



NATIONAL VOCATIONAL QUALIFICATION (NVQ)



NATIONAL BUSINESS AND TECHNICAL EXAMINATIONS BOARD (NABTEB) AWARDING ORGANIZATION

Vision: *Be a Globally Recognized Assessment and Certification Body, Preparing Candidates for the World of Work and Academic/Professional Excellence.*

Mission: *Be a Globally Acknowledged Assessment Body for Craftsmen and Technicians*

Slogan: *Certifying Skills for Wealth Creation and Economic Self Reliance*

NATIONAL VOCATIONAL QUALIFICATIONS (NVQ)

PREFACE

About Us

We are an awarding organization for the National Vocational Qualifications (NVQ). This is the program introduced by the Federal Government of Nigeria to the education system, for both private and public sectors. It is designed to eradicate the inability to harmonize the activities in the classroom and the requirements or expectations of learning outcomes by employers and society. School leavers are expected to display the relevant skills, dexterity and competency in carrying out their job specifications or roles. The framework offers accreditation for competency and recognizes not only the skills to do the job, but provides the background (underpinning) knowledge to help learners understand why we work in the manner we do and the consequences of not being competent and working within legislative guidelines.

What We Do

We are accredited by the Federal Government through the Federal Ministry of Education, with National Board for Technical Education (NBTE) as regulators, to be the external moderator to assure quality for the National Vocational Qualifications (NVQ). The National Occupational Classifications as it relates to Occupational Standards are incubated in the NVQ programs. Therefore, we assure competency delivery to:

- i. Employers
- ii. Learning providers
- iii. Training outlets

We assure standards as required or expected with a view to ensuring that there is consistency in interpretation and application for the National Occupational Standards.

National Occupational Standards (NOS)

The NOS is the expected learning outcomes as spelt out by the various Sector Skill Councils in collaboration with the industries. The various Sector Skill Councils are expected to classify the various levels of competency that the worker should display in carrying out their various job specifications or roles.

The NOS are not static, they are regularly being changed, as new ways of doing things emerge, and also as new trades or divisions within a trade capsule become apparent.

The NOS call for continuous professional development for its practitioners to fill in the gap in skill acquisition and the expected job performance or role.

Benefits of NVQ

For Employer

1. Enhances internal and external working relationship.
2. Promotes positive attitude to change and work.
3. Assurance of Competency.
4. Improves communication vertically and horizontally.
5. Improves production processes.
6. Promotes good practice.
7. Improves effectiveness and the quality of service offered to customers.
8. Produces high skilled and effective work force.
9. Reduces the cost of production.
10. Promotes general health and safety.

For Candidates

1. Uses various assessment methods that provide for individual differences.
2. It is vocational and not academic.
3. Improves knowledge and understanding.
4. Ascertain competency.
5. It is a process of continuous learning due to change.
6. Promotes standardization and adherence to policy and procedure.
7. Promotes equality and diversity.
8. Allows for appeal procedure.
9. Promotes team work.
10. Promotes effective coordination during the work process.

Learning Providers

1. Accredite prior learning.
2. Provide training in specified vocations and programmes.
3. Assess quality of training.
4. Register candidates.
5. Induct candidates.
6. Register candidates with awarding body.
7. Provide for holistic approach to vocational assessment in a work environment.

The Assessment Process

NVQ assessment process is holistic. It is vocational not academic, therefore the various assessment methods are used holistically to generate the evidence of competency.

These assessment methods should meet the rules of evidence, that they are valid, reliable, current, authentic, fair, effective, efficient, accessible and legal. Accreditation of prior learning is an assessment method. This method will be used during the initial assessment or during the process of the skill scan. Initial learning are not lost in the NVQ process, it is very vital to the initial entry process.

Communication

NABTEB has in place an enlarged and effective communication process. Feedback processes are effective, functional, motivational and directional. It opens all channels of support for the candidates, learning centers and Sector Skill Councils (SSC).

Roles of Awarding Organizations in NVQ

1. Awarding Organizations are saddled with the responsibility of implementing individual NVQ. They approve centers who desire to offer NVQ assessment services. Awarding Organizations monitor the quality assurance assessment processes and award NVQs and unit certification. They undertake external verification to ensure that candidates are being assessed fairly and consistently across centers. Awarding Organizations' names and logos are engraved on the certificates. They do not deliver the training rather they design the structures of the qualifications and accredit the certification, which the training organizations and assessment centers use and deliver. Awarding Organizations also have a duty to make sure that training centers are accorded with details about:
 - i. Entering/registering candidates for assessment.
 - ii. Issuing results or claiming units certification.
 - iii. Information on the conduct of assessment.
 - iv. The retention of assessment evidence / retain assessment evidence
 - v. How to make enquiries and appeals about results-appeal procedures.
 - vi. Dealing with malpractice.

- vii. Adhering strictly to National Occupational Standards(NOS), to ensure standard of practice across all centers under its jurisdiction.
2. With Sector Skill Councils (SSCs), they both develop NVQs and are also responsible for the implementation of individual NVQs as developed. The Sector Skill Councils (SSCs) represent the interests of the trade or industry concerned, to which the particular NVQ relates. The SCC identifies, defines and updates employment-based standards of competence for the job/trade (NOS). The Sector Skill Councils define what the job entails. Examples of SSCs are National Automotive Council (NAC), NIOB, CORBON etc. The NOS form the basis for NVQs.

