



# **CARIBBEAN ASSOCIATION OF NATIONAL TRAINING AGENCIES (CANTA)**

## **QUALITY ASSURANCE CRITERIA AND GUIDELINES FOR THE CARIBBEAN VOCATIONAL QUALIFICATION**

**MARCH 2009**

## **Introduction**

The proposal for the free movement of certified skilled workers as one of the protocols of the Caribbean Single Market and Economy (CSME) and mandate from the CARICOM Council on Human and Social Development (COHSOD) has prompted the Caribbean Association of National Training Agencies (CANTA) to develop a mechanism for the establishment of a regional certification scheme to award the Caribbean Vocational Qualification (CVQ).

It is assumed that all countries:

- (a) Subscribe to the provision of standards-driven, competence-based training, assessment and certification systems as documented in the ‘CARICOM Process for Workforce Training, Assessment and Certification’ and
- (b) Adhere to the Regional Qualifications Framework with the five levels of certification.

The Regional Qualifications Framework is built on the philosophy of competence-based training, assessment and certification methodologies which lead to national and regional qualifications based on quality assurance mechanisms which govern the award of certificates and diplomas at various levels of competence.

## **Quality Assurance**

It is important therefore that the quality assurance system implemented be of a consistently high standard, transparent and which can be subjected to repeated rigorous audit. As such, the principles of quality assurance involved in implementing the Caribbean Vocational Qualification (CVQ) are applied throughout the entire process of training, assessment and certification. The areas under consideration are:

- The development of training outcomes that reflect workplace requirements (occupational standards)
- Training delivery
- Assessment
- Certification

The adherence to best practice by the Awarding Body is central to the quality assurance process.

**(a) The development and validation of learning/training outcomes which match local, regional and international workplace requirements (occupational standards)**

Occupational standards are statements about the knowledge, skills and attributes that individuals need to perform in the workplace. They are defined in terms of learning/training outcomes and form the basis for ensuring that training and assessment meet the needs of industry. They are defined and developed by practitioners from industry and therefore come endorsed from industry itself. These industry practitioners use international standards databases as the benchmark for developing local standards. These standards form the basis for National and Caribbean Vocational Qualifications.

**Quality assurance requirements**

National Training Agencies are required to adhere to the following guidelines when developing occupational standards and Caribbean Vocational Qualifications:

- Criteria for Evaluating the Overall Format and Content of Occupational Standards for the Caribbean Vocational Qualification (CVQ) – October 2008.
- NVQ Design Criteria –September 2007

**(b) Training Delivery/ Approval of Assessment Centres**

The second major area of quality assurance is in the delivery of training. This can be work-based, institutional –based, distance or a mix of training modalities. In each case, standards are defined for the delivery of training and assessment and providers are required to be approved: Approval Criteria cover:

- Management of Information (record management, security and storage)
- Staff resources
- Physical resources
- Learning resources
- Statutory compliance
- Internal verification procedures
- Assessors

All assessment centres must satisfy the minimum requirements for competence-based training, assessment and certification. Awarding Bodies are responsible for approving centres to deliver CVQs.

## **Quality assurance requirements**

National Training Agencies which have been authorised to award CVQs are required to specify and evaluate organizations against approval criteria for the areas listed above. The NTA's Centre Approval Criteria must be submitted to the Quality Assurance Committee for endorsement.

### **(c) Assessment**

Assessment within the framework is defined as the process of collecting evidence and making judgements about whether or not competence has been achieved when measured against the occupational standards. The assessment system promotes authentic assessment and ensures a valid, reliable, and fair process. Assessment instruments are validated and assessors who conduct assessments are trained and certified in competence-based assessment methodology.

In order to ensure there is reliability and consistency in assessor judgements, internal and external verification (audits) are done periodically. The verification report and results are documented as part of the quality assurance strategy.

In the context of the Caribbean Vocational Qualification (CVQ), Internal Verification of the assessment of candidates is a quality assurance process carried out by a centre that is approved by an awarding body to offer one or more CVQs. The purpose of Internal Verification (IV) is to ensure the quality and consistency of assessment of candidates for CVQ awards within an approved centre and any of its satellites.

External Verification can be defined as a quality assurance process undertaken by the Awarding Body to ensure that an approved Centre and its satellites maintain the quality standards established by the Awarding Body.

## **Quality assurance requirements**

In order to be registered as a CVQ Assessor and allowed to operate, persons must be trained to the standards for assessment, with the use of simulated activities to develop skills. They must however, be working towards certification (i.e. a statement of competence/unit recognition) within 6 months of the training. *Evidence: training course mapped to the following units:*

- *Plan assessment*

- *Conduct assessment*
- *Review assessment*
- *Develop assessment tools.*

CVQ Awarding Bodies and assessment centres are required to adhere to the following guidelines:

- Assessment Guidelines for the CVQ
- Internal Verification Guidelines for the CVQ
- External Verification Guidelines for the CVQ

The following monitoring arrangements for the delivery of CVQs are stipulated. CANTA through National Training Agencies should ensure that:

1. Assessments are conducted by trained assessors. *Evidence: Assessors are registered, training programme content.*
2. Assessments are conducted within approved centres. *Evidence: List of approved centres.*
3. Verification of assessments is regularly conducted with the involvement of occupational experts. *Evidence: List of verifiers, verification reports.*
4. Moderation of assessment results is conducted to maintain consistency. *Evidence: moderation meeting attendance register, moderation reports.*

#### **(d) Certification**

Candidates are issued a Caribbean Vocational Qualification from the local awarding body, where applicable, on the basis of having met the requirements for certification. This is done on the basis that the training/assessment centre:

- (i) subscribes to the regional qualifications framework
- (ii) has adhered to the standards-driven, competence-based approach to training and assessment and
- (iii) is subject to the quality assurance principles under the auspices of the local national training agency, focal point or accreditation body.

### **(e) Awarding Body Best Practice**

The quality assurance process for the CVQ is implemented and monitored by local national training agency or focal point. There are hallmarks of best practice in the delivery of N/CVQs with respect to:

#### *Leadership and Management*

- a. An effective risk management strategy is in place
- b. Clear lines of governance and accountability are in place
- c. An organisational structure is in place to deliver the business objectives

#### *Awarding and Assessment*

Provide an assessment and awarding service that is fit for purpose

#### *Customer Service*

Demonstrate a commitment to meeting and exceeding customer expectations

#### *Design and Development*

Demonstrate a robust system for the design, development and ongoing review of qualifications which meet the needs of users

#### *Diversity*

Demonstrate a strategy for promoting diversity and inclusion

#### *Continuous Improvement*

Demonstrate a culture of continuous improvement

### **Quality assurance requirements**

Awarding bodies for the CVQ are required to demonstrate the Hallmarks of Best Practice for the Delivery of NVQs –2007

## **CONCLUSION**

The quality assurance strategies set out above provide a framework for the delivery of a credible qualification which certifies the attainment of world-class standards. These strategies should be implemented consistently and will be added to, reviewed and updated in order to ensure that the desired quality product is delivered – a world-class workforce.



