



TECHNICAL AND VOCATIONAL EDUCATION AND TRAINING AUTHORITY

TVET QUALITY MANAGEMENT SYSTEM AND ASSURANCE MANUAL

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FOREWORD

A strong education and training foundation that is in tandem with industry demands is important for economies to keep pace with the productivity race. The foundation should be hinged on sound regulatory standards that provide the basis for quality assurance. The purpose of external regulation and quality assurance is to instill international best practices and fuse the findings of TVET research and stakeholder consultations into the sector.

Every country should aspire to have a robust TVET quality assurance system which is able to address cross-cutting issues of governance, innovation and creativity, employability and relevance. This is key to cross-border harmonization of curricula, standards, assessment and evaluation of training programmes.

For a long time, quality assurance in education and training was a preserve of centralized government agencies. This manual has been developed at a time of major paradigm shift towards demystifying and making quality assurance a more inclusive venture. The manual is therefore important to guide institutionalization of quality assurance and mainstreaming of self-regulation. TVET institutions are encouraged to have systems of quality assurance that secure and further develop the quality of their training.

In undertaking quality assurance, TVETA and the internal quality assurance systems should take cognisance of the quality management principles namely: focus on trainees and employers; leadership; participation; process approach; system approach; continuous improvement; factual approach to decision making; mutually beneficial cooperation; and feedback.

On behalf of the TVETA Board of Directors, I wish to thank management for being responsive to change as demonstrated through the development of this manual.



Prof. Florence N. Indede
Chairperson-TVETA Board

PREFACE

Quality management of a TVET institution aims at assuring the quality of the TVET services provided through the management of processes, programmes, training facilities, equipment, tools, materials, and human resources in line with the set standards and guidelines. Quality management focuses on trainees by ensuring that they get quality training and qualification that enables them to gain decent employment and pursue lifelong learning. This manual seeks to provide guidance to institutions on how to institute a Quality Management System that will guide in provision of quality services.

According to Section 38 (b) of the TVET Act No. 29 of 2013, every institution shall establish, implement and manage a credible quality assurance system. Internal QMS is a regulatory legal requirement for all TVET institutions in Kenya. The establishment of an effective and efficient QMS requires leadership commitment and the allocation of necessary resources for its development, implementation and maintenance. To perform these functions, Institutions will need to establish the office of Internal Quality Assurance.

This manual addresses Quality Management and Quality Assurance aspects that a TVET Institution needs to develop a quality management system and ensure quality assurance. It is my hope that the manual will provide clear guidance for implementation of Quality Management and Quality Assurance in TVET institutions.

I appreciate the TVETA Board for facilitating development of this manual. I also appreciate staff who participated in the development of the Manual. In addition, the invaluable input from our stakeholders is highly appreciated.



Dr. Kipkirui Langat, PhD, FIETK, MBS
DIRECTOR GENERAL/CEO

ABBREVIATIONS AND ACRONYMS

AU	African Union
CUE	Commission for University Education
CV	Curriculum Vitae
EAC	East African Community
ESQAC	Education Standards and Quality Assurance Council
ISO	International Organization for Standardization
ISO 9001	ISO Standard – Requirements for Quality Management Systems
IQA	Internal Quality Assurance
KEN TVET QAF	The Kenya TVET Quality Assurance Framework
KNQF	Kenya National Qualifications Framework
M&E	Monitoring and Evaluation
MOU	Memorandum of Understanding
NHIF	National Hospital Insurance Fund
NP	National Polytechnic
NSSF	National Social Security Fund
PAYE	Pay as You Earn
QAF	Quality Assurance Framework
QM	Quality Management
QMS	Quality Management System
RPL	Recognition of Prior Learning
SDG	Sustainable Development Goals
TVC	Technical and Vocational College

TVET	Technical and Vocational Education and Training
TVETA	Technical and Vocational Education and Training Authority
TVET QAF	TVET Quality Assurance Framework
VTC	Vocational Training Centre

CHAPTER 1:

TVET QUALITY MANAGEMENT SYSTEM

1.1 Concept of Quality

Quality is defined from many viewpoints. These include perceptual quality in absolute terms, product and value-based quality, and the concept of fitness for use, as well as the concept of conformity with specifications. Quality can commonly be defined as the features and characteristics of a product or service that bears on its ability to satisfy given needs. This is achieved through attainment of a given set of minimum benchmarks/standards. Most organizations perceive quality as meeting or exceeding customer expectations.

Quality in TVET has different facets which includes the quality of training programmes, examinations/assessments, training facilities, tools, equipment and materials, technologies, trainee welfare and the quality of the TVET provider in terms of its leadership, management and staff. The measure for quality in TVET is the long-term success of its graduates doing well in their careers, being successful in the labour markets, making a decent income and being ready for lifelong learning.

Providing quality, means that the service is:

- Fit for purpose
- Fit for the future
- Exceeds expectations

1.2 Benefits of quality in TVET

There are several benefits to different stakeholders that are derived from quality TVET. Some of the benefits are listed in Figure 1:

Trainees & Graduates	Employers	TVET providers	Community & Nation
<ul style="list-style-type: none"> • Trainee-centred TVET processes; • Access to information on education, training and career guidance; • Enhanced acquisition of competencies and good professional start • TVET programmes meeting expectations as result of active involvement; • Increased national and international competitiveness and employability; • Higher future incomes. 	<ul style="list-style-type: none"> • Confidence in the quality of TVET, and in the validity of the professional certificates; • TVET programmes that meet the demand of employers; • Better cooperation in dual TVET • Reduced cost of retraining TVET graduates by the employers; 	<ul style="list-style-type: none"> • Higher legitimacy, acknowledgment and enrolment; • Recognition of certificates; • Confidence in own offer of vocational education and training; • Development of a culture of reflection and continuous organizational improvement; • Responsibility and greater autonomy through self-evaluation processes; • Facilitation of intra- and inter institutional cooperation; • Access to information about good practices and experiences of success; • Enhanced reputation of Institutions 	<ul style="list-style-type: none"> • Increased satisfaction of trainees, employers & parents; • Improved perception of TVET; • Increased awareness and responsibility of stakeholders in TVET; • Increased cooperation between TVET providers and other stakeholders for socio-economic benefits; • Greater accountability of TVET providers to the public; • Increased TVET attractiveness; • More income and decent employment opportunities; • Increased national competitiveness on global markets; • Support for national development priorities.

Figure 1: Benefits of quality TVET to the Various stakeholders

1.3 TVET Quality management principles

The quality management principles indicated in Figure 2 should be applied by the TVET Institution management to improve institutional performance.

1. **Focus on Trainees and Employers:** The success of TVET Institutions depends on their trainee's success in the labor market and employers satisfaction. Institutions should identify current and future labour market demands and strive to meet and exceed the requirements.

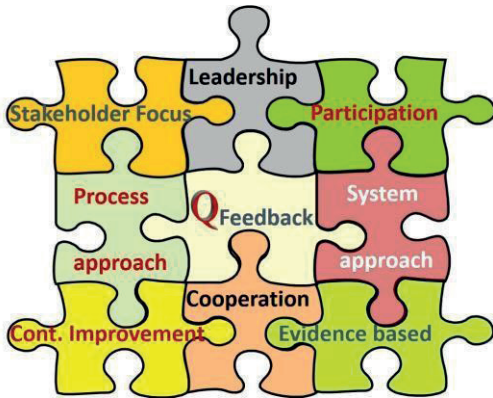


Figure 2: Principles of quality management

2. **Leadership:** The management establishes the strategic purpose and direction of the TVET institution. It is the task of the leadership to create and maintain the internal environment, in which people can become fully involved in achieving the institution's objectives.
3. **Participation:** The quality of the services provided by TVET institutions depends on the involvement of people at all levels, their cooperation and full participation. Participation enables tapping into their abilities and talents for the institution's benefit. When all members of the institution are aware and support it's vision, mission and quality policy statement then quality objectives can be effectively achieved.
4. **Process approach:** Any activity or interconnected activities using resources to transform inputs to outputs are processes. In a TVET institution a number of core and support processes can be identified, controlled and a process landscape laid down as shown in Figure 3. TVET Institutions have to identify and manage many interrelated and interacting processes. The output from one process will often directly form the input for other processes. The systematic identification and management of the processes and their interactions is important. This could include core processes, such as admission and enrolment, organization of training, assessments and certification, workshop management, or support processes, such as finances and accounting. The process approach allows assigning responsibilities for each single process to specific process owners responsible and accountable for the management

of these processes. The TVET Institution should define its processes based on the institutional context.

5. **System approach:** The system approach to quality management helps in identifying, understanding and managing interrelated processes as a system which contributes to the institution's effectiveness and efficiency in achieving its objectives.
6. **Continuous improvement:** Continuous improvement of the TVET institution's quality and performance in all processes should be the core objective. To support continuous improvement, the TVET institution needs to identify and apply suitable methods for monitoring quality indicators and other measurements of the quality management processes. These measurements determine the ability of the quality management processes to achieve the planned results. If the measurements reveal that planned results are not achieved, the issues can be addressed in the quest for continuous improvement.
7. **Factual approach to decision making:** Decisions should not be made based on only qualitative perception or intuition. Robust decision-making needs factual evidence and measurable indicators. Therefore, effective decision making implies the determination of measurable quality indicators, continuous monitoring and analysis of data and information.
8. **Mutually beneficial cooperation:** TVET institution, industry and the employers are interdependent. Quality TVET is in the interest of all stakeholders, including trainees, employers, state, society and the TVET institution itself. TVET providers need cooperation with industry as much as the industry needs quality TVET to be competitive. Trainees are interested in quality education and training, which equips them with competences in demand. The development and capitalizing on mutually beneficial relationships with all stakeholders enhance the ability of TVET institutions to create value.
9. **Feedback:** Feedback from stakeholders is necessary to assess the quality of education and training services. TVET institutions therefore should put in place mechanisms to collect feedback from various stakeholders. For instance, feedback from the industry, internship and apprenticeships can give valuable information about the quality of the TVET institution's education and training programmes. TVET providers should collect and monitor feedback from graduates and employers regarding their level of satisfaction with the TVET provided. Feedback may be gathered through regular surveys, questionnaires, phone calls, alumni networks or any other

suitable method. Continuous monitoring of compliance with requirements of all processes of service provision ensures that processes are corrected without delay.

