approval and licensing.

Quality assurance needs dedication, commitment, leadership and cooperation with employers, TVET agencies and institutions and does not come free. It needs investment in good facilitation and equipment, curricula development and continuous listening to labour market needs and developments, which manifests in robust competence based occupational and training standards.

Quality assurance includes the important concept of continuous improvement. TVET QA benefits trainees, graduates, employers, TVET institutions, the community and the nation at large. Quality TVET can have far-reaching consequences and an important impact on welfare and national competitiveness. The following figure provides an overview over the Kenyan TVET Quality Assurance Framework (KEN TVET QAF) showing the interconnection and interaction of quality elements, processes and quality assurance mechanisms in the context of national TVET. Below the figure proposed a generic universal statement of commitment of all TVET Institutions in Kenya, which bases on national policies and development goals.

More information on content and use of the Kenya TVET Quality Assurance Framework is available in the TVETA paper The KENYA TVET Quality Assurance Framework.

Figure 2: The Kenya TVET Quality Assurance Framework (KEN TVET QAF)

We are committed to fulfilling and adhering to national quality standards in TVET delivery to produce an internationally competitive and competent workforce through providing trainees with demand driven technical and social competences for sustainable decent and meaningful employment and national development!
Chapter 2  Regulation of external TVET Quality Assurance in the TVET Act

The main regulatory basis for external TVET QA in Kenya is the TECHNICAL AND VOCATIONAL EDUCATION AND TRAINING ACT No. 29 of 2013 (TVET Act).

The TVET Act, 2013 “provide[s] for the establishment of a technical and vocational education and training system; ..... the governance and management of institutions offering technical and vocational education and training; ..... [a] coordinated assessment, examination and certification.” Further, the regulation “institute[s] a mechanism for promoting access and equity in training; to assure standards, quality and relevance ....” (TVET Act preamble)

The 58 sections of the act include a whole range of regulations, which relate to quality assurance in education and training by TVET institutions. This mandatory quality assurance framework affects a TVET institution’s service quality either directly or indirectly. The specific training of all QA related staff in regulatory issues is highly recommended. Each TVETA staff or service institution in external TVET QA should be informed and regularly updated on all mandatory TVET QA regulation.

When implementing the TVET Act and subsequent regulations, the QA personnel of TVETA or personnel appointed by TVETA to conduct external quality assurance procedures have to keep in mind the different aspects of QA regulated by the TVET Act. They are all part of the national TVET quality assurance framework and the quality of education and training provision depends on the diligent implementation of these aspects. Below is an overview of the parts and sections of the TVET Act that summarises the QA related sections.

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<td>2. Interpretation</td>
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<td>3. Guiding principles</td>
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<td>4. Role of the Cabinet Secretary</td>
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<tr>
<th>Section</th>
<th>Quality assurance relation</th>
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<tr>
<td>5. Policy guidance by Cabinet Secretary</td>
<td>Assigns the task of TVET policy guidance on all matters relating to the implementation to the Cabinet Secretary.</td>
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<tr>
<td>PART II – THE TECHNICAL AND VOCATIONAL EDUCATION AND TRAINING AUTHORITY</td>
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<td>6. Establishment of the Technical and Vocational Education and Training Authority</td>
<td>Establishes TVETA as main external TVET QA body</td>
</tr>
</tbody>
</table>
| 7. Functions of the Authority                                           | TVETA is assigned a whole range of QA related functions including the right of delegation. This makes the TVETA the main TVET quality assurance body in Kenya with the overall external quality assurance role. These functions of direct external QA include:  
✓ accreditation and Quality Assessment of programmes and courses;  
✓ determination of national technical and vocational training objectives;  
✓ promotion of access and relevance of training programmes within the framework of the overall national socio-economic development plans and policies;  
✓ prescription of minimum criteria for admission to training institutions and programmes in order to promote access, equity and gender parity;  
✓ Quality Assessment, licensing, registering and accrediting training institutions;  
✓ assuring quality and relevance in programmes of training;  
✓ undertake, or cause to be undertaken, regular monitoring, evaluation and Quality Assessment of training and institutions to ensure compliance with set standards and guidelines;  
✓ ensuring the maintenance of standards, quality and relevance in all aspects of training, including training by or through open, distance and electronic learning. |
| 10. Staff of the Authority                                              | The TVET Act provides staffing flexibility and gives the board of TVETA freedom to appoint any officers and staff necessary for the proper discharge of all functions of TVETA and to determine the staff responsibilities according to its own staffing structure. |
| PART IV – LICENSING, REGISTRATION AND ACCREDITATION OF INSTITUTIONS AND TRAINERS |                                                                                                                                                            |
| 17. Requirement for registration                                        | This section regulates external requirements for accreditation, licensing and registration of persons and institutions (institutional and individual and programme/course accreditation) in three subsections and foresees a harsh punishment of any violation of the regulations. |
| 18. Application for registration                                        | regulates the application of institutions or persons offering training                                                                                                                                                     |
| 19. Consideration of application                                        | maximum duration of consideration three months including examination of documents and Quality Assessment and assessment of the institution  
- Detailed accreditation report by TVETA required                        |
<p>| 20. Registration and licensing of institutions                          | licensing and registering of an institution, commenting on improvements within a period of six months or rejection of an application based on TVETA’s assessments                                                                 |
| 21. Determination of a revised application                              | Three months period for reassessment of a revised application                                                                                                                                                           |
| 22. Accreditation of foreign institutions                               | Foreign TVET institutions must comply with the external requirements for institutional accreditation, licensing and registration as national TVET institutions (compare section 17). |
| 23. Registration and licensing of trainers                             | This includes that any TVET trainer must apply for licensing and registration by the TVETA board in accordance with the prescribed format.                                                                               |
| 25. Registers                                                          | The TVETA Board maintains public registers of institutions accredited, registered and licensed and of registered and licensed trainers.                                                                               |
| PART V – ORGANIZATION OF TRAINING INSTITUTIONS                          |                                                                                                                                                            |
| 26. Categories of institutions                                          |                                                                                                                                                              |
| 27. Governance and management in Training                               | This provision encourages co-operation and collaboration among all stakeholders and the participation of and consultation with the                                                                                      |</p>
<table>
<thead>
<tr>
<th>Section</th>
<th>Quality assurance relation</th>
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<tbody>
<tr>
<td>28. Organs of governance</td>
<td>The section determines a number of functions a TVET institution for core and support processes, which are all quality related. The main such functions are:</td>
</tr>
<tr>
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<td>✓ promoting and maintaining standards, quality and relevance in education and training in the institution;</td>
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<td></td>
<td>✓ developing and implementing the institutions’ strategic plan;</td>
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<tr>
<td></td>
<td>✓ developing and reviewing programmes for training;</td>
</tr>
<tr>
<td></td>
<td>✓ recruiting and appointing trainers from among qualified professionals and practising trades persons in relevant sectors of industry.</td>
</tr>
<tr>
<td>PART VI – STANDARDS, QUALITY AND RELEVANCE IN TRAINING</td>
<td></td>
</tr>
<tr>
<td>31. Standards in training</td>
<td>Determines the role of TVETA board in assuring standards, quality and relevance in training. For this purpose, TVETA establishes standards and benchmarks for training, administers policies and guidelines and ensures the maintenance of standards, quality and relevance in all aspects of training within the national training system. TVETA also establishes guidelines regarding the nature and quality of facilities in consultation with stakeholders.</td>
</tr>
<tr>
<td>32. Programs of instruction in training institutions</td>
<td>Allows the review or alter programmes of instruction or courses of study of training programmes, which should be designed to facilitate lifelong education and training, and which facilitates innovativeness and creativity.</td>
</tr>
<tr>
<td></td>
<td>Approval of the TVETA Board is mandatory</td>
</tr>
<tr>
<td>33. Monitoring and evaluation of training institutions</td>
<td>Training shall be of quality and relevance and in accordance with the standards set out by the TVETA Board</td>
</tr>
<tr>
<td></td>
<td>TVET institutions shall put in place internal systems to ensure the maintenance of standards, quality and relevance of training programmes.</td>
</tr>
<tr>
<td></td>
<td>The TVETA Board shall establish mechanisms for monitoring and evaluating services and programmes in accordance with this Act to ensure and assure standards, quality and relevance in the provision of programmes and management of institutions on a continuous basis.</td>
</tr>
<tr>
<td></td>
<td>TVETA shall conduct periodic evaluations of each institution for purposes of assessing and evaluating on a regular basis the quality of training offered at or by each particular institution.</td>
</tr>
<tr>
<td>34. Appointment of monitors and evaluators</td>
<td>Appointment of monitors and evaluators of TVET institutions and reporting requirements</td>
</tr>
<tr>
<td>PART VII – HARMONIZATION OF TRAINING QUALIFICATIONS</td>
<td></td>
</tr>
<tr>
<td>38. National and international standards and quality assurance</td>
<td>This section implies:</td>
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<td>✓ the adoption of appropriate national and international standards in training by TVET institutions. The formulation “and” logically implies that national and international standards need to be applied;</td>
</tr>
<tr>
<td></td>
<td>✓ the establishment, implementation and management of credible internal quality assurance systems (QMS);</td>
</tr>
<tr>
<td></td>
<td>✓ the establishment and promotion of appropriate collaborative arrangements with national and international agencies on standards and quality assurance; and</td>
</tr>
<tr>
<td></td>
<td>✓ the establishment of systems and processes for the continuous review and improvement of standards and quality assurance.</td>
</tr>
<tr>
<td>39. Integration of internships in training</td>
<td>The section promotes integration of the world of work into TVET delivery for relevance and development of appropriate practical and innovative skills. This shall be achieved through integration of on-the-job attachments and internships at all levels.</td>
</tr>
<tr>
<td>40. Responsibility of institutions and quality assurance agencies in implementing of standards</td>
<td>Responsibility of TVET institutions, regulatory and quality assurance agencies in training and any other person directly or indirectly engaged in training for implementation of TVET quality standards and guidelines.</td>
</tr>
<tr>
<td>41. Filing of annual report</td>
<td>Annual mandatory self-evaluation reports of TVET institutions. Self-evaluations are an important tool for quality assurance. These reports have a prescribed format and have to be submitted to TVETA.</td>
</tr>
<tr>
<td>Section</td>
<td>Quality assurance relation</td>
</tr>
<tr>
<td>---------</td>
<td>---------------------------</td>
</tr>
<tr>
<td>42. Recognition and equation of certificates and diplomas</td>
<td>- Quality assurance of examinations, certificates or diploma qualifications acquired from any institution, whether local or foreign, or any skills, knowledge and qualifications evidenced by the extent to which the qualifications so awarded through assessment of conformity with established standards and guidelines by TVETA.</td>
</tr>
<tr>
<td>43. Certification of skills and competencies acquired on the job</td>
<td>- Recognition of non-formal/informal or apprenticeship VET by TVETA, which thereby will have to comply with standards in a quality assured manner.</td>
</tr>
<tr>
<td>PART VIII – MISCELLANEOUS PROVISIONS</td>
<td></td>
</tr>
<tr>
<td>57. Regulations and standards</td>
<td>- This section provides the TVETA Board with the authority, with the approval of the Cabinet Secretary, to set standards, criteria and guidelines or make sub-legal regulations generally for the better carrying out of the provisions of the TVET Act.</td>
</tr>
</tbody>
</table>

The TVET Act (Section 17) explicitly states that “no person or institution shall offer training in Kenya unless the person or institution has been accredited, licensed and registered, .... no programme or course of training shall be mounted in an institution without prior approval by the Board and no academic award or qualification issued by any institution not yet accredited, registered and licensed in accordance with this Act shall be recognized in Kenya.”
The TVET Act and TVETA regulate the external QA processes and tools used. TVETA has developed a set of regulations for institutional, trainer and programme registration, approval, accreditation, licensing and quality audit procedures. The TVET Act (Part IV) outlines the main processes and tools for external quality assurance. The procedures are included in detail in chapter 4 of this manual. Although the processes and tools are mentioned in the TVET Act in a rather unsystematic way, it is clear which mandatory requirements are placed on TVET institutions, trainers and TVET provision. The TVET Act (Part II) outlines the role of TVETA in defining sub-legal standards, guidelines, procedures (including forms and templates) and criteria to make TVET quality measurable and comparable. These guidelines and standards are covered in this manual with some of the main QA procedures being included in more detail.