## **Criteria for Evaluating the Overall Format and Content of Occupational Standards for the Caribbean Vocational Qualification (CVQ)**

### **General Principles**

1. Standards (Elements of Competence) and Units of Competence should reflect substantial work roles which have credibility in employment;
2. Standards should be meaningful, measurable and reflect the core skills of planning and problem solving – not merely conformity with rules and procedures;
3. Standards should describe ‘outcomes’ – the results of work activity;
4. Standards should be clear and concise – and be immediately understandable by users (trainees, candidates, assessors);
5. Standards should have a consistent format across different Units, and CVQs.

In order for standards to be approved by the Awarding Body and the Caribbean Association of National Training Agencies (CANTA) their format and content must meet the criteria below:

### **The Title of the CVQ**

#### **The Title of the CVQ should:**

- reflect the occupational/skill area;
- be stated as a noun where applicable.

### **The Title of Units or Elements of Competence**

#### **The Title of a Unit or Element of Competence should:**

- use language which is precise and consistent with the appropriate grammatical structure;
- use a clear, unambiguous active verb or verbs to describe the action required;

- represent a discrete unit of work which is complete and assessable rather than a procedural step or operation;
- describe outcomes, expectations or results of activity, rather than activities procedures and methods.

**The Title of a Unit or Element of Competence should not:**

- describe knowledge, skills or understanding instead of outcomes;
- describe outcomes with verbs which simply mean ‘do’;
- use ambiguous or ‘secondary’ verbs;
- place an evaluative term into the statement of competence.

**Performance Criteria**

**Performance Criteria should:**

- consist of a critical outcome or process plus an evaluative phrase – or, where justified, a description of a state which either should or should not occur;
- use evaluative terms which are appropriate (i.e. absolute, with a tolerance or conditional/dependant) given the range of variations which might be allowed or expected in the work environment;
- be phrased in simple language that is easily understood by all users;
- be sufficient to cover (measure) the element.

**Performance Criteria should not:**

- describe all the outcomes as ‘correct’;
- reference all performance requirements to the procedures of an organisation;
- offer options, alternatives or conditions;
- use repetitive criteria which could form the basis of an ‘overarching’ or common Unit or Element;
- use highly generalised or abstract language.



## **Range Statements**

### **Range Statements should:**

- describe the tools, equipment, materials, methods and processes which are significant to the work activity;
- describe significant variations which would require different skills, methods or processes as required by industry.
- reflect current and future requirements for flexibility and breadth.

### **Range Statements should not:**

- list variations which do not really require different skills or level of skill;
- offer options or alternatives (all the range must be assessed).

## **Underpinning Knowledge and Skills**

The underpinning knowledge and skills should be a clear outline of the:

- facts and data;
- theories, methods and principles to be understood and applied;
- underpinning skills required to carry out the performance criteria.

## **Evidence Guide**

All performance criteria, underpinning knowledge and skills and range must be assessed.

The evidence guide should include information on:

- the critical performance that must be demonstrated;
- appropriate methods of assessment;
- appropriate context of assessment.

## Critical Employability Skills

*(This framework is to be developed by CANTA)*

## Coding Convention

The CVQ unit titles should:

- be clear and indicative of the content of the Unit;

The unit code should include references to:

- sector
- sub sector
- level
- a unique identification number.

Criteria for Evaluating Occupational Standards  
V2.b

Revised CANTA SAC Meeting October 22-25, 2008



## NVQ Design Criteria

It is proposed that to be recognised as a National Vocational Qualification (NVQ)/Caribbean Vocational Qualification (CVQ) all proposed qualifications must be approved by the National Training Agency (NTA) in accordance with the following criteria. These criteria also apply to proposals for approval and re-approval of NVQ/CVQ units at national levels. At the national level:

### Each NVQ shall:

- a) have clear evidence of significant demand and support from employment interests
- b) be based on approved relevant National Occupational Standards (NOS) defined by standards setting bodies.
- c) be written in the form of units and outcomes
- d) be reasonably broad in concept and lead to progression
- e) define a qualification structure which specifies the title and level of the NVQ and the units which are mandatory or either optional or additional.
- f) assess the application of skills, knowledge and attitudes to the National Occupational Standards required in the workplace.
- g) have an assessment framework which defines:
  - i how external quality control will be achieved
  - ii which aspects of the NVQ must always be assessed through performance in the workplace.
  - iii the extent to which simulated working conditions may be used to competence and any characteristics that simulation should have, including definitions of what constitutes a realistic working environment.
  - iv the occupational expertise required of assessors and verifiers.

Version 2 Revised CANTA Workshop  
September 26, 2007



## ASSESSMENT GUIDELINES FOR THE CARIBBEAN VOCATIONAL QUALIFICATION (CVQ)

Competency Based Education and Training requires that assessment be criterion referenced and in keeping with principles of validity, reliability and fairness. Assessment must also be focused on relevance and sufficiency of evidence. Documented procedures and guidelines for assessment of candidates and the recording of assessment information must comply with the agreed criteria as approved by CANTA.

### Criteria:

1. The methods of assessment must be consistent with the approved competency requirements and must appropriately assess knowledge, skill and attitudes. Assessment guidelines must define assessment methods and clearly describe:
  - Strategies, techniques and conditions for gathering evidence within the context of assessment
  - conditions and requirements for workplace, simulated environment and continuous assessment
  - conditions and requirements for integrated assessment
  - requirements for candidate's self assessment and assessor's pre-assessment activities
2. Assessment decisions should be guided by a common marking, grading or rating criteria (see Appendix A)
  - The rating system must conform with the standard agreed by CANTA
  - Guidance for the use of the rating criteria must be documented and included in the training programme for assessors and verifiers
3. The core components of an assessment package/instrument should be specified in the assessment guidelines and contain the following as a minimum requirement:
  - pre assessment checklist and candidate's self assessment checklist
  - assessment plans
  - competency checklists
  - templates for reporting, feedback and summary records of achievement
  - templates for recording allowable adjustments to assessments

4. Assessment templates must have key features to include the following:
  - Content requirements of standards
  - Candidate data and Centre identification
  - Competency identification/codes
  - Appropriate signatures and dates
  
5. Assessments conducted for the Caribbean Vocational Qualifications shall be subject to quality audit as defined by CANTA. These audits activities shall assess compliance with these guidelines and the documented assessment process and guidelines of the system being audited. The documented assessment system should include:
  - Assessment procedures
  - Reporting timelines for the following:
    - i. Appeals
    - ii. assessment records
    - iii. summary records
  - Mechanisms for feedback, appeal and corrective actions
  - Guidance for the management of assessment records - (ref. centre approval criteria) which includes considerations for the following:
    - i. legibility
    - ii. storage
    - iii. access and retrieval
    - iv. security and confidentiality
    - v. archiving and disposition
  
6. Assessment guidelines must have a glossary of assessment terms which promulgate and support an understanding of the CBET philosophy. The glossary must include, at a minimum, the assessment terms defined and agreed by CANTA (see Appendix B).

