



**DIRECTORATE OF INDUSTRIAL TRAINING**  
**ASSESSMENT AND CERTIFICATION DEPARTMENT**  
**MINISTRY OF EDUCATION, SCIENCE, TECHNOLOGY AND SPORTS**  
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## **GUIDELINES AND PROCEDURES FOR ASSESSMENT AND CERTIFICATION**

The Directorate of Industrial Training (DIT) draws its mandate from the BTVET Act 2008 and the Regulatory Framework derived therein to assess and award Uganda Vocational Qualifications.

The Act established the Uganda Vocational Qualifications Framework (UVQF) which requires Industrial Training Council (ITC), as a supervisory and policy making body of DIT, to provide guidelines for assessment standards and certification.

Specifically, Section 14 of the BTVET Act (2008) stipulates the functions of the Directorate as follows;

- a) to identify the needs of the labour market for occupational competencies that fall under the Uganda vocational Qualifications Framework.
- b) to regulate apprenticeship schemes;
- c) to foster and promote entrepreneurial values and skills as an integral part of the UVQF;
- d) to secure adequate and sustainable financing for the efficient operations of the Directorate;
- e) to accredit training institutions or companies as UVQF assessment centres;
- f) to assess and award Uganda Vocational Qualifications;
- g) to develop, apply, expand and improve the purposeful application of Uganda Vocational Qualifications defined in the UVQF.
- h) to promote on-the-job training in industry for apprenticeship, traineeship and indenture training and for other training such as further skills training and upgrading; and
- i) to prescribe the procedure for the making of training schemes.

From the functions outlined above, it is clear that DIT plays a core role in the promotion and enforcement of quality standards in the Business, Technical, Vocational Education and Training (BTVET) sub-sector.

These guidelines and procedures are particularly developed to operationalise subsection (f) above.

## **1.0: The Vision and mission of DIT**

### **1.1: Vision**

*To be a technical and Vocational skills quality assurance body of international repute.*

### **1.2: Mission**

*To promote quality assurance interventions in Business, Technical, Vocational Education and Training for the public and private sector labour market needs to accelerate national development.*

## **2.0: Assessment**

Assessment is the means by which evidence is gathered and judged to decide if the individual has met the stipulated assessment standards or not. Assessment is conducted in alignment with the defined occupational competences prescribed in the Assessment and Training Package (ATP). Competence Based Assessment (CBA) is the process of collecting evidence and making judgments by the assessor on whether the desired competence has been achieved or not. This confirms that an individual can perform to the standards and quality criteria expected in the workplace. The judgment in CBA is made in terms of “Successful” or “Unsuccessful”.

The assessment will be done with the following objectives;

- i) To enable the learners/trainees acquire a Uganda Vocational Qualifications and be able to market their skills as well as their products.
- ii) To enable the learner/trainee get vertical mobility through UVQF levels.
- iii) To build confidence in a learner/trainee that he/she is capable of doing work.
- iv) To enable the learner/trainee get a feedback on the level of competence acquired as measured against the set job standards.
- v) To enable the employer use the certification as a yard stick to select competent workers.
- vi) To encourage labour mobility of skilled individuals in the labour market using a recognized qualification.

### **2.1: Stakeholders**

The following individuals and institutions are responsible for executing the assessment exercise:

- a) The Industrial Training Council(ITC)
- b) Directorate of Industrial Training(DIT)
- c) The Regional Coordinator
- d) The Monitor
- e) The Assessor
- f) Verifier
- g) The Assessment Centre/Training provider
- h) The Candidate

## **2.2: Role of DIT**

The Directorate will execute the following roles:

- a) Accredite assessment centres.
- b) Invite applications from candidates through assessment centres.
- c) Appraise candidate's applications for suitability of assessment.
- d) Receive application/registration and assessment fees, and acknowledge receipt of the money.
- e) Register candidates, issue registration/index numbers and update candidates' registers.
- f) Submit draft register(s) to the assessment centres.
- g) Receive and evaluate the occupations/modules submitted by the assessment centres and provide the necessary guidance and feedback.
- h) Provide time tables and cutting (materials/equipment) lists to assessment centres.
- i) Determine the regions for purposes of administration of the assessment centres.
- j) Deploy assessors, verifiers, monitors and Regional coordinators/supervisors to the respective assessment centres, areas and /or regions.
- k) Deliver assessment instruments to the assessment centres.
- l) Supervise the assessment centres.
- m) Present results to ITC.
- n) Issue results to the assessment centres.
- o) Issue certification to the qualified candidates.
- p) Verify and certify qualified candidates' certification documents.