The summary of the TVET Act in the previous chapter shows that TVET quality assurance is a genuine function of TVETA. The Authority is mandated by the Act to regulate and coordinate TVET through registration and licensing of institutions and trainers, accrediting programmes and the development of standards and guidelines. This QA guideline is one of these regulatory instruments of TVETA. It incorporates and replaces earlier registration, accreditation and licensing guidelines. The organogram below shows the responsibilities of TVETA for QA functions in the context of the entire authority.

Figure 3: Organogram of the TVET Authority (TVETA)

For purposes of assuring standards, quality and relevance in training, the TVETA board by law:

✓ establishes the standards and benchmarks for trainings;
✓ administers policies and guidelines to govern the establishment and accreditation of training institutions; and
✓ ensures the maintenance of standards, quality and relevance in all aspects of training within the national education and training system.

3.1 Tools of external TVET quality assurance

All TVET institutions shall establish an internal QMS and must undergo external quality assurance according to the criteria set out by TVETA and other specialised regulatory bodies in Kenya. This includes compliance with all mandatory legal regulations, such as fire safety and health, certificates of completion and occupation of new facilities. External QA of TVET institutions is conducted through on-site Quality Audits looking at: 1) the ability of an institution to deliver CBET programmes (institutional registration, accreditation and licensing), 2) the registration and accreditation of CBET TVET programmes (programme registration and accreditation) and 3) the registration and licensing of trainers as well as other QA related personnel (individual registration and licensing). External QA also includes the mandatory approval of assessment centres.

The process, by which TVETA audits the compliance of a TVET institution with mandatory requirements, is the Quality Audit. For the purposes of TVETA regulated external QA the term Quality Audit is equivalent to the term “inspection” used in the TVET Act. The external quality audit of TVET institutions and programmes is by its nature a multi-criteria Boolean (binary) decision on if or if not a TVET institution and programmes meet mandatory quality criteria. Quality Audits are carried out by external auditors and other mandated bodies in collaboration with TVETA. TVETA appoints quality auditors to carry out such audits.

Registered and accredited TVET institutions provide qualifications, which are endorsed and recognised by the national regulatory bodies, e.g. examination bodies. Recognized certifications indicate the achievement of competences required to gain a particular award (occupational certificate or diploma) registered at a specific KNQF level. Accredited awards delivered by registered, accredited and licensed TVET institutions meet the quality standards laid down by TVETA and other legally mandated regulatory bodies and are comparable to international standards through the KNQF. Registered and accredited training institutions, desirably in cooperation with the industry, with their registered and licensed trainers deliver accredited trainings leading to approved qualifications. They are subject to internal quality management and external QA by TVETA.

The main tools for external TVET quality assurance are according to the law registration, approval, accreditation, licensing as well as other procedures introduced by TVETA. TVETA quality auditors,

---

4 TVETA was earlier using the terms inspection and inspectors for quality audits and for personnel carrying out external quality audits.
monitors and evaluators ensure quality auditing through monitoring and evaluation and on-site quality audits. TVETA can establish additional regulations in support of the TVET Act.

The external audit takes into account and validates the TVET institution’s self-evaluation reports, and approves when necessary the TVET institution’s improvement plans. Registration and accreditation certify that a TVET institution and its training programmes meet predetermined standards. Licenses are issued confirming successful registration and accreditation.

3.1.1 Registration and approval

An important function of TVETA is to establish and maintain registers indicating the particulars of; a) the institutions registered, accredited and licensed and; b) of trainers registered and licensed. The registers maintained are open for assessment by members of the public during office hours or through the website at any time free of charge.

TVET institutions and trainers must register with TVETA in order to be allowed to provide training. Any institution or trainer must apply for registration according to the rules and procedures set by TVETA using the forms provided. The TVET Act obliges "any person or institution intending to offer training in Kenya [to] apply to the Board in the form prescribed by the Board from time to time. The following must be included in the application for registration (TVET Act / Section 18):

(i) the name, physical, postal and electronic addresses of the proposed institution;
(ii) the governance and management structures of the institution;
(iii) membership of the proposed institution;
(iv) aims and objectives for which the institution is to be established and the programmes of instruction and courses of study that are to be offered;
(v) the number, qualifications and competence of the manager and trainers;
(vi) layout designs and specifications of available infrastructure and equipment;
(vii) a statement on the suitability, ownership or lease arrangement for premises to be used as evidence of structural soundness of buildings and their capacity in accordance with the Public Health Act (Cap. 242);
(ix) a statement of financial ability and fees to be charged; and
(x) such other matters as may be prescribed in the regulations made under this Act.

Registration means a formal recognition that following a formal evaluation of a registration application against a set of registration criteria a training institution or trainer has been found eligible for registration by TVETA.

The decision on registration is made according to the criteria established by TVETA. To speed up the process of registration, licensing and accreditation in the phase of nation-wide introduction of the TVET Act, TVETA currently combines the procedures of institutional registration, accreditation and licensing. Successful registration and accreditation leads to the licensing of the TVET institution for provision of specific TVET programmes or courses and its inclusion in the TVETA register.

Where the applicant meets the conditions for establishment of an institution, TVETA shall enter the particulars of the institution in its register and issue the institution with a licence to offer training. In case of an application, which does not comply with mandatory criteria for the establishment of an institution,
TVETA may reject the application, make its comments or recommendations thereon and forward them to the applicant for resubmission of a revised application within a period of six months according to the TVET Act.

Any person who intends to become a trainer in an institution shall apply for licensing and registration. TVETA provides a mandatory standard application form for licensing.

### 3.1.2 Accreditation

There is a generally accepted understanding about what accreditation means:

- Accreditation is concerned with the quality of TVET institutions in connection with approved training programmes or courses, awarding bodies and QA personnel (objects of accreditation);
- The accreditation process follows transparent and publicly available standards, regulations and rules;
- Assuring quality in TVET accreditation is a process of external quality review used to scrutinise TVET institutions, TVET service providers and QA personnel for quality assurance and by intention for further improvement of quality;
- Accreditation implies clearly defined consequences resulting from a formal decision on the application of the TVET institution or assessment centres, which in positive cases leads to formal recognition. This also includes the right to award qualifications in the case of accreditation of awarding bodies;
- Accreditation is not a one-off procedure but is granted for a certain period and needs to be renewed to remain effective.

Accreditation for the purposes of QA in the Kenyan TVET system is part of the overall QA system put in place by the TVET Act, TVETA and the other legally mandated agencies with functions in external TVET QA. Accreditation in TVET is organised around the CBETA concept and includes conformity review, designed to assess and ensure conformity with the applicable requirements. The accreditation of training institutions for the purposes of TVET QA is programme related. Institutions must fulfil minimum training standard requirements for the programmes offered. Regular external monitoring, evaluation and quality-audits of TVET institutions are part of continuous procedures.

**TVET Act**: “Accreditation” means the process by which the Board formally recognizes and confirms by certification that an institution has met and continues to meet the standards of academic, training and competence excellence set by the Board in accordance with the provisions of this Act.

**General definition**: Accreditation is the formal recognition that a body or person is competent to carry out specific tasks. Accreditation of a trainer, a TVET institution to deliver CBET based programmes, an evaluator, internal or external monitor is the process of quality assurance documenting approval by the accrediting body, i.e. TVETA, by having met predetermined criteria and accreditation standards.

TVETA can undertake Quality Audits of TVET institutions or send monitors/evaluators to undertake evaluation and monitoring (TVET Act section 33). The audits of TVET institutions and service provision covers infrastructure, equipment, programs, the trainers, trainees, or any other relevant matter concerning the institution.
Accreditation is mandatory for all institutions, including foreign TVET institutions. Any foreign institution, which intends to offer training in Kenya, must apply for registration, accreditation and licensing as any other TVET institution. The procedures might be different for foreign institutions compared with local institutions. A foreign institution may also apply for accreditation and approval to enter into an arrangement with an institution registered, accredited and licensed in Kenya for the purposes of offering joint training programmes or courses of study in Kenya. Such joint training programme needs to be approved by the TVETA board.

3.1.3 Licensing

The proof of successful registration and accreditation of a TVET institution to deliver quality assured training programmes or courses are the registration certificate, training or trainer licenses. Registration, accreditation or licensing are compulsory for training programmes, trainers and institutions. A License for the purposes of TVET QA in Kenya certifies an official permission, issued by TVETA to provide TVET services in Kenya. There are two types of licenses; 1) the training license for a TVET institution to deliver registered and approved TVET programmes or courses and 2) the trainer license for TVET trainers. Licenses confirm compliance with mandatory registration and/or accreditation requirements. They are mandatory by nature.

3.2 Infrastructure and institutional requirements

3.2.1 Requirements for TVET institutions

TVET Institution are of the following categories:

1. vocational training centres, which shall offer courses up to Artisan Certificate; 
2. technical and vocational colleges, which shall offer programmes up to Diploma;
3. teacher trainer colleges, which shall offer up to higher Diploma level;
4. National Polytechnics, which shall offer up to higher Diploma level; and
5. such other categories as the Cabinet Secretary may specify.

TVETA and other TVET agencies in Kenya, such as curriculum developers, professional bodies among others, establish mandatory criteria for TVET providers to fulfil. This includes requirements for the institution, which has to comply with all mandatory legal requirements, such as safety, sanitation and health, illumination, accounting and taxation, and others as well as the specific requirements set by TVETA. There might be different agencies and institutions in charge for Quality Audits of specific moments and permissions. Records and certificates on such moments must be provided on request of the TVET QA personnel during assessments for registration or accreditation.

TVETA quality auditors evaluate institutions, trainer qualifications (competencies), curricula and assessment systems by observation and evaluation of documents. Any TVET institution must comply with all mandatory requirements as specified in standards and guidelines. TVETA and industry set the general framework for competence-based training standards and guidelines, which is the basis for quality assurance and curricula development, delivery, assessment and certification in all its aspects. TVETA auditors, monitors and evaluators will assess compliance based on the standards and guidelines.
TVETA, in consultation with stakeholders, has established and maintains guidelines regarding the nature and quality of facilities and equipment that may be used for purposes of conducting technical and vocational education and training. The guidelines are part of the QA criteria and generic quality standards. Concrete updated criteria and tools are provided by TVETA. The TVETA QMS Manual for TVET institutions includes a generic standard, which can be used as a guideline for external quality assurance and institutional quality management.

3.2.2 Requirements for Assessment Centers – Assessment Center Approval

Assessment centers are put into place to ensure independent, unbiased and robust assessments of trainees. The assessment of trainees is an important part of the training delivery and needs to be quality assured. The quality of assessment has a direct impact on the recognition of certificates.

Assessment centers ensure that awards are relevant and certificates are issued for existing qualifications in line with the KNQF. For the purpose of quality assurance of assessments, this manual introduces a standard for assessments.

This standard provides a system of instructions to ensure that all stakeholders have a shared understanding of the detailed activities to be undertaken in the approval of Assessment Centres (AC). For an assessment center to be approved, it has to fulfill the requirements described in section 3.5.1.

The standard covers the approval process beginning with the filing of a letter of intent up to issuance of certificate of approval.

3.2.2.1 Approval of assessment centres - process

Figure 4: Assessment center approval process

![Assessment Center Approval Process Flowchart]

a) An Approved Assessment Centre is defined as an establishment officially authorized by TVETA to manage the assessment of candidates for KNQF aligned certification including the assessment under
the conditions of RPL. The following can become an assessment Centre provided that it complies with the Registration and Accreditation requirements set by TVETA:

- A department within a registered TVET Institution that is separate from the training departments and which ensures that assessments are conducted by independent assessors. The assessors maybe external to the institution and contracted for the purpose of delivering assessment services or they could also be from other parts of the institution.
- An organization that provides assessment services under contract to institutions or workplaces.
- The management centre of an association of assessors that provides assessment services over a particular area or industry.
- An organization that services a particular industry with assessment services.
- For an Assessment Centre to be approved it must be a legally constituted body. It may be a government agency, institution or body; a company or a trust or any other body corporate recognized under the laws of Kenya.

b) Approval of Assessment Centers must be done by TVETA to manage the conduct of independent assessments for a defined scope of KNQF qualifications or units of competence.

c) Individuals seeking assessment against national occupational standards must apply to an Approved Assessment Center (AAC) for their assessment.

d) Scheduling of assessments by an Approved Assessment Center must be as responsive to demand as is feasible.

e) Approved Assessment Centers must only employ registered and competent assessors as well as internal verifiers to conduct assessments.

f) All assessments will be against the appropriate national occupational standards and assessment instruments.

g) Approved Assessment Centers may have their approval withdrawn for failure to maintain compliance with the TVETA external quality assurance standards for approval including failure to supervise the professional practice of the registered competent assessors operating as TVETA Approved Assessment Centre.