Quality Management of a TVET institution aims at assuring the quality of the TVET services provided through the management of processes, programmes, training facilities, equipment, tools, materials, and human resources in line with the set standards and guidelines. Quality management focuses on trainees by ensuring that they get quality training and qualifications that enables them to gain decent employment and pursue lifelong learning. Quality Management (QM) is about leadership towards excellence in provision of quality training in line with the role of TVET in the achievement of national development goals.

1.4 Establishment of Institutional quality management system (QMS)

The quality management system in an institution is designed to assure that the quality of operations and processes are in line with external requirements, identified needs and aspirations of the TVET institution.

According to Section 38 (b) of the TVET Act No. 29 of 2013, every institution shall establish, implement and manage a credible quality assurance system. This system refers to the TVET Institution Internal Quality Management System (QMS). Internal QMS is a mandatory legal requirement for all TVET institutions in Kenya. Whereas TVET institutions implement internal QMS, TVETA implements external quality assurance in collaboration with other relevant quality assurance bodies. This manual provides a guideline for all TVET institutions for the establishment and maintenance of their internal QMS.

The Internal QMS may vary from the Quality Management System that is based on the requirements of ISO 9001:2015. However, for institutions implementing QMS based on ISO 9001:2015, it is mandatory for them to integrate the requirements in Chapter Three of this manual.

The Quality Management System (QMS) focuses on the achievements of results in relation to the quality objectives of a TVET institution.

It supports the TVET institution in satisfying the needs, expectations and requirements of trainees, employers, regulators and other stakeholders.

The establishment of an effective and efficient QMS requires leadership commitment and the allocation of necessary resources for its development,

implementation and maintenance. It is the duty of the TVET institution's leadership to ensure the internal quality management system is at its best for the interest of the trainees and other stakeholders.

1.4.1 Phases of establishing an effective QMS

An effective QMS helps the TVET provider to meet the needs of trainees, employers, society and improves the reputation of the institution. Correctly identified needs are an important input for the provider's QMS. Figure 3 illustrates phases of establishing QMS in a TVET institution.



Figure 3: Phases of the establishment of the TVET provider's QMS

1.4.1.1 Design of the TVET providers QMS

The following steps are applied when designing a TVET QMS:

- i. Formulate the institutional and programme objectives.
- ii. Define the purpose of the QMS in relation to those objectives.
- iii. Identify stakeholders and their requirements and needs. (See **Appendix 1**)
- iv. Determine the scope of the QMS in relation to established TVET quality criteria (See Chapter 3).
- v. Establish the institutional process landscape to determine interconnections between functions, units and departments.
- vi. Determine leadership, necessary resources and responsibilities.

Note: All relevant stakeholders should be involved in the design and adaptation of the QMS to ensure ownership. The internal QMS should be in line with the applicable legal and statutory requirements.

1.4.1.2 Determining Necessary Quality Indicators

Quality indicators must be appropriate to the determined quality criteria and audit area as illustrated in Chapter 3.

Note: Targets can be set against each of the quality indicators such as a minimum percentage of trainer and trainee class attendance and trainee achievement levels.

1.4.1.3 QMS Implementation

In implementing QMS, the TVET institution should ensure the following:

- i. The QMS procedures and processes are documented.
- ii. All staff of the TVET institution are involved in QMS as actors or process owners. However, a clear division of tasks and responsibilities is necessary.
- iii. A quality culture is established in which all staff and trainees take responsibility and ownership for their processes and procedures.
- iv. Stakeholders are informed about the QMS objectives and procedures in relation to their role.
- v. Allocation of adequate financial, material, human and time resources.
- vi. Lead persons are trained on QMS, and capacity building of other staff is undertaken.
- vii. Regular monitoring and evaluation(M&E) to determine the effectiveness of the QMS is undertaken.

1.4.1.4 Review of QMS

The review of the institution's QMS may be informed by changes in external and internal issues that are relevant to the quality management system and information on the performance and effectiveness of the quality management system among others. The management should review the institution's quality management system, at planned intervals, to ensure its continuing suitability, adequacy, effectiveness and alignment with the strategic direction of the institution. The QMS review ensures there is continual improvement to meet customer requirements and enhance customer satisfaction.

1.5 The TVET provider's Quality Management System – Elements and Processes

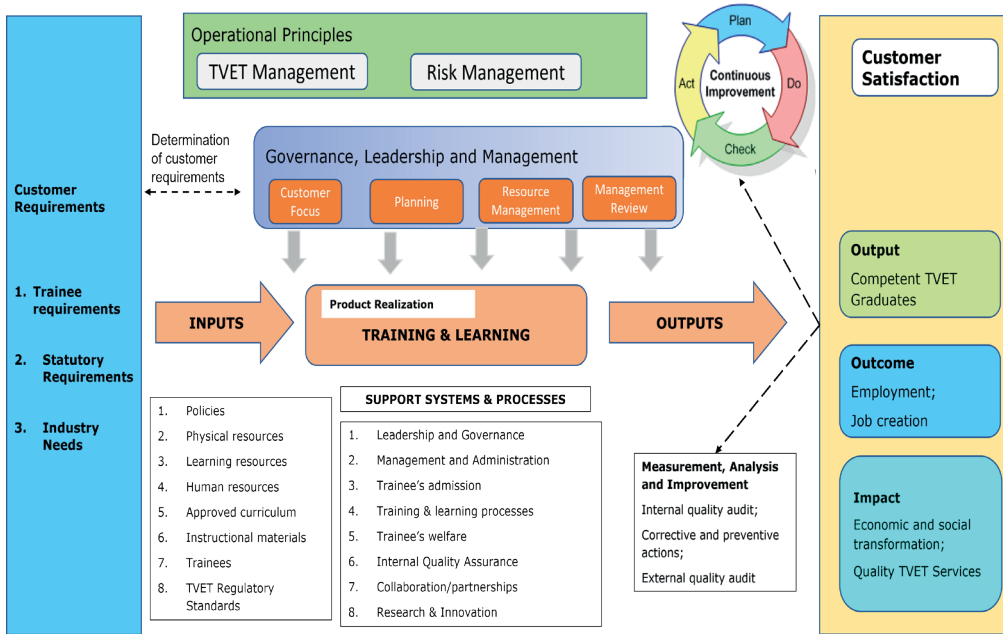


Figure 4: Model of a typical TVET provider QMS - an overview

1.6 QMS Documentation

Documented procedures and processes can be aggregated in the form of the institution's QMS manual. The QMS manual provides guidelines for the internal QA processes. It includes the linkages to external quality assurance requirements set by the regulator. The QMS Manual of a TVET institution should describe the scope of the quality management system.

The description of the processes should include human resource management, management of processes and responsibilities, training delivery, the self-evaluation procedures and monitoring for continuous improvement. Additionally, the QMS manual should state the quality objectives and all necessary references to regulatory documents.

The TVET institution determines the filing system, the extent of documentation required and the media to be used as long as the external QA requirements are maintained. Determining factors include category National Polytechnic (NP), Technical and Vocational College (TVC), Vocational Training Centre (VTC), type (public or private) and size of the TVET institution, complexity of process landscape, the industry sector, regulatory and labour market requirements, and the extent to which it is necessary to maintain records. The QMS documentation

should be clear, concise and be understood by all users. It can contain visuals, such as flow charts to describe processes, schemes and figures.

In summary, documentation produced by the QMS may include:

- a. Documents including requirements or specifications;
- b. Guidelines;
- c. Documented information about how to perform activities and processes consistently;
- d. Work instructions including schemes, drawings and procedures complementing the procedures already included in the QMS Manual;
- e. Records providing evidence of activities performed or results achieved.

In Chapter three, the TVET quality criteria with documentation required as evidence have been elaborated.

TVET institutions must make sure that the documentation will be maintained properly. Documents required by the quality management system should be controlled as follows:

- a. Approve documents for adequacy prior to their release;
- b. Review and update as necessary and re-approve documents;
- c. Ensure that changes and the current revision status of documents are identified;
- d. Ensure that relevant versions of applicable documents are available where they are needed;
- e. Ensure that documents remain legible and readily identifiable;
- f. Ensure that documents of external origin determined by the provider are identified and their distribution controlled; and
- g. Prevent the unintended use of obsolete documents.

CHAPTER 2:

TVET QUALITY ASSURANCE

2.1 Introduction

The TVET Act, 2013 mandates the TVET Authority to assure and ensure quality in the TVET sector through establishing a training system which meets the needs of both the formal and informal sectors. Section 38 of the TVET Act requires that every institution shall establish, implement and manage credible quality assurance systems. Quality assurance involves both internal and external quality management based on the developed standards, regulations and guidelines for TVET providers. This chapter covers what TVET internal and external quality assurance entails.

