

## Directive

## Occupational Assessment and Certification

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AC Assessment Center

CC Competence Certificate

CoC Center of Competence

FTA Federal TVET Agency

NQC National Qualification Certificate

NTQF National TVET Qualifications Framework

OHS Occupational health and safety

OS Occupational Standard

PPE Personal Protective Equipment

RCC Recognition for Current Competency

RPL Recognition of Prior Learning

TVET Technical and Vocational Education and Training

Introduction

The overall objective of the new national TVET strategy is to create a competent, motivated, a d a p t

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Written by Administrator

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n issued by the Federal TVET Agency for the purpose of qualification to join Industry, or by an Industry body, for the purpose of recognizing the worker's expertise in the occupation practiced in industry.

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m and thus, manage the competence assurance of the country's manpower resources.

## Article 1 - Definition of Terms

**Accreditation** – In relation to assessment and certification, it is the process of recognizing  
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y (CoC), in assessing the competence of candidates.

**Appointed Assessors** – These are practitioners of the occupation concerned, in industry who are especially chosen by the industry sector, through its representatives, to provide assistance to the CoC in assessing other experts of the occupation who are identified to be trained and accredited as assessors. The appointed assessors are so chosen since there are no accredited assessors yet for the occupation. The function & responsibility of these experts are terminated when there are already regular assessors accredited.

**Assessment** - The means of determining if a candidate possesses the required competence

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**Assessor** - A technical expert from Industry who is accredited by the CoC, whose responsibility is to determine whether a person seeking certification in a qualification level or on certain specific competencies has possessed the required knowledge, skills and attitude as indicated in the OS.

**Assessors' Panel** – is an occupation-specific body created by the Regional Industry or Professional Association, whose members are accredited assessors.

**Assessment Center** - An establishment officially accredited by the CoC in collaboration with industry to manage assessment on certain specific competencies or qualification.

**Assessment venue** – This refers to a workplace or work station whether in a company or a TVET institution that has been identified and coordinated by the Assessors Panel / Regional Industry and the CoC to house assessment activities, for lack of available Assessment Centers.

**Assessment Method** – This is the means that an assessor applies to gather evidences in order to make decision whether the candidate is competent or not.

**Assessment Tool** - This refers to the nature of the assessment task given to a candidate, which will provide the assessor evidence of competence, to support his judgment on whether the candidate has possessed the competencies being assessed.

**Candidate** - An individual who applies for assessment and fulfills all the requirements for seeking recognition of his/her competencies.

**Center of Competence** - A government organization established by the regional government administration and deleg

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**Certification** – A formal process of recognizing an individual's competence measured against occupational standards.

***Certifying Body*** - The organization responsible for issuing certification to a person who exhibited competence during assessment

***Competence*** – The possession and application of knowledge, skills and attitude required to perform the job of an occupation as indicated in the occupational standard.

***Competence Certificate*** – A document issued to individuals who were assessed and found

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**Moderation** - is the process of bringing assessment judgments and standards into alignment. It is a process that ensures the same standards are applied to all assessment results within the same Unit(s) of Competency. It is an active process in the sense that adjustments to assessor judgments are made to overcome differences in the difficulty of the tool and/or the severity of judgments.

**National Qualification Certification** – A certification issued to individuals who are found competent in all units of competence of an occupational qualification level defined in the Occupational Standards.

**National TVET Qualifications Framework (NTQF)** - An outline of the system of TVET q  
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**Occupational Standard** – A standard defined by experts of an industry sector indicating t

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are required, for a worker to perform the various tasks of the occupation in industry.

**On-Site Assessment** - An assessment process where the candidate is being assessed for unit/units of competence which is/are actually performed at the industry workplace.

**Portfolio** - A collection of different types of evidence relating to the work being assessed.

**Qualification** – A defined set or group of units of competence identified by the industry  
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**Qualification Levels** – Details the scope and composition of qualifications and degree of

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**Recognition of Current Competence (RCC)** – The recognition of current capabilities of a

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**Recognition of Prior Learning (RPL)** – The acknowledgment of a person’s competence  
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against occupational standard.

**Regional Industry & Professional Association** - is a sector-specific industry body that shall be composed of technical experts from the Regional agencies of the Ministry in-charge of the sector, and technical personnel from leading industrial firms operating in the region, including professional associations

**Validation** - A quality review process. It involves checking that the assessment tool produced is valid, reliable, sufficient, current and authentic evidence to enable reasonable judgments to be made as to whether the requirements of the relevant aspects of the Training Package or accredited course had been met. It includes reviewing and making recommendations for future improvements to the assessment tool, process and/or outcomes.

## Article 2 - General Background and Principles

2.1 The occupational assessment and certification system is in support to the provisions of t

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2.2 The NTQF allows national, comprehensive and flexible certification system for the TVET sector as well as the lower and middle-level manpower of the industry.

2.3 The partnership of the leading agencies of government and the private industries is one important factor that will assure the relevance of the Occupational Assessment and Certification system to the manpower requirements of the private enterprises as well.

2.4 Assessment shall be the means of determining the ability of Ethiopian Technical and Vocational Education and Training system to supply the industry with competent workforce.

2.5 The Assessment and Certification system does not discriminate a person from being served, whether he/she acquires the competencies inside or outside the TVET institutions.

2.6 Assessment by qualification level shall be implemented in all occupations for the candidates, who applied for qualification-based assessment; and the assessment starts from the lowest qualification level and proceeds to the level of the occupation applied for.

2.7 Assessment by unit/s of competence shall be implemented in all occupations for Candidates, who applied for assessments by unit/s of competence.

2.8 Assessment shall be conducted only in accredited assessment centers and by accredited assessors

2.9 The system provides recognition for both prior learning and current competences (RPL and RCC). This means any person who believes that s/he is competent enough in a specific level of an occupational qualification, (either for the whole qualification or set of competencies) resulting from work experience or relevant education and training, may apply for an assessment

2.10 The Assessment tools developed by the Assessors' Panel shall undergo proper validation by the Regional Industry/ Associations to ensure that the tool will provide the correct evidence for the assessor to judge whether the candidate is competent in performing the job according to standards or present accepted practices of industry.