Table 3: Approval process for assessment centers

<table>
<thead>
<tr>
<th>#</th>
<th>Process Steps</th>
<th>Inputs to the Process</th>
<th>Responsibilities</th>
</tr>
</thead>
</table>
| 1  | Inquiries about TVETA Accredited CBT program | • Letter of Intent submitted by the Registered Training Provider  
• TVETA provides briefing               | Registered TVET Institution                                                          |
| 2  | Undertakes self-evaluation           | TVETA provides access to the QA Manual                                                | Registered TVET Institution            |
| 3  | Submit formal application            | TVETA recommends external auditor if documents are complete                          | TVET Providers                        |
| 4  | Evaluate submitted documents         | External Auditor will generally use the same criteria used in the self-evaluation.  | TVETA External Auditor/Officer (EAO)  |
| 5  | Conduct external assessment          | Conduct external assessment                                                           | TVETA External Auditor/Officer (EAO)  |
| 6  | Approved Assessment Centre          | • External Auditor/ Auditor (EAO) recommends approval  
• Assessment Centre is valid for 5 years  
• Denied applicants can appeal         | TVETA Board                                                                         |

TVETA provides a comprehensive procedure and checklist for assessment center approval, the Procedure for Assessment Centre Approval.
3.3 Human Resources

3.3.1 Requirements for TVET trainers

TVETA has established requirements for the registration and licensing of TVET trainers as third most important ingredient for TVET provision in accordance with the TVET Act, 2013. The external quality assurance of trainers assures that they possess adequate and relevant qualifications as specified in the relevant TVET regulations. Trainers must renew training licences periodically based on evidence of continuous professional development as specified in the relevant TVETA regulations. The following basic trainer competency guidelines apply:

✓ A trainer must possess at least one qualification level higher than the training level;
✓ Each trainer must have the relevant technical and vocational competencies at least to the level being delivered or assessed;
✓ A trainer should be able to:
  o plan a training session,
  o deliver competency based education and training (CBET),
  o conduct diagnostic, formative (assessment of learning outcomes) and summative competency assessments,
  o conduct assessment of prior learning, which may be conducted at any level at the convenience of the candidate,
  o maintain training facilities.

Trainers must be able to apply assessment methods to discover a candidate’s strengths and weaknesses, to identify a learning programme for them, or to assign them to a specific group. This use of assessment is called ‘diagnostic’, and aids individual progress by identifying an appropriate learning path. Formative assessment includes the continual assessment of learning outcomes along the training occupational standard and ability to conduct oral questioning, written examination, assessment of demonstration, observation, project work, and review of third party reports. Trainers must be capable to administer formative assessments based on appropriate proportion between theory and practice.

Accredited trainers must also be able to make summative assessments of other trainees than their own at the end of each training module, if they are accredited competence assessors/verifiers.

More information on TVET trainer profiles and competency descriptors is included in the TVETA Trainer Qualifications Framework.

3.3.2 Registration, accreditation and licensing of assessment related personnel (assessors, internal and external verifiers)

The registration and accreditation of CBET assessors and internal and external verifiers is another important element of the external quality assurance system established by TVETA in support of the TVET Act, 2013 and part of the internal verification system of a TVET institution or work place training provider.
Assessors have to be trained in CBET assessment procedures, must be experienced in the occupation/subject area covered by the unit/s to be assessed and must be familiar with the award standards and documentation. Assessors are often trainers, who assess the trainees, whom they did not train themselves. Trainers are encouraged to apply for accreditation as assessors.

Internal verification is the process by which the TVET institution of workplace training provider ensures that all internal assessments are valid, reliable and practicable. It is a quality assurance mechanism used to ensure consistency and fairness in deciding upon trainee’s evidence, and to provide advice and support for assessors. Internal verification is a vital element of the quality assurance procedures that support the assessment arrangement for CBET programmes.

A TVET institution of workplace training provider is wholly responsible for the design and effective management of the internal verification system. For internal verification and assessment, the Training provider relies on the institution’s QMS and the activities of qualified internal assessors and verifiers.

Internal verifiers have to be trained in assessment and internal verification procedures, must be experienced in the occupation/subject area covered by the unit/s to be verified and must be familiar with the award standards and documentation.

External Verification is a quality assurance measure used to confirm that each Training institution offering internally assessed programmes or parts of it (units/courses) has carried out the assessment in line with the requirements of the national unit specifications. External Verification underpins all TVET qualifications. It is a vital element of the quality assurance procedure that must be applied to the assessment arrangements for TVET.

External verifiers with their specific industry experience play a very important role in safeguarding the quality of assessments undertaken and in checking that assessment criteria are consistently applied. TVETA will register and accredit external verifiers that meet accreditation requirements with respect to the different levels of the KNQF. External verifiers operate on a subject- and unit-by-unit specific basis to access all levels of qualification by the TVET institution.

Table 4: List of basic competences of assessors and verifiers

<table>
<thead>
<tr>
<th>Unit of competence</th>
<th>External Verifiers</th>
<th>Internal verifier</th>
<th>Assessor</th>
</tr>
</thead>
<tbody>
<tr>
<td>01 Facilitate individual learning</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>02 Facilitate group based delivery</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>03 Assess competence</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>04 Design and organise learning resources</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>05 Develop assessment tools</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>06 Plan and organise assessment</td>
<td>✓</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>07 Design and develop learning programs</td>
<td>✓</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>08 Monitoring</td>
<td>✓</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>09 Use competency standards to meet client needs</td>
<td>✓</td>
<td></td>
<td></td>
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<tr>
<td>10 Lead and coordinate training services</td>
<td>✓</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11 Lead and coordinate assessment systems and services</td>
<td></td>
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<tr>
<td>12 Lead and conduct training and/or assessment evaluations</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>13 Moderation</td>
<td>✓</td>
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</tbody>
</table>
More information on TVET assessor and verifier registration, accreditation and licensing is included in the TVETA Procedure(s) for registration, accreditation and licensing for assessors, internal and external verifiers and the Competence Standards for Quality Assurance Related Personnel.

3.4 Requirements for TVET programmes and courses

An important function of TVETA is to evaluate each training programme or course in order to confirm compliance with specific program occupation standards. All TVET programmes or courses must be approved and accredited by TVETA. TVETA ensures that the programme and course quality meets the needs of local and international competency requirements. The tool for this is the establishment of Training Occupational Standards (TOS). The training occupational standards are based on industry driven occupational standards. With the TOS, TVETA also prescribes minimum admission criteria to training institutions and programmes for trainees assuring quality from all entries of the quality equation.

According to the TVET Act the following applies to programmes of instruction in TVET institutions:

1) An institution offering TVET may, with the approval of the TVETA, introduce, review or alter programmes of instruction or courses of study.
2) The training programmes shall be designed so as to operate within a framework which leads to lifelong education and training, and which facilitates:

   i. innovativeness and creativity;
   ii. continuation of training for improvement of professional qualifications and updating of knowledge, skills and understanding;
   iii. complementary education for those receiving TVET in the form of on-the-job training or other training in institutions or other facilities;
   iv. special needs of persons with disability, minorities and marginalized groups.

The programmes/courses and units should be output oriented, competency based and aligned with the TVETA CBETA standards and guidelines.

Different bodies and institutions, which are legally mandated to develop curricula for TVET institutions that meet national qualifications as specified by the Kenya National Qualifications Framework (KNQF). TVET institutions may choose which curricula they apply, as long as those curricula have been approved by TVETA. However, the TVET institution needs to prove its capability to deliver the programmes and courses. The Quality Audits will evaluate this capability based on minimum requirements for facilities, equipment and trainers. Training delivery can be evaluated during institutional audits.

In support of regular monitoring and external quality assurance, TVET institutions are obliged to file annual self-evaluation reports in a manner prescribed by TVETA, which shall include details of development made in the institution’s physical infrastructure and training.

TVETA has released fundamental TVET standards and guidelines such as the CBETA STANDARDS AND GUIDELINES, which are important for external quality assurance. Some of the parts of this manual directly refer to these guidelines. These TVET standards and guidelines shall be implemented nationally.
3.4.1 TVET programme and course development and approval

Other important QA functions of TVETA regarding TVET programmes and courses are the guidance of development process and a programme/course approval function. The approval of the training program or course and how it must be designed is based on a curriculum development standard which must be implemented by all curricula development and assessment bodies. No Programme or course of training can be mounted in an institution without prior approval by TVETA. This necessarily needs an audit of the standard of the program before allowing its accreditation.

The training in all TVET institution in Kenya shall be competency based. The competency-based approach is an output-oriented approach that aims at equipping graduates with competences in line with defined industry and occupational requirements. The basic idea is that TVET institutions should apply industry generated or driven occupational standards (OS), which connects the student or apprentice with real world of work requirements through a training standard, based on OS. It is expected that all curricula developing bodies will gradually apply the competency-based approach in all their curricula.

![Figure: Interrelationship between Occupational and Training Standards]

<table>
<thead>
<tr>
<th>Work Place Occupation Standards</th>
<th>Training Standards</th>
</tr>
</thead>
<tbody>
<tr>
<td>o Prepare job descriptions and specifications</td>
<td>o Determine the criteria to award the TVET Qualification</td>
</tr>
<tr>
<td>o Determine recruitment criteria</td>
<td>o Provide the Standards to develop training programmes /curriculum</td>
</tr>
<tr>
<td>o Set in-house standards of performance and develop workplace procedures</td>
<td>o Provide the standards to approve, accredit and undertake surveillance audit on developed programmes</td>
</tr>
<tr>
<td>o Form a benchmark for quality of work performance</td>
<td>o Provide the Standards for Assessment of learning outcomes of training</td>
</tr>
<tr>
<td></td>
<td>o Identify skill gaps and training needs after monitoring and evaluation</td>
</tr>
</tbody>
</table>

Curriculum development is under the responsibility of curricula developing bodies, quality assurance of training programmes and courses is a task of TVETA. The provision of standards and guidelines in TVET institutions has been apportioned to TVET Authority, regulating curricula development and examinations/assessment and training delivery.

3.4.2 External verification

TVETA is mandated to establish standards and guidelines on quality and relevance, which must be implemented by the TVET institutions and other person directly or indirectly engaged in training and be observed by regulatory and quality assurance agencies. Training outcomes are assessed, examined and recorded in diagnostic, formative and summative assessments. Assessments are subject to internal verification, which is conducted by the TVET institution and external verification by external verifiers.

The external verification is part of external quality assurance process, which TVETA and other legally recognized bodies undertake to ensure that an approved training centre maintains appropriate quality in its assessment process. The personnel involved in this process are the external verifiers or examiners appointed by competent bodies, such as KNEC, KASNEB or NITA. They regularly audit the assessment system of the training centre focusing on auditing the assessment system, records of evidence and assessments, and sampling assessment and monitors the working relationships between assessors and candidates. Through external verification, TVETA verifies the assessment decision by checking compliance
with the verification standard to ensure that assessment and internal verification procedures are conducted in accordance with mandatory QA requirements established by TVETA. The results of external verifications are recorded in quality assurance and general reports of the findings and recommendations to the examining body. The internal assessor, moderator and external verifier in the CBET assessment principles and processes are guided by the components shown in the appendices B and C of TVETA’s CBET standards and guidelines.