## **2.3: Role of the Regional Coordinator**

The Regional Coordinator shall:

- a) Act as a link to the Directorate from the field, during assessment exercise.
- b) Work with the monitors, verifiers and assessors while coordinating activities during assessment period.
- c) Be custodian of the assessment instruments in the region.
- d) Ensures all reports, scripts and results are collected and returned to DIT.

## **2.4: Role of the Monitor**

The monitor shall:

- a) Oversee the assessment activities in the assigned jurisdiction/area.
- b) Ensures compliance of assessment.
- c) Write a report on the assessment activities.

## **2.5: Role of the Assessor**

The assessor will perform the following functions:

- a) Where applicable read to candidates guidelines specific to the assessment item.
- b) Assess only registered candidates as given on the candidates' lists on the assessment date and time.
- c) Report and may discontinue the candidates involved in cases of serious violation of guidelines.

- d) Evaluate the assessment process and results using the provided score guide.
- e) Compile assessment report and forward it to the Regional Coordinator.
- f) Record results on DIT competency test results form in an orderly manner and ensure it is signed by all panel members.
- g) Collect, categorize and seal all documents such as test papers, entry forms, candidates' attendance sheets, signed evaluation forms, and signed minutes of testing.
- h) Forward all documents to DIT/Regional Coordinator.
- i) Return to DIT/Regional Coordinator all test documents that have not been used for whatever reason.
- j) Ensure the candidates leave the assessment work station tidy.

## **2.6: Role of the Verifier**

### **i) Internal Verifier**

Normally, this can either be the head of section or department who is an expert in that occupation. His/her main roles are:

- a) Monitoring assessment practice to ensure the assessment is done according to DIT set criteria.
- b) Dealing with internal disputes or appeals pertaining to assessments.
- c) Maintaining accurate records of planned and completed internal verification.
- d) Verifying the assessment decision by sampling to check consistence.
- e) Advising and supporting assessors.
- f) Induction of assessors on proper assessment practices and procedures.
- g) Organizing and leading meetings.
- h) Communicates with the external verifier or DIT.

### **ii) External Verifier**

The external verifier is the DIT representative with whom the assessment centre has face to face contact. He/she links the assessment centres to DIT for quality assurance of Competence Based Education and Training (CBET). The roles include:

- a) Verifying CBET assessment to ensure quality and consistency.
- b) Supporting and advising assessment centres on improving the effectiveness and quality of assessment.
- c) Informing the assessment centres about any changes that may take place.
- d) Maintaining accurate records of the results of external verification which the DIT will enter into the database for analysis.

## **2.7: Role of the Assessment centre**

The assessment centre shall have the following functions:

- a) Submit list of applicants to DIT sixty (60) days prior to the assessment date.
- b) Purchase candidates application/registration forms from DIT by paying application/assessment fees that corresponds to the list of applicants submitted to DIT.
- c) Guide candidates on how to fill in the application forms.
- d) Forward filled in forms to DIT, each application form having an

attachment of three coloured passport size photographs and support photocopy documents.

- e) Submit the updated register of candidates to DIT prior to assessment date.
- f) Deposit application/assessment fees on DIT account in the bank.
- g) Levy and utilize the assessment administrative fees at the centre.
- h) Provide machinery, equipment, tools and practical materials to candidates.
- i) Organize the assessment centre and brief candidates prior to assessment date.
- j) Provide security of assessment instruments and scripts at the centre.
- k) Recommend co- assessors/translators (where necessary) and communicate in writing to DIT two (2) weeks in advance.
- l) Present registered candidates for assessment on the prescribed date and time.
- m) Cooperate and provide support to assessors whenever the need arises.
- n) Witness both sealing of scripts and hand over to the Regional Coordinator/assessor.
- o) Compile assessment centre report and forward to the Regional Coordinator.
- p) Collect results from DIT after official release.
- q) Collect candidates' certification documents from DIT.
- r) Provide proper identification to the candidates on the assessment date and time.