## APPENDIX A

### Rating Scale

A rating scale is a scoring tool that lists the criteria for making judgments on competency. It also articulates gradations of quality for each criterion, from poor to excellent/ competent to not yet competent. A rating scale clarifies expectations of instruction and assessment and is a useful tool for the instructor and the assessor. It can also be used by the learner to monitor and improve overall performance.

### EXAMPLE

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

Rating scale document

October 2008

Version 0.a

## **APPENDIX B**

### **GLOSSARY OF TERMS**

#### **Assessment:**

Any systematic method of obtaining information from observation, tests and other sources, used to draw inferences about the performance and achievements of an individual. It involves the process of gathering, describing, or quantifying information about performance from an activity such as a written test, portfolio development or project that seeks to measure a student's skills or knowledge in a subject or skill area.

#### **Assessment plan:**

A document that outlines the methods to be used, steps to be taken and activities involved in the gathering and judging of evidence to determine competence. It specifies the direct and indirect evidence needed to demonstrate the attainment of each element or performance criteria and indicates the intervals (or timelines) at which evidence is collected and examined and the persons responsible for the collection and assessment or review of the evidence collected.

#### **Competency:**

A group of defined characteristics that indicate an individual's acquisition of a set of skills in a given area and a level at which performance is agreed to be acceptable.

#### **Competency-based assessment:**

The assessment of an individual's performance evaluated against specific learning outcomes or agreed performance standard and not against the performance of other persons.

#### **Criteria:**

A set of established guidelines, rules, characteristics, or conditions which, when used to evaluate an activity, performance or achievement, will determine its value or quality.

#### **Evidence:**

Documentary data/information that can be validated or authenticated and which provides proof of understanding of content or skill competence in a specific area.

#### **Fairness:**

The provision of assessment conditions which will offer an even playing field for all participants and promote confidence in the instruments and its results.

#### **Formative assessment:**

A type of assessment which, when conducted, provides feedback to the instructor/facilitator for the purpose of improving instruction and to the learner for the purpose of improving performance.

#### **Oral examination:**

An assessment through a face-to-face dialogue between the learner/candidate and assessor which examines levels of knowledge and attitudes as they relate to the achievement of competencies defined in the qualification.

**Performance assessment:**

A method used to assess how well learner/candidate demonstrates knowledge and skills in order to determine the achievement of competencies as defined by the performance criteria within a qualification.

**Portfolios:**

A collection of multiple work samples usually compiled and evaluated overtime. The design of a portfolio is dependent upon the evidence requirements of the qualification to be assessed the established quality requirements of the awarding body.

**Portfolio Assessment**

A portfolio becomes a portfolio assessment when the assessment purpose is defined, the criteria or methods are made clear for determining what is put into the portfolio, by whom, and when and the criteria for assessing either the collection or individual pieces of work are identified and used to make judgments about performance.

**Rating scales**

Values given to performance or achievement based on assessment activities. Rating scales may be numerical or descriptive/narrative and based on pre-established and agreed criteria for determining where along a continuum of proficiency an individual who is assessed will fall.

**Reliability**

The degree to which the results of an assessment consistently measure knowledge, attitudes and/or skills attained in a particular assessment are dependable based on repeated assessment. Reliability demonstrates consistency of assessment decisions and scores among assessors, over time and across different tasks or items that measure the competencies. Reliability may be expressed in terms of the relationship between test items intended to measure the same skill or knowledge (item reliability), the variation in administration of the same test to the same student or students (test/retest reliability), or the degree of agreement between two or more assessors (assessor reliability). The absence of reliability in an assessment affects its validity.

**Sample:**

A selection of a specified number of entries called sampling unit (participants, items, etc.) from a larger specified set of possible entities, called the population. A random sample is a selection according to a random process, with the selection of each entity in no way dependent on the selection of other entities.

**Summative assessment**

A culminating assessment, which when conducted, gives information on students' competence, attitude and mastery of content. Summative assessment may be a single assessment or a combination of assessment scores/achievements, obtained by various methods, which when combined provides sufficient evidence of the prescribed achievement required for national or regional recognition.



**Third party Evidence:**

Information provided by person(s) other than those directly involved in the assessment process, which contributes to the collection of evidence of competence and achievement in a specific competence. Third party evidence may include information from employers, supervisors, peers, clients and others relevant to the competency requirements and the context of the assessment.

**Validity:**

Validity refers to the degree to which an assessment accurately reflects or assesses the specific concept that the competency attempts to measure. The components of validity include relevance, accuracy and utility and refer to the extent to which an assessment measures what it is supposed to measure and the extent to which inferences and actions made on the basis of assessment decisions are appropriate and accurate. A valid standards-based assessment is aligned with the standards intended to be measured, provides an accurate and reliable estimate of performance relative to the standard, and is fair.



## **INTERNAL VERIFICATION GUIDELINES FOR THE CARIBBEAN VOCATIONAL QUALIFICATION (CVQ)**

### **Internal Verification in context**

In the context of the Caribbean Vocational Qualifications (CVQs), Internal Verification of the assessment of candidates is a quality assurance process carried out by a centre that is approved by an awarding body to offer one or more CVQs. The purpose of Internal Verification (IV) is to ensure the quality and consistency of assessment of candidates for CVQ awards within an approved centre and any of its satellites.

### **Principles of internal verification**

Internal Verification is one part of the overall process of assessment verification, which comprises Internal Verification and External Verification. Internal Verification is the responsibility of, and is managed by, the approved centre. External Verification is the responsibility of, and is managed by, the Awarding Body.

In order to ensure that consistent and accurate standards are being applied and maintained, internal verification focuses mainly on the:

- validity of assessment instruments
- reliability of assessment decisions
- practicability of applying assessment instruments
- consistency of the quality of assessment practices within the centre over time

Internal Verification should be guided by a documented procedure which describes how the Internal Verification system will address the above areas.

Each awarding body should provide detailed guidance on Internal Verification to approved centres.

## **The Role of the Internal Verifier**

The Internal Verifier is at the heart of quality assurance in CVQs, both within the regional framework and within the quality management systems of each approved centre. The role, in terms of managing assessment so that it consistently meets national and regional standards, is central to maintaining public confidence in each and every CVQ issued.

The Internal Verifier is responsible for internal quality assurance, mainly through assuring the quality and consistency of assessments by the Assessor or Assessors for whom they are responsible. In carrying out these duties, the Internal Verifier should have a thorough understanding of quality assurance and assessment practices and as required, utilize the services of technical experts in occupational areas related to the qualifications for which they are verifying assessments. They should also have knowledge of the awarding body system and documentation.

