Technical and Vocational Education and Training Institutions Institutional Quality Audit Standard
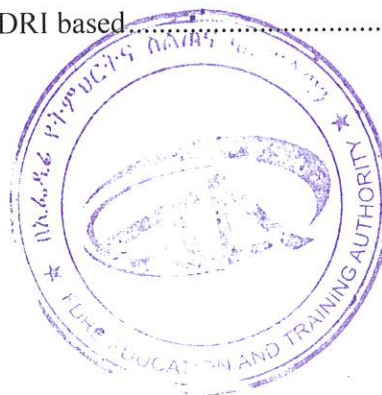
Table of contents

Forward

For the successful implementation of the national goals of development and escaping from abject poverty, TVETI play a very important role. To this effect establishing quality assurance system of TVET is essential. Nowadays in many countries the middles and small scale enterprises are run and managed by the TVET graduates. And these enterprises provide a number of job opportunities for TVET graduates and their contribution for the economic growth is a lot. Their nature of WBL (work based learning) or on job learning makes TVET graduates preferable to the graduates of HEI, since they are well equipped more with the practical aspect learning rather than the theory. However without having a strong system of quality assurance establishment of TVET, just focusing only on the number of TVET graduates has nothing to do either to bring development or creation of job opportunities. Consequently, establishing the foundational block of unwavering quality assurance system in the TVET sector of education is one of the means to achieve any goal a country aspires. Ethiopia has been grappling to establish system of quality assurance in the TVETI. This has become common particularly after the beginning of partial privatization of the educational sector. Following the involvement the private sector in the education, there is a strong belief that quality has of education is ignored and hugely compromised. Hence quality of education has been the most burning issue throughout the country. It has become a buzzword among the academic and political elites. Even it is a common rhetoric and one of the key agenda raised by politician to win political election. Hence Ethiopia desperately needs to establish an educational system which does not compromise quality.

In return ETA has established the chief executive Officer of Quality audit, which strives to realize the national vision of materializing unwavering and uncompromising quality of education in TVET sector. To this end the Authority has formulated a TVET institutional quality audit standard to effectively and successfully perform its mission of assuring quality in TVET educational sector. This standard has been developed to address the pressing need of having quality education and training in TVET and will be believed to answer the societal question of assuring quality education in Ethiopia.

3

Eventually in the name of ETA, the license and Quality Audit Deputy Director is grateful for all experts and individual who spent their precious time and invaluable expertize relentlessly throughout the development of this document.

4
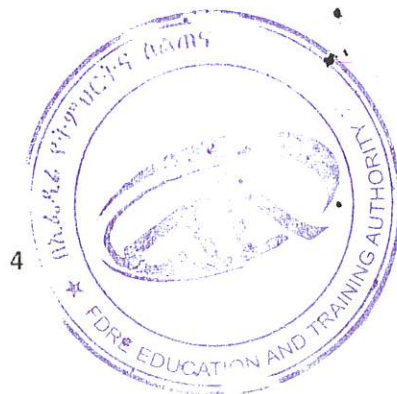
Preamble

Since over the last three decades, there is a tremendous expansion of education in Ethiopia including in the TVET sector. Like the case of the other sector of education, in TVET the private sector is also investing. Even the foreign national are engaging in the TVET sector of education. The expansion of TVET both in the public and private sector has raised a pressing need for robust quality assurance system to assure quality education and training in the TVET area. Thus, it is essential to maintain and improve quality assurance standards for the TVET. With the evolving landscape of the TVET sector of education, HERQA was restructured and transformed into the Education and Training Authority (ETA) through Proclamation No. 1263/2021, with its powers and duties further detailed in Regulation No. 515/2022, Unlike HERQA, which had jurisdiction only over HEI, ETA has mandate to carry out quality assurance auditing over TVET sectors as per the jurisdiction given to it by the Regulation No. 515/2022.

The TVET institutional quality audit standard document outlines the framework, standards, and guidelines for conducting institutional quality audits in Ethiopia as per its jurisdictions stated by the Regulation No. 515/2022. These audits assess the effectiveness of internal quality assurance systems in achieving institutional objectives, compliance with ETA's requirements, and alignment with both national and international quality standards. This document serves as a critical tool for ETA in fostering continuous improvement, promoting accountability, and ensuring transparency in TVET education. By assessing it through the lens of fitness for purpose and fitness of purpose, ETA aims to build trust among the various stakeholders and facilitate the development and expansion TVET of educational institutions that meet both national goals and international demands.

Acronyms

ADRI:	Approach, Deployment, Result and Improvement
CEO	Chief Executive Officer
COC	Centre of Competence
EIC	Entrepreneurship and Innovation Centers
EPRDF	Ethiopian People's Revolutionary Democratic Front
EQA:	External Quality Assurance
ETA:	Education Training Authority
HEI:	Higher Education Institution
HERQA	Higher Education Relevance Quality Agency
HRIMS	Human Resource Information Management System
IDP	Institutional Development Plan
IQAS	Internal Quality Assurance System
IRP:	Intellectual Property Rights
MoE	Ministry of Education
MoLS	Ministry of Labor and Skill
MoSHE	Ministry of Science and Higher Education
OA	Occupational Standard
QMS	Quality Management System
SER	Self Evaluation Report
SME	Small and Medium-sized Enterprises
SOP	Standard Operating Procedures
STI:	Science, Technology, and Innovation

TLTQ	Leaders' and Trainers' Qualifications Framework
TCSQRPI	Trainers Career Structure Qualification Requirements and Promotion Implementations
TIMS:	Trainees Information Management system
TTL	Teaching Training and Learning
TTLM	Teaching Learning and Training Material
TVET	Technical Vocational Education and Training
TVETI	Technical Vocational Education and Training Institution
WBL	Work Based Learning

Definition of Terms

Accreditation: refers to the quality assurance approach under which services and operations of education and training institutions are evaluated and verified by an external body to determine if applicable and recognized standards are met.

Appeal: refers to the formal procedure through which an institution or individuals can contest or seek a review of a decision made by the regulatory body regarding quality assessments, commendations, or recommendations.

Approach: is the first dimension of the ADRI cycle, which focuses on evaluating what the **TVETI** aims to achieve for a given topic and how it proposes to achieve it.

Alumni: refer to graduates of a **TVETI**'s institution.

Assessment: refers to mechanisms to measure student's attainment of education outcomes.

Accreditation Evaluation Eligibility letter: refers to a certificate issued by ETA after an institutional or programme quality audit, signifying a **TVETI**'s eligibility for accreditation assessment.

Quality Audit Cycle: refers to the interval Quality Audit takes place, which is carried out every five year.

Commendations: refers to quality audit findings of ETA indicating areas of strengths of an institution in its quality assurance system for exemplary practices, achievements, or outcomes that align with quality standards.

Conflict of Interest: refers to a situation where the auditors' interests, relationships, or affiliations with **TVETI**'s interfere with their impartiality or objectivity in conducting quality audit of the HEI's quality assurance processes.

Deployment: refers to the second dimension of the ADRI cycle, which focuses on whether a **TVETI**'s plans for a given topic are being followed in practice, and if not, why not.

Fitness for purpose: refers to a quality assurance approach that evaluates how effectively an HEI or its programs meet the institution's stated objectives, such as its mission, vision, and strategic goals.

Fitness of purpose: refers to a quality assurance approach that evaluates the relevance and appropriateness of institution's stated objectives, considering the **TVETI**'s legal and regulatory responsibilities, ensuring that the TVETI's objectives are realistic, contextually appropriate, and not merely aspirational.

Focus Area: refers to a domain or category within the institutional quality audit standards framework that addresses key components of the quality assurance system of **TVETI's.**

Guideline: refers to specific expectation within a standard, when met, indicates compliance with that standard.

Improvement refers to the fourth dimension of the ADRI cycle, which focuses on how effectively a **TVETI** is improving its approach and deployment for any given topic in order to achieve better results.

Learning Outcomes refer to the specific, measurable knowledge, skills, and attitudes that a student is expected to acquire upon completing each course within a **TVETI** program.

Standard: refers to a set of established criteria, benchmarks, or guidelines that define the expected quality and performance of institutional operations.

Recommendations: Refers to suggestions as a result of institutional quality audit findings aimed at enhancing the quality and effectiveness of quality assurance system of a **TVETI**. These are based on identified areas for improvement and guide institutions toward achieving stated quality standards.

Quality refers to the degree to which an HEI meets established standards, guidelines, and stakeholder needs. Quality is assessed through the concepts of "fitness for purpose" and "fitness of purpose" ensuring that institutions are effective and responsive to their mission.

Quality Audit: refers to an independent evaluation of the effectiveness of the IQA system by which a **TVETI** sets.