2.11 Validated assessment tools shall undergo proper moderation procedures by FTA to ensure that the tools used by the different CoCs / assessment centers shall be able to provide the same evidence for similar competencies assessed.

2.12 The same assessment tool shall be used for all candidates (industry experts, Trainers, TVET trainees & unemployed)

2.13 The Certification issued to candidates, whether NQC or CC is valid in all regions in the country, and shall serve the purpose at which such certification is required.

2.14 This Directive shall serve as the official document, for the implementation of Assessments as requirement for the NQC and the CC.

## **Article 3 – Organization and Functional Relationship**

### **3.1. Functional relationship of the structure for Assessment & Certification**

The following diagram illustrates the positions and the lines of communication between the

different stakeholders involved in this system. At the Federal level, the Appropriate Ministry for the TVET serves as the overall managing body that sets the policies and implementing guidelines. At the Regional Level, the Regional Government oversees the creation of the CoC Board which is the overall manager of the system in the region

## **3.2. Duties and responsibilities**

### **3.2.1 Appropriate Ministry for the TVET**

This is the Ministry which is directly responsible for all education and vocational training in the country. It serves as the secretariat of the Federal TVET Council for implementing policies and guidelines issued by the Council for the TVET programs.

### **3.2.2 Federal TVET Council**

This is composed of representatives of Ministries in government which provides assistance to the Federal TVET Agency in the formulation of policies and guidelines that will set the direction of the TVET Strategy to assure the success of TVET programs.

### **3.2.3 Federal TVET Agency**

It is the implementing body for Assessment and Certification program of the government, as a component of the TVET Reform. It shall translate the direction from the Council of Ministers into policies and guidelines/ Directives.

The Agency shall take charge of the following functions:



a. Provide oversight function in the implementation of assessment and certification by conducting regular monitoring activities to assure adherence

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Along this context, the FTA is tasked to undertake measures that will correct practices which are NOT in accordance with this Directive.

b. Take charge of the moderation procedures for the assessment tools developed and properly validated.

c. Implement the issuance of certification (NQC or CC) through the CoCs.

d. Consolidate and analyze assessment-related reports to determine the effectiveness of the TVET training delivery

e. Capacitate the CoCs in the implementation of assessment - related activities, which shall include:

- Development of Assessment tools
  
- Calibration of the training and accreditation of Assessors
  
- Procedures on the conduct of assessments and other

· Important aspects of Assessments indicated in the Directive.

f. Provide finalized copies of the Occupational Standards to the CoCs and the Regional TVET Authorities, with instructions that the older versions shall be discarded.

g. Facilitate the development of first version Assessment tools with the collaboration of the sector-leading ministries.

h. Provide CoCs with the recent versions of Assessment tools for the occupations that are covered in the assessment activities of the CoCs, with the instruction that older versions shall not be used anymore.

### 3.2.1 Sector-leading ministry

The Ministry at the Federal level that takes charge of a sector, say Agriculture shall facilitate the creation of the industry sector body/ association which represents industry in the region. It shall translate the direction from the Council of Ministers into policies and guidelines that will assure the success of Assessment and certification of workers to improve the productivity of its manpower.

Specifically, it shall:

a. Take the lead in the development, review and revisions of the occupational standards;

b. Facilitate the creation of the Regional Industry Associations in the respective sector in the regions;

c. Take the lead in facilitating the development of **first version** Assessment tools for the

occupational qualifications in the sector. which are implemented by the Regional Industry Associations with their Assessors Panel, which have the capability of performing this task.

### **3.2.2 Regional Government**

As a policy-making body in the region, this organization ensures that the guidelines and implementation of the assessment and certification system are in support to the development plans of the region.

### **3.2.3 Regional TVET Council**

This body is composed of the representatives from the various Ministries who are delegated to represent their respective offices in the region. For the implementation of the assessment and certification system, this body will be expected to organize the CoC Board in the Region, to manage this system through the CoC.

### **3.2.4 CoC Board**

This body is the umbrella organization for the assessment and certification system implementation in the region. The following are the identified functions and responsibilities of this body :

- a. Approves the assessment fees recommended by the CoC.
  
- b. Coordinate with industry through the Bureaus of the sectors concerned, in the organization of industry representatives to collaborate with the CoC in the implementation of assessment.
  
- c. Monitors the implementation of the functions and responsibilities of the bodies in the region,

implementing the system, to assure that such implementation is done according to the approved Directive and Manuals.

d. Implements measures to correct system deficiencies that erode the quality of the output.

e. Responsible for providing information on the development and success of the assessment and certification system to the Regional TVET Council and the Regional Government

### **3.2.5 Regional Industry/Professional Association**

This-specific industry body that shall be composed of technical experts from the Authorities in-charge of leading the sector at Regional level, and technical personnel from industrial firms operating in the region as well as from Regional professional associations. Its role in this Directive includes the following functions:

a. Identify technical experts to be trained as Assessors in the various occupations of the sector,

b. Organize the Assessors Panel for the occupations

c. Assist the CoCs in accrediting Assessors and Assessment Centers

d. Assist the CoC in the implementation of Assessments .by providing the right assessors from the Panel, and identifying appropriate Assessment Centers or venues.

e. Facilitate the development and validation of additional versions of assessment tools

- f. Submit validated assessment tools to the FTA for moderation
  
- g. Ensure that assessments are done in proper procedures and that decisions made are valid.
  
- h. Facilitate the assessment of its workers for certification
  
- i. Provide advice on the Assessment fees, especially for the to cover the costs of assessments.

### **3.2.6 Regional TVET Agency**

This organization shall be responsible to:

- a. Plan the assessments of TVET trainees/completers from the different Institutions of the region, and relay this plan to the CoC for Implementation.
  
- b. Prepare analysis of the results of Assessments, to measure effectiveness of the delivery system by the TVET Institutions.