The main responsibilities of the Internal Verifier are stated in Appendix 1.

### **Internal Verification practice**

Internal verification should provide checks and support for the following three (3) key stages of assessment:

- selecting and/or devising and/or modifying assessments (including marking schemes)
- applying assessments
- making assessment decisions

The way that the centre organises this layer of internal quality assurance will reflect organisational needs, though it should be in line with any national and regional criteria and guidelines.

An Internal Verification system should include:

- the sampling of assessment evidence
- continuous review of assessment practices, including observation of assessors

- continuous review of internal verification process
- an appraisal of the extent to which there is open access to assessment for candidates and potential candidates.
- the review of the conditions within the systems that impact the assessment process; including safety and health practices

## **Documentation**

Documentation for assessment and Internal Verification should include:

- records of (standardization) meetings with Assessors to agree assessment instruments, materials and marking schemes that offer flexibility and are cost effective in implementation wherever possible, without compromising quality
- records of outcomes and decisions of further meetings with Assessors that confirm the validity and practicability of assessment instruments, and the reliability, sufficiency and authenticity of assessment evidence
- records of, and justification for, sampling techniques selected and implemented
- records of the results of sampling and subsequent action taken by internal verifier and assessors.

All documentation should be kept in accordance with the requirements of the national awarding body.

## **Qualifications for Internal Verifiers**

All Internal Verifiers must meet the qualification requirements established by the Caribbean Association of National Training Agencies (CANTA).

# Appendix 1

## Summary of Responsibilities of Internal Verifiers

The responsibilities of Internal Verifiers may be summarised as:

- liaising as necessary with Assessors to give guidance on standards, advising and supporting them in their role, managing their workload and identifying any training needs that they may have
- confirming that proposed assessment material is valid, reliable and practicable
- ensuring by observation and an effective sampling procedure that candidate interview and assessment decisions made by Assessors are consistent
- carrying out standardisation exercises in group sessions with Assessors, including checklists, model questions and answers, banks of materials for common use, and dual assessment
- verifying that the standards attained are in accord with those stated in the relevant regional occupational standards as detailed in the CVQ
- confirming the authenticity of candidates' submissions for assessment
- providing feedback to Assessors on the validity, reliability, practicability and sufficiency of evidence presented for assessment purposes
- monitoring assessment procedures and records of assessment to confirm adherence to agreed procedures and accuracy of records
- maintaining effective relationships with the Assessor or Assessors, the CVQ Co-ordinator and External Verifiers
- dealing with internal disputes and appeals and contributing to the awarding body's external appeals procedure as required

- participating as required in external Quality Network meetings or communications concerning standardisation or review of standards
- liaising with the External Verifier, as required, on centre visits/re-visits
- ensuring that all external quality assurance requirements are met



## **Appendix 2**

# **GLOSSARY OF TERMS**

### **Approved Centre**

An approved centre is an organisation that has been granted permission by the Awarding Body to register and assess candidates for CVQs.

### **Assessment**

This is the process of judging performance. It will involve generating evidence of performance at work, or through simulation or role play, or from previous activities that have been documented by a competent witness. For assessing knowledge and understanding, there will normally be a question and answer session with an assessor, but it may also involve taking a written test, writing a report or doing some research.

### **Assessment Guidance**

Assessment guidance is the means by which the Awarding Body explains how knowledge and understanding, skills and outcomes may be assessed in a particular CVQ or suite of CVQs. The guidance will include advice on the type and amount of evidence to be collected by candidates.

### **Assessment Plan**

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

### **Assessment Strategy**

An assessment strategy is the set of recommendations and specifications made by the Industry Lead Body (ILB) about the approach to the assessment arrangements associated with a CVQ to meet the criteria laid down in the regulatory criteria. The strategy may be applied to a single CVQ or to a group of CVQs. The strategy is likely to include:

- ◆ recommendations on how external quality control of assessment will be achieved
- ◆ those aspects of the occupational standards that must always be assessed through performance in the workplace
- ◆ the extent to which simulated working conditions may be used to assess competence, any characteristics that simulation should have, and definitions of a realistic working environment
- ◆ consultation with awarding bodies in defining the occupational expertise of assessors and verifiers

### **Assessor**

This is someone chosen by an organisation to judge the performance of candidates against the occupational standards. The assessor will be someone who is sufficiently experienced and competent to assess what the candidate does.

### **Authenticity**

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

### **Candidate**

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

### **Certification**

This is the process by which an approved centre requests, and the Awarding Body provides, a certificate for each candidate on completion of:

- ◆ the entire set of units required for the award of the CVQ
- ◆ one or more units of an CVQ (for those candidates not enrolled for a full CVQ)

### **Completeness**

This is the extent to which evidence provided by a candidate covers all of the context, criteria and explanations required to demonstrate competence in an element or unit of the occupational standards.



## **Core units**

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

## **Currency**

Currency is the term applied to the time scale within which evidence (e.g. for witness testimony) or experience (e.g. for Assessors) is deemed to be acceptable in the regulations and assessment guidance for the award of CVQs.

## **Element**

A CVQ unit or occupational standard is made up of a number of elements, usually around 2–5, each of which consists of a title and a written set of criteria to be met within stated contexts, together with any statements about knowledge or understanding needed to support the criteria.

## **Enrolment**

This is the process of entering candidates, registered with the Awarding Body, for CVQs and units. Candidates are normally enrolled through an approved centre.

## **Evidence**

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

- ◆ outcome of observation of performance
- ◆ witness testimony of previous attainment
- ◆ results of oral or written examination

The type of evidence recommended as appropriate for inclusion in a candidate's portfolio for the various units and elements of the regional occupational standards would typically be provided in an assessment guidance document.

## **Evidence Specification**

This is a set of statements and/or list of items that defines the parameters of material that will meet the criteria for competence in an element of the occupational standards.

## **External Verifier (EV)**

An External Verifier is a person contracted or employed by the Awarding Body to carry out a quality assurance audit of the CVQ provision in an approved centre (including equal opportunities, access, and health and safety) to ensure that centres approved to offer CVQs are consistently judging candidates equally, fairly and to the regional occupational standards. The EV will audit the assessment system, including arrangements for the selection, recruitment and training of assessors, records of evidence and assessments, and will sample assessment in action where possible to monitor the working relationships between assessors and candidates. The EV will be an experienced senior practitioner in the field.

## **Industry Lead Body (ILB)**

This is an organisation responsible for development, maintenance and review of the national standards of competence that should be attained by those working in occupations within the sectors of industry or commerce for which the ILB has responsibility. Membership of ILBs is representative of government, employers, employees, professional bodies and education. ILBs are sometimes referred to as Standard Setting Bodies (SSBs).