### **2.8: Role of the Candidates**

The candidates have a duty to:

- a) Apply and register with the assessment centre.
- b) Pay all dues at the assessment centre.
- c) Appear in person for the assessment on the prescribed date and time with proper identification.
- d) Appear 30 minutes prior to assessment time to allow for identification procedures to be conducted.
- e) Always be orderly, observe safety and be tidy during assessment.
- f) Sign attendance register.
- g) Follow assessment guidelines or be penalized for breach of the guidelines.
- h) Witness sealing of the envelopes containing assessment script.
- i) Leave assessment room tidy.

### **2.9: Eligibility for assessment**

A person is eligible to apply for an assessment in a standardized occupation or partial step by step of a standardized occupation(modules or group of modules) if he/she :

- a) Has completed a relevant occupational training at a registered and accredited BTVET institution/training provider/centre or has accomplished a designated apprenticeship programme or gained related on – the – job experience at registered enterprise.

- b) Provides evidence for assessment of previous occupational training or occupational experience; and
- c) Meet the eligibility criteria set for that particular occupation by Technical Sector Committee (TSC).

**2.10: Mode of application for assessment**

- a) A candidate who is eligible for an assessment may apply for assessment as an individual or as part of a group of employees/trainees sponsored by their employer/training provider/centre or in conjunction with a training programme in which the employees or trainees are undergoing.
- b) An application for assessment shall be made on a form specified by the Council.
- c) The applicant shall complete the application form and forward it or through the assessment centre with the prescribed application/registration fee to the Directorate and application shall state any previous assessment attempts (if applicable) and passes, specifying the date of passing or failure.

**2.11: Procedure for receipt of application for assessment**

- a) On receipt of application, the Director or his/her representative shall verify the information in the application and shall in writing within four weeks, notify the assessment centre or applicant of the acceptance or rejection of the application.
- b) If the application is successful, the assessment centre or applicant shall be notified within three (3) days of the date and place of assessment and where the applicant is not successful, he/she shall be notified of the possible remedial steps.

**2.12: Failure to appear for an assessment**

- a) An applicant who fails to appear for the assessment on a set date and time shall normally inform in writing the assessment centre within three (3) days, and the assessment centre may fix another date and time for the assessment in conjunction with DIT and inform the applicant accordingly; and should re-apply to register on payment for application/registration fee. The centre or candidate(s) shall meet the cost of the exercise.
- b) An applicant who fails to report for assessment on the set date and time shall re-register, on payment of application/registration fee.

**2.13: Assessment Level**

- a) A candidate shall be admitted to assessment on the lowest available level of competence in a standardized occupation except where the candidate already holds a UVQF qualification or any other comparable credential in that occupation.
- b) Notwithstanding the general rule prescribed, the assessment panel may, after considering and individual case, admit a candidate to a higher level of assessment.

**2.14: Successful Completion of assessment**

The Director in conjunction with ITC will, within three months, grant to a successful candidate a Uganda Vocational Qualification Certificate appropriate level after having received notification from an assessment panel that the candidate has reached the required standard in an assessment.

**2.15: Failure of assessment**

- a) A candidate who fails an assessment shall be allowed to re- apply.
- b) A candidate who fails a practical assessment shall be re- assessed in both theory and practical parts if he/she was assessed in both.
- c) A candidate who fails only written/theory assessment shall be re-assessed only in the theory part.

**2.16: Place and time of assessment**

- a) An assessment shall be held at a scheduled point in time or on request at a public or private assessment centre accredited by the Directorate.
- b) An accredited assessment centre shall carry out assessment in the name of the Directorate under the supervision of the assessment panel responsible for the occupation concerned.

**2.17: Monitoring of assessment centres**

- a) The Directorate shall monitor the performance and capabilities of the assessment centres.
- b) Where an accredited assessment centre no longer meets the specified requirements, the Director shall give a notice for remedial action, and the Directorate shall withdraw the accreditation of an assessment centre if no appropriate action is taken.

