

ACTVET

Abu Dhabi Centre for
Technical and Vocational
Education and Training

مركز أبوظبي
للتعليم والتدريب
التقني والمهني

Quality Assurance (Awarding Body)

External Verification Policy

ACTVET_L3_Q_QMPLCY006

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TABLE OF CONTENTS

1.	INTRODUCTION	2
2.	OBJECTIVE	2
3.	SCOPE	2
4.	DEFINITIONS	2
5.	PRINCIPLES & RULES.....	3
6.	ROLES & RESPONSIBILITIES	7
7.	REVIEW FREQUENCY	8
8.	RELATED DOCUMENTS	8
9.	REFERENCES	8

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Department:	Quality Assurance (Awarding Body)	Contents:	Page 1 of 8
Policy Name:	External Verification Policy	Version Number:	2
Policy Number:	ACTVET_L3_Q_QMPLCY006	Version Year:	2021

1. INTRODUCTION

This policy outlines the rules and regulations related to the External Verification process and specifies External Verifier and Subject Matter Expert's roles in the external verification process of National Qualification delivery.

2. OBJECTIVE

Define external verification methodology, rules and principles in accordance with NQC guidelines. And highlight the roles and responsibilities of awarding body and Registered Training providers during External Verification.

3. SCOPE

The scope of this policy is applicable to RTP's delivering National Qualifications.

4. DEFINITIONS

No.	Term	Definition
4.1	Assessment	Process of appraising knowledge, know-how, skills, and/or competencies of an individual against pre-defined criteria
4.2	Awarding Body (AWB)	An entity, entitled through legislation or other formal mandates from a regulatory authority, to approve under its remit the development and issuing of qualifications formally recognizing the achievements of a given parcel of endorsed learning outcomes.
4.3	Candidate	A person registered to a National Qualification
4.4	Certificate	A document formally assuring that a set of learning outcomes and performance criteria has met by a candidate and has been assessed and verified by the Awarding Body against pre-defined criteria.
4.5	Certificate Claim	The process of initiating summative external verification to issue certificates to the competent candidates.
4.6	Competent Candidate	A candidate who satisfies all requirements of the enrolled qualification by completing all the performance criteria specified in each of the relevant units attached to the claimed qualification.
4.7	De-registration	The process of withdrawing a candidate's registration from a national qualification.
4.8	Element	An element is a group of Performance Criteria that exhibit an outcome of a unit.
4.9	External Verifier	A qualified and experienced professional who evaluates an RTP practice and performance against pre-defined criteria and VETAC guidelines.
4.10	NQC	National Qualifications Centre is the official body that regulates the UAE Vocation Education sector.

No.	Term	Definition
4.11	Performance Criteria (PC)	A performance criterion is a group of tasks, skills, or applied knowledge that demonstrates the required standards of performance expected from a candidate to achieve a specific unit.
4.12	Portfolio	A collection of evidence referenced to specific requirements of a qualification.
4.13	Registration	The process of registering RTPs' candidates to a national qualification with ACTVET.
4.14	RTP	Registered Training Provider approved to offer national qualifications.

5. PRINCIPLES & RULES

5.1 Formative External Verification

Formative EV is a process to evaluate RTPs performance and processes and identify any areas of improvement in the National Qualification delivery. Formative EV will take place during the delivery of the qualification.

5.1.1 Formative EV visit shall be initiated based on the RTP request to the Awarding Body.

5.1.1.1. At least one Formative EV shall be conducted per year for RTP's every qualification with candidate registration.

5.1.1.2. Formative EV shall be conducted only after completing a minimum of one assessment.

5.1.2 Awarding body shall reject certificate claim if the yearly Formative External Verification has not conducted for the claimed qualification.

5.1.3 If RTP did not fulfill the action plans provided by ACTVET during Formative External Verification. ACTVET will report the violation to NQC and reject the certificate claim.

5.2 Summative External Verification

Summative External Verification is a process of quality assure the National Qualification delivery, assessment, and internal verification processes at an RTP to issue the certificates.