### **3.2.7 Regional CoC**

This body in the TVET system is responsible for the following:

- a. Capacitate the Regional Industry and Associations in assessment- related activities, such as:

· Training of Assessors

· Development of Assessment tools

§ Procedures of the conduct of assessments as indicated in the Directive

b. Facilitate the training of Assessors with the Regional Industry/Associations and the Assessors Panel.

c. Accredite Assessors and Assessment Centers, from recommendations given by the Regional Industry / Associations.

d. Coordinate with the Regional Industry and Associations in the development of additional versions of assessment tools and the actual conduct of Assessments

e. Coordinate with the Regional TVET Agency on the assessment need of the TVET in various occupations and levels, for planning and proper executions.

f. Provide prompt monthly reports of assessment-related activities and results according to the required formats, to the CoC Board and the Federal TVET Agency.

g. Maintain data bank of Assessment tools, Candidates data, and Assessment reports.

h. Issue the relevant certificate to the successful candidate as authorized by the FTA, ( NQC or CC)

### **3.2.8 CoC Branch Office**

This is the extension office of the CoC in the various cities/ towns under its jurisdiction. This is done to bring the services of assessment and certification closer to its clients, thereby reducing expenditures on the part of the candidates. Specifically, this office handles the following responsibilities:

1. Accepting and processing applications for assessments
2. Coordinating with local industry bodies in the appointment of assessors and assessment centers
3. Managing assessment activities in the locality, in collaboration with its partners in industry
4. Performing other functions delegated by the Regional CoC, for assessment-related activities

### **3.2.9 City-based industries/ Associations**

These are organizations located in the locality which are affiliated with the Regional industries and associations. These will be responsible for functions and responsibilities designated to them from the regional level. In particular, they will be the coordinating bodies representing industry for the branch office of the CoC.

### **3.2.10 Assessment Center**



Assessment Centers are accredited by unit/s Competence or by Qualification level and shall fulfill the following functions:

- a. Hold assessments according to the capacity of its resources as recommended by the Assessors Panel. and the CoC
  
- b. Accept and process applications for Assessments, along the Occupations or competencies accredited.
  
- c. Make full use of the Self-Assessment Guide to advice the candidate on the assessment applicable.
  
- d. Provide the candidate a copy of the article in this Directive that describes his/her responsibilities
  
- e. Make the assessment resources available according to the assessment requirement, at least 5 days before the assessment schedule, which shall be ready for inspection by the CoC and the Assessors

### **3.2.11 Assessment Venue**

As a venue identified and arranged by the Assessors Panel or the Regional Industry/ Association outside the Assessment Center to handle Assessment of specialized competencies, or to augment the Assessment Center due to greater number of candidates.

The same responsibilities stated in 3.2.10 may fully or partly apply to the assessment venue per designation of the CoC.

### **3.2.12 Assessors' Panel**

Assessors' Panel is an occupation-specific body created by the Regional Industry or Regional Association, whose members are accredited Assessors.

The responsibilities of this body include:

- a. Develop Assessment tools under the facilitation of the Regional Industry/ Association and the CoC.
  
- b. Inspect Assessment Centers/ venues for readiness in implementing assessments.
  
- c. Provide advice on the selection of Assessment tools to be used, the Assessment Center or venue and the Assessment arrangement (whether on-site or simulated), and the schedule of assessment.
  
- d. Implement assessment activities, under the supervision of the Regional Industry/ Association, and the CoC
  
- e. Recommend measures that will improve the assessment system, including improvement of the occupational standards.

### **3.2.13 TVET Institution**

A TVET Institution may be a Public, Private or Non-Government Organization (NGO) establishment approved by the appropriate government body to offer formal and/or non-formal

TVET programs in various levels, of occupations. In particular, it

- a. Facilitates the assessment of its trainees as required by the TVET system
  
- b. Makes analysis of the results of assessment of its trainees to measure effectiveness of its training delivery.

### **3.2.14 Candidates**

These are composed of TVET trainees, industry workers, and other individuals seeking certification of their competencies through assessment. In order to be considered as a candidate for assessment they are expected to:

1. Fulfill all requirements for application at the AC
  
2. Abide by the rules and regulations of the assessment process
  
3. Perform assessment tasks/projects according to the instructions stated in the assessment package.

## **Article 4 – Accreditation**

### **4.1 Accreditation of an Assessment Center**

4.1.1 An establishment/ facility in industry may be accredited as an assessment center, from th

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result of inspections as to the availability of the requirements of assessments on identified occupational qualifications or specific competencies.

4.1.2 Training Institutions can be appointed as **assessment venues** by the CoC in consultation with the Industry, to respond to the needs of assessment.

The requirement for an Assessment venue designation is similar to that of an assessment center accreditation, with the exception, that it does not have resident assessors (or pool of assessors which are working in the establishment, like trainers of TVET Institutions).

4.1.3 Assessment Centers are accredited by unit/s of Competence or by Qualification level of one or more sectors involved. Thus, an assessment center may be accredited for various occupations.

4.1.4 Period of validity of the accreditation shall be three (3) years, subject to renewal or revocation.

4.1.5 Renewal or revocation of accreditation shall be decided upon by the CoC with the recommendation of the Regional Industry /associations after annual conduct of compliance audit.

4.1.6 The requirements for accreditation of an Assessment Center may include the following:

- a. Personnel of the establishment who is assigned to manage Assessment activities.
  
- b. Technical personnel trained and accredited as Assessors of the Occupation/ competencies that are included in the accreditation of the Center.
  
- c. Support personnel who will take charge of processing of applications for assessments, procurement of materials for assessments, coordination of preparations of workshops ,financial

transactions, maintenance of workshop facilities, reports preparations and records keeping.

d. Availability of resources required for assessments: workshop space that can accommodate specified number of candidates, equipped with proper lighting and ventilation, and OHS facility and gears.

e. Sufficient number of functional equipment, tools, instruments, and materials for the practical projects included in the assessment activities.

f. Sufficient supply of Electric power and water (if necessary)

g. Memorandum of Agreement between the Center and the CoC detailing their responsibilities in the implementation of Assessments.

#### **4.2 Accreditation of an Assessor:**

4.2.1 An assessor is a certified practitioner of the occupation in industry for a period of not less than 3 years with basic communication skills such as listening, speaking, reading and writing in the language of assessment. In addition, he/she is required to complete the Assessors Methodology Training successfully and the involvement in at least 2 assessment activities. on the occupation to be accredited.

4.2.2 The requirements for accreditation, in addition to the basic qualification mentioned in 4.2.1 are:

a. For Assessors of full Qualification assessments NQC I to III Qualification Certificate of NQC higher by one level to the qualification under assessment.

b. For Assessors of NQC IV & V

- Qualification Certificate of Level V (Level IV for occupations with highest level of IV).
  