The Role of NVQ Training Organizations/ Centers

Training centers deliver accredited qualifications and appoint their assessors and internal verifiers (who verify that assessment decisions are valid) for each qualification.

The Role of NVQ External Verifier

The external verifiers in NVQ are appointed to monitor and work for centers or providers. They are the key link between the awarding organization and the training centers. Their roles are as follows:

1. Ensure that training centers have in place, systems and processes that are robust, consistently applied and lead to good practice in record keeping, support, advice, assessment and verification of learner and staff activities.
2. Sample assessment decisions to ensure that they are appropriate, consistent and monitored across and within training centers.
3. Confirm the centre support status and qualification quality rating as per the quality assurance arrangement.
4. Provide a robust audit trail of external verification related activities to both the awarding organization and the consumer (training centers).
5. Ensure consistency of practices by centers within the NOS.
6. Complete an electronic report for all interventions and submit promptly via the quality management systems.

Who is an Assessor?

An Assessor is an individual, trained to observe record, classify and make reliable judgments about the behaviours of those being assessed. The assessor ensures that assessment decisions are consistently reviewed and are internally/externally verified, where possible, so as to contribute to the awarding institutions, quality assurance and on-going development of best practices.

Responsibilities of the Assessor

1. Identifies the training and development needs of the candidate/learner.
2. Plans development and assessment of learner.
3. Provides method of assessment

4. Coaches, mentors, guides, and supports learners.
5. Manages assessment process.

Who is an Internal Verifier (IV)?

The internal quality verifier /manager is saddled with the responsibility of monitoring the work of the Assessors for whom they are responsible, through observation, meetings and checking of data and records. He uses internal verification plans to ensure that track of assessors, candidates' workplace and qualifications are kept .

The IQA/IV monitors a learner's journey throughout their time at the organization.

Roles/Responsibilities of an IQA/IV

1. Advises, supports and provides developmental feedback to Assessors.
2. Documents the quality assurance strategy, process and decisions.
3. Ensures assessors interpret, understand and consistently apply the correct standards and requirements.
4. Interviews learners, assessors and other relevant staff.
5. Works towards relevant IQA qualifications.
6. Plans and carries out the sample of assess work, taking part in continuing professional development.
7. Ensures the provision of necessary resources required for effective quality assurance.

APPLICATION OF NABTEB ASSESSMENT METHODOLOGY

Assessment

1. Centers must appoint assessors to carry out internal assessment. Assessors will be accountable and responsible for:
 - i. managing the assessment system, from assessment planning to making and recording assessment decisions as required by the awarding organization (NABTEB).
 - ii. assessment evidence of learners' competence against the National Occupational Standards in the qualification.
 - iii. ensuring that learners' evidence is valid, authentic, sufficient and accessible.
 - iv. maintaining accurate and verifiable learners assessment and achievement records as required by the awarding organization.
2. Centers must ensure that assessors are competent to perform their roles. Centres must therefore provide appropriate training and development opportunities to ensure that assessors:
 - i. hold the qualifications needed to carry out assessment – Level 3 Award in Assessing Competence in the Work Environment.
 - ii. carry out assessment to the National Occupational Standards for Learning and Development.
 - iii. have the occupational expertise specified in the relevant assessment strategy before commencing their role and maintain the currency of this expertise for the duration of their work.
 - iv. know the awarding organization's requirements for recording assessment decisions and maintaining assessment records.
3. Centers must ensure that the assessment decisions of unqualified assessors are checked, authenticated and countersigned by an assessor or internal verifier who is appropriately qualified and occupationally competent in the NVQ . The internal verifier must sample an increased proportion of assessment decisions by unqualified assessors. The internal verifier is also responsible and accountable for arranging , checking and countersigning processes. Internal verifiers may verify only evidence that they did not assess.
4. Assessors and learners must provide a written declaration that learner's evidence is authentic and that assessment took place under the conditions or context set out in the assessment specification. Failure to do this constitutes grounds for the suspension or withdrawal of approved status for the NVQ .
5. Centers must provide appropriate training and development opportunities to enable assessors to meet their responsibilities and gain a common understanding of relevant standards and other assessment requirements. NABTEB will monitor a centre's compliance with this. Therefore, centers must keep records of all such staff development.
6. NABTEB will ensure that assessment arrangements at their approved centres comply with those detailed in the assessment specification.
7. In developing the arrangements and methodologies for the external quality control of assessment for each NVQ, NABTEB will follow the agreed strategy for external quality control as established by the relevant sector and approved by the regulatory authorities.

8. Centers internal assessment processes and practices must be effective and support the integrity and consistency of the occupational standards in the award.