5.2.1 Summative External Verification shall be initiated based on the RTP's certificate claim request to the Awarding Body.

5.2.1.1 RTP shall comply with the Registration and Certification of National Qualifications and Awards Policy

(ACTVET_L3_Q_QMPLCY001) to eligible for submitting a certificate claim.

5.2.1.2 Before submitting a certificate claim request, RTP shall ensure that all items specified in the External Verification [Formative & Summative] Checklist (QMPLCY006_A) are available and accessible by the external verifier.

5.2.1.3 Awarding body shall conduct a Summative External verification for each certificate claim requests submitted by an RTP.

5.2.1.4 A certificate claim request shall include one or more candidates from a specific qualification.

5.2.1.4.1 The Awarding Body shall sample a minimum of 30% of the claimed candidates' portfolios for the summative external verification.

5.2.1.4.2 The final decision on a claim request shall be based on the outcome of the summative external verification conducted for the sampled candidates' portfolios.

5.2.2 Awarding Body shall issue certificate/transcript for competent candidates only.

5.2.2.1 Each candidate in a claim shall submit a portfolio of evidence in line with the External Verification [Formative & Summative] Checklist (QMPLCY006_A).

5.2.2.1.1 The Summative External Verification of qualification shall be conducted based on the qualification/unit documents published by the NQC.

5.2.2.1.2 Each candidate's portfolio shall contain a PC-Evidence Matrix showing the list of all units, its PCs, and the location of evidence linked to each PC.

5.2.2.1.3 Candidate portfolio shall include assessor's feedback for each evidence individually or as a summary of each Performance Criteria.

5.2.2.2 Candidates in a claim request shall be marked as competent when:

5.2.2.2.1 The sampled candidates satisfy the qualification entry requirements published by the NQC.

5.2.3.2.2 The sampled candidates satisfy the qualification's rules of combinations published by the NQC.

5.2.3.2.3 The sampled candidate's portfolio includes the evidence for each PC in all relevant units of the qualification.

5.2.3.2.4 Evidence submitted by the sampled candidates for each PC in all relevant units satisfies the principles of assessments.

5.2.3 For each certificate claim request, the Awarding Body shall prepare a Summative EV report and submit it to the RTP.

5.2.3.1 Based on the Summative EV report and Awarding Body comments, the RTP shall submit action plans within five days of receiving the Summative EV report.

5.2.4 If there is a disagreement with the Summative EV outcome, the RTP shall submit an appeal, according to the Complaint and Appeals Procedure (ACTVET_L3_Q_QMPCDR003).

5.2.5 If RTP did not fulfill the action plans provided by ACTVET during last Summative External Verification. ACTVET will report the violation to NQC and further claims will not be processed and new candidate registration will be stopped until action plans are addressed and implemented.

5.3 External Verifier

External Verifier (EV) represents the Awarding Body and is responsible for conducting the formative and summative external verification.

5.3.1 An External Verifier shall have NQC External Verifier approval by NQC.

5.3.1.1 An EV shall hold a valid National or International External Verifier qualification /award.

5.3.1.2 An EV shall be a qualified Assessor.

5.3.1.3 An EV shall be a qualified Internal Verifier.

5.3.1.4 An EV shall hold a qualification or industry experience related to the subjects being externally verified by the EV.

5.3.1.5 An EV shall have a thorough knowledge of the QF Emirates and UAE TVET sector.

- 5.3.2 The External Verifier shall conduct the formative and summative external verification in line with this policy.
- 5.3.3 The External Verifier shall seek Subject Matter Expert's (SME) confirmation in verifying the evidence of candidates submitted for a qualification that the EV is neither qualified nor experienced in.
- 5.3.3.1 The external verifier shall prepare the required sampling plan for the SME.
- 5.3.3.2 The external verifier shall verify all processes as per this policy, except for the assessments and evidence validation which is conducted by SME.
- 5.3.3.3 The external verifier shall decide on a claim based on the Subject Matter Expert Report (Q_QMPLCY006-B) and the Internal Quality Assurance process's quality.

