NCVET
कौशल गुणवत्ता प्रगति

कौशल विकास और उद्यमशीलता मंत्रालय
MINISTRY OF SKILL DEVELOPMENT
& ENTREPRENEURSHIP
GOVERNMENT OF INDIA
सत्यमेव जयते

Skill India
कौशल भारत-कुशल भारत

GUIDELINES

FOR RECOGNITION AND REGULATION OF ASSESSMENT AGENCIES

2025

June 2025

जयन्त चौधरी
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सत्यमेव जयते

कौशल विकास और उद्यमशीलता
राज्य मंत्री (स्वतंत्र प्रभार) एवं
शिक्षा राज्य मंत्री
भारत सरकार
Minister of State (Independent Charge)
Skill Development and Entrepreneurship;
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Government of India

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MESSAGE

India stands at a pivotal moment in its development journey, where economic advancement is intrinsically linked to the strength and adaptability of its workforce. As our Hon'ble Prime Minister has rightly articulated, "*India has the opportunity to become not only a knowledge centre but the skill capital of the world. India's skill capital can become the engine of global growth*",this vision calls for a renewed and focused effort to build a world-class, future-ready workforce.

In alignment with this national aspiration, the National Council for Vocational Education and Training (NCVET) has developed the *Comprehensive Guidelines for Recognition and Regulation of Assessment Agencies 2025*. These guidelines represent a strategic and progressive shift from a traditional regulatory stance to a more facilitative approach—one that prioritizes institutional excellence, continuous improvement, and innovation in assessment practices.

Guided by the principles of the National Education Policy (NEP) 2020, the guidelines champion competency-based assessment. They place emphasis on measuring learning outcomes, the practical application of knowledge, and the development of higher order thinking skills through diverse and authentic assessment methods. This learner-centric approach enhances transparency and inclusivity, ensuring that assessments evolve into tools of empowerment and opportunity, rather than mere gatekeeping.

I urge all stakeholders in the skilling ecosystem including Assessment Agencies, Awarding Bodies, training providers, and industry partners to adopt and implement these guidelines with dedication and integrity. By doing so, we can collectively contribute to building a skilled, resilient, and globally competitive workforce that drives India's growth in the years to come.

Jai Hind.

(Jayant Chaudhary)

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भारत सरकार
NATIONAL COUNCIL FOR VOCATIONAL EDUCATION AND TRAINING
Ministry of Skill Development and Entrepreneurship
Government of India

Foreword

The present era is marked by rapid transformation in the skilling landscape, establishing robust, credible, and transparent assessment mechanisms is vital to maintaining the integrity of vocational education and training. With increasing emphasis on outcomes-based certification and alignment to the National Skills Qualifications Framework (NSQF), the role of Assessment Agencies (AAs) has become more critical than ever in reinforcing the foundation of India's skilling ecosystem.

The *Comprehensive Guidelines for Recognition and Regulation of Assessment Agencies* mark a significant milestone by the National Council for Vocational Education and Training (NCVET) in creating a unified framework for the recognition, regulation, and monitoring of AAs. Developed in response to the evolving needs of the ecosystem, these Guidelines are aligned with key national policies, including the National Education Policy 2020, the National Credit Framework 2023, and the revised NSQF 2023.

These revised Guidelines consolidate and streamline earlier frameworks, introducing clearly articulated eligibility criteria, sectoral and geographic recognition structures, standardized assessment protocols, and a risk-and-excellence-based monitoring and evaluation mechanism. These go beyond mere compliance, to promoting continuous improvement, innovation, and alignment with industry needs. The objective is to ensure that assessments conducted across the skilling value chain are fair, inclusive, technology-enabled, and future-ready.

As the national regulator for vocational education and training, NCVET envisions a high-quality, transparent, and efficient assessment ecosystem where Assessment Agencies (AAs) are both empowered and held accountable. These Guidelines are intended to serve as a foundational tool to help AAs strengthen their capacities, uphold quality standards, and align more closely with national priorities in skills development. In doing so, we reinforce our collective resolve to enhance the employability, mobility, and credibility of India's skilled workforce.