- Supervisory job experience in industry for at least 2 years.
  
- Minimum educational qualification of first degree.

c. For Assessors of Competence-based assessment from Level I to III, possession of CCs of specialized competencies in Level I or II or III; or holder of NQC Level I, or II or III of the occupation.

4.2.3 The validity of the accreditation of Assessors shall be three (3) years subject to renewal or revocation.

4.2.4 Renewal of accreditation shall be decided upon by the CoC in consultation with the Regional Industry / Association.

### **4.3 Appointed Assessor**

4.3.1 For occupations with newly developed OS, and no assessors have yet been accredited, according to the requirements cited above, a group of practitioners from industry, including foreign experts shall be appointed to perform the task of assessing best practitioners identified as to-be core assessors by the Regional Industries/ Associations. The following are to be fulfilled for a practitioner to qualify as an appointed assessor:

a. Presently serving in industry as Supervisor or Manager of a group of workers performing the occupation

b. Work experience of not less than five (5) years on jobs directly related to the occupation.

c. Recommendation from industry represented by the Regional Industries/ Associations to serve as appointed assessor.

d. An appropriate evaluation using Portfolio Assessment tool, conducted by the Regional; Industries/ Associations in collaboration with the CoC.

4.3.2 The appointed assessor shall cease to function when an assessor is formally accredited fulfilling the requirements indicated in this Directive unless he/she passes through assessors development process.

## **Article 5 - Assessment Methods & Tools**

### **5.1 Recommended Assessment Methods**

**Assessment Instruments/**

**Tools**

**Methods**

**Remarks**

## Observation

## Product /outcome evaluation

## Questioning

Practical projects exercises conducted during the assessment in the accredited assessment center

X

X

X

· Questioning only is done by the Assessor to support his Observation of t

On-site assessment of actual job performed

X

X



X

· This assessment is applicable primarily to industry workers but may also

Simulations & demonstrations of actual operations done in the actual work site or institution.

X

X

· This can be used for assessments of actions under “safe” conditions. Ex

· This is also applicable to occupations which provide service to people, lik

Role plays

X

X

· This is useful in Secretarial occupation, Front Desk, Tourist Guides, Mar

Portfolios

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X

· This may be used for the Assessment of supervisors and managers of c

Knowledge test in the form of Multiple Choice or Matching type questions./ or Interview questions

X

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- This instrument is also used especially for underpinning knowledge of hi

## 5.2 Development of Assessment Tools

5.2.1 New version of assessment tools, including the evidence plan, shall be prepared by assessors selected by sector leading ministries in collaboration with Federal TVET agency.

5.2.2 Succeeding versions of assessment tools shall follow the initially developed evidence plan and prepared by assessors' panel with facilitation of CoC and supervision of Regional industry /association.

5.2.3 The validation process includes the review and pilot-testing by validating team of assessors, under the supervision of the CoCs and the Regional Industries/ Associations .The succeeding versions only undergo review by validating team of assessors.

5.2.4 Validated tools are submitted to the Federal TVET Agency, for moderation,

a. The purpose of moderation is to make sure that uniform assessment methods and tools are used for the same competence/s being assessed throughout the country.

b. The moderation process may include integrating the various validated tools from the regions, storing them in the databank, and distributing them uniformly to the regions.

5.2.5 Only current/up-to-date versions of assessment tools authorized by the Federal TVET Agency shall be used for Assessment. Old version of Assessment tools which were developed based on the old OS or are found inappropriate by the industry should be discarded.

5.2.6 The same version shall not be reused unless appropriate modifications are made.

5.2.7 The assessors' panel with the supervision of the CoC and the Regional Industry/Associations makes the necessary modifications of the tools when there are no new versions provided by the FTA.

5.2.8 All assessment tools used in the regions shall be kept in the data bank of the CoC, for proper use, and to serve as reference for future tools development.

## **Article 6 - Assessment Procedures**

### 6.1 Application for assessment

6.1.1 Any person who intends to get Qualification Certification or Certificate of Competence as a result of his trainings or work experience may apply for assessment at a place designated by CoC.

6.1.2 For TVET trainees' assessment by qualification applications shall be processed by their respective TVET institution and submitted to the CoC or to CoC designated assessment center

6.1.3 Applications of group of industry workers for assessment may be processed by their respective company/industry and submitted to the CoC or to CoC designated assessment center

6.1.4 The applicant will be provided with Self-Assessment Guide in order to help him/her to decide on the occupation/qualification level/units of competence he/ she will undertake for

assessment.

6.1.5 Assessment may be applied for a whole qualification or unit/s of competence

a. Candidates, who applied for assessments by unit/s of competence, can be assessed with the competency he/she applied.

b. For those candidates, who applied for qualification-based assessment, the assessment starts from the lowest qualification level and proceeds to the level of the occupation applied for

6.2 Applicants are registered as candidates for assessments and given admission slip after payment of assessment fee.

6.3 Preparation for conduct of assessment includes the following

- Secure the required assessment tools
  
- Coordinating and assigning assessors
  
- Identifying assessment centers/venue
  
- Scheduling assessment

6.4 The conduct of assessment should include following process.



7.4. Both practical projects and knowledge based test form the entire assessment package and shall be conducted in the same schedule

7.5. The maximum number of candidates to be handled by one assessor in one assessment session is 10 (ten)

7.6. Reassessment of candidates shall cover the whole assessment package of the assessment being applied for

a. Reassessment can be applied by a candidate at any time of his/her convenience

b. The candidates seeking reassessment shall undergo the same application process.

## Article 8 - Certification

8.1. Requirements for Issuance of TVET Qualification Certification

8.1.1. For **National Qualification Certificate (NQC)** –successful results of assessment in all units **of competencies** included in the Qualification level.

8.1.2 For **Certificate of Competence (CC)**- successful results of competency based assessment

8.2. Accumulation of CCs on all the core competencies, earned through time, (for a period of three years), of a qualification level, including successful results of the knowledge tests required can be credited for the issuance of the NQC.

8.3 The NQC certifications shall be issued by the Federal TVET Agency through the CoCs. While the CC certificate is issued by COC.