## **Internal Verifier (IV)**

An Internal Verifier (IV) is a person with direct responsibility for the quality assurance of the assessment process in an approved centre and in any of its satellite sites in which candidates are assessed. The IV will be sufficiently experienced in assessment in the occupational area. Even where a centre has only one Assessor, an IV must be appointed to discharge the above duties. A large centre may appoint an IV Coordinator, or lead IV, where more than one IV is involved within that centre.

## **Internal Verifier Coordinator**

See Internal Verifier

### **Level**

Each CVQ is assigned to one (1) of five (5) levels in the qualifications framework. In summary, the level descriptors are set at the following:

- ◆ Level 1 reflects routine and predictable work activities
- ◆ Level 2 covers a significant range of varied work activities in a variety of contexts, some complex or non-routine, with a measure of individual responsibility and autonomy and possibly involving team working
- ◆ Level 3 targets a broad range of varied work activities in a wide variety of contexts, most of which are complex and non-routine, with considerable responsibility and autonomy, and often involving control or guidance of others
- ◆ Level 4 involves a broad range of technical or professional work activities in a wide variety of contexts, combined with a substantial degree of personal responsibility and autonomy, with responsibility for the work of others and possibly allocation of resources
- ◆ Level 5 involves the application of skills and a significant range of fundamental principles in a wide and often unpredictable variety of contexts with very substantial personal autonomy, often with significant responsibility for the work of others and allocation of substantial resources, and carrying personal accountability for analysis and diagnosis, design, planning, execution and evaluation

### **Mandatory**

The core units of a CVQ, i.e. those that must be taken for the award of the CVQ, are normally described as mandatory. Any other units within the qualifications structure for the CVQ from which a choice can be made, are described as optional or elective.

### **Occupational Standards (OS)**

These are the written descriptions of the industry agreed standards for competent performance in occupational roles. The standards, which include knowledge, skills and understanding of each role, are presented as a number of units containing elements, each of which has three (3) parts – criteria, range and explanations.

## **Optional Units**

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

## **Performance Criterion/Performance Criteria**

A performance criterion is a statement of the level to which candidates must perform to demonstrate competence in an element of the regional occupational standards.

## **Portfolio**

This is the name given to the collection of material that candidates assemble and present as evidence to an Assessor that they have performed to the standards required for competence. The aim is to keep only as much material as is required to establish competence.

## **Qualifications Structure**

This is one of a set of qualifications designs that lays out the number and type of units (mandatory or optional) and lists the units in each category for the award of a particular CVQ.

## **Quality Assurance**

This is the audit system adopted by the Awarding Body for CVQs to ensure that approved centres meet the criteria for all activities associated with achieving and maintaining standards for the delivery of CVQs.

## **Quality networks**

This is a system for communication and dissemination of best practice in the delivery of CVQs. It forms part of the Awarding Body's quality assurance process, involving participants from approved centres for a particular CVQ benefiting from their collective experience and that of the EV, who normally plays a leading part in Quality Network meetings which are held once or twice a year.

## **Range**

This is the formal part of the regional occupational standards that describes the extent and limits within which competence has to be demonstrated e.g. type of equipment, extent of procedures, nature of environment.

## **Registration of Candidate**

This is the process of entering a candidate on the Awarding Body's database and allocating a unique candidate number.

## **Reliability**

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

## **Sampling**

Sampling is a process used by:

- ◆ Assessors, where appropriate, to establish the extent of competence being demonstrated or provided via evidence by a candidate
- ◆ Internal Verifiers, to establish confidence in the level and consistency of judgements made by assessors
- ◆ External Verifiers, to establish compliance by an approved centre with quality standards agreed between the centre and the awarding body for the centre's provision.

## **Simulation**

It may be too dangerous or expensive, or there may not be an opportunity, for candidates to demonstrate competence in a particular activity. In such circumstances, with the approval of the awarding body and consistent with the ILB assessment strategy, a scenario as close to the real thing as possible will be set up so that candidate performance can be judged as if it was taking place in a real work environment. This is described as simulation.

## **Standards Setting Body (SSB)**

See industry lead body.

### **Sufficiency (of evidence)**

Sufficiency of evidence is a term used to describe:

*either* a situation achieved when a candidate has provided all of the material required to enable an Assessor to make a judgement on competency at element, unit or award level

*or* a recommendation contained in assessment guidance related to the type(s) and quantity of evidence that should be gathered.

Sufficiency of evidence includes the number of times performance has to be observed or recorded, or the time scale between performances, for competence to be inferred. It is normally not possible to be prescriptive about sufficiency of evidence, as it may vary from candidate to candidate.

### **Validity**

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

### **Witness/Witness Testimony**

A witness is an independent, responsible person providing evidence or confirming testimony about candidate performance in situations where the Assessor has not observed the candidate in action. There are two (2) main categories of witness testimony:

- ◆ peer or peer group testimony, where it is appropriate for colleagues to testify as to the level of performance by the candidate
- ◆ management/managerial testimony, used where it is desirable that a line Manager or superior Officer endorses the evidence of performance

Advice on the appropriate category of witness testimony for inclusion in portfolios is normally given in the assessment guidance wherever relevant within a unit or an element.



## **EXTERNAL VERIFICATION GUIDELINES FOR THE CARIBBEAN VOCATIONAL QUALIFICATION (CVQ)**

### **EXTERNAL VERIFICATION FOR THE CVQ**

In the context of the award of the Caribbean Vocational Qualification (CVQ), External Verification can be defined as a Quality Assurance process undertaken by the Awarding Body to ensure that an approved Centre and its satellites maintain the quality standards established by the Awarding Body.

### **PRINCIPLES OF EXTERNAL VERIFICATION**

External Verification is one element of the process of assessment verification, which comprises Internal Verification and External Verification. External Verification is the responsibility of and is managed by, the Awarding Body.

In order to ensure the consistent application and maintenance of Quality Assurance standards, External Verification focuses mainly on the:

- Validity of assessment instruments
- Reliability of assessment decisions
- Practicability of applying assessment instruments
- Consistency of the quality of assessment practices within the Centre over time

*External Verification should be guided by a documented procedure which describes how the External Verification system will address the above areas. Each Awarding Body is therefore required to establish detailed guidance on External Verification for use by External Verifiers.*

External Verification must not be conducted unless the Internal Verification Process has been done and the relevant documents completed.

## **SELECTION OF THE EXTERNAL VERIFIER**

An External Verifier is an individual contracted or employed by the Awarding Body to carry out a Quality Assurance Audit of the CVQ provision in an approved Centre to ensure that centres approved to offer CVQs are consistently judging candidates equally, fairly and in accordance with the regional occupational standards.

The External Verifier must be competent and certified in the occupational skill area that is being verified and as such will be an experienced senior practitioner in the field. The External Verifier will be trained and certified by the Awarding Body to carry out his functions and must engage in continuous professional development.