We extend our sincere appreciation to all stakeholders, government bodies, industry partners, Awarding Bodies, and training providers for their continued support and collaboration. We are confident that these Guidelines will significantly contribute to our shared objective of building a resilient, high-quality, and future-ready workforce. I urge all stakeholders to adopt and implement the Guidelines with earnest commitment and dedication.

(Atul Kumar Tiwari)

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Dr. Neena Pahuja
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राष्ट्रीय व्यावसायिक शिक्षा और प्रशिक्षण परिषद
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Preface

The landscape of education and skilling is rapidly evolving, propelled by emerging trends and technologies. The introduction of advanced methods and modes of teaching, learning and evaluating as advocated by the National Education Policy (NEP) 2020, aligns with these transformative shifts. In this dynamic skilling ecosystem, assessment is facing major technological advancements and positive disruptions brought out by major policy initiatives such as National Credit Framework (NCrF), revised National Skill Qualification Framework (NSQF) and Blended Learning Guidelines. In line with the implementation of such major policy changes in Vocational Education, Training and Skilling (VETS) ecosystem and catering to these advancement, the **Revised Comprehensive Guidelines for Recognition and Regulation of Assessment Agencies (AA) 2025**has been formed.

These guidelines has been comprehensively revised to laydown standards for the recognition of Assessment Agencies keeping in mind the various challenges in the existing process and inputs received from various stakeholders. As an overarching regulator of the skilling ecosystem, the aim of these guidelines is to create a pool of credible assessment agencies working as per the standard assessment norms with quality governance and an effective monitoring mechanism.The guidelines details out a monitoring mechanism based on theExcellence-Risk Framework (ERF).These guidelines also addresses the requirement for expansion of the sector and the jurisdiction of Assessment Agencies.

I extend my deepest appreciation to all esteemed stakeholders whose active engagement and insightful contributions have been instrumental in shaping this comprehensive policy documentin a timely manner. I take this opportunity to acknowledge the exemplary efforts undertaken at NCVET under the visionary leadership of Dr. Nirmaljeet Singh Kalsi, former Chairperson, NCVET;support from Dr. Vinita Aggarwal, Executive Member, NCVET; Col. GunjanChowdhary, Director, NCVET;and the dedicated NCVET team comprising Mr. Amit Sharma, Ms. OjasviGoyal, Ms. Pragya Sharma, and Mr. Subramanian Rajendran. I also sincerely appreciate the technology partner, TCS, who has supported the automation ofthe recognition process, and Deloitte & EY team who supported testing & creation of ERF process.

My heartfelt gratitude is also extended to Shri Jayant Chaudhary, Hon'ble Minister, MSDE, and Shri Atul Kumar Tiwari, Secretary, MSDE, for their visionary outlook and unwavering support, which have greatly enriched and refined these guidelines.

I strongly implore all stakeholders to embrace these guidelines wholeheartedly.

Dr. NeenaPahuja
Executive Member
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Contents

