TESDA-OP-IAS-02-F03A

Rev.No.01 - 05/20/2022

ASSESSMENT AND CERTIFICATION COMPLIANCE AUDIT CHECKLIST

(without assessment schedule on the day of audit)

Note that the auditors require documentary evidence to verify that the Assessment Center, Competency Assessor, and District/Provincial Office comply with TESDA’s policies and guidelines on Assessment and Certification and with the provisions in the Operating Procedures for Accreditation of Competency Assessment Center, Competency Assessment and Competency Assessor.

|  |  |  |  |
| --- | --- | --- | --- |
| **ASSESSMENT CENTER** | |  | |
| **ADDRESS** | |  | |
| **ASSESSMENT CENTER MANAGER** | |  | |
| **QUALIFICATION** | |  | |
| **ACCREDITATION NUMBER** | |  | |
| **NAME OF ASSESSOR** | |  | |
| **DATE OF COMPLIANCE AUDIT** | |  | |
| **TEL. /FAX NO.** |  | **E MAIL ADDRESS** |  |

|  |  |
| --- | --- |
| **PROCESS** | **ACCREDITATION OF COMPETENCY ASSESSMENT CENTERS** |

| **QUESTIONS** | **EVIDENCE/S** | **LOCATION OF EVIDENCE** | | **COMPLIANT** | | | | **REMARKS**  **(Complete statement of Remarks/ Observations/ Findings)** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **YES** | | **NO** | |
| **Particulars** | **PO** | **AC** | **PO** | **AC** | **PO** | **AC** |
| 1. **ADMINISTRATIVE REQUIREMENTS** | | | | | | | | |
| 1. What are the requirements for accreditation? | Checklist of Requirements  (OP-CO-03-F01) | ✓ | ✓ |  |  |  |  |  |
| 1. Are the documents of the AC on file complete? | The following documents are available and presented at the time of audit: |  |  |  |  |  |  |  |
| * Letter of Intent | ✓ | ✓ |  |  |  |  |  |
| * Copy of SEC Registration | ✓ | ✓ |  |  |  |  |  |
| * Business permit (current/updated) |  | ✓ |  |  |  |  |  |
| * Financial Statements | ✓ | ✓ |  |  |  |  |  |
| * BIR Certificate of Registration (BIR Form 2303) | ✓ | ✓ |  |  |  |  |  |
| * Valid/unexpired Fire Safety Certificate; or * If expired, presentation of Official Receipt on the renewal of Fire Safety Certificate. *Provided,* that the AC will submit the renewed Fire Safety Certificate to the DO/PO not later than 60 calendar days. |  | ✓ |  |  |  |  |  |
| * Company profile | ✓ | ✓ |  |  |  |  |  |
| * Organizational structure (current/updated) | ✓ | ✓ |  |  |  |  |  |
| * Staff compliment and profile (current/updated) | ✓ | ✓ |  |  |  |  |  |
| * + Manager |  |  |  |  |  |  |  |
| * + Cashier |  |  |  |  |  |  |  |
| * + Computer Operator |  |  |  |  |  |  |  |
| * + Liaison Officer |  |  |  |  |  |  |  |
| * + Processing Officer |  |  |  |  |  |  |  |
| * Building lay-out/floor plan/shop lay-out   *The actual layout of the assessment facilities matches the indicated floor area and arrangements in the shop layout document.* | ✓ | ✓ |  |  |  |  |  |
| * Self-assessment checklist (TESDA-OP-CO-03-F02) duly accomplished and signed | ✓ | ✓ |  |  |  |  |  |
| * Checklist of tools, equipment, supplies and materials, and facilities (TESDA-OP-CO-03-F04) (as identified in CATs) duly accomplished and signed | ✓ | ✓ |  |  |  |  |  |
| * Location map | ✓ | ✓ |  |  |  |  |  |
| * Contract of Lease, when applicable, is valid and not expired | ✓ | ✓ |  |  |  |  |  |
| * Certificate of Concurrence (TESDA-OP-CO-03-F03) duly accomplished and signed | ✓ | ✓ |  |  |  |  |  |