## **ROLE OF THE EXTERNAL VERIFIER**

The following defines the role of the External Verifier:

1. To audit the assessment system, including arrangements for the selection, recruitment and training of Assessors and Internal Verifiers, records of evidence and assessments, and to sample assessment in action, where possible, to monitor the working relationships between Assessors and candidates.
2. To verify that assessment and Internal Verification procedures are being conducted in accordance with the Quality Assurance requirements established by the Awarding Body.
3. To verify, by inspection of Internal Verification Reports, that Internal Verifiers are conducting regular Internal Verification Audits at the Centre and that the process is effective.
4. To verify that recommendations made by the Internal Verifier to address deficiencies identified during the Internal Verification Audits are implemented and are effective.
5. To identify and comment on good practice within Centres and to make recommendations for improvement, where necessary.



6. To report on the Awarding Body's systems for assessment and Quality Assurance on a national level and to recommend action to improve the system for assessing and awarding the qualifications.
7. To monitor and verify the quality and consistency of the implementation of the CVQs at a national level.

## **EXTERNAL VERIFICATION PROCESS**

### **Scheduling Verification Audits**

The Awarding Body is required to develop a schedule of External Verification Audits, in consultation with the Centre that will be conducted throughout the year to be followed by External Verifier. The audits will be carried out at regular intervals to ensure that the quality of the assessment done at the Centre is being maintained. The schedule of audits is recorded on the Verification Report.

### **Development of Sampling Plans for Verification Assessment of Candidates**

The External Verifier will develop a Sampling Plan to randomly assess candidates' performance and evidence to ensure that the assessment decisions being made by the Centre's Assessors are reliable. The External Verifier will sample candidates' documentary evidence (e.g. portfolios, logbooks) to ensure compliance with the Awarding Body's requirements. See Appendix 1 for Sampling Guidelines.

### **Checking the Record-Keeping**

The External Verifier will check the record-keeping of Assessors and Internal Verifiers during the External Verification Audit. The External Verifier will ensure that the Assessment/Internal Verification records can be easily retrieved and are filed in a secure manner that will prevent deterioration. The External Verifier will ensure that assessment results are recorded on forms prescribed by the Awarding Body in a timely manner and that the results are accurate.

### **Verifying Instruments and Workplace Activities Used for Assessments**

The External Verifier will check that the Centres are using instruments that are in accordance with the guidelines established by the Awarding Body. In organizations, the External Verifier will check that the workplace tasks used for assessments provide valid and sufficient evidence as required by the Regional Occupational Standards.

## **Completion of the Verification Report**

The External Verifier will prepare a Verification Report using the prescribed format defined by the Awarding Body. The report must include the findings and recommendations.

## **Appendix 1**

### **Sampling Guidelines For External Verification**

Depending on the sampling strategy that has been agreed with the Awarding Body, on the basis of the analysis and any other relevant information about the Centre (e.g. number of Assessors and number of sites), the External Verifier will sample according to the following criteria:

1. Sample units and the complete work of candidates
2. Compare the External Verifier's sample with the sampling strategy adopted for Internal Verification
3. Sample the assessments made by different Assessors for the same unit(s)
4. Sample the work of new Assessors more extensively than that of experienced Assessors
5. Sample the range of assessment methods e.g. observation, witness testimony, products or artifacts, oral and written questioning, projects and assignments
6. Check that simulation, if used, conforms to the assessment strategy
7. Review the findings overall against the system for internal standardisation in the Centre

In performing the above activities, the External Verifier will expect to examine:

1. Assessment instruments, specifications and materials for the units to be verified
2. Evidence of how assessments meet the elements and performance criteria for each unit
3. Candidates' assessment evidence
4. Checklists used by assessors
5. Minutes of, or action points from, meetings of Assessors for the units

6. Internal verifier's reports

7. Records of achievement for all groups of candidates to be verified

It would also be helpful if the Assessor for the relevant units could be available to speak to the External Verifier in the course of the visit.

## **Appendix 2**

### **GLOSSARY OF TERMS**

#### **Approved Centre**

An approved centre is an organisation that has been granted permission by the Awarding Body to register and assess candidates for CVQs.

#### **Assessment**

This is the process of judging performance. It will involve generating evidence of performance at work, or through simulation or role play, or from previous activities that have been documented by a competent witness. For assessing knowledge and understanding, there will normally be a question and answer session with an assessor, but it may also involve taking a written test, writing a report or doing some research.

#### **Assessor**

This is an individual selected by an organisation to judge the performance of candidates against the occupational standards. The Assessor will be trained and sufficiently experienced and competent to assess the candidate's performance. An Assessor be thoroughly knowledgeable of both the standards and the knowledge and skills of the occupational area/qualification

#### **Assessment Instrument**

The tools that may be used to collect evidence of competency based on a unit standard.

#### **Candidate**

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

#### **Competent**

Adequately qualified, trained, and with sufficient experience to safely perform the occupational area with or without minimal supervision.

#### **Consistency**

Consistency refers to the constant adherence to the application standardised assessment practices within the Centre.

## **Evidence**

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

- ◆ Outcome of observation of performance
- ◆ Witness testimony of previous attainment
- ◆ Results of oral or written examination

The type of evidence recommended as appropriate for inclusion in a candidate's portfolio for the various units and elements of the regional occupational standards would typically be provided in an assessment guidance document.

## **Internal Verifier (IV)**

An Internal Verifier (IV) is a person with direct responsibility for the quality assurance of the assessment process in an approved centre and in any of its satellite sites in which candidates are assessed. The IV will be sufficiently experienced in assessment in the occupational area.

Even where a centre has only one Assessor, an IV must be appointed to discharge the above duties. A large centre may appoint an IV Coordinator, or lead IV, where more than one IV is involved within that centre.

## **Knowledge**

This refers to the technical information that is required to perform the tasks, described in the unit of competency.

## **Occupational Standards (OS)**

These are the written descriptions of the industry agreed standards for competent performance in occupational roles. The standards, which include knowledge, skills and understanding of each role, are presented as a number of units containing elements, each of which has three (3) parts – criteria, range and explanations.

## **Portfolio**

This is the name given to the collection of material that candidates assemble and present as evidence to an Assessor that they have performed to the standards required for competence. The aim is to keep only as much material as is required to establish competence.

**Practicability**

Practicability refers to the feasibility of the application of specific assessment instruments in a particular context.

**Quality Assurance**

This is the Audit system adopted by the Awarding Body for CVQs to ensure that approved centres meet the criteria for all activities associated with achieving and maintaining standards for the delivery of CVQs.

**Reliability**

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

**Sampling**

Sampling is a process used by:

- ◆ Assessors, where appropriate, to establish the extent of competence being demonstrated or provided via evidence by a candidate
- ◆ Internal Verifiers, to establish confidence in the level and consistency of judgements made by assessors
- ◆ External Verifiers, to establish compliance by an approved centre with quality standards agreed between the centre and the awarding body for the centre's provision.