1. INTRODUCTION AND BACKGROUND 01

1.1. Overview of the Education and Skilling Ecosystem 01

1.2. Overview: NCVET as a National Regulator for Vocational Education, Training and Skilling 01

1.3. Vision and Objectives of AA Guidelines 02

1.3.1. Vision 02

1.3.2. Objectives 02

1.4. Need of Revised Comprehensive Guidelines for Recognition and Regulation of Assessment Agencies 03

1.5. Scope of AA Guidelines 03

2. ELIGIBILITY CRITERIA FOR THE RECOGNITION OF ASSESSMENT AGENCIES (AAS) 04

2.1. Recognition of AA 04

2.2. Scope of Recognition: 04

2.2.1. Geographical 04

2.2.2. Sectoral 04

2.3. Eligibility Criteria for Recognition: 04

2.3.1. Legal Status of Assessment Agency: 04

2.3.1.1. Members on the Board and their Minimum Experience 05

2.3.1.2. Mergers and Acquisitions 05

2.3.1.3. Any other type of Applicant AA 05

2.3.2. Prior Experience in Vocational Education, Training and Skilling 06

2.3.2.1. Criteria - Sectoral/ Domain and Geography 06

2.3.3. Financial Status of Applicant 07

2.3.3.1. Criteria 07

2.3.3.2. Timeline for Considering the previous prior experience 08

2.3.4. Eligibility Criteria (Matrix) 08

2.3.5. Sector Credibility (Including Industry Linkages) 08

2.3.5.1. Number of Sector-Wise Assessments Conducted 08

2.3.5.2. Availability of Assessors, Master Assessors and Proctors 08

2.3.5.3. Availability of Subject Matter Experts (SMEs) 08

2.3.5.4. Availability of Question Banks 08

2.3.1.5. Availability of Industry Connects through MoUs/ Agreements 09

2.3.6. Infrastructure Requirements 09

2.3.6.1. Physical Infrastructure required for Assessments 09

2.3.6.2. Digital Infrastructure required for Assessments 09

2.3.7. Governance and Human Resources Management 11

2.3.8. Comprehensive Future Plans 12

2.4. Conflict of Interest 12

3. RECOGNITION OF ASSESSMENT AGENCIES – PROCESS 13

3.1. Process of Recognition 13
3.2. Application & Recognition Process 13
3.3. Tenure of Validity of AA 15
3.4. Grant of Provisional Recognition through the Issuance of Letter of Intent (LoI) 15
3.5. Grant of Regular Recognition through Signing of the Agreement with the Applicant Body 15
3.6. Extending the Scope and Jurisdiction of the Recognized Assessment Agency (AA) 15
3.6.1. For Allocation of New Territorial Jurisdiction 16
3.6.2. Expansion of Sectors 17
3.7. Reducing the Scope and Jurisdiction of the Recognized Assessment Agency (AA) 17
3.8. Provision of Fast-Track approval for certain emergent/special categories 17
3.9. Ineligibility & Withdrawal of Application 18
3.9.1. Suspension/Blacklisting of the Applicant by NCVET 18
3.9.2. Provision of Review and Appeal 18
3.9.3. Number of times an Applicant may apply Post Rejection/Withdrawal 19
3.10. Penalties in case of Non-adherence 19
3.10.1. Financial Penalties 19
3.10.2. Other Penalties 19
3.11. Renewal of Application as an AA 20
3.11.1. Submission of Application for Renewal 20
3.11.2. Revised Allocation of Sectors and Territorial Jurisdiction 20
3.12. On Boarding of Assessment Agencies by Awarding Bodies 20
3.13. Data Aggregation 20

4. ROLES, RESPONSIBILITIES AND FUNCTIONS OF ASSESSMENT AGENCIES 21

4.1. Development of Question Banks 21
4.2. Assessment (Assessment Calendar, Assessment Tools Availability, ToA etc) 21
4.3. Availability of Assessors and other Assessment Staff 22
4.3.1. Availability of sufficient number of Subject Matter Experts (SME) and Proctors 23
4.4. Role of AA in Pre-Assessment 23
4.5.. Role of AA during Assessment 23
4.6. Role of AA in Post-Assessment 24
4.7. Provision of Re-assessment 24
4.8. Detailed Assessment Process 25
4.9. Adherence to NCVET Guidelines 27
4.10. Adherence to Standardized Assessment Methodology 27
4.11. Promotion of Technology 27
4.12. Research & Development 28
4.13. Relationship of Assessment Agency with various Stakeholders 28

5. INTRODUCTION AND BACKGROUND 29

5.1. Objectives of Monitoring and Evaluation 29
5.2. Monitoring and Evaluation via Excellence-Risk Framework 30
5.2.1. Purpose of Excellence-Risk Framework (ERF) 30
5.2.2. Process of Monitoring mechanism 30
5.2.3. Parameters of Excellence-Risk Framework (ERF) 31
5.2.4. Structure of the Excellence-Risk Framework (ERF) 33
5.2.5. Definition of Excellence and Risks 33
5.2.6. Submission of monitoring data on DEP (Digital Enterprise Portal) 34
5.3. Process for Implementation of Excellence-Risk Framework 34
5.3.1. Step 1: Preparation of Scoring Matrix 34
5.3.2. Step 2: Grading 37
5.4. Consequences of Scores for AAs 38
5.4.1. Physical Inspection 38
5.4.2. Renewal of Recognition 38
5.5. Frequency of Monitoring 38
5.6. Risk Mitigation Process 38
5.6.1. Risk Mitigation Measures of AA & Corrective Actions 40
5.6.2. Actions by NCVET 40