| * Affidavit of Undertaking (TESDA-OP-CO-03-F10) duly accomplished and signed   *(Document date must not be earlier than the issuance of Letter of Notification (TESDA-OP-CO-F09))* | ✓ | ✓ |  |  |  |  |  |
| 1. Did the AC apply for accreditation? | Letter of Intent stamped received by PO  *(check date in the Letter and date received by the DO/PO)* | ✓ | ✓ |  |  |  |  |  |
| 1. Was the assessment center notified of their status of application? | The following Letters of Notification sent to the AC are duly accomplished and signed: |  |  |  |  |  |  |  |
| * Pre-inspection   (TESDA-OP-CO-03-F06) | ✓ | ✓ |  |  |  |  |  |
| * Post-inspection   (TESDA-OP-CO-03-F09) | ✓ | ✓ |  |  |  |  |  |
| 1. Did the PO provided the AC copy of the Inspection Report? | Inspection Report (TESDA-OP-CO-03-F07) provided to the AC duly accomplished and signed  *(Check date when inspection was conducted)* | ✓ | ✓ |  |  |  |  |  |
| 1. Is the Certificate of Accreditation on file? What is the date of accreditation? | Certificate of Accreditation available and presented at the time of audit | ✓ | ✓ |  |  |  |  |  |
| Accreditation Number shall follow the approved Certificate Numbering and Coding System-Competency Assessment Center (TESDA-OP-CO-03-F1 3) and Qualification nomenclature shall be in accordance with the promulgated Training Regulations. | ✓ | ✓ |  |  |  |  |  |
| 1. Does the AC issue Official Receipt? How much assessment fee is collected from the candidates? | * Official Receipts issued to candidates/company *(check ORs issued)* * Assessment fee collected in accordance with TESDA promulgated assessment fees. |  | ✓ |  |  |  |  |  |
| 1. **PHYSICAL STRUCTURE** | | | | | | | | |
| **B.1. Location** | | | | | | | | |
| 1. Is the AC accessible to public transport? | AC is accessible to public transport |  | ✓ |  |  |  |  |  |
| 1. Is the AC easily identifiable?   Is there a “signage”? | AC Signage is easily identifiable. |  | ✓ |  |  |  |  |  |
| The AC signage contained the following:   * Name of the Accredited Competency Assessment Center; *(Consistent with the Certificate of Accreditation)* * Exact Address; * Accreditation Number; and * Title of Qualification/s where accredited. |  | ✓ |  |  |  |  |  |
| 1. Is there a posting of TESDA promulgated Assessment Fees in the lobby/ reception areas of the AC? | Presence of posted tarpaulin/posters visible to the public for the information of the TVET client.  *(Template compliant to Memorandum No. 178 series of 2019)*  The poster contained the following:  ✔ AC details (Name, Address, Telephone No., Email Address);  ✔ Qualification title;  ✔ Assessment Fee;  ✔ No. of Assessment hours;  ✔ Total No. of Candidates per Assessment/Batch; and  ✔ Name and Signature of Assessment Center Manager. |  | ✓ |  |  |  |  |  |
| 1. Is internet connection available? | Check the presence of internet facility |  | ✓ |  |  |  |  |  |
| **B.2. Area** | | | | | | | | |
| 1. Is the size of the assessment room/laboratory in accordance with the minimum requirements in the CATs? | The size of the assessment room must be in accordance with the requirements in the CATs |  | ✓ |  |  |  |  |  |
| 1. Can the room accommodate at least 10 candidates? | Check the actual measurement of the room |  | ✓ |  |  |  |  |  |
| **B.3. Lighting and ventilation** | | | | | | | | |