**Validity**

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



THE HALLMARKS

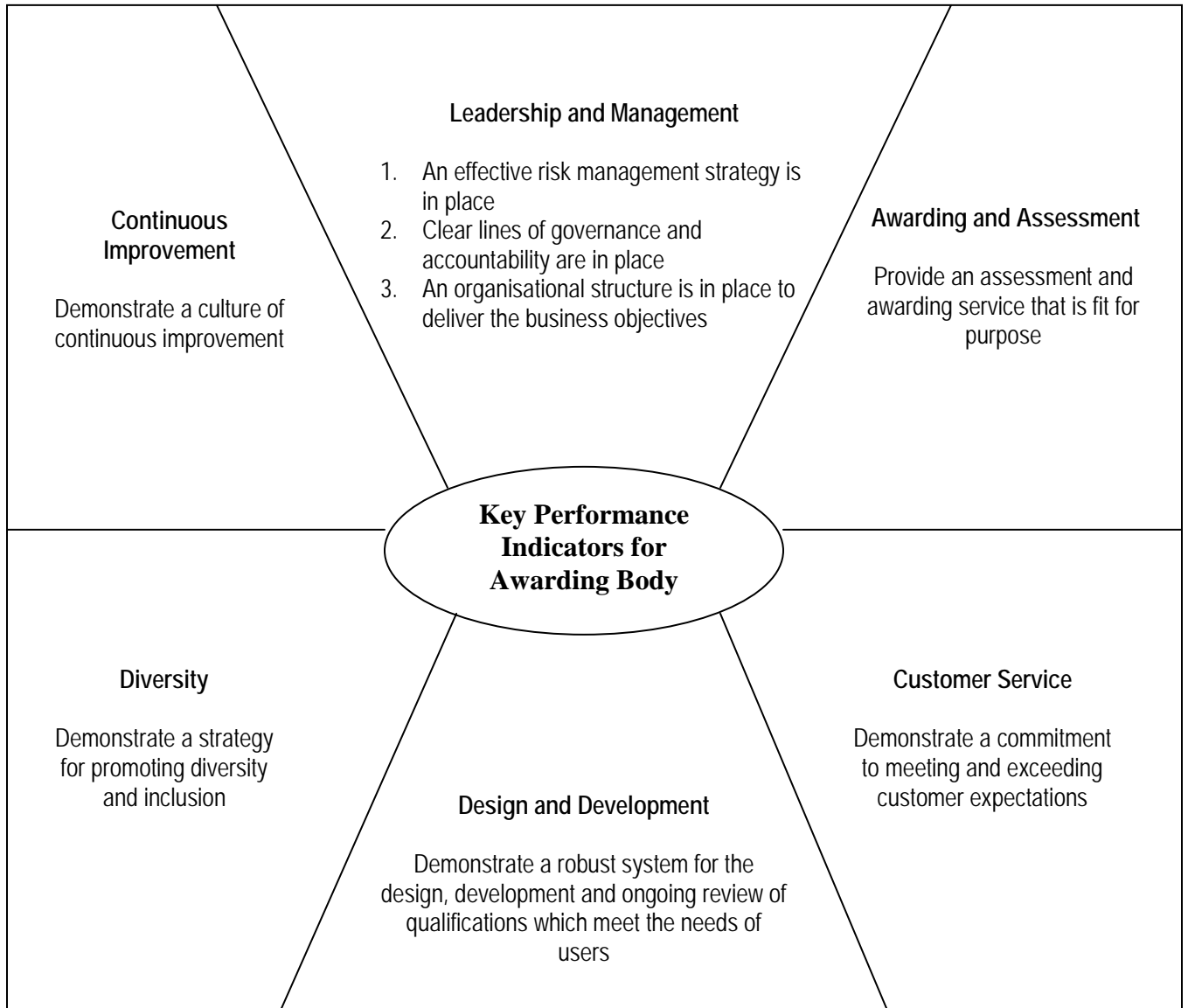
OF

BEST PRACTICE IN THE DELIVERY

OF

NATIONAL VOCATIONAL QUALIFICATIONS  
(NVQs)

# 1. The Hallmarks of Best Practice in the Delivery of National Vocational Qualifications (NVQs)



**1.1 Leadership and Management**

Statement	Indicative Processes	Suggested Evidence	Measurable Outcomes
<p><b>Risk management: an effective risk management strategy is in place</b></p> <p><input type="checkbox"/></p>	1. The Awarding Body will identify risks for themselves and key functional areas	Documentation on file, Risk Register	<b>All</b> critical business risks identified and assessed
	2. A risk analysis/calculation shall be undertaken	Risks requiring action/additional controls clearly identified	
	3. A Risk Management Plan will be established and will include controls and a review process	Plan available, action planning and summary reports as required	No. of risks not occurred as % of total risks reviewed. All risks reviewed annually
	4. The Risk Management Policy will be agreed by the Board or equivalent and operational at all levels of the Awarding Body	Policy document and evidence of operation as above	
	5. Appropriate financial controls will be in place	Records of budget being drawn up and approved by relevant function areas, annual audit, accounts lodged with Companies House, etc.	Awarding Body remains viable
<p><b>Governance: clear lines of accountability are in place</b></p> <p><input type="checkbox"/></p>	1. The Awarding Body has defined whom management is accountable	Terms of Reference, committee structure, roles and responsibilities in place	
<p><b>Resources and expertise: an organisational structure is in</b></p>	1. The management of key functional areas will be identified	Organisational structure reflects appropriate management roles. Job/role descriptions.	

<p>place to deliver the business objectives</p> <p>●</p>		Personnel records show managers appropriately qualified and experienced	
	2. Qualification management will be organised and resourced effectively	Appropriately qualified and experienced administrators in place. Policies and procedures in place	
	3. 'Fit for purpose' ICT infrastructure/MIS will be established	All demands from internal/external customers satisfactorily met	
	4. The Awarding Body will ensure it has adequate and suitable external personnel who are trained in awarding and standardisation to develop assessment tools and monitor their implementation at centres	Contracts, training, attendance at meetings, feedback to personnel on their performance, visit reports, centre feedback	No. of annual contracts renewed as % of total external personnel.  Attendance at a minimum of one training event per session

**Key: ○ = Optional ● = Required**

## 1.2 Customer Service

Statement	Indicative Processes	Suggested Evidence	Measurable Outcomes
<b>Demonstrate a commitment to meeting and exceeding customer expectations</b>	1. The Awarding Body will have detailed and rigorous customer support processes which will be in place and evaluated	Information and guidance on initial centre approval processes; candidate information; policies and procedures affecting customers; guidance and	% of centre approvals within stated timescales