2.2 Concept of TVET Quality Assurance

Quality Assurance refers to the procedures, processes and systems used to guarantee and continuously improve the training standards of a TVET institution. It involves the process of ensuring that specified standards and requirements for TVET provision are complied with. The focus areas include: TVET leadership; governance and management; physical resources; and human resources; training delivery; programmes evaluation; trainee support; research and, innovations; and partnerships and cooperation.

Quality Assurance is part of quality management that focuses on providing confidence that quality requirements will be fulfilled. The confidence provided by quality assurance is twofold—internally to management and externally to stakeholders or customers, government agencies, regulators, certifiers and third parties. In the education and training set-up quality assurance is the process of monitoring and assessment in line with defined requirements.

Quality assurance systematically monitors different aspects of a service or institution. It detects and corrects problems or variances that fall outside established standards or requirements through audits.

Quality assurance may be undertaken by an external agency or through a TVET institution's own internal quality management system (QMS). Quality assurance – whether internal or external and irrespective of how quality is defined – requires

established benchmarks against which qualifications, courses and providers can be assessed.

The quality assurance and management process follow four phases which apply the Plan Do Check Act (PDCA) cycle of continual improvement. These phases are as outlined below:

1. Plan-Planning (setting goals) and leadership;
2. Do-Implementation of planned activities to achieve set goals;
3. Check-Evaluation and assessment of achieved outcomes;
4. Act-Review the results for continual improvement.

The aim of quality assurance in TVET is to support processes and procedures that ensure good TVET. ‘Good TVET’ has five key features:

- Responds to labor market, societal and individual needs
- Leads to nationally, or even internationally, recognized qualifications or credentials
- Provides access to decent jobs and sustainable employment
- Is attractive, inclusive and accessible, i.e., all citizens have access to TVET
- Fosters capabilities that enable progression to further learning

2.3 Legal and Regulatory Framework for TVET Quality Assurance

TVET quality assurance is based on various international, regional and national legal requirements and declarations. In the Incheon Declaration and SDG4 – Education 2030 Framework for Action (2015), the world made a commitment to quality education and to improving learning outcomes, which requires strengthening inputs, processes and evaluation of outcomes and mechanisms to measure progress. Quality assurance mechanisms such as the ISO standard are gaining momentum in TVET. Globally, a number of education and training institutions are ISO 9001:2015 certified.

The Continental Strategy for TVET provides a strategic framework for a paradigm shift in the development and implementation of national policies to address the challenges of Technical and Vocational Education and Training (AU TVET Strategy, 2018). The strategy addresses the cross-cutting issues of governance, innovation and creativity, employability and relevance, with the main thrust being development of TVET systems that prepare young people to be job creators

rather than job seekers. The major objectives of the strategy include promoting an efficient and cost-effective system of quality TVET and ensuring the relevance of training and employability of trainees among others.

To facilitate the Regional Integration process and especially the free movement of human resources, the East African Community (EAC) Partner States have identified the harmonization of the education curricula, standards, assessment and evaluation of education programmes as a priority issue.

The Kenya Vision 2030 places new demands on Technical and Vocational Education and Training (TVET) as a leading engine that the economy will rely upon to produce adequate levels of middle level workforce needed to drive the economy towards the attainment of the vision goals.

TVET reforms are based on Sessional Paper No. 14, of 2012 which separated education into three sub-sectors: Basic, TVET and University. Each sub-sector has a regulator - Education Standards and Quality Assurance Council (ESQA C) for basic, Technical and Vocational Education and Training Authority (TVETA) for TVET and Commission for University Education (CUE) for Universities. The Sessional Paper No. 1 of 2019, a Policy Framework for Reforming Education, Training and Research for Sustainable Development resonates with Vision 2030 upon which the required knowledge, skills and attitudes are hinged.

TVET provision was highly segmented and uncoordinated hence the need for harmonization. The enactment of the TVET Act No. 29 of 2013, which created TVETA as a regulator for the TVET sub-sector actualized the reforms in the TVET sub-sector. The Act mandates the Authority to regulate and coordinate training through development of standards and regulations for assuring and ensuring the quality and relevance of TVET.

TVET Act, 2013 section 33(1) requires that training shall be of quality and relevance and in accordance with the standards set out by the Authority.

Kenya National Qualifications Framework (KNQF) Act, 2014 section 4(e) emphasizes the strengthening of national quality assurance systems for national qualifications.

TVETA has developed standards, regulations and guidelines to ensure and assure quality in TVET. Further, TVETA has developed a TVET Quality Assurance Framework (TVET QAF) within which quality assurance is to be assured. The TVET QAF being implemented is in line with the Kenya National Qualifications Framework (KNQF) requirements for accreditation of qualification, and

assessment systems. The TVET QAF directly or indirectly affects the quality of service provision of TVET institutions. All TVETA staff involved in external TVET QA should be informed and regularly updated on all mandatory TVET QA regulations.

An overview of the parts and sections of the TVET Act that address quality assurance have been summarized in Appendix 1.

2.4 Kenya TVET Quality Assurance Framework

The Kenya TVET Quality Assurance Framework (KEN TVET QAF) takes a hands-on approach to a set of seven quality elements in TVET and puts them in the national context. The presented framework consists of a set of principles, guidelines and tools to assist the Kenyan TVET community to improve and assess the quality of the TVET system in general and specifically at each point of TVET service provision. The KEN TVET QAF forms a coherent set of elements and indicators guiding the design and implementation of measures to strengthen quality assurance at all national TVET levels as well as providing a basis for international benchmarking of TVET systems.

Figure 5 aggregates and systematizes the main elements of a national TVET QAF. This model is further expanded in the KEN TVET QAF for the specific conditions, in the Kenyan TVET context. TVET Quality is assessed against the seven key elements.

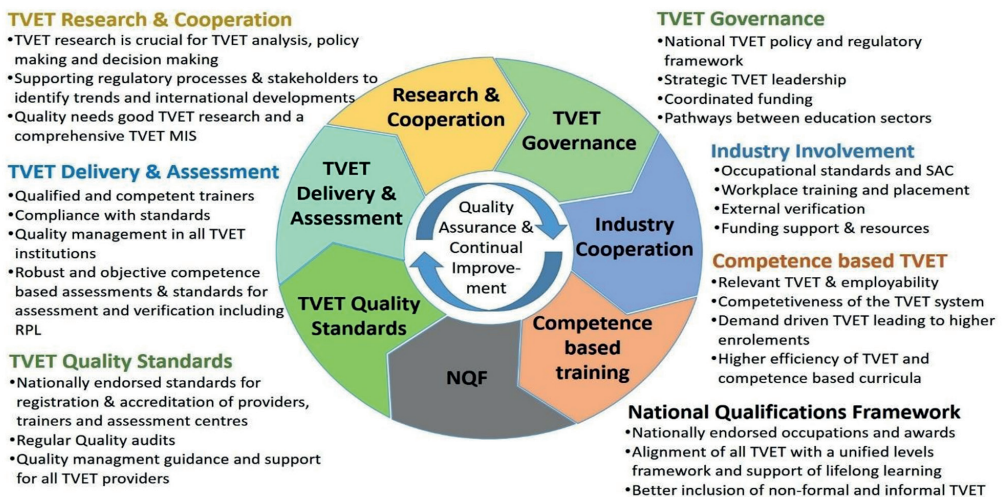


Figure 5: Elements of TVET Quality Assurance Framework

The framework presented in Figure 6 consists of TVET inputs, processes and outputs to assist the TVET community in Kenya to develop, improve and assess the quality of the TVET system. It shows the interconnection and interaction of quality elements, processes and quality assurance mechanisms in the context of national TVET.

The TVET Quality Assurance Framework is aimed at giving guidance on the quality requirements in relation to the TVET sector.

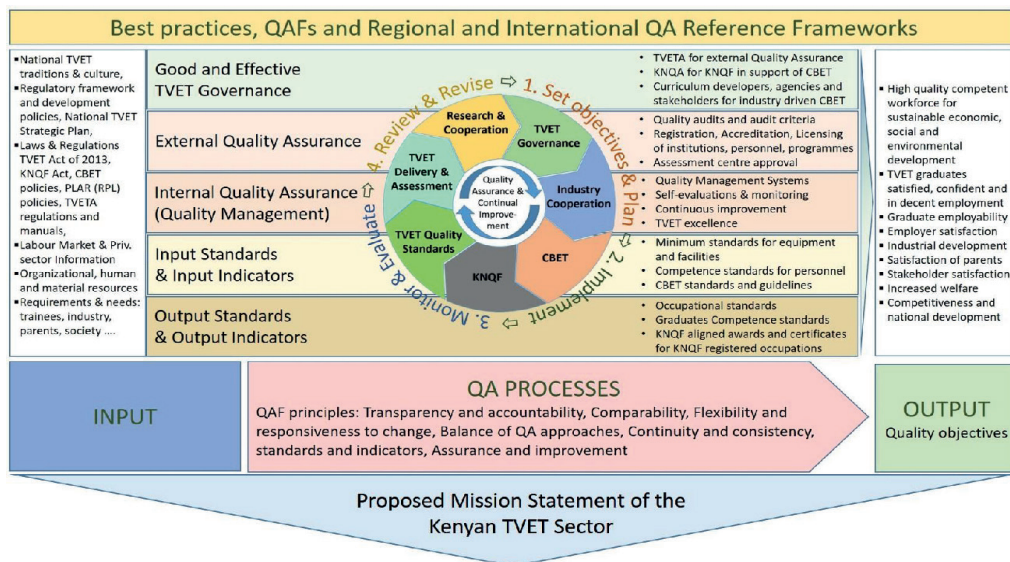


Figure 6: Kenya TVET Quality Assurance Framework-A Model

2.5 External Quality Assurance

TVETA shall be responsible for external quality assurance in accordance with the provisions of the TVET Act, 2013 and other applicable legal requirements.