Quality assurance: refers to the systematic processes and practices designed to ensure that educational institutions meet established standards of quality in terms of teaching, learning, research, and overall academic management. ETA set these standards and monitors compliance to safeguard the integrity, credibility, and effectiveness of higher education institutions.

Internal Quality Assurance System (IQAS) refers to the set of policies, procedures, and practices that an institution implements to continuously monitor, evaluate, and improve the quality of its academic programs, administrative processes, and overall institutional performance.

Quality Audit Report: refers to a published by the ETA which presents the findings and conclusions of the Audit panel of a **TVETI** Institution with regard quality assurance.

Quality Auditors: refers those professionals who have been assigned the role of quality auditor by the Authority in conducting quality audit in **TVETI** institutions.

Quality Enhancement: refers to the process where steps are taken to bring about continuous improvements in quality

Self-Evaluation refers to the systematic, internal process through which an institution assesses its own performance, practices, and outcomes to ensure they align with established standards, goals, and quality expectations. It involves the institution critically examining its strengths, weaknesses, and areas for improvement across various dimensions, such as academic programs, student support, governance, research, and overall.

Self-Evaluation Report: refers to the report produced as the result of a self-evaluation by an HEI submitted to Authority by the **TVETI's** is being audited.

Results: refers to the third dimension of the ADRI cycle, which focuses on the evidence of the outputs and outcomes of a topic's approach and deployment.

Introduction

1.1. Background

Since the downfall of the Derg regime, the FDRE government has been actively engaging TVETI to produce sufficient and qualified graduates for the both the national and international labor market. In addition to public TVET institutions, the government has also encouraged private investors to invest in the TVET sector of education. As a result, there is a tremendous growth of TVETI both in the public and private sectors. Following the significant increment of the number of TVETI, the issue of quality assurance has been a serious problem across the TVETIs. Several mechanisms have been established to improve the delivery of TVET education, including independent occupational competency assessments for graduates. However, external quality audits as a quality assurance tool have not yet been implemented in TVET institutions.

Quality audits serve as one of the key quality assurance methods used by the HERQA to assess the appropriateness and effectiveness of higher education institutions' IQA system, accountability systems, and internal review processes. The agency performed quality audits at a range of higher education institutions since its establishment. After HERQA has undergone through significant structural reforms, transforming into ETA by proclamation no. 1263/2021, the later has been authorized to conduct institutional quality audit over the TVETI stated as per the regulation No 515/2022. Taking this legal ground into account, ETA has established the HEI and TVET quality audit department to ensure unwavering quality of education and training. This reorganization and restructure of HERQA into ETA reflects a broader shift towards a more rigorous and system-based institutional Quality audit. Through a rigorous process of the institutional quality audit, ETA aims to achieve the national goal of achieving quality education in all the TVETI which are under its jurisdictions. To this end the standard of quality audit for TVET has been formulated to be used as parameter to carry out effective evaluation process of the institutional quality audit in TVETIs.

1.2. Legal Framework for TVETI Quality assurance

Since the coming of TVET into existence as one of the sector of education 1963 (Bahir Dar Poly Technic College), the various governments of Ethiopia promulgated a number of law and proclamations to regulate and properly run the sector. And as of the reign emperor Haile Selassie, who is the originator TVET education, the latter has become accountable to different minsters or government bodies. And the last three governments of Ethiopia (the Imperial, the Dergue and Ethiopian People's Revolutionary Democratic Front (EPRDF) formulated various polices regarding to TVET. For instance in 1986 E.C. the Education and training policy was formulated. And again it was revised in 2015 EC after 31 years. And in 2016 the TVET Proclamation was promulgate which is cited as Technical and Vocational Education and Training Proclamation no.954/2016. To give more emphasis for TVET, in 2010 MOE (Ministry of Education) formulated a qualification framework which is cited as TVET Leaders' and Trainers' Qualifications Framework (TLTQF). In the same year the ministry developed a TVET manual volume II which is known as TVET Trainers Career Structure Qualification Requirements and Promotion Implementations (TCSQRPI). In the reign of these various governments of TVET had various nature. For example in the time of EPRDF students entering TVET stream after completing grade 10 had three options opened to them based on the score received in the national exam: one year training (10 + 1), two years training for (10 +2) and three years training (10 +3). And the cut point to enter to the stream of TVET was decided by MOE as TVET was accountable to it. And after a given period of time EPRDF revised its policy of education and students were allowed to enter to TVET stream after completing grade 12 after taking the national exam. Following this change of policy of education, the 10 plus system of TVET education changed into level (Level I to Level IV) and the quality assessing mechanism of TVET graduates was introduced which is known as COC (Centre of Competence) even trainers are required to take COC exam. Like its predecessors the incumbent government of Ethiopia, has given priorities for TVET educational sector. In 2018 FDRE shifted the accountability of TVET from MoE to Ministry of Science and Higher Education(MoSHE) under the Proclamation no. 1097/2018. Then after Moshe was shouldered to lead TVET alongside science and higher education Moshe took a number of measures to enable TVETIs achieve their

mission of producing qualified TVET graduates. To this end Moshe prepared various legal documents to lead the institute effectively.

Unlike the HEIs which are accountable to ministry of education (MoE) regardless of their ownership, the accountability system of the TVET sector of education has quite different structure and system of accountability. After the dissolving of MoSHE, TVET accountability moved into Ministry of Labor and Skill (MoLS). Due to its nature of federal state structure of Ethiopia, TVETI is decentralized.

In 2022 ETA (Education and Training Authority) as part of the Federal government, was established after restructuring the former HERQA (Higher Education Relevance and Quality Agency) and came with additional responsibility of leading and managing TVETI. As result, other than the TVETI which are funded and established by the federal government, TVET institutes owned by foreigners operating in Ethiopia; and TVETs established for the sole purpose of charity. The rest are accountable to their respective regional government and city administration. Except these ETA does not have any direct jurisdiction over the rest of TVET institutes of the country and as per the regulation of no of 515/2022, ETA has been authorized to conduct quality audit over the area of the aforementioned TVETI.

Although there is no direct structural connection between ETA and regional TVET and city administration institutions, ETA is the only responsible regulatory body for auditing educational and training institutions at the national level. Consequently, ETA conducts quality audits by selecting a sample of regional institutions in partnership with the regional city administration institutions TVET agencies.

1.3. Importance of External Quality Audits

The Institutional Quality Audit conducted by the ETA is a fundamental tool in fulfilling ETA's mission and achieving its objectives for ensuring high-quality and relevant education and training across Ethiopia.

First, the audit is intended to ensure compliance with the national standards and international benchmarks, directly supporting ETA's objective of assessing the relevance and quality of education and training provided by institutions. By verifying that institutions' internal quality

assurance systems meet both national and international benchmarks, the audit helps guarantee that institutions operate in line with ETA's commitment to high-quality education that is pertinent to Ethiopia's developmental needs.

In line with ETA's mission to foster continuously improvable internal quality assurance systems within institutions, the audit promotes continuous improvement by identifying both strengths and areas for development.

ETA's focus on promoting accountability is another core purpose of the quality audit, as it holds institutions responsible for the effective use of resources and the alignment of their practices with their vision, mission, and strategic objectives. This aligns with ETA's mission to establish a quality assurance system that is transparent and efficient, ensuring that institutions are answerable to their stakeholders, including students, parents, and the broader public.

In addition, the audit enhances transparency by making information about an institution's operations, governance, and outcomes accessible to the public. This aspect of the audit aligns with ETA's objective of disseminating information about educational standards and programs from both domestic and international institutions, fostering trust among stakeholders and enabling informed decision-making by prospective students and staff.

To further support institutions, the audit provides decision-making guidance through findings and recommendations, helping institutions align their policies, strategic plans, and resource allocations with their mission and goals. This aligns with ETA's objective of ensuring that educational curricula and practices meet the needs of Ethiopia's development, supporting institutions in making choices that strengthen their impact on national progress. Moreover, the Institutional Quality Audit plays a critical role in the accreditation process, as it assesses whether institutions meet the eligibility criteria for accreditation evaluation.

In safeguarding educational quality, the audit ensures that institutions deliver programs that enable graduates to gain the skills, knowledge, and attitudes needed for professional competence. This protects the interests of students and the public, ensuring graduates are prepared to contribute to national development, which is at the heart of ETA's mission. Finally, by instilling rigorous standards and practices, the audit promotes a culture of quality and accountability within institutions, ensuring that they fulfill their role in the sustainable development of the
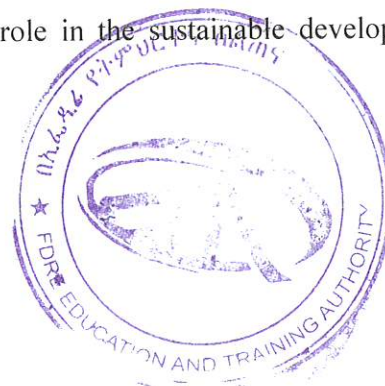
country. This directly aligns with ETA's objective of supporting Ethiopia's growth by enhancing the educational sector's capacity to produce competent, skilled graduates.