Internal Verification

1. Centers must operate explicit, written internal verification procedures to ensure:
 - i. the accuracy and consistency of assessment decisions between assessors operating at the centre.
 - ii. that assessors are consistent in their interpretation and application of the national occupational standards in the award.
2. Centers must appoint Internal Quality Assurance Managers who will be responsible for regularly sampling evidence of assessment decisions made by all assessors across all aspects of NVQ assessment. Sampling must include direct observation of assessment practice by:
 - i. maintaining up-to-date records of internal verification and sampling activity and ensuring that these are available for external verification;
 - ii. establishing procedures to ensure that all assessors interpret the National Occupational Standards in the same way;
 - iii. monitoring and supporting the work of assessors;
 - iv. facilitating appropriate staff development and training for assessors;
 - v. providing feedback to the External Quality Assurance Managers on the effectiveness of assessment;
 - vi. ensuring that any corrective action required by NABTEB is carried out within agreed time frame.
3. Centers must ensure that Internal Quality Assurance Managers are competent to perform their role. Centers must therefore provide appropriate training and development opportunities to ensure that Internal Quality Assurance Managers:
 - i. hold the qualifications needed to carry out internal verification i.e. level 4 award in the Internal Quality Assurance of Assessment Processes and Practice or Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice or within 18 months of commencing their role, achieve Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice:
 - ii. Internal Quality Assurance Managers must maintain this expertise for the duration of their role;
 - iii. understand the content, structure and assessment requirements for the awards they are verifying:
4. Centers must ensure that the decisions of unqualified internal verifiers are checked, authenticated and countersigned by an Internal Quality Assurance Managers who is appropriately qualified and occupationally competent as specified by the relevant sector body.
5. NABTEB will monitor a centre's compliance with these requirements. Centers must therefore provide evidence of their internal verifiers' development activities and qualifications.
6. Internal Quality Assurance Managers may undertake assessment at the centre. In such circumstances the Internal Quality Assurance Managers must have the qualifications and

- occupational expertise specified for assessors by the relevant sector body. Internal quality assurance managers may verify only evidence they did not assess.
7. In exceptional circumstances, internal verification may be carried out by an external quality assurance manager. NABTEB may charge a centre for providing their service in line with their published costs and charges. In such cases the NABTEB will ensure that the external verifier is competent to carry out internal verification and that the decisions and work of this person are subject to independent scrutiny by a different external quality assurance manager.
 8. NABTEB will provide centers with guidance on internal verification to ensure that there are accurate and consistent standards of assessment both between assessors operating within a centre and between centers offering the same award.
 9. Guidance produced by the awarding organization are in the form of:
 - i. procedure for standardizing the judgments and decisions of internal verifiers operating in a centre;
 - ii. the types of records a centre must keep to demonstrate the effectiveness of its internal verification procedures;
 - iii. models for developing an internal verification sampling plan appropriate to the centre's level of assessment activity. Models must ensure that over time, all assessors, all assessment methods and all learner units are included in the sample;
 - iv. procedures for standardizing assessment so that assessors are operating on the same standard;
 10. NABTEB will monitor a centre's internal verification process through its own quality assurance arrangements. Centers must provide evidence of demonstration of the effectiveness of such internal verification procedures against standards. Failure to meet these means that the integrity of assessment decisions at the centre is at risk.

External Verification

1. External Quality Assurance Managers' visits to the centers must be an integral part of an awarding body's quality assurance strategies. NABTEB will ensure that external verifiers visit only centers in which they have no direct or indirect personal or financial interest.
2. The minimum frequency of external verification visits to centers is usually two per year. The exact frequency and duration of external verifier visits must reflect the centers' performance, taking account of the number of:
 - i. assessment sites;
 - ii. learners;
 - iii. assessors;
 - iv. internal quality assurance managers.
3. NABTEB will require external quality assurance managers to:
 - i. confirm that centers continue to meet the centre approval criteria;
 - ii. recommend the imposition of appropriate sanctions on centers that fail to meet the requirements;

- iii. confirm that assessments are conducted by appropriately qualified and occupationally competent assessors;
 - iv. sample assessment decisions to confirm that they are authentic and valid and that national standards are being consistently maintained;
 - v. confirm that assessment decisions are regularly sampled, through internal verification, for accuracy against the national occupational standards;
 - vi. check that claims for certification are authentic, valid and supported by auditable records;
 - vii. confirm that centers have carried out corrective actions as required by the awarding organization.
 - viii. advise and support centers on the interpretation of national occupational standards.
 - ix. advise and support centers on awarding organization's requirements and procedures, including access to fair assessment and appeals against awarding organization decisions
 - x. provide centers with up-to-date information and advice in line with awarding body and regulatory authority guidance and requirements.
4. External Quality Assurance Managers (EQAM) will inform the centre in advance of planned activity such as a center visit, to agree on the scope of the visit and the verification and sampling activities that will take place. NABTEB will provide external quality assurance managers with all the information they need to carry out the verification process effectively and to verify certification claims. Centers must understand that they are obliged to comply with any requests for access to premises, people and records for the purposes of external verification. If a centre fails to provide access, the awarding body must impose the appropriate sanction.
 5. If a centre cancels a pre-arranged external verification visit at short notice, the awarding body must be satisfied that there was a legitimate reason to do so. If this cannot be established, the awarding body will reserve the right to withhold certification claims until a monitoring visit is completed.
 6. NABTEB will ensure centers are aware that the awarding organization and the regulatory authorities reserve the right to perform such visits at short notice or without notice, to minimize the risk of unsubstantiated claims for certification.