Section 18 (1) of TVET Act Regulations, 2015 mandates the Authority to be the external quality assurance agency in TVET. The process of external quality assurance involves development of standards, regulations and guidelines for purposes of:

- i. Inspection of TVET institutions for accreditation
- ii. Evaluation of programmes and trainers for accreditation
- iii. Quality audit of TVET institutions for compliance.

2.5.1 Accreditation (Registration and Licensing)

Accreditation is 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.

2.5.2 Licensing, Registration and Accreditation of Institutions and TVET Trainers

A TVET institution must be accredited by the authority before offering any training as per Section 17 (1) of the TVET Act, 2013. All programs and courses of training must be approved by the authority before being mounted in the training institution as per Section 17 (3) of the Act.

An institution is required to apply to the Authority for its accreditation and that of the programs it intends to offer in a prescribed format. The application should contain the following particulars as per Section 18 of the Act:

- i. The name of the proposed institution; physical, postal and electronic addresses of the institution;
- ii. The governance and management structures of the institution;
- iii. 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; indicate qualifications and competence of the manager and trainers;
- iv. Layout designs and specifications of available infrastructure and equipment;
- v. 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, 2012 (valid public health inspection report);
- vi. A statement of financial ability to operate a proposed institution and fees to be charged; and
- vii. Such other matters as prescribed in the regulations made under the TVET Act, 2013.

The Board shall within three months of the receipt of an application:

- a. Examine the documents submitted;
- b. Inspect the facilities, curriculum, courses and human resources available for use in respect of the proposed institution
- c. Prepare a detailed accreditation report for deliberation and communicate the outcome to the applicant.

The decision of the Board may be either:

- a. Register the institution and license the courses applied for by the institution if satisfied;
- b. Register only the institution without licensing the courses in case the infrastructure of the institution is suitable for training;
- c. Defer Registration and licensing and make comments or give recommendations for the action of institution's management; the institution may re-submit the application within a period of six months; or
- d. Reject the application. This outcome can only be appealed to the cabinet secretary in charge of education and training.

The Board shall maintain a register of accredited institutions.

2.5.3 Renewal of Registration Certificate

The registration certificate of an institution expires after five (5) years upon which the institution is required to seek reaccreditation.

The process followed during renewal of the institution certificate is similar to the one on initial registration (See section 2.5.2).

2.5.4 Approval of new or revised TVET Programmes

Legally mandated curriculum developers are required to submit all new or revised TVET programmes to the Authority for approval. All programmes and courses shall be evaluated against the CBETA standards and guidelines. The Board will maintain a register of approved programmes.

2.5.5 Accreditation of Trainers

Any person intending to become a trainer is required to apply to the Board for licensing in a prescribed format as per section 23 of the TVET Act. The trainer should renew their license after every three years subject to evidence of continuous professional development. A trainer must possess relevant academic (trade area) and professional (pedagogy) qualifications. The minimum qualification of a trainer should be a craft certificate in the trade area. A register of licensed trainers shall be maintained by TVETA.

2.5.6 Compliance Audit

This is the process by which TVETA monitors and evaluates the compliance of a TVET institution with mandatory requirements. Compliance audit is also referred

to as a quality audit. Compliance Audits can also be carried out by TVETA in collaboration with other mandated bodies where applicable.

In conducting the compliance audit TVETA shall evaluate the institution against the following audit criteria:

1. Leadership, Governance and management
2. Physical facilities
3. Human resource
4. Training delivery
5. Programme evaluation
6. Trainee support
7. Research, innovation and cooperation

Upon completion of the compliance audit, the audit team shall prepare a report in the prescribed format and submit the same to the Board and a copy sent to the institution.

If an institution scores less than 50% in any of the audit criteria, it is required to submit an action plan within two months. Failure to submit the action plan is considered to be a non-compliance.

Any person who refuses, hinders or obstructs the audit team from carrying out the evaluation commits an offense as per Section 35 of TVET Act, 2013.

If on evaluation an institution is in default of any set standards, it will be served with a written notice to comply in accordance with Section 36 of the Act. Any institution that fails to comply with the served notice, may be closed either permanently or until the notice is complied with as per Section 37 of TVET Act, 2013. Any person aggrieved by the decision of the Board to close an institution may appeal to the Cabinet Secretary within thirty days of the decision.

Every TVET institution shall pay an annual quality assurance fee of Ksh 500 per trainee enrolled at the institution.

2.6 Internal Quality Assurance (IQA)

2.6.1 Legal Requirement

Section 33 (2), of the TVET Act requires that every institution puts in place internal systems to ensure maintenance of standards, quality and relevance of training programmes. Further, section 40 of the TVET Act gives the responsibility for implementation of standards to TVET institutions, quality assurance agencies and any other persons directly or indirectly engaged in training to assure and ensure quality.

The TVET Act Regulations, 2015 section 18 (2) requires that each institution shall establish its own internal quality assurance policy, systems and mechanisms in line with the Authority's prescribed guidelines. Further, section 18 (3) requires that every institution shall—

- a. Analyze trainee performance through a variety of methods including formal testing, project or experimental work, or such other means as may be deemed fit, and use the results for improvement of trainees' performance;
- b. Use the results of trainee assessment to evaluate and revise the curriculum and methodology of delivery on a continuing basis;
- c. Ensure appropriate confidentiality of various tests and assessments and their results;
- d. Regularly monitor the trainee assessment procedures so as to ensure their adequacy and accuracy.

Section 22 of the TVET Act Regulations 2015, requires institutions to conduct self-assessment and submit annual returns to TVETA in a prescribed format.

2.6.2 Establishment of Internal Quality Assurance System

An institution will establish its own quality assurance policy, systems and mechanisms as guided in this manual. The institution shall have a quality assurance committee headed by an Internal Quality Assurance Officer. The committee shall:

- i. Coordinate the development and implementation of the IQA policy
- ii. Develop and coordinate implementation of the IQA annual work plan
- iii. Conduct internal quality audits
- iv. Prepare internal quality audit reports
- v. Conduct institution self-evaluation

- vi. Analyze internal and external audit reports and making recommendations to management
- vii. Ensure implementation of corrective and preventive actions
- viii. Conduct reviews on TVET QMS
- ix. Identify potential risks and make recommendations for improvement
- x. Submit annual returns to TVETA in a prescribed format to include but not limited to the following:
 - a. Data on trainees and staff
 - b. Programs and timetable
 - c. Linkages and collaborations
 - d. Reports that will enable TVETA to determine if trainees have met admission requirements
 - e. Reports with respect to trainee graduation rate and employment placement rate of its graduates, details of development made in the institution's physical infrastructure and training.
 - f. Any other reports related to compliance with TVETA regulations.

CHAPTER 3:

TVET QUALITY CRITERIA

This chapter discusses the seven criteria against which inspection and quality audit are conducted.

Criteria 1 – Leadership, Management and Governance

Management and governance are related to the mechanisms, policies and process by which an institution is managed and governed. A TVET institution should develop a strategic plan, have management and governance structures, and maintain administrative, legal and financial records and documents.

Leadership commitment and the active involvement of management are essential for developing and maintaining an effective and efficient quality management system. Table 1 provides an overview of indicators and evidence for every audit area under this criterion.

Table 1: Leadership, Management and Governance

S/ No	Inspection/ Audit Area	Performance Descriptors	Indicators/Evidence
1.1	Strategic plan	Develop a five-year strategic plan	Approved Strategic plan
		Establish Vision and Mission	<ul style="list-style-type: none"> a. Clear Vision and Mission Statement b. Vision and mission statement aligned to national TVET priorities and local needs c. Vision and mission are communicated to all stakeholders
		Establish strategic objectives	<ul style="list-style-type: none"> a. Aligned with the mandate of the institution b. Specific, measurable, achievable, realistic and time bound

S/ No	Inspection/ Audit Area	Performance Descriptors	Indicators/Evidence
			c. Achievement is regularly evaluated
		Strategic plan implementation	a. Implementation matrix b. Annual budget c. Physical evidence where applicable d. Council/Board Minutes e. Monitoring and evaluation reports
		Developed Organizational Structure	Clear and functional organogram
		Review of the strategic plan	Mid-term, end-term or review on need basis
1.2	Board of Governors/ Directors/ Council	Validity of the Board of Governors/ Directors/Council	a. Appointment letters b. Properly constituted (Complying with the TVET Act) c. Evidence of qualifications and experience (Academic certificates, CV, Testimonials)
		Conduct of Board of Governors/ Directors/Council Meetings	a. Availability of notices and/or invitations of meetings b. Availability of minutes of meetings
		Existence of the Board of Governors/ Directors/ Council committees	a. Availability of appointment letters b. Minutes of committees' meetings