| Is the Assessment well lighted and well ventilated?  *1 foot candle = 10.75 lux*  *Mechanical ventilation shall be provided (air conditioning units/blowers/fans) when an adequate supply of fresh air cannot be provided by natural ventilation* | Assessment rooms or laboratories are well lighted *(at least 30 foot candle)* |  | ✓ |  |  |  |  |  |
| Passageways, corridors, stairways or storerooms are well lighted  *(at least 5 foot candle)* |  | ✓ |  |  |  |  |  |
| Toilets and washrooms are well lighted  *(at least 10 foot candle)* |  | ✓ |  |  |  |  |  |
| Assessment rooms or laboratories are well ventilated |  | ✓ |  |  |  |  |  |
| **B.4. Auxiliary room** | | | | | | | | |
| 1. Is storeroom provided for the materials/tools/ supplies? | Storeroom(s) available and well-kept |  | ✓ |  |  |  |  |  |
| 1. Are separate storage bins and racks provided for critical materials? | Bins and racks provided, when applicable |  | ✓ |  |  |  |  |  |
| 1. Can the assessment room for demonstration accommodate at least 10 candidates? | Assessment room for demonstration accommodate at least 10 candidates |  | ✓ |  |  |  |  |  |
| 1. Is an orientation room/ holding area provided for candidates | Orientation room/ holding area provided |  | ✓ |  |  |  |  |  |
| 1. Are chairs and tables available, where applicable? | Chairs & tables available, where necessary |  | ✓ |  |  |  |  |  |
| 1. Are clean & functional comfort rooms available at a convenient part of the building (separate for male and female) | Clean & functional comfort rooms available  (Male & Female) |  | ✓ |  |  |  |  |  |
| **B.5. Assessment equipment, hand tools, supplies, materials** | | | | | | | | |
| 1. Are equipment available according to the Competency Assessment Tools? | Assessment equipment and hand tools are complete and functional according to the list provided in the Competency Assessment Tools |  | ✓ |  |  |  |  |  |
| 1. Are the equipment complete and functional? |  | ✓ |  |  |  |  |  |
| 1. Are hand tools available? |  | ✓ |  |  |  |  |  |
| 1. Are the hand tools complete and functional? |  | ✓ |  |  |  |  |  |
| **B.6. Safety provisions** | | | | | | | | |
| 1. Is medicine cabinet with first aid kit available? | Medicine cabinet with first aid kit is available at the time of audit.   |  | | --- | | **Medicines:** | | Topical antiseptic, 60 cc | | 70% lsopropyl alcohol, 240 cc | | Aromatic spirit of ammonia, 30 cc | | Toothache drops, 15 cc | | Hydrogen peroxide solution, 120cc | | Burn ointment, tube | | Analgesic/anti-pyretic, 10 tablets | | Antacid, 10 tablets | | Anti-diarrhea, 10 tablets | |  | | **Supplies:** | | Thermometer, 1 pc | | Sterile gauze pads, 5 pcs | | Gauze bandages, 1 roll | | Adhesive tape, 1 roll | | Absorbent cotton | | Bandage scissors, 1 pc. | | Hot water bag, 1 pc | | Ice bag, 1 pc | |  | ✓ |  |  |  |  |  |
| 1. Is it located in a strategic area? | Med cabinet is strategically located, i.e., Workshop area) |  | ✓ |  |  |  |  |  |
| 1. Are open floor spaces (entrance and exits) properly marked and maintained? | Open floor spaces (entrance and exits) properly marked and maintained |  | ✓ |  |  |  |  |  |
| 1. Are workstations, tool panels and equipment laid out according to sequence of tasks to allow maximum use of resources? | Workstations, tool panels and equipment are appropriately grouped/ arranged by station/task (check floor plan/shop layout from the accreditation documents file available in the AC) |  | ✓ |  |  |  |  |  |