3.4.3 Certification

Certificates of Competency to individuals who have satisfactorily demonstrated competence on a particular module or cluster of competencies or to individuals who have been assessed for prior learning are issued by approved Certification Agencies. Final Certificates are issued when a candidate has demonstrated competence in all units of competency that comprise a Qualification. External QA should assure that the mandatory certification procedures are maintained. This contributes to reliability and trust in the TVET sector.

- “Certificate” means the level of qualification below diploma or its equivalent;
- “Diploma” means the level of qualification below degree and above a certificate. 
  
  **TVET Act**

- “Competence Certificate” is a documented confirmation that a person has passed an assessment to prove competence

More information on CBET programmes and course requirements is included in the TVETA CBETA Standards and Guidelines.

3.5 External quality assurance methods and procedures

The following table summarises the mandatory legal QA related requirements for the TVET sector in Kenya with references to the TVET Act. Assessments and examinations are subject to internal and external verification. Certification is under the responsibility of officially approved and recognised certification bodies.

Table 5: TVET provision and external QA tools

<table>
<thead>
<tr>
<th></th>
<th>Registration</th>
<th>Accreditation</th>
<th>Licensing</th>
<th>Quality Audit</th>
<th>Monitoring</th>
<th>Evaluation</th>
<th>Approval</th>
</tr>
</thead>
<tbody>
<tr>
<td>TVET institutions or persons offering training (Sections 17, 20, 33(3) &amp; (4))</td>
<td>YES</td>
<td>YES (Sections 22(1), 31(1)b))</td>
<td>YES</td>
<td>YES</td>
<td>YES</td>
<td>YES</td>
<td>YES</td>
</tr>
<tr>
<td>Foreign TVET institutions (Section 22)</td>
<td>YES</td>
<td>YES</td>
<td>YES</td>
<td>YES</td>
<td></td>
<td>YES</td>
<td></td>
</tr>
<tr>
<td>TVET programmes or courses (Sections 32)</td>
<td></td>
<td></td>
<td>YES</td>
<td></td>
<td>YES</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Qualification or academic award</td>
<td>YES</td>
<td>YES</td>
<td>YES</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assessment Centers</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>YES</td>
<td></td>
<td></td>
</tr>
<tr>
<td>TVET trainers</td>
<td>YES</td>
<td>YES</td>
<td>YES</td>
<td>YES</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Monitors / Evaluators</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Trained by TVETA for Quality Audit purposes</td>
<td></td>
</tr>
</tbody>
</table>
Chapter 4  External quality assurance related personnel and processes

The competence of the personnel involved is very important for the external quality assurance. This chapter presents an overview of important criteria for the competence of QA personnel. According to TVETA standards and procedures, in all important aspects of QA only registered, accredited and licensed personnel shall be involved in programme or course delivery, assessment and verification of outcomes of competence based TVET programmes that lead to qualifications on the KNQF.

The purpose of registration, accreditation and licensing is to ensure that training and assessment in TVET meets identified quality standards and that TVET institutions have the personnel to provide TVET courses and programmes as well as assessments, which are compliant with all quality requirements for CBET. Trainers, assessors and verifiers must meet the eligibility criteria and comply with the relevant requirements for registration in order to be registered, accredited and licensed by TVETA.

4.1 Competence of Quality Auditors, Monitors, Evaluators and other external QA related personnel

Quality assurance is a task for the entire TVET community. It is teamwork! Moreover, even for external quality assurance the character is not punitive but rather supportive and advisory. Of course, if a TVET institution were not complying with mandatory standards, this would be a reason for exclusion from TVET provision.

Nevertheless, what is the function of external quality assurance personnel and TVETA? First, it is to help TVET institutions to comply with all mandatory requirements in the best interest of their trainees. In all cases of TVET institutions having the necessary potential, understanding and will to provide quality, TVETA should provide maximum support and guide the institution on its quest for compliance. Both technical competence and requisite personality is needed for the task of external evaluation to be efficiently done.

The task of external quality assurance should result in unbiased technical conclusions based on due procedure. The facts should be presented in an objective, empathetic, cooperative and helpful way and necessary improvements clearly outlined. All external quality assurance personnel must comply with TVETA’s quality standards for external QA personnel. Therefore, proper training, re-training and approval by TVETA is required. Performance records of external QA personnel should be maintained.

The accuracy and reliability of external QA depends on the competencies of the QA personnel, which are based on:

✓ personality and personal suitability;
✓ the professional attributes, including the ability to apply knowledge and skills acquired through education, trainings, work experience and experience in previous external quality assurance.

5 This part is partly inspired by the international standard ISO 19011 – Guidelines for quality and/or environmental management systems auditing
Auditors, monitors and evaluators also must have the competence to moderate the external verification of assessments, e.g. the ability of matching and guiding on TVET institutions and assessment centres on the process of external verification including the matching with competent external verifiers.

The following figure illustrates the competence framework of external quality assurance personnel, e.g. external evaluators, inspectors, assessors or auditors. It can be applied to all TVETA staff and service providers engaged in direct interaction with TVET institutions. Each representative of TVETA must have the professional expertise to discharge his or her duty and the personality required to fulfil TVETA’s service promise.

Figure 5: Competence Framework for QA personnel

The competence of QA assurance personnel should also be continually developed. TVETA must ensure that the personnel and service institutions engaged in external QA with TVET institutions must be competent at all times. The goal is to establish a pool of professionals, competent and suitable evaluators and other external QA personnel with the right personality for the job.

4.1.1 Education, work experience, training and professional QA experience

External quality assurance personnel must have relevant education, work experience, training or QA experience, which are sufficient to conduct external quality assurance procedures professionally, diligently and on sufficiently high technical level.

The levels of education required, work experience and training requirements as well as the necessary previous QA experience and criteria for the required or any other technical formation are established by TVETA. The following applies:
✓ Completed education and training, which are sufficient to acquire the knowledge and skills described in 4.1.3;
✓ Work experience in the professional area and/or TVET or any other work experience beneficial for the purpose. This experience should cover the technical fields of interest, positions, which include exercise of judgement, problem solving, critical thinking, communication with professionals, peers and interested parties;
✓ Work experience in the field of quality assurance or quality management would be a strong asset;
✓ Completed training as determined by TVETA for the respective category of quality assurance personnel. This training can be provided by TVETA, in a TVET institution or any other competent external organisation or person. Proof has to be provided to TVETA;
✓ Lead assessors (Quality Audit team leaders), evaluators must demonstrate previous Quality Audit, evaluation or audit experience in at least three TVET institutions during the past year.

The following table summarises the requirements to different groups of external QA personnel in terms of education, training, work experience and QA experience.

Figure 6: Required technical formation for external QA personnel

<table>
<thead>
<tr>
<th>Professional formation</th>
<th>Evaluator/Monitor</th>
<th>Auditor</th>
<th>Audit team leader</th>
</tr>
</thead>
<tbody>
<tr>
<td>Education</td>
<td>Bachelor’s Degree</td>
<td>Bachelor’s Degree</td>
<td>Bachelor’s Degree</td>
</tr>
<tr>
<td>Total work experience</td>
<td>5 years</td>
<td>8 years</td>
<td>10 years</td>
</tr>
<tr>
<td>Work experience in quality assurance or management</td>
<td>-</td>
<td>-</td>
<td>2 years</td>
</tr>
<tr>
<td>Quality assurance training</td>
<td>20 hours QA theory</td>
<td>10 hours assessor instruction</td>
<td>20 hours QA theory</td>
</tr>
<tr>
<td>Evaluation, Quality Audit or monitoring experience</td>
<td>Participation in at least three audits as trainee or 7 days of audit experience under the lead of an auditor or audit team leader and adequate monitoring experience as determined by TVETA</td>
<td>Participation in at least three Quality Audits as trainee or 7 days of Quality Audit experience under the lead of an assessor</td>
<td>Participation in at least 10 audits as evaluator</td>
</tr>
</tbody>
</table>

4.1.2 Personality and personal characteristics of QA personnel

Quality assurance personnel, e.g. external evaluators, monitors and auditors must have the personality and personal characteristics necessary to undertake external quality assurance in an unimpeded professional, cooperative, empathetic manner, maintaining professional conduct at all times. To conduct professional Quality Audits or evaluations, any TVETA QA personnel, who in direct contact with TVET institutions or stakeholders conduct external QA procedures, should demonstrate the following personality features and personal characteristics:

✓ ethical mind-set and attitudes including being fair, sincere, honest and discreet;
✓ open-mindedness – being willing to consider alternative ideas or points of view;
✓ diplomatic and tactful;
✓ observant;
✓ perceptive for any situations occurring during QA procedures;
✓ able to quickly adjust depending on the situation;
✓ persistent in achieving the objectives of the QA procedure;
✓ decisive, reaching timely conclusions based on logical and sound analysis;
✓ independent and self-reliant;
✓ interacting effectively.

TVETA will apply appropriate training and assessment methods and procedures to ensure the personal suitability of all external TVET QA personnel.

4.1.3 Necessary knowledge and skills of QA personnel

Quality assurance and audit knowledge and skills

<table>
<thead>
<tr>
<th>Knowledge</th>
<th>Skills</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) TVET quality assurance framework</td>
<td>a) Apply QA principles, procedures, tools and methods</td>
</tr>
<tr>
<td>b) Quality assurance principles, procedures, tools and methods</td>
<td>b) Apply evaluation and assessment standards</td>
</tr>
<tr>
<td>c) Quality assurance terminology and definitions</td>
<td>c) Planning assessments, Quality Audits, evaluations or audits</td>
</tr>
<tr>
<td>d) TVETA standards and criteria for external QA</td>
<td>d) Lead and coordinate team members whenever necessary and required</td>
</tr>
<tr>
<td>e) knowledge of the TVETA QA toolbox</td>
<td></td>
</tr>
<tr>
<td>f) TVET quality assurance, evaluation and audit standards and applicable occupational and training standards</td>
<td></td>
</tr>
<tr>
<td>g) TVET institution’s QMS</td>
<td></td>
</tr>
<tr>
<td>h) Methods for reviewing evidence for auditing compliance</td>
<td></td>
</tr>
</tbody>
</table>

Sector and generic knowledge and skills

<table>
<thead>
<tr>
<th>Knowledge</th>
<th>Skills</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Governance system in the TVET sector from national to local</td>
<td>a) Planning skills</td>
</tr>
<tr>
<td>b) Industrial and economic environment of the TVET institution</td>
<td>b) Time management</td>
</tr>
<tr>
<td>c) Scope and specialisation of the TVET institution</td>
<td>c) Team management skills</td>
</tr>
<tr>
<td>d) Sector specific terminology, processes and practices</td>
<td>d) Prioritizing and focusing on significant issues</td>
</tr>
<tr>
<td>e) Business processes – core and support processes of the TVET institution</td>
<td>e) Observation skills</td>
</tr>
<tr>
<td>f) Applicable law, regulations and requirements</td>
<td>f) Document review skills</td>
</tr>
<tr>
<td>g) Other specific requirements of the audited TVET institution</td>
<td>g) Interviewing skills</td>
</tr>
<tr>
<td>h) Knowledge of interview methods, questioning techniques, communication rules</td>
<td>h) Effective listening</td>
</tr>
<tr>
<td>i) Verification methods for evidence collected</td>
<td>i) Communication and presentation skills</td>
</tr>
<tr>
<td>j) Filing systems</td>
<td>j) Analytical skills</td>
</tr>
<tr>
<td>k) Reporting standards, structures and purposes</td>
<td>k) Conflict management skills</td>
</tr>
</tbody>
</table>

TVETA shall provide lists of minimum requirements for facilities and equipment for training programmes/courses.
4.1.4 Continuous professional development and QA competence

It is not only enough to demonstrate the required competences when QA personnel is approved. It is absolutely necessary to maintain and continuously develop competences necessary for the QA. Therefore, TVETA establishes criteria and norms of continuous professional development aimed at maintaining and updating knowledge, skills, including generic soft skills, and work on personal characteristics.

Appropriate means are learning groups and communities of evaluators, monitors and auditors sharing experiences, best practices, changes in regulations and QA standards and procedural changes. Private studies are encouraged, information resources should be shared. Regular meetings, refreshment trainings and other capacity building measures will be scheduled and conducted by TVETA.

Regular participation in external QA activities is a pre-condition to maintain accreditation of QA personnel.