Sampling

1. NABTEB will provide external quality assurance managers with all the information necessary for them to carry out the sampling process effectively. This includes published guidance on the sampling of assessment and internal verification decisions and of learner and assessment records. Such guidance will ensure that the sampling strategy involves not only the inspection of evidence but also meetings with internal verifiers, assessors and learners, in order that the external quality assurance managers can confirm whether the process of assessment, as well as the standards being used to judge learner competence, meet national standards. The sampling strategy must also reflect the specific quality assurance needs of each centre. If external

- verification indicates that the consistency of assessment decisions and practices against the national occupational standards is at risk, then NABTEB will increase the sample.
2. NABTEB will ensure that external quality assurance managers record the sample and the rationale behind its selection, so that the awarding body can monitor the characteristics of selected samples over time as well as the effectiveness of the sampling carried out by its external verifiers. Over time, the sampling strategy must sample:
 - i. the assessment decisions of all assessors;
 - ii. all assessment methods;
 - iii. all assessment locations;
 - iv. learners at different stages of their award;
 - v. the decisions and records of all internal quality assurance managers;
 - vi. assessment records.
 3. NABTEB will ensure that the selection of learners, assessors and internal quality assurance managers for sampling are not left solely to the discretion or convenience of the centre. External quality assurance managers will select some learners without prior notification to the centre, to minimize the risk of unsubstantiated claims for certification. External quality assurance managers will inform the awarding body if a centre fails to make available those learners selected for interview. The centre must provide proof that these learners exist. If this cannot be clearly established, then NABTEB will:
 - i. inform the regulatory authorities;
 - ii. suspend the centre from registering further learners or claiming certificates and
 - iii. start investigative action as agreed with the regulatory authorities.
 4. NABTEB will ensure that particular attention is always paid to the decisions of unqualified or inexperienced assessors and internal quality assurance managers.

External Quality Assurance Manager's Reports

1. External quality assurance managers must provide feedback to centers at the end of each visit. This must be followed by a written report that:
 - i. records the date of the visit;
 - ii. details the monitoring and verification activities undertaken, including information on the sample, any audits conducted and who was interviewed;
 - iii. details any changes in centre staff or their competence since the last visit;
 - iv. provides explicit feedback to the centre on the quality and consistency of its assessment process the effectiveness of internal verification arrangements;
 - v. highlights areas of good practice against the centre approval criteria;
 - vi. specifies what actions the centre must take if its performance does not meet the requirements, when these actions must be completed and who is responsible for completing them;
 - vii. confirms whether the centre has carried out any previously agreed action points;

2. NABTEB will use external quality assurance manager's report as a key component of their ongoing monitoring work with centers. If a centre's external quality assurance manager changes, the awarding body must provide the new verifier with a copy of that centre's most recent report and action plan.
3. If a centre is consistently failing to meet the centre approval criteria or has failed to implement previously agreed actions, external quality assurance managers are responsible for recommendation that the awarding body impose the appropriate sanctions.
4. NABTEB will maintain rigorous quality assurance and control arrangements that ensure accurate and consistent assessment decisions against the national occupational standards specified for an award, both within and among centers approved to offer an NVQ.
5. NABTEB will ensure that the external quality assurance managers are competent to perform their role. Awarding organization will therefore provide appropriate training and development opportunities to ensure that external quality assurance managers:
 - i. hold the qualifications needed to carry out external verification – Level 4 Award in the External Quality Assurance of Assessment Processes and Practice or Level 4 Certificate in Leading the External Quality Assurance of Assessment Processes and Practice.
 - ii. carry out external quality assurance managers external verification to the National Occupational Standards for Learning and Development.
 - iii. have the occupational expertise specified in the relevant assessment strategy before commencing their role and maintain the currency of this expertise for the duration of their role
 - iv. understand the tariff of sanctions and how to apply it.
 - v. understand the National Occupational Standards for the NVQ being verified
 - vi. know the awarding body's system and documentation
 - vii. understand the NVQ system and any national policy and guidance documents describing assessment and verification practice.
6. NABTEB will monitor the performance and judgments of their external quality assurance managers for accuracy and consistency. This must include the use of performance review systems and supervised external quality assurance managers visits, plus the monitoring of centre feedback, external quality assurance manager's reports and consistency in applying the tariff of sanctions. The frequency of such monitoring must reflect the prior experience and performance of the individuals concerned. If the accuracy of consistency of external quality assurance manager's decisions is in doubt, NABTEB will act promptly to safeguard the integrity of the verification process.

SANCTIONS AND CENTRE APPROVAL CRITERIA

Sanctions for Non-compliance with the Centre Approval Criteria

INTRODUCTION

National Business and Technical Examinations Board (NABTEB) has developed a tariff of sanctions for dealing with approved centers whose NVQ management, assessment and quality assurance systems fail to meet the centre approval criteria, based directly upon these requirements. The tariff is designed to ensure a transparent, fair and consistent response by approved NVQ centers and also secure public confidence in the quality assurance and control arrangements underpinning NVQs.

NABTEB will monitor all centers' activities and may withdraw centre approval for reasons not directly related to the quality of assessment, such as failure to meet NABTEB terms of business. The tariff will be reviewed and updated as necessary in the light of operation experience.

SANCTIONS

The tariff links five levels of breach against the centre approval criteria with required sanctions. These are set out in the table below:

Tariff/Level of Breach	Sanctions	Rationale
1	Entry in action plan	Non-compliance with centre approval criteria but no threat to the integrity of assessment decisions.
2	Suspension of registration	Threat to learners
3	Suspension of certification	Loss of the integrity of assessment decisions – risk of invalid claims for certification
4	Withdrawal of qualification approval of specific NVQs	Irretrievable breakdown in management and quality assurance of specific NVQs
5	Withdrawal of centre approval for all NVQs	Irretrievable breakdown in management and quality assurance of all NVQs run by the centre.