Through these purposes, ETA's Institutional quality audit not only enforces compliance but also builds a foundation for continuous improvement, accountability, and transparency, all of which are essential to achieving ETA's vision of becoming a globally recognized leader in education and training quality assurance authority by 2032.

1.4. Vision, Mission, Objectives and Core Values of ETA

Vision: To be globally recognized and competent education and training quality assuring body by 2032.

Mission: The mission of the Authority is to ensure a high quality and relevant education and training by:

- Developing national quality assurance standards and assure its proper implementation.
- Ensuring education and training institutions established vibrant internal quality assurance system that can be improved continuously.
- Ensuring graduates of education and training institutions acquire the necessary knowledge, skill and attitude that can facilitate the country's development and growth.

Core Values: In its Quality audit services ETA has committed itself to Public accountability, Professionalism, transparency and impartial service delivery to the society.

1.5. Scope of the Standard

This document delineates the standards for evaluating the internal quality assurance systems of TVETIs in Ethiopia which are: funded and established by the federal government, owned by foreigners operating in Ethiopia and established for the sole purpose of charity. Additionally ETA carries out institutional quality audit over regional and city administration TVETI on the basis of partnership. The primary purpose of the institutional quality audit in TVETIs is to assess the robustness and effectiveness of their internal quality assurance system rather than focusing on the adequacy and sufficiency of resources.

Ethiopian TVETI exhibit considerable diversity across various dimensions, each of which has important implications for quality assurance. This standard is consistently applied to all TVETIs, regardless of their status or institutional differentiation. It ensures a thorough and rigorous evaluation of each institution's quality assurance systems, promoting uniformity while recognizing the unique contexts of different institutions. This approach fosters accountability and enhances the overall quality of TVETIs. Additionally, ETA conducts quality audit by taking sample of TVETIs that undergone quality audit by their respective regional and city administration TVET agencies. This ensures that alignment of quality audit practices among Federal, regional and city administrations.

Institutional quality audit standards in TVETIs are designed to evaluate on the basis of four dimensions IQA system. First, the existence of the system, which looks at whether the institution has established a formal, structured quality assurance framework. Second, the functionality of the system which evaluates how effectively the quality assurance mechanisms are implemented and operated. Third, the result or outcomes of the internal quality assurance system. Finally, the ongoing improvement of the system which examines whether these processes are sustainable and capable of driving long-term quality enhancement. Together, these aspects ensure that the institution's quality assurance system is not only operational but capable of evolving over time.

2. Fundamentals of institutional Quality Audit

A Quality Audit is a systematic and independent evaluation process that assesses whether the internal quality assurance systems of TVETIs are effective. It provides an external review of an institutions' ability to manage and improve the quality of its educational offerings, governance structures, and overall operations. By focusing on fundamentals of quality audit, institutions can conduct effective quality audits that lead to meaningful improvements and better outcomes.
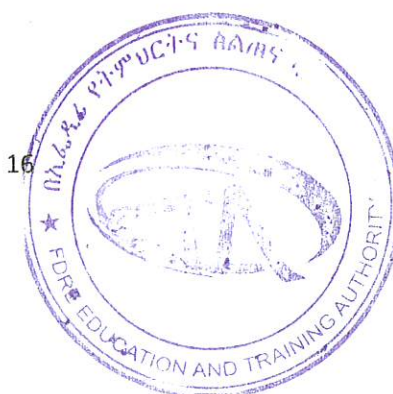
2.1. ETA's External Quality Audit Approach: FFP and FOP

The Authority conducts institutional quality audits in TVETIs with a focus on both "fitness for purpose" and "fitness of purpose." The "fitness for purpose" approach evaluates how effectively an TVETI or its programs meet the institution's stated objectives, such as its mission, vision, and strategic goals. Meanwhile, the "fitness of purpose" approach goes further by assessing the relevance and appropriateness of these objectives, considering the TVETI's legal and regulatory responsibilities. This ensures that the TVETI's objectives are realistic, contextually appropriate, and not merely aspirational. Therefore,   ETA's external Quality audit is grounded in the principles of both fitness for purpose and fitness of purpose, ensuring that institutions are evaluated not just on their ability to meet their stated goals, but also on the relevance and appropriateness of those goals within the broader national and global context. This dual approach ensures that TVETIs are both effective in achieving their objectives and aligned with the expectations of stakeholders, including students, employers, and the government.

ETA's external Quality audit is designed to respect the autonomy of TVETIs in developing their own quality assurance systems within the national higher education framework. However, the audits do not merely assess the availability of resources. Instead, they focus on the effectiveness of the systems, processes, and strategies that the institution has implemented to achieve its mission and strategic objectives. By emphasizing systemic and process effectiveness, the audit ensures a comprehensive evaluation that goes beyond surface-level resource checks, delving into how well the institution's internal mechanisms support its goals.

2.2 ETA's External Quality Audit Evaluation Model: ADRI

ETA's institutional audits are conducted using the ADRI (Approach, Deployment, Results, and Improvement) model, a structured and cyclical evaluation framework that emphasizes not only how institutions plan and implement their quality assurance systems but also the results these systems produce and the mechanisms in place for continuous improvement. By employing the ADRI model, ETA ensures that TVETIs are held accountable for the outcomes of their quality assurance processes and are encouraged to engage in a continuous cycle of evaluation and enhancement.

Approach: This dimension evaluates how an institution's quality assurance system is designed and structured. It examines the strategies, policies, and plans that the institution has in place to assure the quality of its operations. This includes governance frameworks, quality assurance policies, institutional goals, and how these align with the institution's mission and vision. The approach must reflect a thorough understanding of national TVET standards, as well as the specific needs of students, employers, and the broader community.

Deployment: Deployment assesses how effectively the institution's quality assurance system is implemented across all levels. It looks at the operationalization of policies, strategies, and frameworks within different departments and units. This includes examining the extent to which quality assurance processes are embedded in day-to-day activities, how roles and responsibilities are distributed, and how leadership fosters an institutional culture of quality.

Results: The results dimension evaluates the outcomes of the quality assurance system, both in terms of student learning and institutional performance. It includes metrics such as student success rates, employability of graduates, research outputs, and stakeholder satisfaction. Results provide critical evidence of whether the institution's approach and deployment strategies are delivering the intended quality outcomes.

Improvement: This final dimension focuses on how the institution uses the results of its quality assurance processes to drive continuous improvement. It examines the mechanisms in place for reviewing, reflecting on, and enhancing institutional processes and outcomes. This dimension emphasizes the institution's ability to adapt, innovate, and implement changes based on internal evaluations and external feedback.

2.3. Quality Audit Focus areas and Standards

Different countries' regulatory bodies organize their standards in various ways and numbers. The Authority categorizes its quality audit standards into seven focus areas which considered national context and international benchmarks. Each focus area acts as an umbrella, containing specific standards and guidelines that TVETIs must follow. This structured approach ensures comprehensive evaluations and aligns with global best practices, promoting consistency and quality in TVET education. For each guideline, detailed indicators are defined to measure

effectiveness of the internal quality assurance system. The lists and descriptions of focus areas, the standards and guidelines are presented below, respectively:

1. Vision, Mission and Governance
2. Infrastructure and learning resources
3. Academic and support staff
4. Student affairs and graduate outcomes
5. Program Development and Delivey
6. Research, Community Engagement, Incubation & Innovation and Industry linkage
7. Internal Quality assurance

Focus Area 1. Vision, Mission and Governance

Every TVETIs shall have clearly defined and relevant mission and vision as well as a governance system and structure that supports the realization of its vision and mission. The governance framework, along with institutional regulations and policies, must be developed in consultation with those impacted and must adhere to legal requirements. The roles and responsibilities of the governing body at various levels and different academic committees shall be clearly defined, communicated, and understood by its stakeholders. Each staff member shall recognize how their work aligns with the TVETIs' mission, policies, and objectives. A clear timeline shall be established for reviewing and revising legislative documents. Processes, procedures, systems, mechanisms, and activities must be implemented, evaluated, and monitored in a structured and systematic way and the governing body shall periodically assess its effectiveness in achieving its goals.