8.4 NQC certificate is prepared at the federal level and CC certificate is prepared at the regional level with uniform templates.

8.5 A candidate who fulfills all the requirements for Certification (NQC or CC) shall be issued the corresponding certificate by the COC within 10 days

8.6 10 (ten) Eth. Birr, shall be charged for the first issuance of NQC

8.7 For re-issuance of lost/ damaged certificates or change of names, with legal evidence, the same fee will be paid.

8.8 Certifications reports shall be included in monthly reports submitted by the CoC to the FTA.

8.9 The validity period of NQC or CC will be three (3) years.

8.10 Renewal of Certificates shall be done with the following terms:

8.10.1 NQC and CC shall be renewed with the CoC upon expiration unless there is a change of



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8.10.2 In case some changes are made on specific unit/s of competence, the applicant should undertake assessment corresponding to those competencies affected by the changes

8.10.3 In the event that a total change is made on the OS, the applicant should undertake a  
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for the whole qualification.

8.10.4 For the renewal of a Certificate, the following shall be satisfied:

- a. Verification by CoC from its database for the issuance of certificate.
  
- b. Certification from employer or professional association or legal document on the practice of the related occupation in the last one (1) year before the renewal. However, in the absence of such evidence reassessment is required.
  
- c. Payment of Renewal fees shall be the same as the original certification.

## **Article 9 - Administrative Issues**

## **9.1. Assessment Fee**

9.1.1 The assessment fees shall cover the following costs

- Assessors' fee, which shall consider the nature of the tasks/ projects covered in the assessment (whether simple, complicated, highly technical, etc), the number of candidates assessed, the time duration of the assessment activities, etc.
- Fees for the use of Assessment Center resources like consumable materials, depreciation of equipment, cost of electricity and water, Honoraria of support personnel
- Management costs for the CoC / Regional Industry/ Associations like costs of reproduction of assessment package, travel expense and per diem for supervisors.

9.1.2 The assessment fee shall be determined by the COC in consultation with regional industry/association and approved by the COC board.

9.1.3 The collected fees from the Centers will be distributed accordingly to the respective users according to the agreed percentage.

9.1.4 Assessment fee shall be paid by the candidates or the sponsoring body/ institution.

## **9.2 Assessment report and data management**

9.2.1 The CoC shall provide prompt and accurate reports, on a monthly basis, regarding results of assessments, and the issuances of certifications to the, CoC Board, Regional TVET body, Regional Government and the FTA.

9.2.2 The FTA, the CoC and the Regional Industry/ Associations shall establish and implement a sound database system.

### **9.3 Sanctions and Penalties**

9.3.1 The accreditation of Assessment Centers will be revoked for any of the following reasons:

- a. Failure to sustain compliance with accreditation requirements.
- b. Connivance with the candidate regarding the fulfillment of assessment requirements.
- c. Illegal exaction of fees other than those approved by the COC Board.

9.3.2 The accreditation of an assessor is revoked at any time on the following grounds:

- a. Violation of the defined procedure in the conduct of assessment.
- b. Corrupt practices involving with the candidate. /Illegal exaction of fees other than those approved by the regional government/CoC
- c. Unsatisfactory rating of the performance evaluation by the CoC and Regional industry/ association.
- d. Any other violation resulting to serious injury, loss of life of a person or significant damage to

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9.3.3 In addition to the sanction stated above, the assessor is dismissed from the assessors' panel and his wrong-doing is reported to his/her employer and legal body for appropriate action.

9.3.4 The NQC or CC issued to an individual may be canceled on the following grounds:

- a. Falsification or fraudulent duplication of documents.
- b. Tampering of the NQC or CC.
- c. Substitution of person who took the assessment
- d. Any other violation resulting to serious injury, loss of life of a person or significant damage to property and environment committed by a Certificate holder in the practice of his/her occupation.

## **9.4 Security and Integrity of the Assessment & Certification Process**

9.4.1 The assessment center shall grant access to the Regional Industry/Associations, assessors' panel and the CoC in the conduct of inspection, monitoring (compliance audit) as well as investigations in case of complaints involving anomalous acts and malpractices.

9.4.2 The assessors shall be responsible in upholding the integrity of the assessment process by safeguarding the authenticity and reliability of all documents and results pertaining to the conduct of the assessment.

9.4.3 The CoCs and the Regional Industry/ Associations shall be responsible for the conduct of assessment activities in the region. They shall take full responsibility in maintaining the security of the assessment tools and certificates to be issued. Likewise they shall be responsible for all acts performed by personnel involved in the implementation of assessment and certification.

## **Article 10 - Amendment or Repeal**

All previous Directives, rules and regulations or parts thereof inconsistent with this Directive are hereby repealed and modified accordingly.

## **Article 11 – Effective Date**

This directive on the Assessment and Certification System shall take effect on \_\_\_\_\_/2014.

APPROVED: \_\_\_\_\_

Written by Administrator

Wednesday, 17 February 2016 19:00 - Last Updated Wednesday, 21 July 2021 13:16

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## **ASSESSMENT and Certification Management Manual for CoC**

### **ACRONYMS**

**AC** – Assessment Center

**AT** – Assessment Tool

**CoC** – Center of Competence

**CC** – Certificate of Competence

**FTA** Federal TVET Agency

**MoE** Ministry of Education

**NTQF** National TVET Qualifications Framework

**NQC** National Qualification Certificate

**OS** Occupational Standards

**QMS** Quality Management System

**RCC** Recognition of Current Competency

**RPL** Recognition of Prior Learning

**TVET** Technical and Vocational Education and Training

**TEP** Technical Experts Panel

## **1. Introduction**

The overall objective of the new national TVET strategy is to create a competent, motivated, ad  
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Written by Administrator

Wednesday, 17 February 2016 19:00 - Last Updated Wednesday, 21 July 2021 13:16

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## 2. Definitions of Terms

**Accreditation** – In relation to assessment and certification, it is the process of recognizing and/  
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**Assessment** - The means of determining if a candidate possesses the required competencies o  
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**Assessor-** A technical expert from Industry who is accredited by the CoC, whose responsibility is to determine whether a person seeking certification in a qualification level or on certain specific competencies has possessed the required knowledge, skills and attitude as indicated in the OS.