4.1.5 QA personnel register, performance measuring and record keeping

Register of QA personnel

TVETA maintains a register of all QA personnel engaged in TVETAs external QA procedures and activities. The register includes name, contact details, status, records of educational, work and training background, performance assessments and records of evaluations and other QA activities conducted. The register is continuously updated.

Pre-service evaluation and Performance measuring

Whenever necessary and appropriate, performance measuring and appraisal of evaluators, auditors and monitors should be conducted. The performance measuring/evaluation of QA personnel should be planned, implemented and recorded alongside evaluation and other QA activities. The objective of performance measuring is to identify necessary capacity development and training needs. The evaluation of QA personnel includes an initial evaluation/test as pre-condition for engagement as TVETA quality auditor, evaluator or monitor and continuous evaluations/performance measuring and evaluation, which is conducted by the TVETA department in charge.

Pre-evaluation of required QA competence

TVETA must make sure that the evaluators or auditors evaluating a TVET institution have the necessary knowledge and skills and experience to audit the respective TVET institution. They must have the required occupational scope. Auditors with a professional background in welding and machinery may not be qualified to audit a medical school training of nurses and hospital staff. The required experience and professional competence will also depend on the size and complexity of the institution or programme to be audited.

Audit criteria and procedures for evaluators, quality auditors and other external QA personnel will be established by TVETA. The methods used to assess competencies of QA personnel include review of
records, observations and feedbacks from TVET institutions and audit teams, interviews and testing. Table 5 below provides an overview.

Table 6: Evaluation methods for QA personnel

<table>
<thead>
<tr>
<th>Method</th>
<th>Objectives</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review of records</td>
<td>Verification of the background</td>
<td>Education and training records, statements of service or certificates from previous employments</td>
</tr>
<tr>
<td>Feedback</td>
<td>Performance measurement</td>
<td>Survey, feedback forms and questionnaires, testimonials and complaints etc.</td>
</tr>
<tr>
<td>Interview</td>
<td>Evaluation of personal characteristics and personality, communication skills, stress resilience, knowledge and inquiry of other helpful information</td>
<td>Face-to-face interview or interview by phone</td>
</tr>
<tr>
<td>Observation</td>
<td>Observation of behavior and skills as well as applicability of knowledge</td>
<td>Observers during evaluations or Quality Audits, role plays in test situations</td>
</tr>
<tr>
<td>Testing</td>
<td>Evaluation of personality, skills and knowledge and their application</td>
<td>Oral or written testing</td>
</tr>
</tbody>
</table>

4.2 External QA procedures

This part of the manual is briefly explaining and outlining the procedures and methods used for external quality assurance and processes involved. These procedures mainly include document review, quality audit, monitoring and evaluation of TVET institutions using appropriate audit tools. Before the external audit is undertaken, the experts of TVETA are reviewing the registration applications and self-evaluation questionnaires submitted by TVET institutions. Quality audits of TVET institutions by TVETA basically involves evaluation of conformity with mandatory requirements measured against quality indicators.

For the purpose of quality audit, TVETA is fielding quality audit teams of usually 2-3 quality auditors under the leadership of a lead auditor.

4.2.1 Quality Audit of TVET institutions

Quality audits are used by TVETA to evaluate services offered by TVET institutions. Quality audits are conducted for initial registration, accreditation and licensing and are repeated every five years. They cover the entire TVET institution. Programmed quality audits may be conducted biennially after initial registration, accreditation and licensing or randomly without prior notification of the institutions, selectively choosing parts of the institutions for the audit. In cases of reports about risks, non-compliance with mandatory quality standards or irregularities TVETA can initiate random quality audits at any time.

4.2.1.1 Objectives of Quality Audits of TVET institutions

TVETA Quality Audits for TVET institutions have the following objectives:

a) Review of documented evidence of the TVET institution on the spot. It is evaluated whether or not mandatory documentation is available;

b) Evaluating trainer qualification based on personnel records kept in the TVET institution and interviewing of trainers;
c) Quality audit of facilities, tools, materials and equipment in regard to programmes and courses offered. The auditors evaluate whether the institution complies with minimum facilities and equipment requirements based on programme standards;
d) confirmation of compliance with registration, accreditation and licensing standards and requirements and collection of compliance evidence;
e) contribution to improvements of the TVET institution.

4.2.2 Monitoring and evaluation of training institutions

Training shall be of quality and relevance and in accordance with the standards set out by the Board, and shall implement the objectives stated under the TVET Act. Therefore, every institution shall put in place internal systems to ensure the maintenance of standards, quality and relevance of training programmes.

TVETA establishes mechanisms for monitoring and evaluating services and programmes in accordance with the TVET Act to ensure and assure standards, quality and relevance in the provision of programmes and management of institutions on a continuous basis. Pursuant to this regulation, TVETA shall conduct periodic evaluation of each institution for purposes of auditing and evaluating on a regular basis the quality of training offered at or by each particular institution.

A monitor for the purposes of TVET QA is a person who has the job of watching quality indicators or noticing deviations from quality standards set for TVET provision or risks of potential deviations. Monitors are continuously watching and checking the situation in particular TVET institutions for certain periods of time in order to draw conclusions about its performance and identify potential for improvements. Monitors are qualified to draft aggregated and analytical reports and participate in self-evaluations and contribute to external quality audits.

An evaluator is a person who is qualified to review institutional, programme or trainer quality in TVET institutions from an external perspective. Evaluators can evaluate how well TVET institutions are performing and if they are complying with mandatory quality requirements. The evaluator is supporting external quality assurance and has similar functions as TVETA quality auditors. Evaluators can be appointed by TVETA as external quality auditors. In this case, they work under a TVETA appointed lead auditor. They can also support quality assurance in second party inter-institutional quality audits.

TVETA is providing training and certification of QA personnel, who are competent to be monitors and evaluators. Interested persons can enrol in TVETA trainings to be certified and registered by TVETA as Monitors/Evaluators.

4.2.3 Quality audit processes flowcharts

This part of the manual includes process flowcharts of the basic procedures for external quality assurance facilitating quick orientation and guidance. The following figure provides a general overview of the licensing procedures. It has to be kept in mind that institutional accreditation and licensing are granted in connection with approved programmes and courses, which are mounted in the institution. Institutional registration alone does not lead to a valid license.
Any TVET institution, which applies for licensing as a pre-condition to offer TVET in Kenya, needs to mount approved and accredited TVET programmes or courses and must ensure that, facilities and equipment comply with minimum standards for the specific programmes and that the trainers are registered and licensed with TVETA.

Figure 7: General institutional licensing procedure - an overview

4.2.3.1 Registration, accreditation and licensing of a TVET institution

The purpose of this procedure is to ensure timely and effective registration, accreditation and licensing of TVET institutions. Registration and the following QA procedures are based on an application submitted to TVETA. TVETA provides standard registration application forms and self-evaluation forms, which have to be submitted prior to the on-site quality audit. Applications are registered in an application register and audits will be scheduled accordingly. The purpose of the institutional quality audit is in this case the assessment of compliance with the TVETA registration criteria.

Accreditation and licensing of a TVET institution is based on successful registration and mounting of approved training programmes or study courses. Another pre-condition is the registration and licensing of the trainers delivering the programmes or courses. Accreditation and licensing of an institution without programs to be offered is not possible.
Figure 8: Institutional registration process part 1

Institutional registration accreditation and licensing step by step

1. This procedure starts with TVETA giving guidance and consultation to the applying TVET institution and providing it with forms.
2. Subsequently the institution submits the application form and required documentation to TVETA.
3. TVETA records the application and submitted documentation in the application register.
4. In a next step the accreditation department evaluates the application against published criteria of registration of TVET institutions and assesses the completeness of the application (max. two weeks from the date of receipt). The completeness will be recorded in the application register. Should the application be found to be incomplete, the applicant shall be requested to submit the missing documentation.
5. Accreditation Department prepares an audit schedule and submits it to the DG for approval.
6. Upon approval by the DG, Accreditation Dept. forwards the auditing schedule to the finance officer and lead assessor for preparation of the accreditation audit.
7. Based on the audit schedule The audit teams, which include the lead quality audits or and team auditors are physically carrying out the institutional on-site audit of the institution, using the TVETA pre-designed registration audit tool.
8. Upon completed quality audit, the TVETA audit team shall prepare an audit report and the lead auditor shall forward the soft copy of the audit reports to the Head of Accreditation within two weeks from end of the audit date.

9. The Head of Accreditation shall then prepare a summary of all actual audit reports in a Board paper for presentation to the Technical Committee.

10. The Technical Committee then evaluates the summary of the audit reports as guided by the TVET Act, 2013 and regulations for the purpose of recommending registration, accreditation and licensing of the institution within two weeks from the date of submission of the audit report.

11. The Chair of the Technical Committee shall present a board paper containing recommendations of the technical committee of TVET institutions to the board within a week from date of the Technical Committee meeting.

12. The Board discusses the recommendations of the Technical Committee concludes on recommendations. The decision of the board may either lead to declining registration, accreditation and licensing. If the board declines accreditation of an institution, the decision shall be communicated with recommendations as per section 21 (2) of the TVET Act, 2013. An institution, whose accreditation has been declined, may resubmit the application within a period of six months as per section 21 (3) of the TVET Act. This process is deemed to be completed when the institution receives the communication of the Board’s decision.

13. If the board is satisfied that institution meets the requirements for registration, accreditation and licensing the institution’s particulars shall be entered into a register in accordance with section 25 (1) (a) of the TVET Act and a registration and licensing certificate will be prepared in a prescribed format. This process is completed when the certificates are issued.

List of applicable forms and records for institutional registration

- Standard application form
- Receipt of applications form
- Application checklist form
- Self assessment form
- TVETA Inspection tool
- Application register
- Acknowledgement register
- Registration register
4.2.3.2 Registration, accreditation and licensing of trainers

The purpose of this procedure is to ensure that TVET Act section 23 and 25/1b) are fulfilled. Any person who intends to become a trainer in an institution shall apply for licensing and registration with applications in a prescribed format. The registration and licensing of trainers is an important measure to ensure that the technical trainers delivering training services for approved TVET programmes and courses in licensed TVET institutions are competent and compliant with mandatory criteria for trainers. TVETA has introduced a Trainer Qualifications Framework, which will be used as an additional tool to assess and categorize trainer competences.

The TVET Act, 2013 sections 17 and 23 provides for the registration, accreditation and licensing of trainers.

List of applicable forms and records for trainer registration, accreditation and licensing

✓ Standard application forms
✓ Receipt of applications form
✓ Application register
✓ Acknowledgement register

Figure 10: Trainer registration and licensing process part 1

Trainee registration, accreditation and licensing step by step

1. This procedure shall start with TVETA receiving application forms and other enclosed documents from a trainer and entering it in the application register.
2. The Head of Accreditation shall evaluate the application against the requirement criteria for accreditation of trainers and acknowledge completeness of the application within two weeks from the date of receipt of the application, and enter the details of the application in an acknowledgement register.
3. Should the application be found to be incomplete, the applicant shall be requested to submit the missing document(s).
4. The Head of Accreditation shall form a committee and prepare a schedule for evaluation of documents of trainers who comply with requirements for accreditation and submit it to the DG for approval.
5. Upon approval by the DG, the Head of Accreditation shall forward the schedule to the Finance officer for processing of Committee members’ facilitation.
6. The accreditation committee shall peruse trainer documents using TVET regulations, 2015 and the trainer registration criteria. The committee will prepare trainers accreditation reports and submit them to the Head of Accreditation.
The Head of Accreditation shall then prepare a summary of accreditation reports in a Board paper for presentation to the Technical Committee.

The Technical Committee shall evaluate the summary of trainer accreditation reports as appropriate guided by the TVET Act, 2013 and TVET regulations, 2015 for the purpose of recommending accreditation.

The Chair of the Technical Committee shall present a board paper containing recommendations for accreditation of trainers to the board within a week from date of the Technical Committee meeting.

The TVETA Board shall discuss the recommendations of the Technical Committee and make recommendations about accreditation of the presented trainers. The decision of the board may lead to either decline or approve the recommendations of the technical committee.