Standard 1: Vision, Mission and Goals

The TVETI shall establish clear and realistic vision, mission, and goals statements developed with the participation of stakeholders, align with the national priorities, and clearly articulate the institution's purpose. The goals and strategic objectives are aligned with the mission, approved by the governing body and communicated to stakeholders.

19

Guidelines

TVETI shall:

1.1. Establish a mechanism to set clear and realistic vision, mission and goals aligned with the purpose it is differentiated for, national priorities and regulatory requirements, approved by concerned body ensuring stakeholders participation and a communication mechanism.

1.2. Formulate a mechanism to ensure strategic goals and objectives emanate from its mission and align with its activities

1.3. Devise a mechanism to mainstream major cross-cutting issues in its core functions.

1.4. Establish a system that enables it to periodically review its mission, vision and core values in order to update and make sure its relevance and the level of attainment.

Standard 2: Governance

The TVET shall establish a governance system for effective management and implementation of policies and procedures that ensures accountability, transparency and effective financial management system.

Guidelines:

TVETI shall:

2.1. Establish an appropriate governance system that aligns with the mission it is differentiated for and regulatory requirements ensuring stakeholder participation and a communication mechanism.

2.2. Devise a mechanism to communicate roles and responsibilities of different organs, staff and committees

2.3. Establish a mechanism to ensure accountability and transparency in its governance system.

2.4. In place mechanism to ensure that its governance system is participatory.

2.5. Formulate a mechanism to ensure roles and responsibilities are commensurate with the required authority

2.6. Develop a mechanism to ensure that governance system promote merit based inclusive leadership

2.7. In place a mechanism that make sure responsibilities and resources are aligned.

2.8. Establish a system for handling grievances, appeal and disciplinary issues

2.9. Devise a risk identification procedure that systematically tracks potential risks, and develop a risk mitigation strategy

2.10. Devise a mechanism to digitalize its core functions

2.11. Devise a mechanism to periodically review its governance system

Standard 3: Financial Management

The TVETI shall establish and maintain financial management systems that ensure strategic alignment with institutional objectives and legal frameworks.

Guidelines:

TVETI shall:

3.1. Establish financial policy that aligns with national financial regulation, ensuring participation of key stakeholders and a communication mechanism.

3.2. Establish an integrated financial management system in alignment with relevant international principles and national regulation

3.3. Devise a mechanism to diversify means of funding and financial sources to maintain financial sustainability.

3.4. Devise a mechanism to ensure a balanced budget allocation across its core functions

3.5. Devise a mechanism to ensure that budgeting process is transparent and accountability.

3.6. Establish a mechanism to carry out internal financial audit that is inline with the national financial audit requirement

3.7. Establish a mechanism to automate its financial management system based on its financial policy.

3.8. Develop a mechanism and evaluation processes to regularly review the effectiveness of the financial management system.

Focus Area 2. Infrastructure and Learning resources

This focus area emphasizes systems and processes that TVETIs shall establish for effective management of physical and digital infrastructure, as well as learning resources. It focuses on acquiring, utilizing, retaining, maintaining, and updating resources in alignment with the institutional mission.

Standard 4: Infrastructure and learning resources

The TVETI shall implement systems for acquiring, utilizing, retaining, maintaining, updating and upgrading their infrastructure and learning resources.

Guidelines

TVETI shall:

4.1. Establish an effective asset management policy and system for acquiring, utilizing, retaining, maintaining, and updating infrastructure and learning resources ensuring participation relevant stake holders and a communication mechanism.

4.2. Establish a mechanism to align learning resources with curriculum requirement and diverse needs of trainees

4.3. Develop a mechanism to ensure the accessibility, safety and functionality of learning resources and facilities.

4.4. In place health and safety management systems in line with regulatory requirements.

4.5. Devise a mechanism to support training with emerging technology

4.6. Establish an inventory management system to regularly review and duly improve training facilities and resources.

4.7. Develop a mechanism to periodically produce utilization reports to ensure resources are being used efficiently and meeting the needs of education programs.

4.8. Formulate a mechanism to regularly conduct safety inspections by certified professionals to identify and mitigate potential hazards.

4.9. Design a mechanism for maintenance, calibration and keep up-to-date records of learning resources.

4.10. Establish an integrated waste management system that promotes the reduction, reuse, and recycling of waste ensuring the proper disposal of hazardous, recyclable and organic waste in compliance with environmental regulations.

4.11. Devise a mechanism to ensure the accessibility of learning resources and facilities.

4.12. Establish feedback collection mechanisms about the suitability, functionality, safety and adequacy of its infrastructure and learning resources

4.13. Develop a mechanism and evaluation processes to regularly review the effectiveness of the infrastructure and learning resources management system.

Focus Area 3 Trainers and Support Staff

As a means of achieving its strategic goal, each TVETI is required to set up a human resource management system covering recruitment, selection, appointment, promotion and termination to provide clear guidance on staffing. Clear policies ensure that hiring decisions are made on the basis of competence. The education and experience of staff members shall be specified in detail in policies that correspond to their responsibilities. The TVETI shall carry out regular assessments of its HR needs to make sure that its staff is capable and able to meet the strategic plan's requirement.

Standard 5: Trainers and Support Staff

The TVETI shall establish and maintain a human resource management system addressing recruitment, selection, appointment, promotion, and termination to provide clear guidance on staffing.

Guidelines:

TVETI shall:

5.1. Develop Human Resource Management policy that aligns with relevant regulatory policies, ensuring participation of relevant stakeholders and a communication mechanism.

5.2. Devise a system to conduct periodic human resource needs analysis and staff retention

5.3. Develop a fair and transparent performance evaluation and appraisal system

5.4. Devise a mechanism that promotes inclusiveness in its human resource management system

5.5. Devise a mechanism for handling disciplinary cases and a fair and transparent appeal system with clearly defined procedures.

5.6. Establish an automated human resource information management system (HRIMS)

5.7. Establish a mechanism to measure and report progress against its performance in human resource management plan

5.8. Device a mechanism to enable its trainers to have Industry exposure

5.9. Establish a mechanism to periodically evaluate the effectiveness of human resource management system

Focus Area: 4 Trainee Affairs and Graduate Outcomes

To effectively guide its admissions and student support operations, a TVETI shall implement comprehensive policies, mechanisms, and procedures. The requirements for admission must be in accordance with program requirements and government policies. TVETI shall set up a system that allows them to provide a variety of academic and non-academic support services in order to satisfy their specific students' needs.

Standard 6 Trainee's Admission

The TVETI shall have a system and a well-defined trainee's admission policy that addresses criteria for program admission requirements and regulatory policies.

Guidelines:

TVETI shall:

24

6.1. Develop trainees admission policy that addresses admission requirements that considers diversity aligning regulatory requirements ensuring participation of relevant stakeholder and a communication mechanism.

6.2. Devise a mechanism to verify the authenticity of trainees' credentials and a procedure for admission endorsement.

6.3. Develop Trainees Information Management System (TIMS) that automates admission, progression and graduation.

6.4. Devise a mechanism to integrate Trainees Information Management System (TIMS) with Ministry of Labor and Skill (MoLS) database

6.5. Develop a mechanism to maintain consistency of admission procedure across its campuses

6.6. Establish a system to keep trainees' and graduates record safe, secured and easily retrievable

6.7. Establish appeal system with clear procedure for trainees' admission

6.8. Establish a mechanism to periodically review its admission system.

Standard 7: Trainees' Support

The TVETI shall establishing and putting into practice a well-defined policy, system, and procedures for its academic and nonacademic support services that enables trainees to achieve program objectives.

Guidelines

TVETI shall:

7.1. Establish an inclusive trainees support service policy and procedure that aligns with regulatory requirements ensuring participation of relevant stakeholders and a communication mechanism.

7.2. Establish a system to digitally integrate its trainees support service

7.3. In place a mechanism to identify and intervenes support need of trainees'.

7.4. Devise a mechanism for academic advisory and extracurricular support service.

7.5. Develop a system for providing a health care and personal guidance and counseling service.

7.6. Establish a system to provide career and employment training and startup services for its trainees.

7.7. Establish a mechanism for grievance and appeal on trainees' support services.

7.8. In place a mechanism to periodically monitor and evaluate the effectiveness and relevance of its trainees' support services.

Standard 8: Trainees Progression and Graduate outcomes

The TVETI shall establish a mechanism and procedure to effectively monitor trainee's progression and identify those requiring support in order to reduce dropout and increase graduation rates. This procedure shall entail the regular collection and analysis of data related to trainees admission and progression, and graduate outcomes to track employment trends.

Guidelines:

TVET Institutions shall:

8.1. Develop a policy that governs trainee's progression and graduate outcomes in alignment with regulatory requirements ensuring participation of relevant stakeholders and a communication mechanism.