S/ No	Inspection/ Audit Area	Performance Descriptors	Indicators/Evidence
1.3	Senior Management/ Academic board	Gender Balance	Compliance with the two-thirds gender rule
		Qualified and Experienced	Copies of CVs, academic certificates and testimonials
		Conduct of Meetings (at least once Termly)	a. Notices and/or invitations of meetings b. Minutes of Senior Management meetings
		Implementation of management decisions	a. Approved work plans b. Actual product/service/ project
1.4	Internal quality assurance (IQA)	Establishment of IQA committee	Appointment letters
		Development of IQA policy	Approved IQA policy
		Conduct of meetings	a. Notices and/or invitations for committee meetings b. Minutes for internal quality assurance committee meetings
		Establishment of internal QMS	a. Documented QMS: b. Quality policy c. Quality objectives d. Documented SOPs and work instructions
		Conduct internal quality audits	a. QA schedule of activities b. Internal quality audit report c. Dissemination of internal quality audit report
1.5	Administrative support documents	Maintain staff payroll inventories	Staff Payroll and copies of pay slips

S/ No	Inspection/ Audit Area	Performance Descriptors	Indicators/Evidence
		Remittance of Statutory deductions National Hospital Insurance Fund (NHIF), National Social Security Fund (NSSF), Pay as You Earn (PAYE)	Remittance of Statutory records (NHIF, NSSF, PAYE)
		Maintenance visitors book	Visitors' book
		Land ownership documents.	Title deed/ lease agreement/ allotment letter
		Maintenance of trainees' Records	a. Admission register b. Transcripts c. Leaving certificates
		Valid public health inspection report	Public health inspection report
1.6	Legal documents	Maintain legal documents	a. The Constitution of Kenya, 2010 b. Sessional Paper No 1 of 2019 c. TVET Act, 2013 d. Basic Education Act, 2013 e. Kenya National Qualifications Framework Act, 2014 f. KNEC Act 2012 Occupational Safety & Health Act (OSHA) 2007 g. Work Injury Benefits Act (WIBA),2007

S/ No	Inspection/ Audit Area	Performance Descriptors	Indicators/Evidence
			<ul style="list-style-type: none"> h. Labour Relations Act of 2007 i. Employment Act, 2007
		Maintain TVETA Standards and Guidelines	<ul style="list-style-type: none"> a. Approved TVETA Standards and Guidelines: b. Trainers Qualification Framework (TQF) c. Recognition of Prior learning (RPL) d. Competency Based Education, Training and Assessment (CBETA) e. Open Distance and e-Learning (ODEL) f. National Polytechnic g. Centre of Excellence h. TVET Regulations of 2015
1.7	Financial Management	Maintain financial and procurement records/Books of Account	<ul style="list-style-type: none"> a. Fees register b. Receipt book c. Cashbook d. Approved budget e. Approved Procurement plan f. Audited financial reports

Criteria 2 – Physical Resources

The TVET institution must determine, provide and maintain the infrastructure needed to provide quality education and training in line with its quality policy and objectives. This includes the theory rooms, workshops, laboratories, utilities, machinery and equipment (both hardware and software), and supporting services (such as transport or communication or information systems).

TVET providers shall have effective and efficient management procedures for usage and managing the training resources of the institution. Table 2 provides an overview of the performance descriptors and indicators for every audit area under this criterion.

Table 2: Physical Resources

No.	Inspection/Audit Area	Performance descriptors	Indicators/Evidence
2.1	Administrative Offices	Availability of Principal/Manager office	<ul style="list-style-type: none"> a. labelled office of Principal/ Manager b. At least a room of 7m². The shortest side should not be less than 2m c. In the office
		Guidance and Counseling unit/ office	<ul style="list-style-type: none"> a. labelled office of guidance and counseling b. Appropriate furniture and supplies c. At least a room of 7 m². The shortest side should not be less than 2 m d. Lockable office e. Lockable cabinets f. Reference documents g. Computer and printer h. Electricity/power connection i. Internet connectivity j. Location should provide privacy k. Fireproof files cabinets l. Availability of dust bin in the room m. Counseling room with at least two chairs

No.	Inspection/Audit Area	Performance descriptors	Indicators/Evidence
		Heads of Departments Office	<ul style="list-style-type: none"> a. Labelled offices b. Appropriate furniture c. At least a room of 7m². The shortest side should not be less than 2m d. Computer and printer e. Electricity/power connection f. Internet connectivity g. Availability of shelves/cabinets h. Fireproof files cabinets i. Availability of dust bin in staff room
		Staff Room	<ul style="list-style-type: none"> a. Suitable furniture and lockable desk for each trainer b. Computer and printer c. A working area of at least 2m² for each trainer d. Availability of shelves e. Availability of dust bin in staff room
2.2	Theory Rooms	Size and capacity	<ul style="list-style-type: none"> a. At least a theory room of 25 m² and the shortest side should not be less than 3 m.

No.	Inspection/Audit Area	Performance descriptors	Indicators/Evidence
			<ul style="list-style-type: none"> b. Where the room has desks and chairs, a trainee will occupy 1.5m² and 1m² where a room has lecture chairs only. c. 1 metre from the position of the white board shall be preserved for the trainer
		Facilities	<ul style="list-style-type: none"> a. A table for trainer b. A chair and a table or lecture chair for each trainee c. A white board d. Availability of a projector where applicable e. Availability of electricity f. Availability of dust bin in each classroom
		Condition	<ul style="list-style-type: none"> a. The ceiling should not be less than 2.6 m from the floor b. Provide window space with an area of not less than 20% of the floor area. c. 75% of the window should be openable to external air d. Ensure the room has adequate natural illumination e. The floor should be made of finished concrete slab f. Adequate doorway opening outwards
			<ul style="list-style-type: none"> g. Accessible by Persons with Disabilities

No.	Inspection/Audit Area	Performance descriptors	Indicators/Evidence
2.3	Laboratory and workshop	Size and capacity	<ul style="list-style-type: none"> a. At least one workshop/laboratory for each practically oriented course being offered b. Maximum capacity of 25 trainees per session
		Facilities	<ul style="list-style-type: none"> a. Workshop/Laboratory with workstations, tools, equipment, materials and supplies as per the curriculum being offered b. A workshop/laboratory that has a store for tools and materials c. Electricity connection in a workshop/laboratory d. Waste disposal bins in a workshop/laboratory e. Well maintained firefighting equipment f. Displayed workshop safety rules and regulations
		Condition	<ul style="list-style-type: none"> a. Noise controlled b. Well ventilated and lit c. Adequate doorway: with at least 2 doors and opening outwards

No.	Inspection/Audit Area	Performance descriptors	Indicators/Evidence
		Management of Tools, Equipment and Materials	<ul style="list-style-type: none"> d. Accessible by Persons with Disabilities a. Stock cards b. Stock requisition forms c. Updated inventory reports budget for maintenance, safety and disposal of equipment and materials d. Maintenance and safety schedules e. Term-based maintenance and safety report f. Annual disposal plan g. Annual disposal implementation report h. Valid insurance contracts for equipment
2.4	Computer Facilities	Computer room	<ul style="list-style-type: none"> a. At least 1 computer per 2 trainees b. Projector in a computer room c. Internet connectivity d. Well maintained firefighting equipment e. Displayed safety rules and regulations
2.5	Library	Reading Space	<ul style="list-style-type: none"> a. Reading space with seating capacity for at least 10 % of enrolled trainees b. Suitable furniture

No.	Inspection/Audit Area	Performance descriptors	Indicators/Evidence
			<ul style="list-style-type: none"> c. Well ventilated and lit d. Adequate doorways, at least two and opening outwards e. Electricity/power connectivity f. Internet connectivity g. Accessible by Persons with Disabilities h. Well maintained firefighting equipment
		Stack area	<ul style="list-style-type: none"> a. Adequate book shelves b. Well ventilated and lit c. Accessible by Persons with Disabilities
		Circulation desk	<ul style="list-style-type: none"> a. Suitable furniture b. Well ventilated and lit c. Electricity/power connectivity d. At least a computer and a printer e. Computer installed with a library management system f. Shelf for short term loan books g. Internet connectivity h. Accessible by Persons with Disabilities

No.	Inspection/Audit Area	Performance descriptors	Indicators/Evidence
		Volumes of books	<ul style="list-style-type: none"> a. Adequate and relevant reference books, journals and literature b. Subscription to e-library materials
2.6	Security and Safety Facilities	Health and safety	<ul style="list-style-type: none"> a. Institutionalized safety and health policy b. Safety committee c. A wide assorted firefighting equipment in each building. (i.e., Hose reel, Water type, Carbon dioxide, Dry powder, Foam, Fire blanket, Sand bucket) d. Lightning arrestor for each building where applicable e. First aid kits f. Fire assembly point g. Labeled emergency exits in all the buildings h. Personal protective equipment for courses offered where applicable i. Fire drills plan
		Security	<ul style="list-style-type: none"> a. Security lighting in all buildings b. A guarded gate c. A perimeter fence

No.	Inspection/Audit Area	Performance descriptors	Indicators/Evidence
2.7	Utilities	Environment	<ul style="list-style-type: none"> a. Trees in the institution compound b. Absence of bushes and pools of water c. Well maintained lawns and hedges d. Facilities Accessibility (pathways) e. Clear signages within the institution
		Availability of water	<ul style="list-style-type: none"> a. Wholesome (adequate, safe and reliable) water b. Adequate water storage tanks
		Availability of power supply	<ul style="list-style-type: none"> a. Reliable power supply b. Power backup system
		Waste disposal	<ul style="list-style-type: none"> a. An incinerator where applicable b. Solid and liquid waste disposal facilities c. Wastewater management facilities
2.8	Sanitation facilities:	Staff/Trainees	<ul style="list-style-type: none"> a. A toilet for staff / trainee for each gender b. At least a toilet and sanitary bin to serve a maximum of 20 females c. At least a toilet and urinal to serve a maximum of 25 males