If the board declines the accreditation of the trainer, the decision shall communicated with recommendations.

A trainer whose accreditation has been declined may appeal to the Cabinet Secretary within a period of thirty days from the date of notification. This process is deemed to be completed when the trainer receives the communication of the Board’s decision.

If the board is satisfied that a trainer meets the requirements for licensing, the trainer’s particulars will be entered in the register of accredited trainer as per section 25(1) (b) of the TVET Act and a trainer license will be prepared in a prescribed format. This process is deemed to be completed when the trainer is issued with a license.

4.2.3.3 Approval of training programmes

The purpose of this procedure is to ensure timely and effective Approval of training programmes and to ensure that the requirements of Section 32 of the TVET Act are met, before the programmes or courses are mounted in an institution. Based on the registration and approval of mounted programmes or courses, an institution can be accredited and licensed. Section 32(1) of the TVET Act reads as follows: “An institution offering technical and vocational education and training may with the approval of the Board, introduce, review or alter programmes of instruction or courses of study.”

The mandatory approval of programmes or courses of study is another important mechanism to assure the quality of TVET provided. TVETA usually includes in the quality audits the audit of training programmes or courses based on their curricula and makes sure that the institution fulfills minimum mandatory requirements for delivery of these courses.

For the purposes of standardisation based on the competence based concept (CBET) throughout curricula development by different curriculum development bodies TVETA has introduced the “Competence based Education and Training and Assessment Standards and Guidelines”, which shall be binding for all curricula developers. As long as there are different curricula in use in Kenya, TVETA generally accepts the curricula provided by recognised curricula development bodies. When a TVET institution uses curricula developed by legally mandated bodies, such as CDACC, NITA, professional bodies and institutions legally mandated
to develop their own curricula, such as Technical Universities and National Polytechnics among others, are accepted during TVETA quality audits, as long as these curricula comply with the KNQF requirements.

The procedure presented in the following flow charts is depicting the approval process of a new or revised curriculum. In case of compliance, approval by TVETA will be granted and the training programme or course of study can be mounted.

Figure 12: Approval of programmes or study courses part 1

List of applicable forms and records for training programme or study course approval

✓ Standard application forms
✓ Receipt of applications form
✓ Application register
✓ Acknowledgement register
✓ Approval register

Approval of training programmes or study courses

1. This procedure shall start with TVETA receiving a proposal from TVET Institution requesting to introduce a new or review an existing training programme or course of study.
2. TVETA shall review the proposal and forward to the Head of Standards and Compliance to determine if its development is relevant.
3. The Head of Standards and Compliance shall evaluate the proposal and provide Training Standards to be followed in development of the Programme.
4. If the proposal is found to be already available or not relevant the applicant shall be advised as appropriate.
5. The Head of Standards and Compliance shall submit the Programme Standard and approval for starting the process of development for approval by the DG.
6. Upon approval by the DG, the applicant shall approach a legally mandated curriculum developer to develop the program as per the training Standards.
7. The completed Training Programme shall be submitted to TVETA for approval for use. The Head of Standards and Compliance and the committee of experts shall evaluate for compliance with the Training Standard.
8. The head of Standards and Compliance shall prepare a summary of evaluation reports in a Board paper for presentation to the Technical Committee of the TVETA board.

9. The Technical Committee shall evaluate the summary of training programme approval report as appropriate guided by the Programme approval criteria, TVET Act, 2013 and TVET regulations, 2015 for the purpose of recommending approval of the Programme.

10. The chair of the Technical Committee of the boards shall then prepare a board paper which shall contain recommendations for approval of the training programme for presentation to the TVETA board within a week from date of the Technical Committee meeting.

11. The TVETA Board shall discuss the recommendations of the Technical Committee and make recommendations about approval of the presented training programme.

12. The board may either approve or decline the recommendations of the committee as per section 32 of the TVET Act, 2013.

13. The decision of the board shall be communicated to the applicants accordingly

14. An approved training programme shall be entered in the approval register.
### ANNEX 1: Terms, Vocabulary, Definitions and Abbreviations

**Accreditation**

“Accreditation” means the process by which the Board formally recognizes and confirms by certification that an institution has met and continues to meet the standards of academic, training and competence excellence set by the Board in accordance with the provisions of the TVET Act. (TVET Act)

Accreditation is the formal recognition that a body or person is competent to carry out specific tasks. Accreditation of a trainer, a TVET institution to deliver CBET based programmes, an evaluator, internal or external monitors is the process of quality assurance documenting approval by the accrediting body, i.e. TVETA, by having met predetermined criteria and accreditation standards. (General Definition)

**Apprentice**

A person who is training the competencies for a specific job, profession or occupation at the work place focusing on acquiring the necessary skills. This often is the case in crafts and artisan professions, but is also part of dual training and TVET programmes, which include work place experience. Apprenticeships are dominating in informal and non-formal vocational training contexts. TVETA uses the term trainee for all participants of TVET programmes. However, the term “apprentice” can be used were correctly describing reality.

**Assessor**

Assessors have to be trained in CBET assessment procedures, must be experienced in the occupation/subject area covered by the unit/s to be assessed and must be familiar with the award standards and documentation.

**Assessment of trainees**

Training results are assessed examined and recorded in diagnostic, formative and summative assessments. (TVET Act)

**CBETA S&G**

Competence Based Education and Training and Assessment Standards and Guidelines. CBET is the concept applied to all training in Kenya. It is seen as a corner stone of quality assurance of TVET.

**Certificate**

“Certificate” means the level of qualification below diploma or its equivalent. (TVET Act)

**Curriculum**

A programme of courses fulfilling the requirements for a certificate, diploma, or degree in a particular field of study.

**Course**

A programme of instruction comprising a range of syllabus content areas that is aspiring trainees to acquire knowledge, work attitudes, skills and competences for employment in formal or informal sectors.

**Diploma**

“Diploma” means the level of qualification below degree and above a certificate. (TVET Act)

An academic designation awarded for the completion of a specified program of study, which is of shorter duration than a degree and longer duration than a certificate.

**Evaluation**

TVETA uses the term “quality audit” similarly to the term evaluation as used in the TVET Act. Both terms can be used, especially for describing the functions of evaluators and monitors.

**Evaluator**

A person who is qualified to assess institutional, programme or trainer quality in TVET institutions from an external perspective. Evaluators can assess how well TVET institutions are performing and if they are complying with mandatory quality requirements. The evaluator is supporting external quality assurance and has similar functions as TVETA quality assessors. Evaluators can be appointed by TVETA as external quality assessors. In this case they work under a TVETA appointed lead assessor. They also can support quality assurance in second party inter-institutional quality audits.

**Graduate**

A person who successfully finished his or her TVET programme usually confirmed with the issuance of a recognised certificate.

**Industrial Attachment**

A supervised practical experience that is the application of previously studied theory under the supervision of a member of teaching staff and a supervisor in the Industry.
**Inspection**
The term “Inspection” covers the same activities as Quality Audit, but is replaced by “Quality Audit”. TVETA decided to gradually change the terminology using the term Quality Audit instead of the previously used term Inspection.

**Institution**
“Institution” means an institution that promotes or offers technical and vocational education and training. (TVET Act). There are different types of institutions, which are:

- “private institution” means an institution which is not a public institution;
- “public institution” means an institution established or maintained by use of public funds or by the community;
- “teacher trainer college” means an institution offering technical teacher training at diploma level;
- “National Polytechnic” means an institution declared a National Polytechnic;
- “technical and vocational college” means an institution offering technical and vocational education and training at diploma level;
- “vocational training centre” means an institution providing training leading to the awards below the level of diploma.

**KNEC**
Kenya National Examination Council

**KNQF**
Kenya National Qualifications Framework

**Licence**
A License for the purposes of TVET QA in Kenya certifies an official permission, issued by TVETA to provide TVET services in Kenya. There are two types of licenses; 1) the license for a TVET institution to deliver registered and approved TVET programmes or courses and 2) the license for trainers, assessors and verifiers. Licenses are confirming compliance with mandatory accreditation requirements leading to registration. They are permissive and mandatory by nature. Issuing a license automatically leads to registration of an institution, trainer, assessor and verifier in the respective registers.

**Monitor**
A monitor for the purposes of TVET QA is a person who has the job of watching quality indicators or noticing deviations from quality standards set for TVET provision or risks of potential deviations. Monitors are continuously watching and checking the situation in particular TVET institutions for certain periods of time in order to draw conclusions about its performance and identify potential for improvements. Monitors are qualified to draft aggregated and analytical reports and participate in self-assessments.

**NITA**
National Industrial Training Authority

**Programme**
A TVET programme leading to a full qualification and an award (certificate of competence).

**Provisional Registration**
Registration of a TVET institution, which does not offer training programmes or courses, which could lead to the accreditation and licensing of that institution.

**Quality Audit**
Quality Audit is the QA mechanism TVETA applies to assess the compliance of TVET institutions with mandatory quality requirements for the purposes of registration, accreditation and licensing of TVET institutions and programmes/courses. Quality Audits assess the capacity of TVET institutions to deliver registered and approved TVET programmes and courses. Quality Audit includes the on-site visit and collection of evidence.

**Quality Assurance (QA)**
Quality Assurance can be defined as the ‘processes and procedures ensuring that qualifications, assessment and programme delivery meet certain standards’. Quality assurance comprises the processes of ensuring that specified standards and requirements for TVET provision, learning, TVET management, accreditation, assessment and the recording of achievements are met.
Quality Management (QM) Quality Management is the entirety of all activities connected to quality. It includes the understanding, that quality is a task of all staff, including top management. Quality Management are coordinated activities to direct and control an organization with regard to quality. Quality Management (Internal Quality Assurance) of a TVET institution aims on the systemic management of quality assuring the quality of the TVET services provided through the management of the quality of TVET processes, programmes (CBET based including workplace experience), materials, facilities and human resources in line with the specifications and requirements set. Internal quality management cares about the trainees ensuring that they get a quality education and certified qualification and a training, empowering and enabling them to gain decent employment and to pursue lifelong learning. QM is about leadership towards excellency in line with the country’s TVET mission and vision and about continuous organizational improvement. Internal QM is pre-ceding, primary to, and complementing external quality assurance requirements and procedures operationalising and institutionalising them.

Quality Management System (QMS) The Quality Management System (QMS) is a part of the TVET institution’s management system. It focuses on the achievements of results in relation to the quality objectives of that TVET institution. It supports the TVET institution to satisfy the needs, expectations and requirements of trainees, employers and regulators.

Registration Registration means a formal recognition that following a formal evaluation of a registration application against a set of registration criteria a training institution has been found eligible for registration by TVETA.

Standard established norm or requirement

Student A person who is learning at a higher education institution such as college or university. TVETA is using the term trainee, but in certain contexts, the term “student” can be applied for participants in TVET programmes.

Trainee Someone undergoing technical and vocational education and training. A person who is learning and practising the competencies of a particular job, profession or occupation. TVETA is setting this term as standard term for participants in technical and vocational training.

Training Training includes technical, industrial and vocational education and training leading to an award of a certificate, diploma. (TVET Act) The education and training services are at the core of TVET provision. However, one has to bear in mind that quality TVET includes much more than just the training as defined in the TVET Act. It includes the qualitative choice, career guidance and admittance into TVET programmes based on interest aptitudes and potential of trainees. It covers continuous motivation and the qualitative identification of occupations and competencies with potential for sustainable employment based on needs determined with an outlook into the future, qualitative examination and the award of recognised certificates and, finally, the equipment of graduates with the skill for lifelong learning and continuous improvement.

Training programme A sequential grouping of courses, which forms a considerable part, or all, of the requirements for an academic credential or an occupational objective.

TVET Institution TVET Institutions are of the following categories (TVET Act):
1. vocational training centres, which shall offer courses up to Artisan Certificate;
2. technical and vocational colleges, which shall offer programmes up to Diploma;
3. teacher trainer colleges, which shall offer up to higher diploma level;
4. National Polytechnics, which shall offer up to higher Diploma level; and
5. other categories as the Cabinet Secretary may specify.