8.2. Develop automated system that tracks trainees progress, including course enrollment and grade earned to ensure timely identification of trainees progression.

8.3. Devise a retention mechanism to minimize trainees attrition rate

8.4. Develop a system to raise its trainee's success rate on National Competency assessment

8.5. Establish a mechanism to conduct tracer study in order to evaluate graduates effectiveness and program outcome.

8.6. Develop a system to establish and maintain continual relationship with its alumni.

8.7. Establish an appeal system regarding trainees progression

8.8. In place a system to review the effectiveness of trainees' progression and graduate's affairs management system.

Focus Area 5: Program Development and Delivery

The TVETIs shall establish a robust process for curriculum design, development, approval, and review to ensure program relevance and alignment with national frameworks and labor market demands. Grounded in Occupational Standards (OS), the curriculum shall address workplace safety and environmental protection, while also considering training modules, delivery methods, and assessment strategies, informed by research on the needs of trainees and employers. TVETIs shall ensure that teaching, training and assessment align with the curriculum, which should remain dynamic, and evolving with the latest developments and addressing society's changing needs.

Standard 9: Program Development

The TVETI shall establish and implement a robust system for its programs design, development, approval and review.

Guidelines

TVETI shall:

9.1. Develop a policy for program design, development, approval and revision policy and guideline that align with regulatory requirements national priority ensuring participation of relevant stakeholders and a communication mechanism.

9.2. Develop a program need assessment guideline that takes in to account national priorities, regulatory directive and indigenous knowledge.

9.3. Devised a mechanism to incorporate 21st century skills in the curricula

9.4. Establish a procedure for program development and revision

9.5. Establish a procedure for program approval

9.6. Establish a system to ensure resource availability for the delivery of the program prior to program development.

9.7. Develop a guideline for the preparation and revision of TTLM within the framework of the curriculum.

9.8. Devise a mechanism to periodically obtain feedback from current trainees, alumni, industry partners, and faculty for program improvement.

9.9. In place a mechanism to review and update the programs design, development, and approval and revision process

Standard 10: Teaching Training and learning

The TVETI shall establish and put in to practice clear policies and procedures that govern the overall learning training and teaching process.

Guidelines

The TVETI shall:

10.1. Develop a comprehensive learning and teaching policy and guideline considering regulatory requirements ensuring the participation of relevant stakeholders and a communication mechanism.

10.2. Devise a mechanism to equip its trainers on pedagogical skills

10.3. Establish a mechanism that enables to check the use of variety of teaching training and learning methods that fit the nature of the course content and learning outcomes

10.4. Establish a mechanism that ensures implementation of varieties of active learning methods

10.5. Establish a technology assisted learning and teaching process

10.6. Devise a mechanism to ensure course content coverage.

10.7. In place a mechanism to maintain balance between theory and practice in the course delivery.

10.8. Devise a mechanism to ensure engagement of industries in program delivery to encourages Apprenticeship/internship, hands on training, problem solving work based TTL and project work.

10.9. Develop a formal system for review, and continuous updating of training materials to ensure that they are aligned with the TTLM, current industry standards and technological advancements.

10.10. Establish a procedure for standardizing the quality and accessibility of TTLM across all training programs, ensuring that all trainees and trainers have equitable access to essential learning resources.

10.11. Develop a structured procedure for OS implementation follow up to ensure that training programs are aligned with evolving industry needs and labor market demands.

10.12. Establish a system to review the effectiveness of the teaching training and learning approach.

Standard 11: Trainees Assessment

The TVETI shall establish assessment mechanism to measure trainees' achievement of learning and training outcomes with clear and effective procedure for its implementation.

Guidelines

The TVETI shall:

11.1. Develop a comprehensive assessment policy considering regulatory requirements ensuring participation of relevant stakeholders and a communication mechanism.

11.2. Establish a mechanism to make sure the alignment of assessment mechanism with intended learning outcomes.

11.3. Devise a mechanism to ensure the use of varieties assessment methods.

11.4. Establish a mechanism to support assessment with technology

11.5. Develop a mechanism and procedure to maintain the security, fairness and consistency in handling examination matters.

11.6. Devise a mechanism to ensure the validity and reliability of exam items

11.7. Devise a mechanism to ensure the assessment covers the entire content of course

11.8. Develop a mechanism to maintain balance between theory and practice in assessment process.

11.9.   In place a mechanism to ensure evaluation method cover entire objectives of the course

11.10.   Establish a mechanism to ensure consistency of assessment practices across the institution.

11.11.   Devise a mechanism to develop an assessment tool by professionals, industry practitioners and officially validated by the responsible industry and or professional body before they are used for assessment

11.12.   In place an appeal system for grievances handling related to assessment and marking.

11.13.   Devise a mechanism to ensure the effectiveness of assessment mechanism.

Focus Area 6: Research, Community Engagement, Industry Linkage Incubation and Innovation

In the evolving landscape of TVET, the integration of research, incubation, industry linkage, and community engagement is essential for enhancing institutional quality and effectiveness. This focus area outlines specific standards and guidelines designed for institutional quality audits, ensuring that TVET institutions align their training practices with national strategies and industry needs. By establishing robust mechanisms for action-oriented research, promoting entrepreneurship through incubation, strengthening collaborations with industry, and engaging actively with local communities, these institutions can significantly contribute to sustainable economic growth and workforce development. The following standards and guidelines provide a comprehensive framework to guide TVET institutions in assessing and improving their practices, ultimately ensuring they deliver high-quality training and contribute to the national development goals.

Standard 12: Research

The TVET shall in place a system for research undertakings ensuring national priorities, institutional mission and stakeholder expectation.

Guidelines:

TVETI shall:

12.1. Develop research policies that align with its mission, national priority and regulatory requirements ensuring the participation of relevant stakeholders and a communication mechanism.

12.2. Establish mechanisms to support, monitor, and evaluate trainees research activities, promoting their engagement

12.3. Develop a mechanism to identify and prioritize its major research thematic area

12.4. Establish a mechanism to secure fund for its research undertakings.

12.5. Establish a mechanism to ensure that research funds are used only for research purposes

12.6. Devise a mechanism to support, monitor and evaluate staffs' research activities, including incentives to promote staff engagement.

12.7. In place a consistent and stringent research approval mechanism and procedure.

12.8. Devise a mechanism to protect Intellectual Property Rights (IPR) arising from research and innovation, ensuring transparency and equitable sharing of benefits among stakeholders

12.9. Develop a Database System for Managing and archiving research outputs and a mechanism for Publication and dissemination

12.10. Establish a mechanism to ensure the reputability of journals before subscription

12.11. Devise a mechanism to ensure whether the research outputs are utilized

12.12. Establish a mechanism to publish or outsource the publication of its research outputs

12.13. Devise a mechanism to collaborate with national and international institutions

12.14. In place a system to periodically evaluate the impacts of its research outputs.

12.15. Develop a system to periodically review the effectiveness of its research policies, system, mechanism and procedures.

Standard 13: Community Engagement

The TVET shall establish a system for community engagement ensuring national requirements, institutional mission, social responsibility and stakeholder expectation.

Guidelines:

TVET shall:

13.1. Establish community engagement policies in alignment with the mission it is differentiated for, national priorities and regulatory requirements ensuring the participation of stakeholders and a communication mechanism.

13.2. Create a system to encourage and motivate community in relevant institutional committees.

13.3. Establish a mechanism to engage its staff and students in national services

13.4. Devise a mechanism to build credibility of the institution through community engagement.

13.5. Establish a system to encourage its trainers and trainees to participate in a range of community activities.

13.6. Devise a mechanism to ensure community engagement activities are supported by research.

13.7. Design community extension programs that tackle local socio-economic challenges, involving community stakeholders in planning and execution.

13.8. Devise a system to periodically evaluate the impacts of its community engagement activities.

13.9. In place a mechanism to periodically review the effectiveness of its community engagement policies, system, mechanism and procedure.

Standard 14: Industry Linkage

The TVET shall in place a system for industry linkage ensuring national priorities, regulatory requirements, institutional mission and stakeholders' expectation.

Guidelines:

TVETI shall:

14.1. Develop industry linkage policies in alignment with the mission it is differentiated for, national priorities and regulatory requirements ensuring the participation of stakeholders and a communication mechanism.

14.2. Establish a system to strengthen its TVETI -Industry Linkages

14.3. Devise a mechanism to establish local and international partnerships

14.4. Devise a mechanism to diversify its funding source for industry-linkage

14.5. Devise a mechanism to protect Intellectual Property Rights (IPR) arising from innovation, ensuring transparency and equitable sharing of benefits among stakeholders

14.6. Develop a mechanism to strengthen TVETI-industry linkages, providing trainees with real-world experience.

14.7. Establish a mechanism to align graduate skills with industry expectations and build strong industry relationships to enhance graduates employability.