6. CONCLUSION 42

ANNEXURE 43

1. Annexure I: Definitions 43
2. Annexure II: List of Sectors (Indicative) 44
3. Annexure III(a): Types of companies under Companies act 2013 45
4. Annexure III(b): DPIIT Criteria for startups 45
5. Annexure IV: Classification of States and UTs 46
6. Annexure V: Region wise list of States for PAN INDIA recognition 47
7. Annexure VI: Areas considered for Prior Experience 47
8. Annexure VII: Detailed Recognition process 48
9. Annexure VIII: Application Form for Expansion of Territorial Jurisdictions and Sectors 51
10. Annexure IX(a): Detailed Excellence Risk Framework 55
11. Annexure IX(b): Sub-Parameter weightage 59
12. Annexure X: Quality Improvement Plan 61
13. Annexure XI: Preventive Risk Plan and Improvement Progress Plan 62
14. Annexure XII: Risk Mitigation & Management Plan 63
15. Annexure XIII: Risk Mitigation Measures 64

Figures

- Figure 1 Current application process and evaluation 14
- Figure 2 Assessment process for Qualifications 25
- Figure 3 Assessment process for MC/NC 26
- Figure 4 Process flow of monitoring 50

Tables

- Table 1 Prior Experience requirement 07
- Table 2 Eligibility criteria 08
- Table 3 Required number of assessments for expansion of Territorial jurisdiction 16
- Table 4 Required Minimum Financial turnover 16
- Table 5 Ineligible/withdrawal cases 18
- Table 6 Assessor : Learner ratio 24
- Table 7 Timelines for AAs 26
- Table 8 Relationship of AA with various Stakeholders 28
- Table 9 List of Macro and Sub-Parameters 32
- Table 10 Structure of ERF (with example of a sub-parameter) 33
- Table 11 Definition of Risks and Excellence 33
- Table 12 Weightage of Macro-Parameters 35
- Table 13 Score of Risks and Compliance 35
- Table 14 Illustrative example of an Assessment Agency named AA1 35
- Table 15 Grading Bands 36
- Table 16 List of Macro and Sub-Parameters 37
- Table 17 Risk Mitigation Process 38
- Table 18 Frequency of Occurrence (Consecutive) 39
- Table 19 Comparison of Grades 40

01 INTRODUCTION AND BACKGROUND

1.1. OVERVIEW OF THE EDUCATION AND SKILLING ECOSYSTEM

Vocational Education, Training, & Skilling (VETS) are essential components of global efforts to address skills gaps, promote economic growth, foster innovation, support social inclusion and are key to preparing a future-ready workforce, promoting sustainable development in the global context. By investing in VETS programs, countries can build a global skilled workforce capable of meeting the challenges and opportunities of the 21st century economy. The skill development efforts in the country aims at increasing the productivity and employability of the workforce by synergizing efforts of various sectors of economy. The skill ecosystem in India has witnessed some great disruptive reforms and policy interventions which are reinvigorating and re-energizing the country's workforce today preparing the youth for not only for national and global job opportunities but also the self-employment and entrepreneurship opportunities.

The integration of skilling into education and vocational training is critical for India to harness its demographic dividend, drive inclusive economic growth, reduce poverty, and build a developed nation by 2047. Investing in high-quality VETS programs is an investment in a more skilled, prosperous, and equitable future. Achieving this requires a comprehensive approach involving multiple stakeholders, policies, and strategies to enhance quality and standards in vocational education and training.

The National Council for Vocational Education and Training (NCVET), as the national regulator for skilling, is committed to maintaining quality assurance across the entire vocational training value chain. One of the key mechanisms for maintaining this quality is a robust assessment system that validates learning outcomes and ensures alignment with industry standards. By establishing transparent, fair, and competency-based assessments, NCVET strengthens the credibility of training programs and enhances workforce preparedness. A well-structured and unbiased assessment system plays a pivotal role in sustaining the integrity and effectiveness of skilling initiatives. It not only ensures fair certification but also directly enhances a learner's employability by providing reliable skill validation, thereby facilitating better job opportunities and career progression.