TVET Quality The quality of technical vocational education and training is a set of characteristics of a TVET programme / competency based training and of its institution, through which mandatory standards set by TVETA and other agencies in charge as well as stakeholder and labour market expectations are met. TVET quality relates to the achievement of the outcomes and competencies (knowledge, skills and attitudes) as described in the Kenya Qualifications Framework fulfilling the expectations of trainees and apprentices as well as graduates, their families, employers, community and nation.
<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unit</td>
<td>A unit is a component/part of a full qualification or a programme offered by a training institution leading to a partial award or a certificate of competence.</td>
</tr>
<tr>
<td>University</td>
<td>A university is a higher education institution within the meaning of the Universities Act, 2012 (TVET Act)</td>
</tr>
<tr>
<td>Verifier (External)</td>
<td>An officer accredited by TVETA to oversee the approval process.</td>
</tr>
<tr>
<td>Verifier (Internal)</td>
<td>Internal verifiers have to be trained in assessment and internal verification procedures, must be experienced in the occupation/subject area covered by the unit/s to be verified and must be familiar with the award standards and documentation.</td>
</tr>
</tbody>
</table>
ANNEX 2: Quality Audit Tool (Audit Checklist)

QUALITY AUDIT TOOL (Checklist of audit criteria)

<table>
<thead>
<tr>
<th>1.0 INSTITUTIONAL PARTICULARS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of institution</td>
</tr>
<tr>
<td>Postal Address</td>
</tr>
<tr>
<td>Physical Address</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>e-mail and website</td>
</tr>
<tr>
<td>County:</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>Institution Category</td>
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<tr>
<td></td>
</tr>
<tr>
<td>Form of ownership</td>
</tr>
<tr>
<td>Name of Manager (where applicable)</td>
</tr>
<tr>
<td>Principal (where applicable)</td>
</tr>
<tr>
<td>Date of Quality Audit</td>
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</tbody>
</table>

TelePosta Towers, Kenyatta Avenue, P. O. BOX 35625–00100 NAIROBI
TEL.: +254 20 2217210/1/2/4 E-mail: info@tvetauthoritygo.ke
### 1. Audit Criteria for Leadership, Management and Governance

<table>
<thead>
<tr>
<th>No.</th>
<th>Indicator/Question Target</th>
<th>Means of verification and evidence: What are we looking for?</th>
<th>Compliance</th>
<th>Comments</th>
</tr>
</thead>
</table>
| 1.1 | Vision, mission and objectives of the institution established                            | • Strategic plans  
• Brochures, leaflets or flyers  
• Websites  
• others                                                                                                                                       | YES        |          |
| 1.2 | Vision and mission are officially implemented and well known by stakeholders             | • Strategic plans  
• Brochures, leaflets, banners, flyers  
• Newspapers  
• Websites  
• Stakeholder questioning  
• others                                                                                                                                         | YES        |          |
| 1.3 | Objectives of the TVET institution are established and relevant in accordance with national TVET policies, roles, responsibilities, capacities of the institution | • Strategic plan  
• Institutional operational plans  
• Documents relating to Vision and mission and objectives                                                                                                              | NO         |          |
| 1.4 | Objectives are in line with industry needs, occupational and socio-economic development of community and nation | • Strategic plan  
• Memoranda of partnership / MoU with companies  
• Analytical papers of the institutions, reports, Labour Market Information (LMI)                                                                             | YES        |          |
| 1.5 | Review of objectives in order to serve socio-economic development in line with government policies | • Reports on reviews of objectives, versions of plans  
• Meeting notes  
• Labor market information                                                                                                                          | NO         |          |
| 1.6 | The TVET institution has a clear and functional management structure                     | • Interviews and questioning  
• Strategic plan  
• Organogram  
• Observation  
• Handbook                                                                                                                                         | YES        |          |
| 1.7 | Roles and responsibilities are clearly defined                                            | • Organogram  
• Handbooks  
• other document                                                                                                                                      | YES        |          |
| 1.8 | The management is competent                                                               | • Certificates and records of managers                                                                                                                  | YES        |          |
1.9 Management procedures are clearly defined, documented and observed
- Interview with managers and staff
- QMS handbook

1.10 A QMS is established and a quality management handbook is produced and available
- QM handbook
- Observation and interview

1.11 A strategic plan of the TVET institution is established (=/> 3 years)
- Strategic plan

1.12 Annual operational plan is established
- Operational plans

1.13 Annual operational plan is resourced and include measurable targets and indicators
- Operational and financial plans and budgets

1.14 Internal and external communication rules and channels are defined and known to all
- Communication strategy
- Internal communication rules and plans developed

1.15 The TVET institution has established and maintains an appropriate filing system
- Documentation of the filing system
- QMS handbook
- Other documents, questioning and observation

1.16 A procedure for documentation, including records, is established and documented
- QMS handbook and procedures

1.17 Documentation and record keeping in line with the mandatory and QM requirements
- Document management policy and procedures of the institution established and documented
- QMS handbook
- Observation

2. Audit Criteria for Physical Resources

<table>
<thead>
<tr>
<th>No.</th>
<th>Indicator/Question Target</th>
<th>Means of verification and evidence: What are we looking for?</th>
<th>Compliance</th>
<th>Comments</th>
</tr>
</thead>
</table>
| 2.1 | The TVET institution has sufficient facilities for its education and training programmes | Facilities plans and documentation  
Observation by auditors  
Student classroom ratios | YES |  |
| 2.2 | The institution facilities and property are mapped | Map of TVET institution |  |  |
| 2.3 | The general quality of buildings is good | Observation  
Reports  
Safety inspection records |  |  |
| 2.4 | The boundaries of the TVET institution are demarcated and not questioned | Observation  
Interview  
Legal court cases |  |  |
| 2.5 | Legal arrangements for the properties occupied are clear and not disputed | • Contracts and lease arrangements  
• Titles |
| 2.6 | The facilities comply with all mandatory safety regulations (lock, fire, emergency exits ...) | • Safety inspection reports and certificates |
| 2.7 | Hygiene, restrooms, drainage and sewage comply with requirements and standards | • Observation |
| 2.8 | Access of people with disabilities is ensured | • Observation and audit of facilities |
| 2.9 | The TVET institution provides the laboratories and workshops where necessary. | • Minimum standards of equipment and facilities  
• Observation and audit of facilities |
| 2.10 | The safety and health regulations are observed, areas of danger are demarked | • Health inspection reports and certificates |
| 2.11 | Safety instructions and emergency plans are accessible and visibly displayed | • Safety plans established  
• Visible display of safety plans and exit pathways  
• Training and exercise reports |
| 2.12 | First aid equipment is available | • Observation and audit |
| 2.13 | Machines and equipment are installed, clearly labelled, operated and maintained properly | • Maintenance records and schedules  
• Qualification records for staff in charge  
• Observation and audit |
| 2.14 | Trainees in laboratories/workshops are supervised by qualified instructors | • Instructors credentials and records  
• Interviews |
| 2.15 | Classrooms and offices of the TVET institution are fit for the purpose | • Minimum requirements for facilities  
• Observation and audit  
• Interviews |
| 2.16 | The furniture in classrooms and offices is of good quality and sufficient | • Observation  
• Specifications  
• Interviews |
| 2.17 | Access to all classrooms and offices for all staff, teachers and trainees is ensured | • Observation  
• Plans |
| 2.18 | Emergency rules and plans are available and displayed in each room | • Observation |
| 2.19 | The classrooms and offices are regularly cleaned, well illuminated and ventilated | • Observation  
• Plans  
• Specifications and standards  
• Measurement with specialized devices |
<p>| 2.20 | The offices and classrooms have the necessary facilities and communications | • Observation |</p>
<table>
<thead>
<tr>
<th>No.</th>
<th>Indicator/Question Target</th>
<th>Means of verification and evidence: What are we looking for?</th>
<th>Compliance</th>
<th>Comments</th>
</tr>
</thead>
</table>
| 2.21 | The TVET institution has all necessary teaching and learning equipment                      | • Inventory  
• Observation and audit                                                                                         |            |          |
| 2.22 | Models, visuals and materials are sufficiently available                                   | • Observation                                                                                                               |            |          |
| 2.23 | Books, specialized journals and other information materials are sufficiently available     | • Student numbers  
• Library observation and account  
• Inventory                                                                 |            |          |
| 2.24 | Equipment is regularly checked and maintained                                              | • Maintenance plans and records                                                                                            |            |          |
| 2.25 | Equipment is stored safely                                                                  | • Observation  
• Storage rooms                                                                                                                                                  |            |          |
| 2.26 | The TVET institution has a complete inventory list including the necessary information     | • Inventory lists (hard or soft)                                                                                           |            |          |
| 2.27 | The inventory list is continuously updated and maintained                                    | • Inventory lists and versions                                                                                            |            |          |

### 3. Audit Criteria for Human Resources

<table>
<thead>
<tr>
<th>No.</th>
<th>Indicator/Question Target</th>
<th>Means of verification and evidence: What are we looking for?</th>
<th>Compliance</th>
<th>Comments</th>
</tr>
</thead>
</table>
| 3.1  | The trainers are competent to deliver education and training of the programmes on offer   | • personal educational and experience records of trainers  
• individual trainer files with copies of qualification certificates  
• Class room observation  
• Interview with school principal and students                                                                 | YES         |          |
| 3.2  | The trainers are registered and accredited by TVETA                                       | • Registration records and licenses                                                                                         | YES         |          |
| 3.3  | Trainer-trainee ratio is within provided standards guidelines                               | • Standards of ratios  
• Trainer and student numbers by program/course                                                                                           |            |          |
| 3.4  | The trainers have annual professional development reviews and talks                       | • Records and plans                                                                                                           |            |          |
| 3.5  | Annual continuous professional development plans are established                          | • Operational plans  
• Training policy and plans  
• Training and re-training plans  
• Records                                                                                                                               |            |          |
| 3.6  | Trainers are innovative, engaged and interested in professional development               | • Interview with trainers  
• Records and reports                                                                                                                     |            |          |
| 3.7 | Staff is competent in all management, administrative and support processes | • Other evidence (newspapers, skills and innovation fairs, contests ….) |  |
| 3.7 | Staff is competent in all management, administrative and support processes | • Personnel records of education and experience |  |
| 3.7 | Staff is competent in all management, administrative and support processes | • Auditing of documentation related to management functions |  |
| 3.7 | Staff is competent in all management, administrative and support processes | • Interview of staff |  |
| 3.7 | Staff is competent in all management, administrative and support processes | • Staff appraisals |  |
| 3.8 | The number of administrative staff is sufficient for the TVET institution | • Available standards and guidelines (if any) |  |
| 3.8 | The number of administrative staff is sufficient for the TVET institution | • Number of students, classrooms, workshops, area of property etc. |  |
| 3.8 | The number of administrative staff is sufficient for the TVET institution | • Comparison with other TVET institutions |  |
| 3.8 | The number of administrative staff is sufficient for the TVET institution | • Assessment by auditors |  |
| 3.9 | Staff composition facilitates effective operations of the TVET institution | • Auditing of match between staff and institution’s profile |  |
| 3.9 | Staff composition facilitates effective operations of the TVET institution | • QMS handbook |  |
| 3.9 | Staff composition facilitates effective operations of the TVET institution | • Interview and observation |  |
| 3.10 | The TVET institution has a human resources management policy/procedure | • Strategic plan |  |
| 3.10 | The TVET institution has a human resources management policy/procedure | • Policy documents (e.g. HRM and Procedures Manual) |  |
| 3.10 | The TVET institution has a human resources management policy/procedure | • Interview with principal and HR |  |
| 3.11 | Human resources are planned according to identified needs and plans | • Evidence of planning process |  |
| 3.11 | Human resources are planned according to identified needs and plans | • Strategic plan |  |
| 3.11 | Human resources are planned according to identified needs and plans | • Operational plans |  |
| 3.12 | An up-to-date organogram with all positions and functions is available | • Organogram of the institution in plans or other documents |  |
| 3.13 | Job descriptions are available for all positions and are up-to-date | • Job descriptions from HR |  |
| 3.14 | The functions of HRM (planning, searching, recruiting, termination) are organized | • Interview |  |
| 3.14 | The functions of HRM (planning, searching, recruiting, termination) are organized | • Organogram |  |
| 3.14 | The functions of HRM (planning, searching, recruiting, termination) are organized | • Plans |  |
| 3.15 | The HRM function is assigned to one or more specialized HR manager(s) | • Organogram |  |
| 3.15 | The HRM function is assigned to one or more specialized HR manager(s) | • Assignment letters of the institution |  |
| 3.15 | The HRM function is assigned to one or more specialized HR manager(s) | • Interview |  |
| 3.16 | The assigned HR manager(s) are competent, forward thinking and motivating | • Competence records (education, experience, achievements) |  |
| 3.16 | The assigned HR manager(s) are competent, forward thinking and motivating | • Interview with HR manager |  |
3.17 The institution provides a clear career perspective and guidance
• Evidence in plans, policy documents
• Other evidence such as meeting notes, records of events ….