14.8. In place a system to ensure that cooperative trainings are organized in relevant industries, with clearly defined training objectives.

14.9. Develop industry extension service mechanism to enhance productivity competitiveness and innovation of industries.

14.10. In place a mechanism to periodically review the effectiveness of its industry linkage policies, system, mechanism and procedure.

Standard 15: Incubation and Innovation:

TVET institutions shall establish and implement systems and mechanisms to nurture incubation and entrepreneurship, linking training with innovation to enhance job creation.

Guidelines:

TVETI shall:

15.1. Develop an Incubation and Innovation policy aligned with national priority ensuring the participation of relevant stakeholders and communication mechanism.

15.2. Formulate a mechanism to screen out and support the innovation ideas to be incubated.

15.3. Establish Entrepreneurship and Innovation Centers (EICs) to provide resources, mentorship, and training for innovators and startups.

15.4. Devise a mechanism to integrate innovation into the curriculum to foster a culture of entrepreneurship among staff and trainees.

15.5. Formulate a mechanism to ensure that EICs provide training and support to researchers, innovators, and entrepreneurs in areas such as ideation and
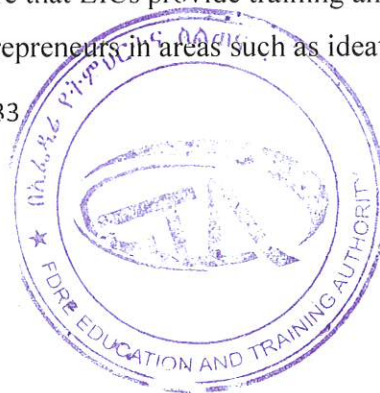
innovation, prototyping and design, business development, and commercialization.

15.6.   Develop metrics to assess the success of incubation initiatives, including the number of startups launched and their sustainability.

15.7.   Devise a mechanism to encourage trainees and trainers to consider indigenous knowledge in their innovation process.

15.8.   Devise a mechanism to provide technical and advisory services for small and medium-sized enterprises (SMEs) through business incubation centers.

15.9.   Formulate a mechanism to track progress of incubates through periodic reviews

15.10.   Establish Partnerships with external experts and investors to provide additional support and funding opportunities for incubates.

15.11.   Devise a mechanism to disseminate best practices of innovation to promote a culture of innovation

15.12.   Devise a mechanism to periodically review the effectiveness of its incubation and innovation system and activities.

Focus Area 7. Internal Quality Assurance

The effectiveness of a quality assurance system significantly influences the quality of graduates. It is generally assumed that a more effective quality assurance system increases the likelihood that educational outputs meet established standards. By implementing strong quality assurance processes, TVETIs can enhance their educational programs and better prepare graduates for their future careers.   The TVETIs shall in place a mechanism and procedure to make sure the effectiveness and continual improvement of its quality assurance systems' and its capability to ensure the quality of its educational programs. The quality assurance and improvement strategy is applicable to all parts of the institution and its activities. For quality improvement and external verification of institutional quality audit objective TVETIs' are expected to conduct self-evaluation periodically.

Standard 16: Internal Quality Assurance

The TVET shall establish quality assurance policies, system, mechanism and processes and engage its internal stakeholders in different quality assurance activities. It also shall periodically evaluate how well its system, mechanism, and process for quality assurance and enhancement work to ensure the quality of its educational programs.

Guidelines

TVETI shall:

15.1. Establish quality assurance policies aligned with the institution's mission, and regulatory requirements, ensuring stakeholder involvement and a communication mechanism

15.2. Establish a quality assurance structure that guarantees autonomy in decision-making

15.3. Establish a comprehensive quality assurance system fully integrated across all institutional functions—core, support, control, strategic, operational, and cross-cutting—that ensures institutional quality, enhancement, and continuous improvement.

15.4. Set up a quality care unit or committee structure at institutional, faculty and program level that closely follow quality assurance activities.

15.5. Establish a mechanism to periodically conduct self-evaluation of its Internal Quality Assurance System and devise a mechanism to address the gaps identified in the self-evaluation process

15.6. In place a mechanism to maintain consistency in the implementation of its policies, systems, mechanisms, and procedures across its campuses, faculties and programs.

15.7. Develop a comprehensive feedback collection mechanism from relevant stakeholders (students, industry partners, alumni, and staff) to inform decision-making.

15.8. Formulate clear Standard Operating Procedures (SOPs) for all training and administrative activities, ensuring consistency and adherence to institutional standards.

15.9. Establish a mechanism to regularly monitor and periodically evaluate the effectiveness of its internal quality assurance systems to ensure achievement of the intended purpose.

An overview of ETA's Quality Audit Procedures

The external quality audit process follows a structured sequence of steps, each designed to ensure a thorough and objective evaluation of an institution's quality assurance system. These procedures are standardized to ensure consistency across audits. The audit involves thorough pre-audit preparations, the formation of a qualified external auditor's team, and comprehensive visits to verify the accuracy of self-evaluations and institutional practices. Following the audit and the follow up evaluation ETA issues a public report highlighting the effectiveness of the TVETIs quality assurance systems. This process culminates in a certification. Accordingly, the following overview encapsulates the core elements of the Quality Audit Procedures established by the ETA.

4.1 Pre-audit preparation

Initiating the Audit

The audit process begins with an initial engagement between the Educational Training Authority and the TVET institution. ETA initiates the process by requiring the TVETIs to conduct a thorough self-assessment and submit a Self-Evaluation Report (SER). This SER serves as the foundation for the external quality audit. TVETIs are required to prepare their SER in accordance with the guidelines outlined in the ETA Institutional Self Evaluation guideline. Once the self-evaluation is complete, the TVETIs submit the SER to ETA for review. *"For details on self-evaluation refer self-evaluation guideline of ETA"*

Document Review

Once the SER is submitted, the review committee and the auditors' team conduct an in-depth review of the document and any supplementary materials provided by the institutions. This review focuses on checking if the SER meets ETA's standards and assessing the institution's internal quality assurance processes, as well as the evidence provided to support the institution's claims.

Portfolio Meeting

The Portfolio Meeting is a pivotal event in the preliminary phase of the quality audit process, taking place before the Audit Visit. The Portfolio Meeting, typically lasting a full day, is held at the ETA Offices. Panel members outside Addis Ababa participate virtually through suitable communication technologies (*"For more details refer ETA's"* institutional Quality audit *procedure manual."*

Briefing Visit

Once the audit visit date is set, ETA conducts a briefing visit to the TVETIs. During this visit, ETA staff will meet with the institution's key personnel. The purpose of the briefing is to explain the audit procedures, address any questions, and clarify ETA's expectations for the quality audit. *For more details refer to ETA's" Institutional Quality audit procedure manual."*

Appointment of the Quality Audit Panel

The institutional quality audit panel for the quality audit consists of Audit panel coordinator from ETA and external auditors who are selected and trained by ETA. The TVETI has the opportunity to provide feedback on the proposed panel. All panel members are required to disclose any possible conflicts interest before participating the quality audit. *"For more details refer to ETA's" Institutional Quality audit procedure manual."*

4.2. The Quality Audit Visit

During the institutional quality audit visit, the audit panel will carry out several key activities on-site at the TVETI. These include reviewing documents related to the TVETIs' quality assurance processes, meeting with various stakeholders such as the TVETI's leadership, faculty, trainees, and external stakeholders. The primary purpose of the Audit Visit is to validate the TVETI's SER. *"For more details refer to ETA's" Institutional Quality audit procedure manual."*

4.3 Quality audit report

The Quality Audit Reports of ETA serve a dual purpose: they provide a public account of the effectiveness of a TVETI's quality assurance systems and offer insights for ongoing quality improvement efforts, including the celebration of good practices. Following the audit visit, ETA will draft an institutional quality audit report, which will be shared with the TVETI's for factual verification. In institutional quality audit, ETA will make commendations and recommendations for action by the HEI. Recommendations are actions which will help to maintain and continually improve quality. Before the issue of quality audit report to the public, ETA will require the TVETI a quality enhancement plan. This plan should address the recommendations listed in the

audit report and indicate any other actions that the TVETI will take to enhance quality. Based on the enhancement plan ETA will conduct a follow-up visit to assess the progress made. The audit panel will amend the draft audit report to incorporate the improvements implemented by the TVETI in response to the recommendations. Once amended, the report will be sent to the institution for verification of any factual errors. After this verification process, the updated report will be made public, providing transparency and accountability regarding the TVETI's progress. While ETA will provide the audited TVETIs with copies of the audit report, the ownership of the report remains with ETA. The Authority will also publish and archive all quality audit reports. *"For more details refer to ETA's" Institutional Quality audit procedure manual."*