1.2. OVERVIEW: NCVET AS A NATIONAL REGULATOR FOR VOCATIONAL EDUCATION, TRAINING AND SKILLING

The National Council for Vocational Education and Training (NCVET) was notified by the Ministry of Skill Development and Entrepreneurship (MSDE) on 5th December 2018 to integrate the fragmented regulatory systems in India and infuse quality assurance across the entire skilling/ vocational training value chain, leading to strengthened outcomes. In order to regulate the functioning of entities engaged in Vocational Education, Training & Skilling (VETS) and to establish minimum standards for their functioning, the National Council for Vocational Education and Training (NCVET) notification no. SD-17/113/2017-E&PW dated 05.12.2018, states:- "The National Council for Vocational Education and Training shall be entrusted with the development, qualitative improvement and regulation of vocational education and training, for granting recognition to and monitoring the functioning of awarding bodies, assessment agencies, skill information providers, and training bodies, and to perform other incidental functions as specified in the Resolution."

The NCVET is an overarching skills regulator which regulates the functioning of entities engaged in vocational education and training, both long and short-term and establish minimum standards for the functioning of such entities. The major functions of NCVET include:

a. Recognition and Regulation of Awarding Bodies (ABs), Assessment Agencies (AAs) and Skill related Information Providers
b. Approval of qualifications as per the NSQF (National Skills Qualification Framework)
c. Monitoring and supervision of recognized entities
d. Grievance Redressal.

The Awarding Bodies develop qualifications, ensure conduct of quality training and certify the trainees ensuring industry relevance and competency-based learning. The Assessment Agency ensures the conduct of quality assured standardized assessment to formally evaluate the learning outcomes (knowledge, skills and/or competencies) of an individual, records results, and develops assessment strategy and Standard Operating Procedures (SOPs)/ question banks, assessment and delivery processes, performance reporting and analytics, roles and responsibilities of the assessors, proctors and SME, etc. NCVET grants recognition to AAs and strives to address the issues related to quality in outcomes while putting forth standardization across assessments in the skill training value chain.

For the regulation of AAs, this comprehensive document namely – 'Comprehensive Revised Guidelines for Recognition and Regulation of Assessment Agencies 2025' has been developed by integrating the erstwhile 'Guidelines for Recognition and Regulation of Assessment Agencies' and the 'Operational Manual'.

1.3. VISION AND OBJECTIVES OF AA GUIDELINES

1.3.1. Vision

The Guidelines for Recognition and Regulation of Assessment Agencies are envisioned to serve as the cornerstone for fostering a robust and equitable educational and skilling ecosystem. This vision is rooted in the belief that rigorous and fair assessments are fundamental to the integrity of educational and skilling mechanisms, workforce development, and the overall societal trust in qualifications and competencies. The Guidelines aim to create a standardized framework that ensures the highest quality in assessment practices, promote transparency, and safeguard the interests of learners, assessment agencies and employers alike.

1.3.2. Objectives

NCVET mandates a dynamic and robust mechanism to ensure standards of quality and reliability are maintained amongst all the AAs. The mechanism ensures the standardization of processes in the skill ecosystem. During the tenure of a recognized body both periodic & yearly evaluation of performance shall be undertaken based on clearly defined parameters and evidence. NCVET monitoring mechanism ensures an outcome-based system which will help AAs to identify the risks and mitigate the same through corrective actions. The Assessment Agency Guideline lays down the documentary evidence required and the processes for recognition and continuing operational efficiency for applicant organizations. The objective of the guideline is as follows:

a. Process of selection of Assessment Agencies.
b. Standardization of processes to be adopted by Assessment Agencies.
c. Quality assurance measures in planning & development of assessments.
d. Quality improvement mechanism in the operational conduct of Assessment Agencies & expected Governance mechanisms followed by Assessment Agencies.
e. NCVET procedures, templates, and parameters for monitoring of Assessment Agencies.
f. Alignment of Assessment with requirements as in National Skill Qualification Framework (NSQF).