No.	Inspection/Audit Area	Performance descriptors	Indicators/Evidence
			d. Disposal bins in male and female toilets
		PWDs	a toilet designed for staff/trainees with disabilities for each gender
2.9	Dining facilities	Dining hall	<ul style="list-style-type: none"> a. Well ventilated and lit b. With at least 2 doors opening outwards c. A handwashing area d. Suitable furniture
		Kitchen	<ul style="list-style-type: none"> a. A kitchen attached to the dining hall b. A kitchen having a modern cooking stove which is combustible-saving and chimney c. A kitchen with at least a water tap or any other means allowing to keep clean water d. A suitable working area e. A washable floor f. Waste disposal bins g. Storage room h. Cold room or refrigeration equipment.
2.10	Infrastructure Management and maintenance	Infrastructure management records	<ul style="list-style-type: none"> a. Annual inventory reports for infrastructure b. Annual maintenance and safety plans

No.	Inspection/Audit Area	Performance descriptors	Indicators/Evidence
			<ul style="list-style-type: none"> c. Approved annual budget for maintenance and safety d. Annual maintenance and safety report of infrastructure e. Valid insurance contracts for infrastructure
2.11	Sports facilities	Playgrounds	<ul style="list-style-type: none"> a. A playgrounds for different games and sports, which can accommodate trainees and staff b. Changing rooms for staff and trainees c. Clean drinking water

Criteria 3 – Human Resources

The purpose of the human resource system is to indicate that staff members are competent to carry out their roles as administrators, trainers, assessors, verifiers and trainers. Institutions shall establish HR policies and procedures that include recruitment, selection, appointment, remuneration, discipline, promotion and termination to provide clear guidance on staffing. The institution should be able to show that sufficient and suitably qualified staff are available to facilitate learning and to conduct assessments. Evidence of opportunities for staff development makes it possible for staff to pursue their personal and professional growth. Table 3 provides an overview of the performance descriptors and indicators for every audit area under this criterion.

Table 3: Human Resources

No	Inspection/ Audit Area	Performance descriptors	Indicators/Evidence
3.1	Trainers	Maintenance of trainers records	<ul style="list-style-type: none"> a. Copies of academic certificates and CVs for trainers b. Trainers' Bio data c. Appointment letters
		Establishment of capacity development plans	<ul style="list-style-type: none"> a. Training Needs Assessment Report b. Approved capacity development plan c. Capacity development reports
		Staff establishment	<ul style="list-style-type: none"> a. Documentation on staff establishment (Curriculum Based Establishment) b. Evidence of its implementation
		Establishment of performance management system (Appraisals)	<ul style="list-style-type: none"> a. Appraisal tools b. Appraisal report
3.2	Support Staff	Staff establishment	<ul style="list-style-type: none"> a. Documentation on staff establishment (Approved number of staff per cadre) b. Evidence of its implementation
		Deployment of staff	<ul style="list-style-type: none"> a. Copies of academic certificates and testimonials b. Appointment letters c. Developed criteria used in recruitment process
		Gender balance	Evidence of gender representation (one third rule)

No	Inspection/ Audit Area	Performance descriptors	Indicators/Evidence
		Establishment of HR Policies and procedures	<ul style="list-style-type: none"> a. HR policies b. HR procedures/manual c. Career progression guidelines d. Evidence of its implementation
		Establishment of job descriptions	Documented job descriptions
		Establishment of performance management system	<ul style="list-style-type: none"> a. Appraisal tools b. Appraisal report
		Establishment of Capacity development plans	<ul style="list-style-type: none"> a. Training Needs Assessment Report b. Availability of approved capacity development plan c. Capacity development reports
		Acquisition of compliance certificates	<ul style="list-style-type: none"> a. Valid certificates of good conduct for security personnel b. Valid public health certificates for food handlers

Criteria 4 – Training Delivery

The training delivery component entails planning and conducting training, assessing trainees, organizing industrial attachment and placement, and evaluating the training process. Table 4 provides an overview of the performance descriptors and indicators for every audit area under this criterion.

Table 4: Training Delivery

No.	Inspection/ Audit Area	Performance Descriptor	Evidence/Indicators
4.1	Timetable	Development of a timetable	Master, class and trainers' personal timetables
		Trainee friendly	<ul style="list-style-type: none"> a. Has health breaks b. Subject distribution across the week c. Trainer workload distribution
		Reflects curriculum requirements	Allocation of theory and practical hours reflects curriculum requirements
		Trainers Workload	<ul style="list-style-type: none"> a. Workload records b. Personal timetables matching allocated workload
4.2	Class/Lesson Delivery	Lessons are attended as timetabled	<ul style="list-style-type: none"> a. Filled trainers class attendance monitoring sheet b. Marked trainee class attendance register
		Appropriate methodology used	<ul style="list-style-type: none"> a. Trainers are applying appropriate and innovative methods in curriculum delivery b. Learning support is provided to special needs trainees
4.3	Professional documents	Trainer professional documents are prepared, updated and implemented in all programmes	<ul style="list-style-type: none"> a. Course outline b. Schemes of work/ Learning plan c. Lesson plan/Session plan

No.	Inspection/ Audit Area	Performance Descriptor	Evidence/Indicators
			<ul style="list-style-type: none"> d. Record of work e. Progress records/ Portfolio of Evidence f. Training notes
4.4	Assessment and Examinations	Development of assessment and examination policy	Approved assessment and examination policy
		Appointment of Assessment and Examinations Officer	Appointment letter
		Establishment of Assessment/ Examinations Committee/Academic board	<ul style="list-style-type: none"> a. Appointment letters b. Minutes of committee/ Board meetings c. Assessment and examinations reports
		Conduct of assessment and examinations	<ul style="list-style-type: none"> a. Documented in the assessment and examination policy b. Maintained assessment schedules and records c. Marked Portfolio of evidence d. Analysis of assessment and examinations results e. Mechanism for giving feedback to trainees/ candidates
		Mechanism for setting and moderation of assessments/ examinations are in place	<ul style="list-style-type: none"> a. Documented Procedure for setting and moderating assessments/ examinations

No.	Inspection/ Audit Area	Performance Descriptor	Evidence/Indicators
			<ul style="list-style-type: none"> b. Minutes of moderation meetings c. Developed question papers and marking schemes
		Mechanism for administration and supervision of assessment and examinations are in place	<ul style="list-style-type: none"> a. Assessment and examination timetable indicating dates, venues, responsible assessors and invigilators b. Examination attendance register c. Proper storage of assessment and examination materials
		Establishment of verification mechanism for assessment/examination process	<ul style="list-style-type: none"> a. Gather feedback from assessors/invigilators and trainees b. Verification report c. Disseminated verification report
4.5	Industrial attachments	Development of industrial attachment policy	Approved Industrial attachment policy
		Appointment of Industrial Liaison officer (ILO) and office in place	<ul style="list-style-type: none"> a. Appointment letter b. ILO Office
		Conduct of Industrial attachment	<ul style="list-style-type: none"> a. Placement list b. Budget c. Industry supervisor reports

No.	Inspection/ Audit Area	Performance Descriptor	Evidence/Indicators
			<ul style="list-style-type: none"> d. Marked logbooks and/or industrial attachment reports e. Trainer supervision schedule and report
		Sourcing for placement of trainees	<ul style="list-style-type: none"> a. Sourcing letters b. List of obtained placements
		Acquisition of Insurance cover for trainees	Copy of policy document for trainees on attachment
		Mechanism for obtaining feedback on workplace training	<ul style="list-style-type: none"> a. Industry supervisor report b. Filled questionnaire by industry supervisor c. Trainee's industrial attachment report

Criteria 5 -Programmes evaluation

The programme evaluation entails analysis of level of compliance to Accreditation Standards which includes whether the programmes being offered are accredited and enrolment is within the approved ceiling, ratios of programme vs trainers and facilities, trainer-trainee ratio, composition of gender across the courses offered and trainers' qualification and registration status. Table 5 provides an overview of the performance descriptors and indicators for every audit area under this criterion.

Table 5: Programmes evaluation

No.	Inspection/ Audit Area	Performance Descriptor	Evidence/Indicators
5.1	Compliance with requirements for Accreditation	Offering accredited (licensed) Programmes	<ul style="list-style-type: none"> a. Training license b. Brochures c. Enrolment data per course d. Class registers e. Master timetable
		Enrolment (within the approved capacity)	<ul style="list-style-type: none"> a. Training license b. Enrolment data per course c. Class registers d. Class timetables
		Programme versus Trainers	<ul style="list-style-type: none"> a. Timetable b. Human resource records
		Programme versus Facilities	<ul style="list-style-type: none"> a. Courses on offer b. Inventory (Physical evaluation of training equipment, facilities and infrastructure)
		Trainer-trainee ratio per course is within provided standards and guidelines	<ul style="list-style-type: none"> a. Approved enrolment per course/level b. Class register (Number of trainees) per course c. Number of trainers per course d. Timetable
5.2	Collaborations	Number of Programmes under collaboration with universities (For NPs)	Memorandum of understanding (MoUs)

No.	Inspection/ Audit Area	Performance Descriptor	Evidence/Indicators
5.3	Composition of courses and gender balance	Technical versus Business programmes offered (proportion of each)	a. Number of technical courses offered b. Number of business courses offered
		Gender Balance per course (Proportion of trainees and trainers)	Segregation records of gender of trainees and trainers
		Level of programmes offered (proportion of Artisan, Craft, Diploma)	List of courses on offer
5.4	Qualification and registration of trainers	Trainers Qualification (proportion of qualified trainers)	Trainers' personal files
		Trainers Registration status (Proportion of Registered Trainers)	TVETA Registration license numbers

Criteria 6 – Trainee Support

Training is an interactive process, in which the outcomes depend on both training delivery and learning processes. The quality of the outcomes depends on the quality of the inputs and processes which include trainee support. Trainees' support includes trainee welfare, alumni networks and accommodation. Table 6 provides an overview of the performance descriptors and indicators for every audit area under this criterion.