**Assessors' Panel** – is an occupation-specific body created by the Regional Industry or

Professional Association, whose members are accredited assessors.

**Assessment Center** - An establishment officially accredited by the CoC in collaboration with industry to manage assessment on certain specific competencies or qualification.

**Assessment venue** – This refers to a workplace or work station whether in a company or a TVET institution that has been identified and coordinated by the Assessors Panel / Regional Industry and the CoC to house assessment activities, for lack of available Assessment Centers.

**Assessment Method** – This is the means that an assessor applies to gather evidences in order to make decision whether the candidate is competent or not.

**Assessment Tool** - This refers to the nature of the assessment task given to a candidate, which will provide the assessor evidence of competence, to support his judgment on whether the candidate has possessed the competencies being assessed.

**Candidate** - An individual who applies for assessment and fulfills all the requirements for seeking recognition of his/her competencies.

**Center of Competence** - A government organization established by the regional government administration and delegated by the Feder

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**Certification** – A formal process of recognizing an individual's competence measured against occupational standards.

**Certifying Body** - The organization responsible for issuing certification to a person who exhibited competence during assessment

**Competence** – The possession and application of knowledge, skills and attitude required to perform the job of an occupation as indicated in the occupational standard.

**Competence Certificate** – A document issued to individuals who were assessed and found competent in a single unit of work for a cluster of units.

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**Moderation** - is the process of bringing assessment judgments and standards into alignment. It is a process that ensures the same standards are applied to all assessment results within the same Unit(s) of Competency. It is an active process in the sense that adjustments to assessor judgments are made to overcome differences in the difficulty of the tool and/or the severity of judgments.

**National Qualification Certification** – A certification issued to individuals who are found competent in all units of competence of an occupational qualification level defined in the Occupational Standards.

**National TVET Qualifications Framework (NTQF)** - An outline of the system of TVET qualifica

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**Occupational Standard** – A standard defined by experts of an industry sector indicating the com  
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s and their respective performance criteria  
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are required, for a worker to perform the various tasks of the occupation in industry.

**On-Site Assessment** - An assessment process where the candidate is being assessed for unit/units of competence which is/are actually performed at the industry workplace.

**Portfolio** - A collection of different types of evidence relating to the work being assessed.

**Recognition of Prior Learning (RPL)** – The acknowledgment of a person's competence acquir

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against occupational standard.

**Qualification** – A defined set or group of units of competence identified by the industry which meet  
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**Qualification Levels** – Details the scope and composition of qualifications and degree of responsibility  
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**Regional Industry & Professional Association** - is a sector-specific industry body that shall be composed of technical experts from the Regional agencies of the Ministry in-charge of the sector, and technical personnel from leading industrial firms operating in the region, including professional associations

## Self-assessment

Self-assessment is a process that allows candidates being assessed to collect and provide evidence on their own performances against the occupational standards. Self-assessment is often used as a pre-assessment tool to help the candidate and assessor to determine what evidence is available and where the gaps may be.

**Validation** - A quality review process. It involves checking that the assessment tool produced is valid, reliable, sufficient, current and authentic evidence to enable reasonable judgments to be made as to whether the requirements of the relevant aspects of the Training Package or accredited course had been met. It includes reviewing and making recommendations for future improvements to the assessment tool, process and/or Outcomes.

### 3. General Background and Principles

3.1. The occupational assessment and certification system is in support to the provisions of the Article 11 of the "Technical and Vocational Education and Training (TVET)" Proclamation No--/20--, authorizing the Federal TVET Agency to design, innovate and adopt processes suited for the development of Occupational Standards, and the proper implementation of the Assessment and Certification System.

3.2. Assessment principles state that assessments must be valid, reliable, flexible and fair. Assessors must ensure that assessment decisions involve the evaluation of sufficient evidence to enable a judgment to be made on the candidate's competence.

3.2.1 **Validity**-The assessment should measure what is supposed to measure (address the essential knowledge and skills, relate the unit of competency cover the content in the representative manner)

3.2.2 **Reliability**-The assessment shall provide similar outcome for candidate with equal competency at different time or place regardless of the assessor conducting the assessment.

**3.2.3 Flexible**-The assessment approach can be adapted to meet the needs of all candidates and workplaces.

**3.2.4 Fairness**-Assessment methods will not disadvantage individuals or groups by hindering or limiting them in ways unrelated to the evidence sought.

3.3. The NTQF allows national, comprehensive and flexible certification system for the TVET sector as well as the lower and middle-level manpower of the country's labour.

3.4. The partnership of the leading agencies of government and the private industries is one important factor that will assure the relevance of the Occupational Assessment and Certification system to the manpower requirements of the private enterprises as well.

3.5. The competence requirements in the different qualification levels of the country's vast occupational classifications shall be the basis for the assessment and certification in all industry sectors.

3.6. Occupational Standards (OS) are the benchmark for training, assessment and certification. They should be fitted against qualification levels which are employable in industry.

3.7. Assessment shall be conducted only in accredited assessment centers and by accredited assessors

3.8. Assessment by qualification level shall be implemented in all occupations in all sectors in the following phases of the Assessment process:

Phase I: Assessment shall commence at Levels I & II, which can be given in one schedule;

Phase II: Assessment for Level III can be taken after acquiring certification in Levels I & II; The Assessment in this Level may be taken in another Assessment Center appointed by the CoC, which is equipped with the requirements for this level.

Phase III: Assessment in Level IV is provided to the candidate who has already been certified Competent in Level III. Further, it may be required from the candidate in this level to have an industry exposure or experience.

3.9. The same assessment tool shall be used for all candidates (industry experts, Trainers, TVET trainees & unemployed)

3.10. The system provides recognition for both prior learning and current competences (RPL and RCC). That means any person who believes that s/he is competent enough in a specific level of an occupational qualification resulting from work or life experience or relevant education and training may undergo competence assessment.

3.11. The system allows progressive assessment by qualification level, starting from the lowest available qualification level. But a candidate who wants to get certified in a higher qualification level must be assessed following the procedures indicated in 3.7.

3.12. The system shall also allow assessment for a candidate who desires to be assessed in a single or group of units of competence in a qualification level. In this arrangement, the Assessment tool shall be developed to suit the need for assessing this type of candidate. If the candidate applies for assessment in the competencies at the higher levels, he must first be assessed with the competencies in the lower levels which are pre-requisites to the competencies he has applied for assessment.