3.18 HRM provides for motivating and supportive internal and external training
• Interview with HR manager(s)
• Records
• QMS handbook
• Plans, policies and strategies

3.19 HRM is supportive to the aspirations of staff and trainers
• Interview with HR manager(s)
• Evidence in policies, plans and records
• Interview with trainers and staff

4. Audit Criteria for Training delivery

<table>
<thead>
<tr>
<th>No.</th>
<th>Indicator/Question Target</th>
<th>Means of verification and evidence: What are we looking for?</th>
<th>Compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td>YES</td>
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<td>4.1</td>
<td>Approved curricula</td>
<td>• Proof of recognition</td>
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<td>• Based on CBET</td>
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<td>4.2</td>
<td>Quality of training and learning processes</td>
<td>• Trainer’s preparation documents</td>
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<td></td>
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<td>• Academic policy</td>
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<td>• schemes of work</td>
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<td></td>
<td></td>
<td>• Student progress records</td>
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<td>• Staff meeting minutes</td>
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<td>4.3</td>
<td>Industrial attachments as part of the learning process</td>
<td>• Industrial attachment policy</td>
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<td>• Industrial liaison officer</td>
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<td>• Log books and records</td>
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<td></td>
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<td>• Student attachment records</td>
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<td>• Insurance policy and covering of injuries and health risks</td>
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<td>4.4</td>
<td>The curricula are based on training standards</td>
<td>• CBET standard of TVETA</td>
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<td>• National curricula standards (if available)</td>
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<td>• Curricula used (developed by legally mandated bodies)</td>
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<td>4.5</td>
<td>Curricula leading to a recognized occupation or recognized</td>
<td>• Curricula and records and curricula</td>
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<td></td>
<td>learning outcomes</td>
<td>• Assessment records</td>
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<td>4.6</td>
<td>Curricula are in line with a certain level of the national</td>
<td>• Proof of alignment of curricula with the KNQF levels and</td>
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<td></td>
<td>qualifications framework</td>
<td>• Qualifications framework</td>
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<td></td>
<td>• Credits awarded in line with the KNQF</td>
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</tbody>
</table>
| Section 4.7 | Curricula applied are developed with stakeholder involvement | • Records of stakeholder involvement  
• History of curricula development |
| Section 4.8 | The curricula follow the CBETA standards and guidelines and mandatory requirements of TVETA | • TVETA CBET framework applied to curricula development process |
| Section 4.9 | The curricula are regularly revised according to changes and identified needs | • Proof of conducting necessary revisions  
• Meeting records of meetings of developers  
• Feedback from industry |
| Section 4.10 | Training and learning is supportive and in line with the curricula | • TVET institution ensures compliance with all curricula delivery standards in terms of minimum requirements for facilities, equipment, admission criteria and trainers  
• Evidence of TVET institution’s efforts to support curriculum implementation |
| Section 4.11 | Appropriate training methodologies are used | • Available documentation  
• Classroom observation  
• Interviews with principal, trainers and students  
• Strategic and operational plans and reports |
| Section 4.12 | The TVET institution ensures a sufficient share of practical vocational training | • Standards for industrial attachment  
• Course delivery schedules  
• Interviews with trainers, training employers and students |
| Section 4.13 | The trainees have enough textbooks and materials and teaching aids | • Auditing the library  
• student numbers and text book numbers  
• Inventory  
• Observation |
| Section 4.14 | Learning support is provided to slow trainees and special needs trainees, where applicable | • Policies and plans  
• Interview with principal, staff and students  
• Other evidence |
| Section 4.15 | Feedback from workplace training and trainees is considered and timely incorporated | • Feedback procedures and records  
• Reports on measures taken and feedback from workplace training providers |
| 4.16 | The TVET institution ensures regular classroom observation and trainer assessment | • Policies and procedures of the institution on trainer quality and performance monitoring  
• Records and reports on classroom observations  
• QMS handbook |
| 4.17 | Assessments are conducted by qualified and approved assessors/bodies | • Assessment panel composition  
• Internal and external analyses of assessment results  
• |
| 4.18 | Assessments lead to recognized certificates | • Assessment policy  
• Assessment procedures and assessment centre  
• Records and evidence that assessments are conducted by approved assessment centres or through approved procedures |
| 4.19 | Assessments and examinations provide an objective measure of competences achieved | • Proof of compliance with adapted procedures and regulations on assessments  
• Quality of assessment records in compliance with mandatory requirements  
• Interviews with assessors, graduates  
• Case studies |
| 4.20 | Assessments include necessary intermediate and final assessments as well RPL where necessary | • Assessment policies and procedures  
• Assessment arrangements for the programmes and courses offered  
• Evidence for conducting all necessary intermediate assessments, indicative, formative and summative |

### 4.1 Programme Evaluation

<table>
<thead>
<tr>
<th>No.</th>
<th>Courses</th>
<th>Level</th>
<th>Exam Body</th>
<th>Availability of approved syllabus</th>
<th>Availability of training facilities</th>
<th>Availability Qualified trainers</th>
<th>TVETA License</th>
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</thead>
<tbody>
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<tr>
<td>No.</td>
<td>Indicator/Question Target</td>
<td>Means of verification and evidence: What are we looking for?</td>
<td>Compliance</td>
<td>Comments</td>
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</tbody>
</table>
| 5.1 | The TVET institution has a functioning student/trainee information and management system | • Audit observation  
• Management Information System of the TVET institution  
• Student records | YES | NO |          |
| 5.2 | Procedures for admittance, enrolment, course registrations are established                | • Policies and procedures for admittance, enrolment, registration  
• Plans and procedures  
• Interview with staff and principal  
• Records and reports about previous school years | YES | NO |          |
| 5.3 | Procedures for variations and transfer are established and documented                     | • Evidence of such procedures | YES | NO |          |
| 5.4 | Procedures of trainee management are in line with mandatory requirements and needs       | • Policies and procedures for student support  
• Any mandatory requirements | YES | NO |          |
| 5.5 | A code of conduct is established and published                                           | • Code of conduct  
• Core values  
• Proof of publication and dissemination | YES | NO |          |
| 5.6 | A procedure for disciplinary measures is established                                      | • Evidence for such a procedure | YES | NO |          |
| 5.7 | There is a robust procedure in place for feedback and complaints                          | • Evidence for such a feedback and complaints procedure  
• The procedure is robust and student friendly | YES | NO |          |

Note: verifiable documents to look for
<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
<th>Evidence/Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.8</td>
<td>Conflict resolution is done professionally, ethically and participatory</td>
<td>Policies and procedures in place, Records of conflict resolution cases</td>
</tr>
<tr>
<td>5.9</td>
<td>The TVET institution assigned adequate management representative/staff as student support officer</td>
<td>Audit observation, Assignment letter and records, Interviews with student officer and students</td>
</tr>
<tr>
<td>5.10</td>
<td>Information about support measures, such as scholarships and extra tuition is available</td>
<td>Evidence of such freely available information, Publication on information boards, website and alike</td>
</tr>
<tr>
<td>5.11</td>
<td>The TVET institution provides career counselling and placement support</td>
<td>Evidence for counselling support of students, Counsellor in place</td>
</tr>
<tr>
<td>5.12</td>
<td>There is a mechanism and procedures of wide participation of the students in place</td>
<td>Policies and plans, Evidence of participatory actions and measures, Student representative(s) existing in institutions</td>
</tr>
<tr>
<td>5.13</td>
<td>Hostel services in line with mandatory requirements are provided if needed</td>
<td>Evidence of such arrangements (rental contracts and alike), Audit observation, Audit of compliance with national student accommodation standard, Interview with boarder students</td>
</tr>
<tr>
<td>5.14</td>
<td>Trainee support</td>
<td>Induction procedures, Policy and procedures for counselling and guidance, Policy for equal opportunities in place, Database of graduates, Networks of alumni and trainees</td>
</tr>
<tr>
<td>5.15</td>
<td>Scholarship support</td>
<td>Support for trainees such as scholarships</td>
</tr>
<tr>
<td>5.16</td>
<td>Participation of trainees</td>
<td>Wide participation of trainees such as in cooking competition, skills shows /exhibitions</td>
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<tr>
<td>5.17</td>
<td>Networks for job opportunities for students</td>
<td>Networks connection for job opportunities for students after graduation</td>
</tr>
</tbody>
</table>
### 5.18 Vulnerable trainees support
- Support of vulnerable and trainees with special needs

### 5.19 Necessary hostel services available
- In case dormitory service would be in demand: Are there dormitory services for the trainees?
- Are the hostel services compliant with the national standard for student accommodation (KEBS)

### 5.20 The TVET institution keeps contact with graduates and traces their careers
- Evidence of surveying of alumni careers and pathways
- Records, reports, analyses
- Database of alumni
- Evidence of regular mailings or other forms of contact

### 5.21 An alumni network exists and is connected to the TVET institution
- Alumni networks
- Alumni in social media (facebook, telegram, others)
- Letters, newspapers
- Database of alumni
- Evidence of regular mailings or other forms of contact

### 5.22 The TVET institution seeks feedback from alumni for lessons learned and improvement
- Mailings, letters
- Records of improvements and suggestions coming from alumni

## 6. Audit Criteria for Innovation, Research and Cooperation

<table>
<thead>
<tr>
<th>No.</th>
<th>Indicator/Question Target</th>
<th>Means of verification and evidence: What are we looking for?</th>
<th>Compliance</th>
<th>Comments</th>
</tr>
</thead>
</table>
| 6.1 | The institution is a learning organization | - Observation during the audit  
- Participation in contests, innovative concepts of participation  
- Culture of exploring and invention | YES | |
| 6.2 | Innovations are introduced systematically | - Responsibilities for organizing innovation processes assigned  
- Innovations are regularly discussed and introduced as useful | YES | |
| 6.3 | The TVET institution regularly updates on TVET developments, labour market information and new trends | • Reports or evidence  
• There is a process of research at work in the institution |
| 6.4 | Participation in innovation workshops, seminars and exchange programmes | • Proof produced for participation  
• Evidence of exchange and cooperation with other institution (MoUs and alike) |
| 6.5 | TVET institution has mechanisms/procedures for consultations and feedback with the private sector | • Evidence produced such as protocols, meeting lists, reports |
| 6.6 | Exchange with other TVET institutions | • Memoranda of Understanding  
• Cooperation agreements  
• Other records of evidence |
| 6.7 | Cooperation with other stakeholders such as higher education institutions, communities, schools | • Memoranda of Understanding  
• Cooperation agreements  
• Other records of evidence  
• Open door policies  
• Social events conducted with stakeholders |
| 6.8 | Greening TVET as crosscutting issue | • Reports or evidence  
• Greening TVET is object of research in the institution  
• Participation in events and cooperation regarding Greening TVET  
• Curricula (generic part) |
| 6.9 | Information and training on entrepreneurship and self-employment as a cross-cutting for interested trainees | • Entrepreneurship Centre or councillor at the institution  
• Cooperation with existing entrepreneurship centres  
• Curricula including entrepreneurship |
CONCLUSION AND RECOMMENDATIONS

Conclusion:

Recommendations:
1.
2.
3.
4.

PARTICIPANTS IN QUALITY ASSURANCE AUDIT SITE VISIT

TVETA QUALITY AUDITORS

<table>
<thead>
<tr>
<th>Name</th>
<th>Signature</th>
<th>Date</th>
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<tbody>
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INSTITUTIONAL PARTICIPANTS

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