Tariff Levels 1 – 3

For tariff levels 1 – 3, the table overleaf links specific failure to meet requirements with specific sanctions. With some requirements, more than one level of sanction may apply depending on the gravity of the infringement as indicated in the table.

Tariff levels 4 and 5

For tariff levels 4 and 5, there may be non-compliances across a range of centre approval criteria. These would need to indicate significant faults in management and quality assurance, resulting in an ongoing failure to meet essential assessment requirements. This would apply to a specific NVQ at tariff level 4 or across all NVQs tariff level 5. Failure to rectify non-compliances at tariff level 4 is a reason for applying a sanction at tariff level 5.

Guidance on Interpretation

The above sanctions represent a minimum response to identified non-compliances, but there will be circumstances in which NABTEB may judge that a higher level may be applied.

Combinations

A combination of non-compliances at a particular tariff might call for a more serious response. Judgments should be made against the rationale of the sanction. Thus a combination of infringements at tariff 2 could threaten the integrity of assessment decisions and thus merit a response at tariff 3.

Persistence

A failure to implement action plan requests at tariff level 1 should invoke a tariff level 2 response. Similarly a failure to rectify faults that have given rise to a level 2 sanction must invoke a tariff level 3 response.

Recurrences

A centre may temporarily rectify non-compliances in response to action plans or higher level sanctions to display the same weaknesses again at a later date. NABTEB will take into account the track record of a centre in considering whether to impose a higher level sanction.

Malpractice

If the circumstances and nature of non-compliance indicate that fraudulence is involved, the procedures for dealing with malpractice should be invoked.

Non-Compliance Issue	Sanction	Rationale
1.1. Centre's aims, policies and assessment practices, and responsibilities of personnel are not clear or well understood by assessment team.	Level 1. Entry in Action Plan	Non-compliance with centre approval criteria but no threat to the integrity of assessment decisions
1.2 Internal verification procedures and activities not clearly documented		
1.3 Communication within the assessment team and with the awarding body is ineffective		
1.4 Equipment and accommodation do not comply with Health and Safety Acts.		
1.5 Insufficient qualified assessors.		
1.6 Assessors/internal verifiers do not have adequate continuous development plans		
1.7 Candidates are not aware of their rights and responsibilities, e.g. no appeals procedure for candidates.		
1.8 There is inadequate assessment planning with candidates.		
1.9 Queries are not resolved or recorded.		
1.10 Range of assessment methods is insufficient to encourage access.		
1.11 The awarding organization not notified of change of assessment personnel and verification team.		
1.12 Unit certification is not made available to candidates.		
1.13 There is inadequate monitoring or review of procedures.		
2.1 Assessors have insufficient time, resources or authority to perform their role.	Level 2 Removal of direct claims, i.e. claims for certification must be authorized by the external quality assurance manager	Close scrutiny of the integrity of assessment decisions required
2.2 Decisions of unqualified assessors have not been countersigned by qualified assessor		
2.3 Assessment decisions are not consistent.		
2.4 Insufficient qualified internal quality assurance manager.		
2.5 Decisions of unqualified internal quality assurance manager have not been countersigned by qualified internal verifier.		
2.6 Records are insufficient to allow audit of assessment		
2.7 Previously agreed corrective measures relating to level 1 are not implemented		
3A.1. Assessment process does not favour candidates	Level 3 Suspension of registration/ certification	Threat to candidates
3A.2 . Assessment decisions are unfair		
3B.1. No qualified internal quality assurance manager.		
3B.2. Assessment does not meet national standards.		
3B.3. The centre fails to provide access to requested records, information, candidates and staff.		
3B.4. Assessed evidence is not the authentic work of candidates.		
3B.5. Records of assessment show serious anomalies		
3B.6. Certification claims made before all the requirements of assessment are satisfied	Loss of integrity of assessment decisions – danger of invalid claims for certification.	
3B.7. Previously agreed corrective measures relating to level 2 non-compliance are not implemented		

Non-Compliance Issue	Sanction	Rationale
4.1. Significant faults in the management and quality assurance of the NVQ programme, which result in an ongoing failure to meet the core requirements for the conduct of assessment.	Level 4 Withdrawal of centre approval for specific NVQs	Irretrievable breakdown in management and quality assurance of specific NVQs
4.2. Previously agreed corrective measures relating to a level 3 non-compliance have not been implemented.		
5.1. Significant faults in the management and quality assurance of all NVQ programmes	Level 5 Withdrawal of centre approval for all NVQs	Irretrievable breakdown in management and quality
5.2. Previously agreed corrective measures relating to a level 4 non-compliance has not been implemented.		