3.13. Industry participation in & ownership of Assessment system, either as supplier of Assessors, Assessment Center, and Assessment Tools developer, should be accelerated by the Regional CoCs as the bottom line for assessment is qualified workforce in industry.

## **4. Organizational Structure and Functional Relationship of Assessment and Certification**

### **4.1 Duties and Responsibilities**

#### **4.1.1 Duties and Responsibilities of CoC**

##### **A. Accreditation of Assessment Center**

The CoC is responsible to set standard/criteria for accreditation of assessment center. In setting standard for accreditation, the CoC shall take the following into consideration:

- Sufficient size that can handle assessment of at least 10 (ten) candidates at a time for practical assessment;
  
- The Center must be equipped with basic infrastructure like toilet, lighting, water, facilities, fire extinguisher, easily accessible entrance and exit points and likes;
  
- Required resources like equipment, tools and materials required by candidates as per the assessment tools of the particular qualification level;
  
- Develop self-assessment sheet/checklist and make ready to furnish for those who apply for assessment center accreditation
  
- Conduct on-site visit by the CoC occupational experts and assessor panel to make decision.

- Make decision on accreditation based on the report of occupational experts and assessor panel.
- Enter legal agreement with the accredited assessment center for the use of center's facility for the purpose of competence assessment
- Providing training on assessment process for accredited assessment center.
- Regular monitoring and evaluation of assessment center
- Renewal/revocation of assessment centers based on the result of monitoring and evaluation.

## **B. Coordinate the establishment of Assessors' Panel in consultation with Regional Industry/Association**

Assessors' panel shall be formed specifically to support the assessment process. The membership of the assessors' panel is critical and its value will rest on the bringing together of a mix of appropriately skilled and experienced people. Wherever possible, panels should include relevant industry representatives such as employers, unions, professional associations, and industry organizations. It has a variety of functions, depending on the needs of the industries and the assessment process. These may include:

- develops assessment tools
- define assessors' code of practices for the approval of regional industry boards/associations
- builds confidence and enhance the quality and consistency of the assessment process and outcome



- brings together a range of skills and expertise which cannot be readily obtained in a less structured way, or by involving an individual or a small number of people

- provides a collaborative structure to achieve consensus about the planning, process, conduct and review of assessment which includes:

- Ø reviewing assessment outcomes

- Ø interpreting and promoting a common understanding of units of competency and assessment requirements

- Ø determining reasonable adjustment

- Ø critiquing and signing-off assessment tools

- Ø developing benchmark or assessment exemplars

- Ø overseeing professional development and maintain currency of assessors in all areas of their competencies

- uses a range of techniques to support its operations including:

- Ø objective sampling to identify assessments for review

Ø the development of a bank of assessment exemplars

Ø the critiquing of the assessment process and outcomes

Ø the validation of assessment tools

· concentrates its efforts on ensuring the assessment requirements and units of competency are consistently interpreted and implemented across all assessments

· randomly samples assessments conducted, reviews the evidence which supports the assessment outcome and provides feedback to assessors

· provides industry-focused feedback on the assessment tools which are developed

### **C. Accreditation of Assessor**

· The CoC is in charge of establishing set of criteria in consultation with assessors' panel for selection of industry assessors taking the following into account:

Ø Relevant industry work experience (at least 3 years)

Ø Minimum educational qualification

Ø Current industry practice

∅ Necessary communication skills

- Assess who meet the criteria and select the competent ones for assessor
  
- Deliver assessors' methodology training
  
- Accredit those who successfully complete the assessors' methodology training and loading.
  
- Regular monitoring and evaluation of assessors
  
- Provide refresher training to assessor upon the change of occupational standard.
  
- Renewal/revocation of assessors' accreditation certificate based on the result of monitoring and evaluation.
  
- Revocation of assessors' accreditation certificate based on the following grounds:

∅ Failure to sustain compliance with accreditation requirements

∅ Violation of any defined procedure in the conduct of assessment

∅ Connivance with the candidate regarding the fulfillment of assessment requirements

∅ Illegal exaction of fees other than those approved by the government,

Ø Absenteeism from scheduled assessment without prior notification within three days before the actual assessment takes place.

Ø Assessor who lost assessment package/s

Ø Failure to maintain currency in all areas of his/her own occupational competence.

#### **D. Coordinate the designing and development of additional assessment tool Versions**

· Capacitate Regional Industry and Associations in assessment tools development.

Ø Select core assessors to design and develop assessment tools.

Ø Provide assessment tools development training.

Ø Facilitate the development of additional assessment tool versions in national and local languages.

Ø Facilitate translation of assessment tools of level 1 and 2 into national and/or local languages.

Ø Coordinate validation of the developed assessment tools.

Ø Take full responsibility in using appropriate tool in the assessment.

Ø Coordinate the review of previously developed assessment tools for the necessary modification.

Ø Take full responsibility for the production and distribution of all assessment packages.

Ø Store and make ready the assessment tools for later use.

Ø Discard the assessment tools which no more functional.

## **E. Coordinate the overall process of Assessment including conducting and administering process**

### **a. Before conduct of assessment**

- Develop various formats for candidate registration like candidate ID card, self-assessment guide, etc.
  
- Notify assessment fee, assessment center, assessment date and schedule for candidate
  
- Orient candidates at the time of registration.
  
- Consult with the AC focal person with regard to resources to conduct assessment.
  
- Organize equipment or resources required to support the assessment process

- Appoint a representative who shall act as a supervisor of a particular assessment activity, with the responsibility of assuring the proper conduct of the assessment process which includes both administrative and technical concerns of the process.
  
- Establish the context and purpose of the assessment
  
- Give candidates a pre-assessment briefing outlining the assessment method, process and tools.
  
- Give candidates adequate information about the role they are to undertake and the significance of the event.
  
- Discuss the criteria against which their performance is to be assessed.
  
- Assess the needs of the candidate and establish any allowable adjustments in the assessment procedure
  
- Establish a plan for gathering adequate and quality evidence about the candidate's performance in order to make the assessment decision.
  
- Obtain and/or prepare the evidence gathering tools.