**2.18: Assessment Panels**

- a) The Director shall, on the advice of the relevant Sector Committee, appoint an assessment panel for a standardized occupation.
- b) An assessment panel shall consist of at least three members, with a majority being expert practitioners from the world of work and the remainder being instructors of training institutions/training providers in the relevant occupational area.
- c) Each assessment panel shall elect a chairperson from amongst themselves.
- d) A member of an assessment panel shall hold membership for a period of three years and is eligible for re- appointment.
- e) An assessment panel shall perform the following functions:
  - j) Compose test papers and prepare scoring schemes from the Directorate's test item bank.
  - ii) Carry out assessments at accredited assessment centres.
  - iii) Establish, document and report assessment results; and
  - iv) Evaluate assessment instruments and procedure.

**2.19: Exclusiveness of Assessment panels**

- a) An assessment shall not be carried out unless there is in place a properly constituted and qualified assessment panel.
- b) The Director may, after due consultation with the relevant technical sector committee, appoint a competent individual assessor to carry out an assessment with at least one member of the assessment panel.

**2.20: Module based assessment**

- a) A training provider/centre who designs or redesigns modular curricula in line with a standardized occupation may request the Directorate to conduct module based in- house assessments for their trainees.

- b) A training provider who fulfils the requirements for accreditation may become an accredited assessment centre for module based assessment.

### **3.0: Certification**

Certification is the formal process of crediting a candidate with a record of his or her achievement.

#### **3.1: Award of Certificates/Certification documents**

- a) A candidate who satisfies the requirements of Uganda Vocational Qualifications of the Directorate shall be issued a certificates/certification document.
- b) The certificate shall specify occupation and level of competence and shall be in a form as the Council may determine.
- c) The certificate shall be signed by both the Chairperson of ITC and the Director and shall be embossed with the official seal of the Directorate.

#### **3.2: Register of Certificate holders**

- a) The Directorate shall registered certificate/certification document issued in a register of Certificate holders and the certificates shall be numbered serially.
- b) The register shall contain the numbers of certificates, the names and particulars, including passport photographs, of the persons to whom they have been issued, the occupation, the competence level and date of issue.

#### **3.3: Verification of certificates**

A person who wishes to verify and certify a certificate under these guidelines shall obtain verification from the register of certificate holders, on payment of nominal fee as the Council may determine.

#### **3.4: Recognition of Certificates**

- a) A certificate awarded by the Directorate under these guidelines shall be recognized throughout the Uganda labour market, by private, public and corporate employer.
- b) A certificate issued under these guidelines shall, depending on the level of competence, entitle the holder to apply for further advancement of his or her skills and knowledge in the respective or similar fields.

### **4.0: Offences**

A person who:

- a) Makes a false declaration when applying for assessment;
- b) Makes use of any certificate to which he or she is not entitled;
- c) Alters or defaces a certificate or makes a copy of the certificate with intent to deceive or defraud;
- d) Fails to produce, when called upon to do so, a certificate to the Directorate;
- e) Offers, demands or accepts bribes in order to cheat in the assessment;
- f) Discloses test paper information to unauthorized person;
- g) A person who cheats during assessment;

Commit an offence and is liable on conclusion to a fine of not exceeding twenty four currency points or imprisonment not exceeding one year or both.



The process for assessment and certification are as follow;

- a) The Training provider/Assessment centre registers the candidates following the procedure of registration (The Training provider/assessment centre presenting candidates for registration must be accredited by the Directorate).
- b) The date of assessment is fixed.
- c) The Training provider/Assessment centre collects the following;
  - i) candidates' list ,
  - ii) Cutting list/List of materials/equipment required for practical assessment, and
  - iii) Timetable; after two (2) weeks from the date of submission of the application forms for registration.
- d) Assessment exercise conducted.
- e) Compilation of raw marks and analysis of the results within two (2) weeks for modular assessment and within one (1) month for formal occupational assessment after the last date of assessment.
- f) Release of results.
- g) Submission of complains and Appeal cases.
- h) Hearing of appeals within three (3) weeks.
- i) Printing of Transcripts and Certificates.
- j) Issuance of transcripts and certificates.

*Ethel Kyobe.*

**Ethel Kyobe(Mrs)**  
**Director**