1.4. NEED OF REVISED COMPREHENSIVE GUIDELINES FOR RECOGNITION AND REGULATION OF ASSESSMENT AGENCIES

The Guidelines for Recognition of Assessment Agencies and Operational manual were notified on 28th October 2020. The guidelines draw up the contours of the norms of recognition, the operational manual delineates the detailed implementation process, monitoring mechanism and the repository of documentary evidence which would be required for initial recognition and continued affiliation of the assessment agencies.

During the course of implementation, several recommendations were received from the stakeholders owing to which certain addendums were made in the Guidelines regarding Eligibility criteria.

Since the launch of National Education Policy NEP 2020, National Credit Framework 2023, Revised National Skills Qualification Framework 2023, there exists a need to align the Guidelines with these national level frameworks. In addition to this, with the launch of Digital Enterprise Portal (DEP) which digitizes the recognition process and minimizes manual interaction, it has become necessary to revise the guidelines to elaborate on the recognition process in the context of DEP implementation. Therefore, a need for a vibrant policy framework was envisaged that encourages improvements and key transformations in the skilling network.

These Revised Guidelines set the overarching governance and effective working principles in line with globally recognized accreditation standards of quality assurance which will ensure the identification and sustenance of the best-in-class AAs in the NCVET ecosystem. This dynamic and outcome-focused document will lead to positive reforms in both short-term and long-term skilling endeavors and will strengthen the regulation of bodies that certify skilled candidates across sectors. Additionally, technology-based processes for accreditation will further streamline these processes.

1.5. SCOPE OF AA GUIDELINES

a. Eligibility Criteria:
Section 2 of the Guidelines defines the minimum eligibility criteria for agencies that seek to undertake assessment and be recognized as AAs by NCVET. This section lays down the basic minimal requirements for entities who seek NCVET recognition as an assessment agency including their legal status, prior experience, financial status, sectoral credibility, and infrastructure. It is outlined that AAs are expected to adhere to standardized assessment protocols, deploy qualified assessors, maintain ethical standards, and submit timely reports.

b. Process of Recognition:
Section 3 of the Guidelines delineates the application process for the entity seeking NCVET recognition as an Assessment Agency. This section defines the complete process along with the submission of fees, tenure of validity, application flowcharts with timelines, process for renewal of recognition tenure, expansion into new sectors and Jurisdiction and other special provisions applicable to Assessment Agencies.

c. Roles, Responsibilities, and Functions of Assessment Agencies:
Section 4 of the Guidelines defines the major roles and responsibilities of a recognized Assessment Agency, operationalization of AA Guidelines, allocation of sectors and geographies and other such parameters. It also provides the expected governance process to be adopted by AAs for assessments.

d. Monitoring and Evaluation:
Section 5 of the Guidelines defines the monitoring and evaluation criteria for the recognized AAs including mechanism, types, frequency, risk assessment framework, risk ratings, corrective actions. This framework will be used to evaluate the performance of AAs. The Guidelines for Recognition and Regulation of Assessment Agencies shall also be applicable to the Awarding Body (Dual) for assessment-related functions.

02

ELIGIBILITY CRITERIA FOR THE RECOGNITION OF ASSESSMENT AGENCIES (AAS)

2.1. RECOGNITION OF AA

Recognition of an entity as an Assessment Agency (AA) by NCVET means that the entity has been authorized to assess trainees after completion of the training for NSQC aligned and approved qualification.

2.2. SCOPE OF RECOGNITION:

2.2.1. Geographical:

Geographical recognition entails the approval by NCVET to AAs for conducting assessments in different Indian States and Union Territories for a specified tenure. NCVET will give geographical recognition to AAs state-wise/ PAN India. Assessment Agencies may seek recognition for one state/ multiple states/ PAN India based on the conditions specified in the Eligibility Criteria.

2.2.2. Sectoral:

The sector can be defined as a group of professional activities which are categorized based on the main economic function performed by different individuals. A sector shares the same or related economic activities, products, services or technology. There are 59 such sectors clearly defined and adopted in the skilling ecosystem. The Indicative list of sectors is attached as Annexure II.