4.4. Disputes and Appeals

After the audit, the TVETI can appeal the Quality Audit Report if it contains significant inaccuracies or unfair representations that could damage its reputation. Grounds for appeal include major factual inaccuracies that have not been addressed, biased reporting that presents an unbalanced view, omission of critical issues that disadvantage the TVETI, or an audit process that deviates from established protocols in an unfair manner." *For more details refer to ETA's" Institutional Quality audit procedure manual."*

4.5. The Follow-Up Phase

To ensure institutional commitment to quality enhancement and compliance with Internal Quality Assurance standards, ETA implements a rigorous follow-up process after the initial quality audit. This process encompasses the formation and appointment of a Follow-Up Audit Panel, submission of an Enhancement Plan, provision of Progress Reports, and a Follow-Up Visit. These steps are designed to monitor, evaluate, and verify the institution's progress in addressing the recommendations outlined in the Final Draft Quality Audit Report.(*For more details refer to ETA's" Institutional Quality audit procedure manual."*
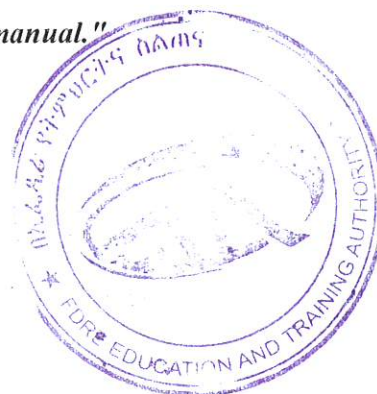
5. The Quality Audit Outcome

5.1. Determining the functionality level of IQA system

1. **Fully functional:** Where the IQA system related to the standard is effective. The threshold standard has been met and the institution is continuously benchmarking and enhancing its quality in terms of this standard.

2. **Functional** Where IQA system related to the particular standard is effective and minor improvements are required to meet the threshold standard.

3. **Minimally functional:** Where the TVETI has poor IQA system related to the standard. The IQA system requires significant improvements to meet the threshold standard for assessment of the quality in this particular area.

Refer (Annex 1: ADRI based IQA system) "*ADRI based IQA system functionality level indicators*"

5.2. Qualitative Assessment Method of Determining Functionality level of IQAS

5.2.1. Assessment Criteria for Each Guideline

For each guideline with in the quality audit standards the Audit panel evaluates evaluate the institution's performance based on the following level of compliance.

Criteria	Description
Fully Compliant	All the indicators for each guideline is met, indicating robust approach, consistent implementation and results and continuous improvements
Compliant	Majority indicators are met at moderate level however, some improvements are needed with regard in approaches, consistency of implementation and results as well as in continuity of improvement process.
Non-Compliant	Majority indicators are unmet, with significant gaps in the approach, deployment, results tracking and improvement processes.
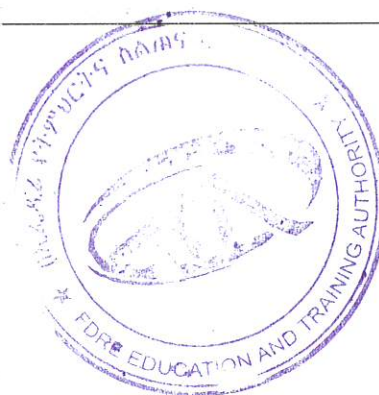
2. Overall Evaluation of the Quality Assurance System (QAS)

After evaluating the guidelines under each standard, the Audit Panel will consolidate the compliance levels of all guidelines to provide a comprehensive overall assessment of the Quality Assurance System of the institution under review based on the following criteria:

Level of Functionality IQAS	Criteria
Fully Functional	Majority guidelines of each standards are "Fully Compliant", with a few guideline are at "Compliant" level.
Functional	Majority of the guidelines of each standards are "Compliant", with few guideline are at "non-compliant" level indicating, the institution is making progress but needs improvements in specific aspects to enhance its overall quality assurance efforts.
Minimally Functional	Majority of the guidelines of each standard are "non-Compliant", suggesting that the institution's IQA system is ineffective.

5.2.2. Accreditation Evaluation eligibility Decision

Upon completion of the quality audit process, ETA issues an Accreditation Evaluation Eligibility letter for accreditation evaluations. This eligibility is determined on the basis of level of functionality of the quality assurance system of the TVETIs as defined by ETA. The authority defined three level of functionality regarding the effectiveness of the TVETI's IQA system. Accordingly, fully functional quality assurance system is achieved when each threshold standard has been met and the institution is continuously benchmarking and enhancing its IQA system in each of the quality audit standards. Such TVETI's are directly eligible for accreditation evaluation. Moreover, A IQA system defined as functional when, IQA related to the particular standard is effective and minor improvements are required to meet the threshold standard. In such cases TVETIs are also directly eligible for accreditation evaluation. However, where the TVETI has poor IQA system related to each quality audit standard and requires significant improvements to meet the threshold standard, such TVETIs are classified as minimal functional and resulting in re-follow up and not eligible for accreditation assessment.

After determination of the level of functionality the TVETI's IQA system, ETA will issue accreditation evaluation eligibility letter to the TVETI that achieved fully functional and functional levels.

References

1. Bhutan Qualifications and Professionals Certification Authority (BQPCA): Technical and Vocational Education and Training (TVET) Quality Council. (2023). Bhutan Qualifications and Professionals Certification Authority (BQPCA).

2. CEDEFOP. (2009). Accreditation and quality assurance in vocational education and training: Selected European approaches. Office of the European Union.

3. CEDEFOP. (2015). Handbook for TVET providers: Supporting internal quality management and quality culture. Luxembourg: Publications Office of the European Union.

4. Dhaka Guidelines for Model TVET Institutions. (2019). Bangladesh Technical Education Board

5. East Asia Summit Vocational Education and Training Quality Assurance Framework: Quality Toolbox for better TVET delivery: Practical instruments for TVET teachers and managers. (2012). Association of Southeast Asian Nations (ASEAN) Secretariat

6. Harmonized TVET Implementation Handbook: A National Framework to Guide the Management and Operation of TVET in Ethiopia. (2024). Ministry of Education, Ethiopia

7. Kenya Quality Assurance Training Manual for TVET Institutions. (2013). Technical and Vocational Education and Training Authority (TVETA), Kenya.

8. Malaysian Qualifications Agency. (2020). Guidelines: Technical and Vocational Education and Training Teaching Competency. Malaysian Qualifications Agency (MQA).

9. Mauritius Quality Assurance Framework for the TVET Sector. (2020). Mauritius Qualifications Authority.

10. Technical and Vocational Education and Training Authority (TVETA): TVET Management System and Assurance Manual, January 2023.

11. TVET Quality Management System. (2818). Rwanda Work Force Development Authority

12. Thimphu Quality Management System Manual for TVET Institute. (2023). Ministry of Labor and Human Resources, Royal Government of Bhutan

13. Regional TVET Qualifications Framework for Ethiopia, Kenya, and Tanzania. (2016). East African Community (EAC) Secretariat.

14. https://www.rtb.gov.rw

Annex1: Indicators for IQA system functionality level: ADRI based

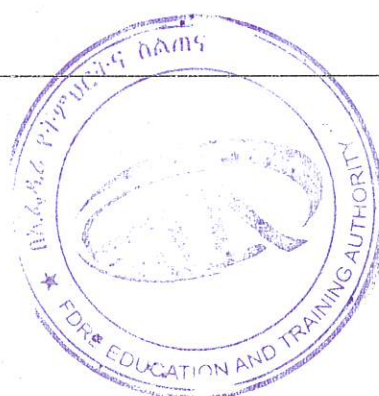| Functionality level	Indicators for IQA system functionality level: ADRI based			
	Approach	**Deployment**	**Result**	**Improvement**
Fully Functional	■ The institution operates with a comprehensive and well-communicated set of goals and strategies ensuring clarity and coherence. ■ There is seamless alignment with external obligations (relevant laws, proclamations, directives), reflecting a mature understanding of the institution's responsibilities. ■ Goals are set at the appropriate level, demonstrating an exemplary alignment with best practices and expectations. ■ There is a high degree of consistency among various goals and strategies, preventing any confusion and ensuring a unified direction. ■ The planning processes are inclusive, involving all relevant stakeholders	■ Staff fully engages in executing strategies and processes, with clear roles. ■ Performance indicators are systematically monitored, providing clear feedback. ■ Staff are empowered with appropriate authority and resources. ■ Comprehensive training ensures staffs possess necessary knowledge and skills. ■ The organizational structure promotes smooth coordination and efficiency. ■ Performance indicators are well-defined and effectively track processes. ■ Reporting mechanisms are robust and inform decision-making. ■ Interventions are in place for addressing issues. ■ High effectiveness in	■ Results are comprehensive, measurable, and aligned with all strategic goals. ■ Results are benchmarked against national and international standards and best practices. ■ Robust reporting systems provide timely data that informs strategic decisions. ■ Performance trends are continuously monitored to identify strengths, weaknesses, and emerging opportunities. ■ The institution interprets outcomes and integrates	■ Comprehensive data is collected systematically, with rigorous validation processes in place. ■ Data is managed efficiently, ensuring easy access and usability for decision-making. ■ Strategic plans and key activities are reviewed regularly through well-structured processes. ■ Review processes are evaluated regularly, and improvements are incorporated. ■ A culture of continuous learning and self-review is integrated across the entire institution. ■ All staff are empowered and actively participate in improvement efforts. ■ Continuous improvements are