EXTERNAL QUALITY ASSURANCE REPORT

Ref	Criteria	Source of Evidence	Ground for disapproval by EQAM	Sanction
Resource Review				
Rr	Availability of adequate number of competent and qualified assessors and internal quality assurance personnel.	<ul style="list-style-type: none"> Assessor/Learner ratio Internal quality assurance personnel/assessor ratios CVs and development plans for the assessors and internal quality assurance personnel A list of assessors and internal quality assurance personnel with relevant information Assessors' and internal quality assurance personnel's original qualification certificates 	<ul style="list-style-type: none"> Insufficient qualified assessors i.e. assessor/learner ratio does not allow for regular contact or sufficient formative/summative assessment. Insufficient internal quality assurance personnel to manage assessment. No qualified and occupationally competent internal quality assurance personnel to manage assessment. 	Level 1 (Action Point) Level 2 (Removal of DCS) Level 3B (Suspension of learner registration & certification)
R1	Staff development is provided for assessors and internal quality assurance personnel in line with identified needs.	<ul style="list-style-type: none"> Staff induction and guidance materials. Records of meetings/briefings/updates Records of individual development plans Audit of skills/knowledge against assessment requirements Action plans to acquire relevant qualifications. 	Assessors/internal quality assurance personnel do not have adequate development in line with identified needs	Level 1 (Action point)
R2	Resources are made available in line with identified needs required for qualification achievement	Learner/assessor/internal quality assurance personnel feedback	Assessor, learner and internal quality assurance personnel feedback does not confirm sufficiency to resources	Level 1 (Action point)
R3	Equipment and accommodation used for the purposes of assessment comply with the requirements of relevant health and safety acts	<ul style="list-style-type: none"> Public employee liability certificates. Records of equipment and accommodation. Maintenance and equipment test schedules Health and safety policies. 	Equipment and accommodation do not comply with health and safety acts	Level 1 (Action point)

Ref	Criteria	Source of Evidence	Ground for disapproval by EQAM	Sanction
Learner Support Review				
LSR	Information, advice and guidance about the qualification and assessment, including the appeals procedure, are provided to learners.	<ul style="list-style-type: none"> • Learner guidance and induction materials • Details of support available • Appeals procedures • Learner feedback 	<ul style="list-style-type: none"> • Information, advice and guidance have not been provided to learners hence learners are not aware of their rights and responsibilities. • Learner feedback indicates that the lack of information advice and guidance about the assessment process has not favoured them 	<p>Level 1 (Action point)</p> <p>Level 3A (Suspension of learner registration)</p>
1	Learners development needs are matched against the requirements of the qualification and assessment planning is regularly reviewed with the learner.	<ul style="list-style-type: none"> • Learner initial assessment procedures. • Learner assessment planning, including frequency of review meetings; examples of revisions to assessment plans • Learner contracts/ agreements/reviews 	<ul style="list-style-type: none"> • Inadequate assessment planning/reviews with learners. • Learner feedback indicates that their development needs are not matched to the qualification requirements and consequently they are disadvantaged 	<p>Level 1 (Action point)</p> <p>Level 3A (Suspension of learner registration)</p>
2	Access to assessment is encouraged through the use of a range of valid assessment methods and particular assessment requirements of learners are identified and met where possible.	<ul style="list-style-type: none"> • Assessment plans and learner assessment records. • Materials/equipment/ facilities to support learners with particular requirements 	<ul style="list-style-type: none"> • The range of assessment methods is insufficient to encourage access to assessment • Learners' particular assessment requirements are not identified and/or not taken into consideration • Lack of or insufficient materials/ equipment/ facilities to support learners with particular requirements. • Assessment methods are not valid and consequently assessment does not meet the required standards. 	<p>Level 1 (Action point)</p> <p>Level 3A (Suspension of learner registration)</p> <p>Level 3A (Suspension of learner registration)</p> <p>Level 3B (Suspension of learner registration and certificate.)</p>
3	Unit certification is made available to learners	<ul style="list-style-type: none"> • Records of units claimed/awarded. • Learner guidance and induction materials. 	<ul style="list-style-type: none"> • No evidence that unit certification is available 	<p>Level 1 (Action point)</p>

Ref	Criteria	Source of Evidence	Ground for disapproval by EQAM	Sanction
Assessment Review				
AR	Internal quality assurance procedures are documented and meet NABTEB requirements	<ul style="list-style-type: none"> Internal quality assurance procedures Strategy for inducting, training and supporting assessors 	<ul style="list-style-type: none"> Documentation for internal quality assurance procedures is not available or is insufficient. Internal quality assurance procedures do not meet NABTEB's requirements. 	<p>Level 1 (Action point)</p> <p>Level 1 (Action point)</p>
1	Assessment decisions are adequately sampled to ensure the required standards are met	<ul style="list-style-type: none"> Sampled assessments Sampling strategy and schedule of activity Records of sampling Records of feedback to assessors Records of assessor and internal quality assurance personnel team meetings. 	<ul style="list-style-type: none"> Sampling of assessment decisions are inadequate There are lack of standardization activities to ensure consistency of assessment decisions Assessment decisions are unfair Assessment does not meet the required standards 	<p>Level 2 Removal of DCS</p> <p>Ditto</p> <p>Level 3A Suspension of learner registration</p> <p>Level 3B (Suspension of learner registration and certificate.)</p>
2	Records of internal quality assurance activities meet NABTEB's requirements and ensure valid reliable and consistent assessment.	<ul style="list-style-type: none"> Internal quality assurance plan and sampling records Records of feedback to [assessors records of assessor and internal quality assurance personnel team meetings] Records of standardization activities 	<ul style="list-style-type: none"> Insufficient records to allow audit of assessment Internal quality assurance process has not identified serious anomalies in assessment The internal quality assurance process has not identified remedial action to address serious anomalies in assessment. 	<p>Level 2 Removal of DCS</p> <p>Level 3B (Suspension of learner registration and certificate.)</p> <p>Ditto</p>
3	The internal quality assurance process is reviewed against NABTEB's requirements for internal quality assurance and improvements are implemented accordingly	<ul style="list-style-type: none"> Internal review of the internal quality assurance process/sampling strategies External verifier reports Evidence that improvements have been implemented. 	<ul style="list-style-type: none"> Inadequate monitoring or review of internal quality assurance procedures. 	<p>Level 1 (Action point)</p>