5.4 Subject Matter Experts

Subject Matter Expert (SME) is a qualified and experienced professional, temporarily contracted for a short period of time by the awarding body, to evaluate and ensure relevance and quality of the evidence submitted by the candidates to obtain National Qualification. RTP shall bear the cost of allocating SME as per NQC fees.

5.4.1 Allocation of SME shall preferably fulfill criteria's below:

- 5.4.1.1 Have recent occupational experience in the area related to the subjects being externally verified, preferably with a teaching role.
- 5.4.1.2 Hold a qualification or industry experience related to the subjects being externally verified
- 5.4.1.3 Have no conflict of interest with the RTP being an external verifier.
- 5.4.1.4 Sign the conflict of interest document provided by the ACTVET.
- 5.4.1.5 Holds Assessor and Internal Verifier certification.

5.4.2 The SME shall verify the samples identified by the External Verifier, according to the Subject Matter Expert Report (Q_QMPLCY006-B) template.

5.4.2.1 The SME shall assess the evidence and provide External Verifier on the acceptance of assessment tools based on the unit's performance criteria requirements.

5.4.2.2 The SME shall provide his technical feedback on evidence submitted

by the candidates, based on the unit's performance criteria requirements and the assessment tools used.

5.4.2.3 The SME shall advise the External Verifier on the acceptance of assessment decisions and feedback provided by the assessors, based on the unit's performance criteria requirements.

5.4.2.4 The SME shall complete and sign the Subject Matter Expert Report (Q_QMPLCY006-B) and send it to the External Verifier.

5.4.2.5 The SME shall sample more evidence to evaluate the quality, if required.

5.4.2.6 The SME will be reported to NQC if any violation found or observed and accordingly blacklisted from performing the task in any awarding body.

6. ROLES & RESPONSIBILITIES

6.1	Registered Training Provider	<ul style="list-style-type: none"> Comply with Registration and Certification of National Qualifications and Awards Policy (ACTVET_L3_Q_QMPLCY001) and External Verification Policy (ACTVET_L3_Q_QMPLCY006). Request for formative and summative EV visit. RTP shall ensure that the internal verifier of the qualification is available during the EV visit to explain the IV strategy of the RTP and any clarification as required by the external verifier. RTP shall ensure that only the claimed candidates' portfolios are submitted for external verification. RTP shall pay any fees as specified in the Awarding Body Fees Structure (Q_QMPLCY001-B).
6.2	Awarding Body	<ul style="list-style-type: none"> Conduct formative and summative verification according to the External Verification Policy (ACTVET_L3_Q_QMPLCY006). Assign External Verifiers for conducting Formative and Summative External verifications. Identify and assign SMEs for certificate claims that don't have a qualified or experienced EV.

	<ul style="list-style-type: none"> Reject certificate claim requests if the RTP doesn't comply with the External Verification Policy (ACTVET_L3_Q_QMPLCY006). Awarding Body shall withhold the certificate issuance if the RTP does not comply with the Awarding Body policies. Awarding Body shall recommend and report any disciplinary actions against RTP to NQC if the RTP doesn't comply with VETAC regulations or the Awarding Body policies.
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7. REVIEW FREQUENCY

External Verification Policy will be reviewed once a year.

8. RELATED DOCUMENTS

- External Verification [Formative & Summative] Checklist (QMPLCY006_A).
- Subject Matter Expert Report (QMPLCY006_B).

9. REFERENCES

No.	Document Title	Document Reference
8.1	VETAC system of qualified assessors, Internal Verifiers and External Verifiers, June 2014	
8.2	Registration and Certification of National Qualifications and Awards Policy	(ACTVET_L3_Q_QMPLCY001)
8.3	Complaint and Appeals Procedure	(ACTVET_L3_Q_QMPCDR003)

In order to prepare for the Summative EV visit, RTPs must ensure the following requirements are available:

- Full access to all candidates' portfolios, including previous semesters / stages. In case the candidates' portfolios are stored electronically, the RTP must arrange access for the EV to all e-portfolios and IV folder.
- Full access to course materials (lectures, presentations & activities).
- Full access to candidates' attendance register.
- The Internal Verifier at the RTP must be available during the EV visit to explain the delivery and IV strategy and any other clarification required.