Table 6 Trainee Support

No.	Inspection/ Audit Area	Performance Descriptor	Evidence/Indicator
6.1	Trainee support procedures	Development of admission procedures	a. Approved Trainees' handbook/admission procedure b. Admission register c. Admission letters

No.	Inspection/ Audit Area	Performance Descriptor	Evidence/Indicator
		Development of Code of conduct (rules and regulations) for trainees	<ul style="list-style-type: none"> a. Approved Code of conduct b. Publication and dissemination c. Trainee's endorsement
		Development of discipline procedure	<ul style="list-style-type: none"> a. Approved discipline procedure b. Publication and dissemination
		Development of complaints procedure	<ul style="list-style-type: none"> a. Suggestion box b. Approved complaints procedure c. Complaints register
6.2	Trainee welfare	Appointment of staff in charge	Appointment letter
		Facilitation for scholarships and bursaries	<ul style="list-style-type: none"> a. Verified list of beneficiaries b. Evidence of communication to trainees (publication on information boards, website etc.) c. MoUs
		Election of trainees' representatives	<ul style="list-style-type: none"> a. Trainees' association constitution b. List of trainee representatives c. Evidence of elections for trainee representatives
		Management of games, sports, clubs and societies	<ul style="list-style-type: none"> a. List of existing clubs, societies and sports b. Appointment letters for patrons and coaches

No.	Inspection/ Audit Area	Performance Descriptor	Evidence/Indicator
			<ul style="list-style-type: none"> c. Facilities for co-curricular activities /MOU d. Participation in clubs and sports
		Support for vulnerable trainees	<ul style="list-style-type: none"> a. Approved procedures b. Verified list of vulnerable and trainees with special needs receiving support c. Actual interventions
		Provision of guidance and counselling services	<ul style="list-style-type: none"> a. Appointment letters of head and committee of G&C b. Engagement of a professional counselor on need basis c. Schedule of G&C activities d. Attendance lists for guidance and counselling sessions e. Guidance and Counseling records
		Provision of career guidance Services	<ul style="list-style-type: none"> a. Staff in charge appointment letter b. Schedule of activities for career guidance c. Career guidance records and reports
6.3	Alumni Networks	Maintenance of alumni Database/ Documentation	<ul style="list-style-type: none"> a. Database of alumni b. Alumni leadership c. Alumni media platform
		Schedule of alumni activities	<ul style="list-style-type: none"> a. Regular meetings or other forms of contact b. Activities undertaken

No.	Inspection/ Audit Area	Performance Descriptor	Evidence/Indicator
6.4	Accommodation (where applicable)	Provision of hostels	<ul style="list-style-type: none"> a. Accommodation arrangements including rentals for both male and female trainees b. Adequacy (size) (Meeting relevant health and safety requirements based on the trainees accommodated) c. Well organized for safety
		Appointment of a qualified matron/janitor	Appointment letter
		Maintenance of hostels	<ul style="list-style-type: none"> a. Evidence of meeting the requirements of the Building Code b. Condition (State of maintenance, e.g. painting, tidiness, Lighting, ventilation) c. Public health inspection report
		Safety provisions	<ul style="list-style-type: none"> a. Meeting relevant health and safety requirements: b. Safety instructions displayed c. Safety signage d. Serviced and variety firefighting equipment e. Fire exit f. Doors opening outwards g. Windows without grills
		Accessibility	Ramps, lifts, pathways etc.

Criteria 7 – Innovation, Research and Cooperation

Innovation is about creating something new or an adaptation or an improvement on something already existing. A TVET institution should always focus on continuous improvement of its services through innovation. The changing TVET

environment, with new industries and sectors emerging, requires the TVET institution to consider new concepts, new generic skills, training technologies to help them meet growing labour market needs.

An institution which makes use of research, innovation and cooperation with other stakeholders will always be above standard level continuously searching for ways to become better. Important themes of a modernized and future oriented TVET system are innovative concepts, such as Greening TVET and the inclusion of entrepreneurship as cross-cutting issues. Greening TVET supports 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. The TVET institutions should establish incubation centres or collaborate with existing centres to help trainees to develop and practice entrepreneurship skills. Table 7 provides an overview of the performance descriptors and indicators for every audit area under this criterion.

Table 7: Research, Innovation and Cooperation

No.	Inspection/ Audit Area	Performance Descriptor	Evidence/Indicator
7.1	Research and innovation	Establishment of research and innovation unit / Committee	Appointment letters for research and innovation coordinator and committee
		Planned Activities	a. Schedule of research and innovation activities in place b. Approved budget
		Initiation of research and innovations	a. Procedures for initiating innovations are established b. Evidence of innovations initiated
		Patents	a. List of patented innovation b. Patent numbers
		Partnering with other organizations in research and innovation	a. MoUs b. Reports of undertaken research and innovations

No.	Inspection/ Audit Area	Performance Descriptor	Evidence/Indicator
		Establishment of mechanisms for disseminating research findings and outcomes	<ul style="list-style-type: none"> a. Journals b. Conference attendance c. Symposium attendance d. Trade fairs and exhibitions participation
		Customer satisfaction and employee satisfaction survey	<ul style="list-style-type: none"> a. Questionnaires b. Reports c. Evidence of dissemination
		Conduct promotion of research and innovations	<ul style="list-style-type: none"> a. Events and open days b. Trade fairs and exhibitions c. Institution website promotion d. Institution journals and magazines e. Advertisements
		Undertake commercialization	<ul style="list-style-type: none"> a. List of identified market for innovations b. Developed and manufactured innovations c. Incubation hubs d. Evidence of sales and distribution of innovation

No.	Inspection/ Audit Area	Performance Descriptor	Evidence/Indicator
7.2	Labour Market information (LMI)	Establishment of mechanism for obtaining labour market information	<ul style="list-style-type: none"> a. Questionnaires b. Interviews c. Surveys d. Networking through media platforms e. Industrial attachment reports
		Documentation and dissemination of information	<ul style="list-style-type: none"> a. LMI reports, journals, newsletters etc. b. Dissemination to stakeholders
		Use feedback to improve training	<ul style="list-style-type: none"> a. Curriculum development and reviews b. Review of training preparation, delivery and assessment strategies c. Improved training facilities d. Capacity building of trainers
7.3	Linkages & Collaborations	Planned activities	<ul style="list-style-type: none"> a. Benchmarking, skills show and competitions participation b. Budget c. Schedule of activities d. Correspondence e. Reports
		Undertake exchange programmes for trainers and trainees	<ul style="list-style-type: none"> a. List of trainers and trainees on exchange programs b. Memoranda of Understanding c. Other records of evidence

No.	Inspection/ Audit Area	Performance Descriptor	Evidence/Indicator
		Carrying out industrial/ field visits	<ul style="list-style-type: none"> a. Correspondence for industrial visits b. Budget c. Schedules for visits d. Field visit reports
		Establishment of partnerships	<ul style="list-style-type: none"> a. Memoranda of Understanding b. Social events conducted with stakeholders c. Other records of evidence
7.4	Participation in community activities/ Corporate social responsibility	Activities and plans to respond to community needs	<ul style="list-style-type: none"> a. Identified community needs b. Budget c. Reports
7.5	Greening/ Resource conservation	Planned and/or implemented activities in greening	<ul style="list-style-type: none"> a. Tree planting b. Water harvesting c. Renewable energy d. Bio gas e. Recycling f. Research in greening g. Participation in events and cooperation regarding greening in TVET
7.6	Entrepreneurship & income generating activities	Production units initiated	Established and operational Production units
		Involvement of trainees in production units	Production units' operations schedules

No.	Inspection/ Audit Area	Performance Descriptor	Evidence/Indicator
		Establishment of projects/ incubation hubs	<ul style="list-style-type: none">a. Approved incubation strategyb. Appointed qualified support staff (mentoring services)c. Incubated projects and innovationsd. Approved budgete. Network with industries
		Integration of entrepreneurship in TVET programmes	<ul style="list-style-type: none">a. Approved curriculab. Course outlinesc. Timetable

APPENDIX 1:

OVERVIEW OF TVET ACT AND QA RELATION

This is an overview of the parts and sections of the TVET Act that address quality assurance.