| 1. Are fire extinguishers available? How many? Are these functional? | Functional fire extinguishers (A, B, C types) available |  | ✓ |  |  |  |  |  |
| **B.7. Closed-Circuit Television (CCTV) System** | | | | | | | | |
| 1. Does the AC have functional CCTVs installed and are able to record audio? | The AC have functional CCTV camera installed covering the following areas:   * Assessment area/room * Workstations/workshops * Supplies, materials, and equipment storage room * Waiting area/room * Area for the Oral questioning and feedback session with the competency assessor |  | ✓ |  |  |  |  |  |
| The AC’s CCTV system installed is capable of recording audio. |  | ✓ |  |  |  |  |  |
| 1. Does the AC’s CCTV system record properly? | AC CCTV system records properly. The AC was able to perform playback of the footage from the recording on the day of audit. |  | ✓ |  |  |  |  |  |
| AC was able to perform playback of the recording from the immediately preceding batch of conduct of competency assessment and one (1) other recording from any prior conduct of competency assessment. |  | ✓ |  |  |  |  |  |
| The CCTV recording show the presence of the TESDA Representative for the entire duration of the assessment |  | ✓ |  |  |  |  |  |
| 1. Does the AC retains copy of all CCTV recordings for all approved conduct of competency assessment? | Existence and consistency of all recordings retained by the ACs vis-à-vis the list of approved assessment schedules or RWAC maintained at the Provincial/District Office. | ✓ | ✓ |  |  |  |  |  |
| Presence and completeness of every recording filed to ascertain the existence of the correct and valid footage recording vis-à-vis the filed Consent Forms. | ✓ | ✓ |  |  |  |  |  |
| 1. Does the AC maintain copies of accomplished Consent Forms (of the candidates and assessor) and Data Destruction forms and filed at the AC? | Consistency and completeness of the Consent Forms and Data Destruction forms filed at the AC vis-a-vis the list of approved assessment schedules or RWAC. | ✓ | ✓ |  |  |  |  |  |
| 1. Does the AC submits copy of CCTV recording to the District/ Provincial Office for all approved conduct of competency assessment not later than one day after the assessment? | The AC submits copy of CCTV recording to the District/Provincial Office either thru:   * DVD/USB drive *(evidenced by a transmittal document duly received)*; or * Uploaded in a Google Drive maintained by the DO/PO concerned *(evidenced by email acknowledgement or any document that would prove uploading of recording)* | ✓ | ✓ |  |  |  |  |  |
| 1. In cases where a change/event that directly or indirectly affects the recording of the conduct of competency assessment in relation to conditions existing during or after conduct of competency assessment (that would result to non-recording and/or non-submission of recording), did the AC notify TESDA immediately? | Letter from the AC duly stamped received by TESDA informing the latter of an event that directly or indirectly affects the recording of the conduct of competency assessment in relation to conditions existing during or after conduct of competency assessment | ✓ | ✓ |  |  |  |  |  |