Ref	Criteria	Source of Evidence	Ground for disapproval by EQAM	Sanction
4	Assessment is conducted by qualified and occupationally expert assessors	<ul style="list-style-type: none"> Details of the assessor and internal quality assurance personnel team including occupational background, experience and relevant qualifications. Details of monitoring arrangements for any assessment decisions made by unqualified assessors. 	<ul style="list-style-type: none"> Assessors do not have the required occupational expertise Decisions of unqualified assessors have not been monitored by qualified assessors Assessment does not meet required standards. 	<p>Level 2 Removal of DCS</p> <p>Level 3B (Suspension of learner registration and certificate.)</p>
5	Internal quality assurance is conducted by qualified and experienced staff	<ul style="list-style-type: none"> Details of internal quality assurance personnel occupational background experience and relevant qualifications. Details of monitoring arrangements for any unqualified internal quality assurance personnel 	<ul style="list-style-type: none"> Decisions of unqualified internal quality assurance personnel have not been monitored 	<p>Level 2 Removal of DCS</p>
6.	Actions identified during external verification visits are disseminated to appropriate staff and addressed accordingly	<ul style="list-style-type: none"> External verifier report(s) circulated to the assessor and internal quality assurance personnel team and senior management. Action plans Evidence that improvements have been implemented. 	<ul style="list-style-type: none"> Previously agreed actions identified during external verification visits have not been addressed in relation to level 1 sanction. Previously agreed actions identified during external verification visits have not been addressed in relation to level 2 sanction. 	<p>Level 2 Removal of DCS</p> <p>Level 3B (Suspension of learner registration and certificate.)</p>
Internal Quality Assurance Review				
IQA	The centre's policies in relation to NABTEB verified qualifications are supported by senior management and understood by the assessor and internal quality assurance personnel team.	<ul style="list-style-type: none"> Documented policies and procedures Senior management assessor and internal quality assurance personnel feedback Progress reports and staff updates Organization development plans 	<ul style="list-style-type: none"> Documentation for the centre's policies is not available or is insufficient Assessor and internal quality assurance personnel feedback demonstrates lack of understanding of the centre's policies and responsibilities of personnel 	<p>Level 1 (Action point)</p> <p>Ditto</p>
1	The centre's policies, including	<ul style="list-style-type: none"> Documented policies and procedures 	<ul style="list-style-type: none"> Responsibilities of personnel are not clear or well 	<p>Level 1 (Action point)</p>

Ref	Criteria	Source of Evidence	Ground for disapproval by EQAM	Sanction
	access and fair assessment policy and practice are complied.	<ul style="list-style-type: none"> • Learner/assessor/internal quality assurance personnel feedback • Evaluation and review mechanisms • Evidence of equal opportunities monitoring 	<ul style="list-style-type: none"> • understood by assessors and internal quality assurance personnel • Assessment decisions are unfair 	Level 3B (Suspension of learner registration and certificate.)
2	The role and responsibilities of the assessors and internal quality assurance personnel across all assessment sites are defined and understood.	<ul style="list-style-type: none"> • Documented quality assurance procedures • An organizational chart • Records of all assessment sites and personnel • CVs of the assessors and internal quality assurance personnel • Assessor/internal quality assurance personnel feedback. 	<ul style="list-style-type: none"> • Responsibilities of personnel across all assessment sites are not clear or well understood by assessors and internal quality assurance personnel 	Level 1 (Action point)
3	There is effective communication within the assessor and internal quality assurance personnel team and with NABTEB	<ul style="list-style-type: none"> • Staff handbooks and updates • An organizational chart • Minutes of assessor and internal quality assurance personnel team/standardization meetings • Records of communication with NABTEB • Assessor and internal quality assurance personnel feedback. 	<ul style="list-style-type: none"> • Communication within the assessor and internal quality assurance personnel team and with NABTEB is ineffective 	Level 1 (Action point)
4.	NABTEB is notified of any changes that may affect the centre's ability to meet NABTEB's requirements	<ul style="list-style-type: none"> • Notification of changes to assessment and quality assurance personnel • Notification of changes to resources 	<ul style="list-style-type: none"> • NABTEB has not been notified of changes that affect the centre's ability to meet its requirements 	Level 1 (Action point)
5	Assessors and internal quality assurance personnel have sufficient time, resources and authority to perform their roles and responsibilities	<ul style="list-style-type: none"> • A record of assessor/learner allocation • Learner/assessor ratios and time allocation • A record of internal quality assurance personnel/assessor allocation • Internal quality assurance personnel/assessor ratios and time allocation 	<ul style="list-style-type: none"> • Assessors and internal quality assurance personnel have insufficient time, resources and authority to perform their roles and responsibilities effectively. 	Level 2 Removal of DCS