- and ensuring that diverse perspectives are considered.
- Robust monitoring systems are in place, effectively tracking performance and feeding data into ongoing improvement efforts.
- Well-established systems for measuring and reporting progress that ensures transparency and accountability within the institution.
- Staff are fully aware of their roles and responsibilities, fostering an environment of collaboration and commitment to institutional success.
- Institutional goals are strongly supported by operational plans, manuals, and training programs, facilitating effective implementation.
- Resources are allocated efficiently and effectively, fully supporting the institution's priorities and objectives, contributing to

---

- achieving strategic goals is evident.
- plans are strictly followed and deviations are systematically addressed.
- stakeholders are actively engaged in providing feedback, and suggestions are systematically utilized.

- lessons into future planning.
- Systematic feedback collection informs ongoing strategy and goal setting.
- Deviations from goals are systematically identified, and timely interventions are applied
- Accountability structures ensure staff and leaders are responsible for achieving results.
- A culture of continuous improvement drives the institution's operations and strategies.

- evident, with measurable outcomes aligning with institutional goals.
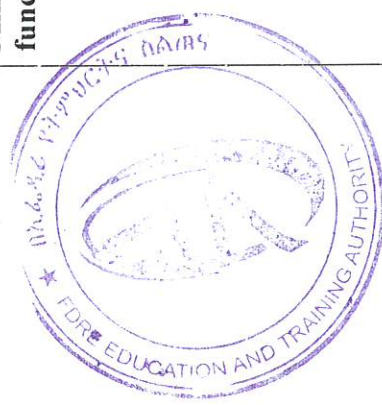- Feedback is collected from multiple sources and systematically informs strategic decisions.

	overall success.			
Functional	■ The institution possesses a defined set of goals and strategies, yet partly communicated. ■ There is significant alignment with applicable laws and standards, though minor gaps still exist that should be addressed. ■ Goals are generally set at an appropriate level; however, certain areas may still require refinement. ■ Most strategies are coherent, although there may be some areas that need further alignment to eliminate any remaining inconsistencies.	■ Staff generally executes strategies and processes as intended. ■ Performance Indicators are tracked consistently, but needs improvement in providing systematic feedback. ■ Staff are empowered with appropriate authority however, resources allocation is not in line with authority. ■ Comprehensive training ensures staff possess necessary knowledge and skills; however, there is a gap in fully understanding of their roles and responsibilities. ■ The organizational structure generally supports deployment, but	■ Results are comprehensive, measurable, yet there is a need in aligning results with strategic goals. ■ Results are benchmarked against relevant standards. ■ Regular reports are produced and used to guide decision-making, but some gap in timeliness. ■ Performances trends are monitored to identify strengths,	■ Data is regularly collected to ensure validity and reliability but data validation process is not yet rigorous. ■ Data management processes are in placed but needs improvement in systematic usability for decision making ■ Strategic plans and key activities are reviewed regularly but it needs a structured process ■ Review processes are evaluated but it needs improvement and consistency. ■ A culture of self-review and learning is developing across the institution.

- The institution has structured planning processes in place that involve stakeholders, contributing to a more collaborative environment. However, level of participation needs improvement.
- Monitoring systems are operational and provide useful insights, although gaps in data reporting and follow-up still persist.
- Established systems for measuring and reporting progress are functioning, but improvements in tracking and reporting mechanisms are still needed.
- Staff generally understands their roles, contributing positively to institutional efforts, although some role ambiguity remains.
- Institutional goals are supported by operational plans, manuals, and training

---

- coordination issues remain.
- Performance indicators are defined, but gap is observed in effectively tracking processes.
- Reporting mechanisms exist but could be improved for better utilization.
- Deviations are addressed through interventions, though not always systematically.
- Overall effectiveness is good, but coordination can improve.
- plans are generally followed but there is a gap in systematically addressing deviations.
- Some feedback mechanisms are in place, but stakeholders' input is not systematically captured.

- weaknesses, and emerging opportunities, but there are some irregularities
- The institution interprets outcomes however, there are gaps in integrating lessons into future planning.
- Systematic feedback collection informs ongoing strategy but there are gaps in systematic collection of feedback.
- Deviations from goals are systematically identified, however there are some gaps in timely interventions.
- There is accountability

- Majority of the staff members are engaged in improvement efforts, although there are some gaps in engagement
- Improvements are evident but some gaps in continuity and Aligning with institutional goals.
- Feedback is collected however it needs improvement in making it systematic to inform planning and decision-making.

Minimally functional		
programs, facilitating implementation. ■ Resource allocation is generally aligned with strategic priorities, yet further enhancements are needed to improve efficiency.	structures for ensuring staff and leaders are responsible for achieving results, however there is a gap in informing staff members on their roles in achieving outcomes. ■ Improvement plans are based on past results however there is a gap in making result-based improvement a culture.	
● The institution has developed basic goals and strategies, but these are communicated inconsistently, resulting in varied interpretations among staff across different departments. ● There is some level of alignment with national standards and regulatory requirements; however,	● Staff engage is fragmented and executed in unclear roles. ● Monitoring indicators are present but used sporadically. ● Limited resources and authority affect execution. ● Staff have some knowledge skills but lack continuous training. ● The organizational structure	● Limited results are recorded, but they are incomplete or inconsistent. ● There is partial alignment between goals and outcomes. ● Some results are compared with internal targets, but external benchmarking is	● Some data is collected, but processes are irregular and lack rigor in maintaining data validity. ● Basic procedures for data management exist but are not systematically followed. ● Strategic plans (IDP) are reviewed

- infrequently, often only in response to external pressures.
- Review processes exist but are not evaluated for effectiveness.
- Self-review occurs in isolated areas but is not part of a wider institutional culture.
- Some staff participate in improvement efforts, but many are uninvolved or unaware.
- Some improvements result from review processes, but they are inconsistent.
- Feedback is collected in limited areas but not used effectively for planning or improvements

---

- lacking.
- Reports are produced sporadically and are not systematically used for decision-making.
- Some trend data is available but not fully analyzed for patterns.
- Results are reviewed occasionally, but reflection is informal and inconsistent.
- Feedback is gathered sporadically but not consistently integrated into planning.
- Some corrective actions are taken, but they are reactive and ad hoc.
- Responsibility for results is unclear, with limited staff involvement in achieving goals.
- Few lessons are

- leads to inefficiencies but allows some progress.
- Some performance indicators are identified but are not consistently monitored.
- Reporting is sporadic, leading to reactive interventions.
- There is no systematic identification of deviations from plans.
- Coordination challenges prevent smooth execution.
- Limited opportunities for staff to provide input or suggest improvements.

- significant gaps remain that need to be addressed for full compliance.
- Although some effort has been made, goals were not set at an optimal level, reflecting a need for more robust planning.
- There is limited degree of consistency among various goals and strategies, leading to confusion and remain challenge for unified direction.
- There is established planning process but lacking adequate participation and communication of relevant stakeholders required for effective strategic development.
- While some performance indicators have been defined, they are not systematically tracked or reported, limiting the institution's ability to evaluate progress.
- Monitoring systems are applied inconsistently, resulting in a lack of reliable data for decision-

learned, and continuous improvement efforts are poorly structured.

making.
- Roles are somewhat defined, yet there remains a lack of clarity regarding accountability for the strategic intents.
- Staff members have a general understanding of their roles, but this understanding often lacks depth, leading to inefficiencies.
- Resource allocation is loosely tied to institutional priorities, and it is not fully optimized, indicating a need for better alignment.
- While there is moderate alignment between resource allocation and institutional goals, it is not fully realized, leading to potential inefficiencies.