IV Folder must include:

<input type="checkbox"/>	Copy of the endorsed NQC qualification specifications, with the names and codes of the units selected for certification.
<input type="checkbox"/>	Claimed candidate list
<input type="checkbox"/>	IV Sampling plan including all candidates, units, assessors and IV. The IV plan must also include planned and actual formative and summative IV activities
<input type="checkbox"/>	Trainer, Assessor and IV approvals from NQC and evidence of CPD records
<input type="checkbox"/>	List of Assessors and IVs with their assigned candidates
<input type="checkbox"/>	IV reports (signed and dated by assessors and IV)
<input type="checkbox"/>	MoM records of standardization activities
<input type="checkbox"/>	Copy of the previous Formative or Summative EV report and action plans (if applicable)

Candidates' portfolio of evidence must include:

<input type="checkbox"/>	Copy of student Emirates ID
<input type="checkbox"/>	Evidence of compliance to entry requirements of the qualification being EVed
<input type="checkbox"/>	Accurate portfolio matrix of evidence to indicate evidence type and location for all PCs
<input type="checkbox"/>	Evidence of planned and actual assessments
<input type="checkbox"/>	Assessment brief (soft or hard copy)
<input type="checkbox"/>	Assessor feedback to candidates including assessment decisions to sign off units

Department:	Quality Assurance (Awarding Body)	Contents:	Page 1 of 1
Policy Name:	External Verification Policy	Form Number:	Q_QMPLCY006-A
Policy Number:	ACTVET_L3_Q_QMPLCY006	Version:	2

National Qualification	NQC Code	Qualification Name
External Verifier		
Claim Request Number		
Total Number of candidates		
Number of sampled candidates (selected by the EV)		

SME Confirmation:

Verified a minimum of 30% of units from the sampled portfolios chosen by the External Verifier	<input type="checkbox"/> Yes <input type="checkbox"/> No
Verified the assessment tools based on the unit's performance criteria	<input type="checkbox"/> Yes <input type="checkbox"/> No
Confirm that accurate assessment tools are used to measure the candidates' competence in each performance criteria of the sampled units	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially met the criteria
Verified the evidence submitted by the sampled candidates	<input type="checkbox"/> Yes <input type="checkbox"/> No
Confirm that the candidates submitted accurate, valid, and sufficient evidence for each performance criteria of the sampled units	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially met the criteria
Assessor(s) made accurate assessment decisions	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially met the criteria
Assessor(s) provided constructive feedback to all candidates	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially met the criteria
All evidence were adequately linked to units' performance criteria	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially met the criteria
A proper matrix was available to track the completed performance criteria and its supporting evidence easily	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partially met the criteria
Selected additional samples other than the External Verifier provided	<input type="checkbox"/> Yes <input type="checkbox"/> No
Total number of portfolios verified <small>Please attach the list of sampled candidates (Emirates ID, Name, and sampled units name)</small>	

Department:	Quality Assurance (Awarding Body)	Contents:	Page 1 of 2
Policy Name:	External Verification Policy	Form Number:	Q_QMPLCY006-B
Policy Number:	ACTVET_L3_Q_QMPLCY006	Version:	2

SME feedback on the quality of the assessment tools**SME feedback on the quality of candidate evidence****SME feedback on the accuracy of assessment decisions and assessor(s) feedback****Identified best practices & areas of improvement****The outcome of the SME verification** Competent | Not yet competent*Please attach the list of sampled candidates (Emirates ID, Name, and sampled units name)***SME Name****SME Registration Number****SME Signature****Date**