## **b. During conduct of assessment**

The CoC supervisor shall:-

- Facilitate and supervise the actual conduct of assessment in the accredited assessment center, and provide the center with the qualified assessors.
  
- Assist the assessor in making sure that the candidates for assessment are only those who are registered with proper Identification Cards and numbers.
  
- Assist the Assessor in making sure that all the required information in the Application form is properly filled-up.
  
- Make sure that all the contents of the assessment package are provided to the assessor and properly received with his signature.
  
- Assist the assessor in making sure that all the requirements for assessment are present in the AC and meet the required specifications.
  
- Collect back from the Assessor all contents of the assessment package, including the Attendance sheets, Agreement forms, Answer sheets, Marking forms, Observation Sheets, Summary of Assessment Results , and all reports pertaining to the assessment activity.
  
- Provide the assessment center with a copy of the Attendance sheet submitted by the Assessor to support his honoraria;
  
- Make sure that the conduct of assessment complies with the quality procedures.
  
- Post conduct of assessment

- Submit timely reports on the results of assessment to the FTA, using the template provided and at the same time maintain and manage the registry/database of workers/candidates assessed and to be certified.
- Maintain and manage the confidentiality and integrity of the assessment tools and results of assessments.
- Handle reasonable appeal of the candidates that can't be resolved by assessment center.
- Review assessment reports submitted from assessment centers to provide constructive feedback for improvement.

### **c. Issuance and Renewal of Certificate**

- Receive and examine assessment result summary report from supervisor and store in the database.
- Issue temporary certificate for competent candidates. within seven working days
- Issue original certificate for competent candidates within two years.
- Collect assessment certification fee from each competent candidate with regard to first issuance, re-issuance and renewal as per the determination of CoC in consultation with Regional Industry and approved by the CoC board.
- Re-issue certificate in case of lost/damage and changes of names.



- Renew certificate upon the expiration

#### **4.1.2 Duties and Responsibilities of Assessment Center**

- Accepts and processes applications for assessment, and receive payments
- Provides the applicant with self-assessment guide for the occupation applied for, help him decide the assessment to be undertaken, whether Qualification-based or, assessment by unit/s of competence.
- Recommends assessment schedule to the CoC, corresponding to the number of applicants to be assessed. This schedule shall be finalized by the CoC.
- The Center orients the registered candidates on the assessment procedure as well as the rules and regulations of the Center.
- Makes sure that the required equipment, tools and materials and other necessary facilities are prepared at least 5 days before the conduct of actual assessment, and ready for inspection by CoC officials and appointed assessors.
- Facilitates the conduct of assessment activities, making available all the resources needed, including shop-in-charge and shop assistants
- Assigns technically competent staff to supervise the conduct of assessment to assure compliance to the rules, regulations and procedures.
- Provides the assessors with the agreed fee based on rates. agreed upon with the CoC, following the confirmation of the CoC representative on the completion of administrative

requirements of assessments (Report of Results, return of assessment packages, etc)

- Remits to the CoC and the Regional Industry/ Association their share from the assessment fee according to the agreed rates.

- Designates and recommends assessment venues to augment the Center capability in the conduct of assessments, especially for highly specialized competencies and/or for greater number of candidates.

#### **4.1.3 Duties and Responsibilities of Assessor**

- Establish context of assessment

- Preparing the candidate

- Plan and prepare evidence gathering process

- Collect or gather quality evidences

- Make assessment decision

- Provide feedback on assessment

- Record and report the assessment result

- Review the assessment process
  
- Participate in the reassessment and appeal process

#### **4.1.4 Duties and Responsibilities of the Candidate**

- Present the required documents upon assessment application.
  
- Fill in the application form properly
  
- Presence physically or assign legal agent to take the admission card
  
- Be informed the date and place of assessment and being available one hour before the conduct of assessment
  
- Bring ID card and all the necessary materials required from the candidate.
  
- Collect and return those materials he/she used for assessment to their proper places.
  
- A candidate has to know and abide the rules and regulations set for the assessment;
  
- A candidate has the responsibility of faithfully answering the Self-assessment guide to proceed to application of assessment, whether by qualification level or by unit/s of competence.

· A candidate who did not go through the proper registration procedure including the payment of fee will not be admitted for assessment;

· A candidate who does not come on the scheduled date of assessment or who withdrew from an assessment session must pay the required fee again for future assessment. Moreover, fee paid for a specific assessment will not be refunded;

· A candidate who cannot show his registration ID card with its ID number and his admission slip issued by the Assessment Center will not be admitted to the assessment workshop;

· The Candidate is responsible of carefully reading and deciding the signing of the Competency Assessment Agreement. Only those who sign the agreement and the Attendance Sheet will be allowed to proceed with the assessment activities.

· A candidate who reports during the assessment but has valid reasons not to continue with the assessment shall be allowed to sit in the next schedule for the same level or unit/s of competence without having to pay the same fee.

· The candidate after the assessment shall be obliged to sign the Summary of Assessment Results as concluded by the Assessor and upon accomplishment of the feedback by the assessor. Non-signing of this document without submission of a valid appeal to the CoC, will disallow the candidate from taking future assessments in any Assessment Center in the country.

· The candidate has the right to be aware of the process of appeal and can appeal an assessment decision based on any of the following grounds:

Ø The official process or procedure of assessment has not been followed;

Ø Method of assessment has been wrongly applied;

Ø When faced with personal bias, bad faith and/or discrimination;

The appeal process shall include the following:

Ø The candidate should submit his/her appeal letter to the AC on the same date of assessment otherwise would not be treated by the center;

Ø If the appeal is found to be valid the applicant will be reassessed at the cost of the guilty;

Ø If the appeal is unacceptable and not valid the applicant him/herself will be penalized by preparing conditions to this end while accepting the appeal;

- to be informed about the overall assessment procedure prior to the conduct of assessment
- to be free from all form of harassment throughout the assessment process
- to receive feedback on the assessment decision
- to be assessed on assessment tools developed in national and/or regional language (for level 1 and 2.)
- to be assessed according to his/her special needs
- Candidates who were assessed as NOT YET COMPETENT may apply for re-assessment at

any time of his/her convenience but according to the time supplied by the assessor for filling skill gap and preparation.

- Candidate for re-assessment shall pay the full assessment fee.

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