Ref	Criteria	Source of Evidence	Ground for disapproval by EQAM	Sanction
	effectively.	<ul style="list-style-type: none"> Internal quality assurance personnel/assessor/learner feedback 		
6	Learner information and details of achievements are complete and accurate, and retained and transmitted in line with NABTEB's requirements	<ul style="list-style-type: none"> Records of learner entry/ registration details and certificate claims Learner assessment records Evidence files/portfolios Security and access arrangements 	<ul style="list-style-type: none"> Assessed evidence is not the authentic work of learners Records of assessment show serious anomalies Certification claims are made before all the requirements of assessment are satisfied 	Level 3B (Suspension of learner registration and certificate.)
7	Queries about the qualification specification, assessment guidance or related NABTEB material are resolved	<ul style="list-style-type: none"> Records of queries raised with NABTEB. Records/minutes of queries raised Assessor and internal quality assurance personnel team feedback Minutes of team/standardization meetings Records of dissemination of relevant information. 	<ul style="list-style-type: none"> Queries are not resolved Assessment does not meet the required standards 	Level 1 Action point Level 3B (Suspension of learner registration and certificate.)
8	Information and recording systems enable learners' achievements to be monitored and reviewed in relation to diversity and equality	<ul style="list-style-type: none"> Achievement records in relation to the access and fair assessment policy Statistical information on achievement and certification rates analyzed by factors such as ethnic origin, disability and gender 	<ul style="list-style-type: none"> Information and recording systems do not enable learners' achievements to be monitored and reviewed in relation to diversity and equality. Learners' achievements are not monitored and reviewed in relation to diversity and equality. 	Level 3B (Suspension of learner registration and certificate.)
9	Requests from NABTEB are complied with for access to premises, people and records for the purpose of monitoring activities.	<ul style="list-style-type: none"> Data and information management systems Learner tracking systems Assessment and internal quality assurance records Learners' portfolios Learner contact details Learner/assessor feedback 	<ul style="list-style-type: none"> The centre fails to provide access to requested records, information centre assessment decisions and staff 	Level 3B (Suspension of learner registration and certificate.)

Ref	Criteria	Source of Evidence	Ground for disapproval by EQAM	Sanction
10	Centre's achievements, and learner, employer and other feedback are used to evaluate the quality and effectiveness of qualification provision.	<ul style="list-style-type: none"> • Internal audit/self-assessment arrangements • Audit /self-assessment reports • Evidence that improvements have been made • Evaluation forms/surveys • Users' charter/customer service statements • Learner, employer and other feedback. • Centre's achievement records 	<ul style="list-style-type: none"> • Inadequate evaluation of the quality and effectiveness of qualification provision. 	Level 1 Action point

GLOSSARY – DEFINITION OF TERMS

Term	Meaning
Approval (center)	A process through which an organization wishing to offer particular qualifications is confirmed as being a centre and able to maintain the required quality and consistency of assessment and interpretation and application of the National Occupational Standard.
Assessment	The process through which evidence of learners' achievements are evaluated against agreed criteria to provide the evidence for a qualification.
Assessor QAA	A person appointed by the centre responsible for the support and judgment of learner performance against defined standards expressed as assessment criteria.
Awarding organization	An organization such as NABTEB that offers recognized qualifications. Its main functions are the design and development of qualifications and the operation of assessment and quality assurance systems to support the qualifications. An awarding organization issues certificates or certificates of unit credit to learners achieving the requirements of a qualification.
Centre	An organization (such as college, training provider or workplace) accountable to an awarding organization for an assessment arrangements leading to a qualification.
External Quality Assurer/External Quality Manager (EQAM)	A person appointed by NABTEB to support, and monitor the quality assurance and assessment process and judgment.
External Quality Assurance (EQA)	Quality assurance procedure to monitor locally based (developed) assessment (NVQs/VQs qualifications). External quality assurance includes inspection of procedures and sampling of assessments by the centre.
Internal Quality Assurer/Internal Quality Manager (IQAM)	The person appointed by the centre to coordinate the assessment process internally.
Moderation	The process of checking assessors' judgments of learners' competence with the view to correcting them through advanced procedure and instruction to determine if the assessment is up to standard. These checks are carried out by both Internal Quality Assurers and consultants. There is also 'network moderating' or standardization, by asking participants to rate model portfolios
National Occupational Standards (NOS)	Standards of occupational competence developed by a standards setting body (SSB) and approved by the regulatory authorities.
Qualification (Q)	A certificate of achievement of competence specifying awarding organization, qualification title, credit and level.
Customer Support Coordination NABTEB/QM	Your local point of contact, for all matters related to approvals and external quality assurance
Regulatory Authority	An organization created to establish national standards for qualifications and to secure consistent compliance with them, such as NBTE, CORBON.
Standards	Generally refer to competence statements and specifications. Standards are a short expression for standards of competence which

	<p>are developed by a standards setting body (SSB). These define what an individual working in an occupational area is expected to be able to do. They are further specified in terms of criteria and their corresponding underpinning skills and knowledge; Units, Learning Outcome (LC) and Performance criteria (PC).</p>
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