●		feedback on on-going centre monitoring; customer feedback mechanisms	
	2. The Awarding Body will provide customers with full details of the fee structures, costs and resources associated with delivering their qualifications	Publications provided (e.g. handbooks), website	One qualification, specific publications for each accredited qualification
	3. The Awarding Body will make available to customers full details on the range of products and services	Customer service contact points; response times for dealing with customer enquiries; lists of qualification; specific materials with prices; timescales for processing candidate registrations and issue of certificates; opportunities for customer feedback; Awarding Body review procedures	% certificates issued within stated timescales
	4. A formal complaints and appeals procedures will be provided, implemented and continually evaluated and will be approved by the regulatory authorities and made available to all stakeholders	Policy; feedback from regulatory authorities, centres, candidates, external personnel on content, availability, access; log of cases and response times; record of evaluation	Average number of weeks taken to resolve complaints; No. of formal appeals as % of entry; % of successful appeals ( <i>upheld</i> )

**Key: ○ = Optional ● = Required**

### 1.3 Continuous Improvement

Statement	Indicative Processes	Suggested Evidence	Measurable Outcomes
<p><b>Demonstrate a culture of continuous improvement</b></p> <p style="text-align: center;">◻</p>	<p>1. The Awarding Body will establish an effective system for ensuring quality assurance and quality control of its qualifications and systems</p>	<p>Notification of Monitoring Programme from the regulatory authorities; monitoring takes place; monitoring report; monitoring action plan; records of communication with Ministry; visit(s), confirmation letter from the Ministry</p>	<p>No. of NVQ conditions outstanding</p>
		<p>Awarding Body documentation and internal reports; action plans agreed and monitored; records of training, completed internal audit</p>	<p>All critical processes audited once a year</p>
		<p>Templates and timeframe formally recorded; minutes/completed area reports; regulatory authorities acknowledgement; minutes from meetings to review the report, updated self-assessment report to record progress against action plan/targets</p>	<p>No. of actions outstanding each year</p>

**Key: ◻ = Optional ● = Required**

## 1.4 Assessment and Awarding

Statement	Indicative Processes	Suggested Evidence	Measurable Outcomes
<p><b>Provide an assessment and awarding service that is fit for purpose</b></p> <p><input type="checkbox"/></p>	<p>1. The Awarding Body will have a centre approval process and mechanism for monitoring quality assurance within centres</p>	<p>Approval criteria, approval and monitoring procedures, verification procedures, No. of approval activities</p>	
	<p>2. The Awarding Body will facilitate the development of assessment tools and evaluate both the assessment tools and the processes for developing and monitoring assessment to ensure that they meet stakeholders' needs</p>	<p>Centre; regulatory authorities (and candidate) feedback; external personnel feedback reports; self-assessment report; record of evaluation of moderation and external assessment processes; records of requests for special assessment arrangements; centre training support. Assessment tools evaluation report</p>	<p>No. of requests for reasonable adjustments; % of requests for reasonable adjustments agreed</p>
	<p>3. The Awarding Body will have an effective and clear malpractice and misconduct policy which is:</p> <p><input type="checkbox"/> approved by the regulatory authorities e.g. parent ministry</p> <p><input type="checkbox"/> made available to centres, candidates and external personnel</p> <p><input type="checkbox"/> implemented and evaluated at least</p>	<p>Policy; feedback from centres; candidates and external personnel and regulatory authorities on content; on availability and access, self-assessment report</p>	

	annually to ensure it meets both the Awarding Body's and stakeholders' needs		
	4. The Awarding Body will handle malpractice and misconduct suspected or actual cases in a fair, timely and consistent manner and retain records of reported cases	Policy; procedure for dealing with cases; log of cases; regulatory authorities, centre and candidate feedback	No. of cases of proven malpractice or misconduct as % of total handled

**Key: ○ = Optional ● = Required**

#### 1.4 Assessment and Awarding continued ...

Statement	Indicative Processes	Suggested Evidence	Measurable Outcomes
	4. Appropriate controls and procedures will be implemented and continually evaluated for candidate registration, issue of results, certification and assessments	Documented procedures; response times; turnaround of results; customer service training; time-scales for certificates to be provided/remarks; error rate in processing/papers/results, time-scales achieved, feedback times to centres/candidates, verification and moderation reports; written working instructions; up-to-date candidate records; number of duplicate	% certificates issued within stated timescale; % of results issued within stated timescale; No. of errors in processing papers/results as % of total papers/results processed



		certificates issued, amended entries, papers produced, results issued, remarks, appeals; no. of invalid awards issued, no. of complaints; dates of standardisation meetings, minutes and actions	
<p><b>Provide an assessment and awarding service that is fit for purpose</b></p> <p style="text-align: center;">█</p>	5. The Awarding Body will provide centres and candidates with clear guidance on the registration and certification of candidates, composition of the award and requests for replacement certificates and will evaluate this guidance to ensure it meets both the Awarding Body's and stakeholders' needs	Centre and candidate guidance – publications/seminars; record of evaluation; procedures regularly reviewed; centre/stakeholder feedback, self-assessment report	
	6. The Awarding Body will ensure its certificates meet the regulatory authorities' requirements/design principles	Feedback from the regulatory authorities	No. evidence of non-compliance
	7. The Awarding Body will ensure the security and integrity of assessments	Storage of papers and candidate scripts; policy on security	No. papers and candidate scripts are mislaid

	and results at all times		
--	--------------------------	--	--

**Key: O = Optional ● = Required**

### 1.5 Design and Development

	Indicative Processes	Suggested Evidence	Measurable Outcomes
<b>Demonstrate a robust system for the design, development and ongoing review of qualifications which meets the needs of users</b>  <div style="border: 1px solid black; width: 15px; height: 15px; display: flex; align-items: center; justify-content: center;">●</div>	1. The Awarding Body will have an established process to design and develop qualifications which meets CANTA requirements and which is continually evaluated	Confirmation from the regulatory authorities; accredited qualifications/extensions; business case, pilot evaluations; documented processes; self-assessment report; record of evaluation; amended processes, audits	No. of qualifications accredited, extended or re-accredited within stipulated timescales as % of total submitted
	2. The Awarding Body will have an established process to monitor and evaluate the qualifications to ensure that they continue to meet stakeholders' needs and the process will be continually evaluated	Centre and candidate take up (approved centres, registrations and certifications); centre and candidate feedback; external personnel feedback/reports; process; stakeholder feedback; self-assessment report	

## 1.6 Diversity

Statement	Indicative Processes	Suggested Evidence	Measurable Outcomes
<p><b>Demonstrate a strategy for promoting equal opportunities in assessment</b></p> <p style="text-align: center;">○</p>	<p>1. The Awarding Body will have a policy and procedures for promoting equal opportunities in assessment</p>	<p>Equal opportunity policy/statement</p>	

**Key: ○ = Optional ● = Required**