Section	Quality assurance relation
PART I – PRELIMINARY	
1. Interpretation	<p>-Includes important legal definitions of technical terms, such as</p> <p>“Accreditation” and “certification” and other terms, which are of crucial importance for the external quality assurance. However, the list of definitions is somehow still incomplete and requires complementation by sub-legal regulations by either TVETA or other TVET related agencies.</p>
2. Guiding principles	<p>Section 3 (1) includes a number of guiding principles for the implementing authorities. Some of them are directly QA related. These QA related principles include appropriate mechanisms to promote access, equity, quality and relevance in training to ensure adequate human capital for economic, social and political development (Guiding principle 3(1)b) Training programmes shall take the following into account (Guiding principles 3(1)c ii, iii, iv, v):</p> <ul style="list-style-type: none"> • The technical and professional skills, knowledge and levels of qualification needed in the various sectors of the economy and the technological and structural changes to be expected (relevance, employability),

Section	Quality assurance relation
	<ul style="list-style-type: none"> • The trends towards integration of information and communication technologies to multiply access and improve training capacity, delivery modes and life-long employability of graduates; • The employment opportunities, occupational standards and development prospects at the international, national, regional and local levels; and • The protection of the environment (green TVET)
3. Role of the Cabinet Secretary	<ul style="list-style-type: none"> • The TVET Act assigns a regulatory and supporting role to the Cabinet Secretary, which in consultation with other line ministries and the private sector shall develop policies and provide strategies for the development of a national training system. It shall, in collaboration with
	<ul style="list-style-type: none"> • Other Ministries and stakeholders, be responsible for promoting access, equity, quality and relevance in training.
4. Policy guidance by Cabinet Secretary	<ul style="list-style-type: none"> • Assigns the task of TVET policy guidance on all matters relating to the implementation to the Cabinet Secretary.
PART II – THE TECHNICAL AND VOCATIONAL EDUCATION AND TRAINING AUTHORITY	
5. Establishment of the Technical and Vocational Education and Training Authority	<ul style="list-style-type: none"> • Establishes TVETA as main external TVET QA body

Section	Quality assurance relation
6. Functions of the Authority	<p>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:</p>
	<ul style="list-style-type: none"> • 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.

Section	Quality assurance relation
7. Staff of the Authority	<ul style="list-style-type: none"> - 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	
8. Requirement for registration	<ul style="list-style-type: none"> - 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.
9. Application for registration	<ul style="list-style-type: none"> - Regulates the application of institutions or persons offering training
10. Consideration of application	<ul style="list-style-type: none"> - Maximum duration of consideration three months including examination of documents and Quality Assessment and assessment of the institution - Detailed accreditation report by TVETA required
11. Registration and licensing of institutions	<ul style="list-style-type: none"> - 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
12. Determination of a revised application	<ul style="list-style-type: none"> - Three months period for reassessment of a revised application
13. Accreditation of foreign institutions	<ul style="list-style-type: none"> - Foreign TVET institutions must comply with the external requirements for institutional accreditation, licensing and registration as national TVET institutions (compare section 17).
14. Registration and licensing of trainers	<ul style="list-style-type: none"> - This includes that any TVET trainer must apply for licensing and registration by the TVETA board in accordance with the prescribed format.

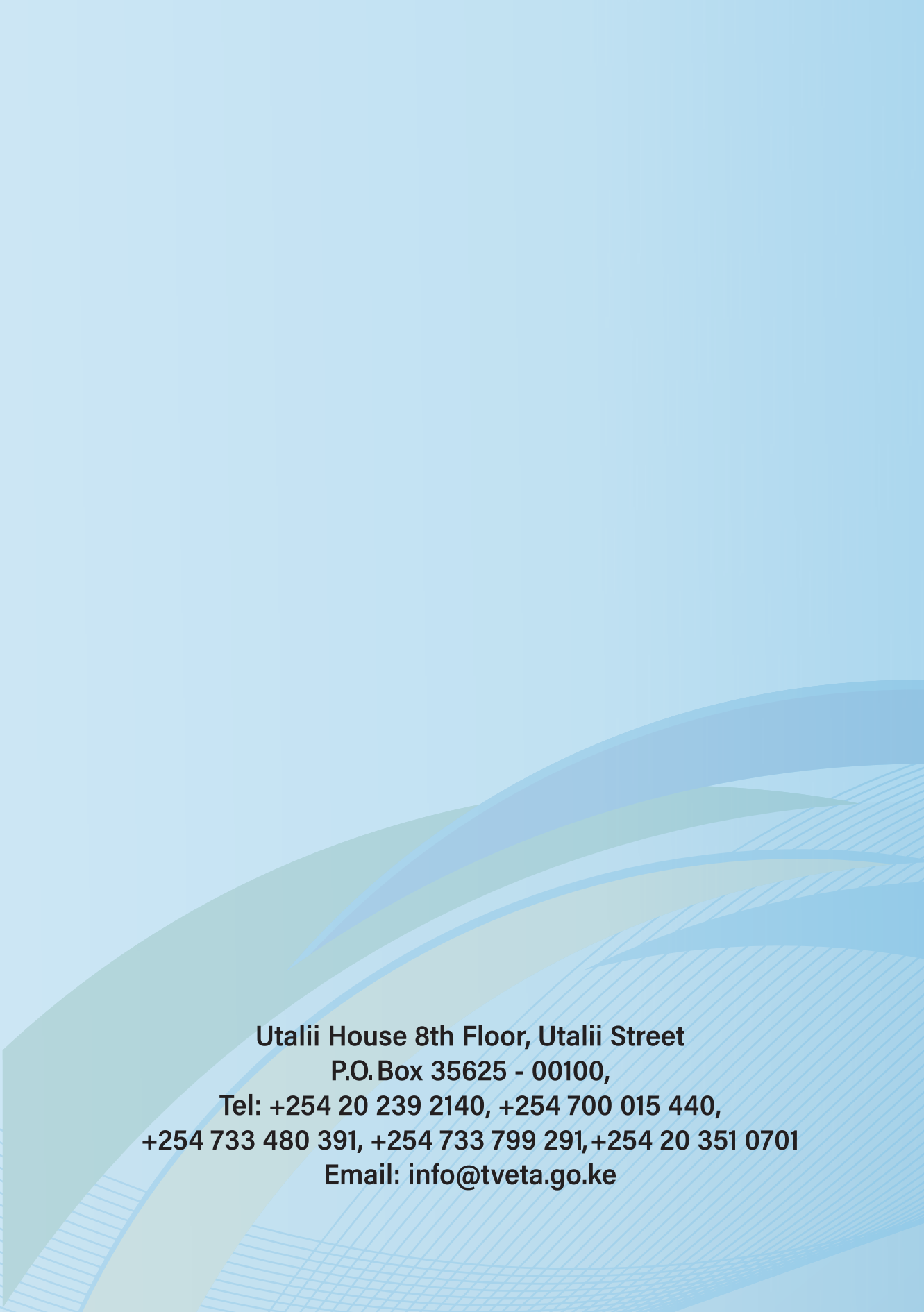
Section	Quality assurance relation
15. Registers	<ul style="list-style-type: none"> - The TVETA Board maintains public registers of institutions accredited, registered and licensed and of registered and licensed trainers.
PART V – ORGANIZATION OF TRAINING INSTITUTIONS	
16. Categories of institutions	<p>TVET Act 2013, provides for three categories of institutions namely:</p> <ul style="list-style-type: none"> • National Polytechnics (NP), • Technical Vocational Colleges (TVC) and • Vocational Training Colleges (VTCs)
17. Governance and management in Training	<ul style="list-style-type: none"> - This provision encourages co-operation and collaboration among all stakeholders and the participation of and consultation with the
	<ul style="list-style-type: none"> - Stakeholders at the county, national and international levels. Broad stakeholder participation in TVET provision is a common feature of successful TVET systems and a pre-condition for effective TVET QA.
18. Organs of governance	<ul style="list-style-type: none"> - 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: <ul style="list-style-type: none"> • Promoting and maintaining standards, quality and relevance in education and training in the institution; • Developing and implementing the institutions' strategic plan;
	<ul style="list-style-type: none"> • Developing and reviewing programmes for training; • Recruiting and appointing trainers from among qualified professionals and practising trades persons in relevant sectors of industry.
PART VI – STANDARDS, QUALITY AND RELEVANCE IN TRAINING	

Section	Quality assurance relation
19. Standards in training	<ul style="list-style-type: none"> - 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.
20. Programs of instruction in training institutions	<ul style="list-style-type: none"> - 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. - Approval of the TVETA Board is mandatory
21. Monitoring and evaluation of training institutions	<ul style="list-style-type: none"> - Training shall be of quality and relevance and in accordance with the standards set out by the TVETA Board - TVET institutions shall put in place internal systems to ensure the maintenance of standards, quality and relevance of training programmes. - 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. - 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.

Section	Quality assurance relation
22. Appointment of monitors and evaluators	<ul style="list-style-type: none"> - Appointment of monitors and evaluators of TVET institutions and reporting requirements
PART VII – HARMONIZATION OF TRAINING QUALIFICATIONS	
23. National and international standards and quality assurance	<p>This section implies:</p> <ul style="list-style-type: none"> - 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; - The establishment, implementation and management of credible internal quality assurance systems (QMS); - The establishment and promotion of appropriate collaborative arrangements with national and international agencies on standards and quality assurance; and - The establishment of systems and processes for the continuous review and improvement of standards and quality assurance.
24. Integration of internships in training	<ul style="list-style-type: none"> - 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.
25. Responsibility of institutions and quality assurance agencies in implementing of standards	<ul style="list-style-type: none"> - 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.

Section	Quality assurance relation
26. Filing of annual report	- 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.
27. Recognition and equating of certificates and diplomas	- 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.
28. Certification of skills and competencies acquired on the job	- Recognition of non-formal/informal or apprenticeship VET by TVETA, which thereby will have to comply with standards in a quality assured manner.
PART VIII – MISCELLANEOUS PROVISIONS	
29. Regulations and standards	- 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.

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.”



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