|  |  |
| --- | --- |
| **PROCESS** | **COMPETENCY ASSESSMENT** |

| **QUESTIONS** | **EVIDENCE/S** | **LOCATION OF EVIDENCE** | | **COMPLIANT** | | | | **REMARKS**  **(Complete statement of Remarks/ Observations/ Findings)** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **YES** | | **NO** | |
| **Particulars** | **PO** | **AC** | **PO** | **AC** | **PO** | **AC** |
| 1. Were the applicants/ candidates officially endorsed by the Provincial/ District Director? | Official endorsement, signed by the Provincial/District Director, of the list of applicants/candidates for assessment | ✓ | ✓ |  |  |  |  |  |
| 1. How many candidates were assessed per schedule of assessment? | Not to exceed 10 candidates per batch | ✓ | ✓ |  |  |  |  |  |
| 1. **ASSESSMENT METHODOLOGIES AND PROCEDURES**   (Observe conduct of assessment by the competency assessor) | | | | | | | | |
| 1. Is copy of the Letter of Appointment signed by the Provincial/District Director and Assessor available? | Copy of Letter of Appointment (TESDA-OP-CO-05-F28) duly signed is available and presented at the time of audit |  | ✓ |  |  |  |  |  |
| 1. Is the assessor wearing an ID? | ID of Assessor  (TESDA-OP-CO-04-F22) |  | ✓ |  |  |  |  |  |
| **The following STEPS are observed during the conduct of assessment thru the CCTV recording of the immediately preceding batch of conducted competency assessment.**  *(Any observations and findings from below questions which are highlighted in color will be tagged under the process of “Accreditation of Competency Assessor” and noncompliance to which will be called out to the District/Province concerned)* | | | | | | | | |
| STEP 1 - *Establish the assessment context and purpose of Assessment. (*The assessor shall ensure that the assessment site complies with the relevant OSH requirements, i.e., well lighted, well ventilated & risk areas are marked) | | | | | | | | |
| 1. Did the assessor check the assessment area, functionality of equipment, completeness of tools, materials, supplies prior to assessment? | Assessor performed checking of assessment area, functionality of equipment, completeness of tools, materials, supplies prior to assessment. |  | ✓ |  |  |  |  |  |
| STEP 3 - *Prepare the candidate* | | | | | | | | |
| 1. Did the assessor check the attendance of the candidates? | Assessor checked the attendance of the candidates. |  | ✓ |  |  |  |  |  |
| 1. How did the assessor establish the identity of the candidates? | Assessor verified the identity of candidates’ vis-a-vis the Admission Slips |  | ✓ |  |  |  |  |  |
| 1. Did the Assessor conduct orientation before the conduct of assessment?   What information were given to the candidates? | Contents of the orientation shall be:   * Contexts & purpose of assessment * Qualification/units of competency to be assessed * Tasks to be performed/time limits * How the evidence will be collected/ assessment procedures * Allowable adjustment, when applicable * DOs & DONTs * Rights and appeal system * Issuance of NC * Re-assessment procedures |  | ✓ |  |  |  |  |  |
| STEP 4 – *Collect the evidence and make the assessment decision* | | | | | | | | |
| 1. Are candidates provided with the appropriate supplies/materials to be used? | Candidates are provided with the complete set of S/M by the Assessor |  | ✓ |  |  |  |  |  |
| 1. Did the assessor provide the candidate a copy of the Specific Instruction to the Candidate? | Every candidate is provided with a copy of the *Specific Instruction to the Candidate*. This shall be returned to the assessor after assessment |  | ✓ |  |  |  |  |  |
| 1. How did the Assessor ensure that the candidate understood the contents of the Instruction? | Assessor permitted the Candidates to ask questions. |  | ✓ |  |  |  |  |  |
| 1. Did the assessor explain to the candidate the safety procedures in the operation of the equipment prior to assessment? | Assessor explained to the candidates the safety procedures in operating the equipment prior to assessment. |  | ✓ |  |  |  |  |  |
| STEP 5 – *Provide feedback on the assessment.* | | | | | | | | |
| 1. Did the assessor provide the candidate clear and constructive feedback on the assessment result? How? | Feedback is one-on-one |  | ✓ |  |  |  |  |  |
| 1. Did the assessor inform successful candidate how, when, and where to claim the NC? | Information that successful candidates shall claim their NC/COC at the TESDA PO upon presentation of CARS (3 working days after assessment) |  | ✓ |  |  |  |  |  |
| 1. When did the Candidate sign the Rating Sheet? | Rating Sheet is signed by the candidate right after the one-on-one feedback |  | ✓ |  |  |  |  |  |
| 1. **ASSESSMENT DOCUMENTATION AND REPORTING** | | | | | | | | |
| 1. Who prepares the RWAC? | RWAC is prepared by the Processing Officer at the AC | ✓ | ✓ |  |  |  |  |  |
| 1. When did the assessor sign the RWAC?   How did the assessor ensure the integrity of the data/contents in the RWAC? | RWAC is signed by the assessor after comparing results in the Rating Sheet, CARS and Attendance Sheet | ✓ | ✓ |  |  |  |  |  |
| 1. Is the TESDA Rep present for the entire duration of the assessment? | TESDA Rep must be present for the entire duration of the assessment. | ✓ | ✓ |  |  |  |  |  |
| 1. Did the TESDA Representative administer the Performance Evaluation Instrument TESDA-OP-CO-05-F37) to at least 2 candidates and AC Manager? | TESDA Rep administered the Performance Evaluation Instrument (TESDA-OP-CO-05-F37) to at least 2 candidates and AC Manager | ✓ | ✓ |  |  |  |  |  |
| 1. Is the name of accredited assessment center entered in the Registry of Accredited Competency Assessment Centers? | Name of AC found in the Registry of Accredited Competency Assessment Centers. | ✓ | ✓ |  |  |  |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Prepared and submitted by** | | | | |
|  |  |  |  | \_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Name of Auditor |  | Designation |  | Date |
|  |  |  |  | \_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Name of Auditor |  | Designation |  | Date |
|  |  |  |  | \_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Name of Auditor |  | Designation |  | Date |