The recognition holds validity with respect to sector/s for which approval of NCVET has been obtained. Assessment Agencies (AAs) will be recognized by NCVET for offering the services of assessment in one sector or multiple sectors based on their competency and experience, as outlined in the Eligibility Criteria. This information will be in the public domain to ensure that it is available to all the stakeholders.

Note: Once recognized, an AA may apply for recognition in additional sectors or geographies as per the criteria laid out in section 3.6 of Assessment Agency Guidelines.

2.3. ELIGIBILITY CRITERIA FOR RECOGNITION

2.3.1. Legal Status of Assessment Agency:

a. The entity should be legally recognized to operate within the jurisdiction of India and the State/UT (as the case may be). The entity must be registered/ affiliated with the appropriate authority in India as a:

   i. Company registered under Companies act, 2013. The details of Companies eligible to apply as an Assessment Agency are given as Annexure III(a).
   ii. Society registered under Societies Registration Act, 1860
   iii. Charitable Trust registered under Indian Trusts Act, 1882
   iv. Limited Liability Partnership registered under Limited Liability Partnership Act, 2008

b. If any foreign entity intends to seek NCVET recognition as an AA, they may apply in the following ways, adhering to Foreign Contribution (Regulation) Act, 2010 (FCRA) and norms:

   i. Application must be made by a subsidiary registered in India or
   ii. The entity may get into a consortium with an Indian subsidiary. In the case of consortium, there should be clearly identified lead partner. NCVET guidelines for entities getting into a consortium can be accessed at ***https://ncvet.gov.in/wp-content/uploads/2023/01/Consortium-Guidelines.pdf***

c. Entity should not have been blacklisted by any government agency/ public sector undertaking/ autonomous bodies or any other regulatory body.

d. Entity should have a valid PAN, GST and any other statutory requirement under the Government of India or any state government.

2.3.1.1. Members on the Board and their Minimum Experience

The required members on the board shall be as per the respective laws/acts based on the type of entity. It is mandatory for two board members to have atleast 10 years of experience in skilling, vocational education, training and assessments except one-person company. The members may be sector/domain experts in a particular field in which the assessment is conducted.

2.3.1.2. Mergers and Acquisitions

a. For the purpose of these Guidelines, a “merger” is defined as the combination of two or more companies into one entity, wherein all assets, liabilities, and shareholders' interests of the merging companies are transferred to the newly formed or existing company. Both the companies will cease to exist in a merger as they operate as another new company. "Acquisition" is defined as the process through which one company acquires control over another company, either by purchasing a significant number of shares or by taking over its assets and liabilities. It involves the transfer of ownership and control of the acquired company to the acquiring company.

b. For the entities applying for NCVET recognition as an AA and have been constituted as a result of merger and/or acquisition must comply with the following conditions:

   i. A merger and/ or acquisition between two companies shall only be considered by NCVET if both the companies directly/ indirectly deal with the assessment, skill-development, consultancy services related to skill development, education services and other related functions. However, in case any entity is dealing with training-related activities on NSQF-aligned qualifications, it shall account for conflict of interest and the application shall not be considered for NCVET recognition.
   ii. The requisite documents related to the Merger and Acquisition of entities such as MoU between both the companies, Sale-Purchase Agreement, Due Diligence Reports and Regulatory filings must be submitted to NCVET at the time of application.

2.3.1.3. Any other type of Applicant AA

a. Startups: As per the Department of Industrial Policy and Promotion (DPIIT), a startup can be defined as a “business entity that has been established within the last 10 years and has a turnover of less than Rs. 100 crores in any financial year since its inception”. Further, the startup should have the potential to generate employment and contribute in economic wealth. Also, startups should be working towards improving existing products, services, or processes. The new ideas and innovations in the skilling ecosystem brought by startups are encouraged for the benefit of all the stakeholders. To encourage startups to function as Assessment Agencies in the VET ecosystem suitable relaxations with respect to the eligibility criteria in terms of prior experience and financials may be considered by NCVET. The NCVET council shall exercise the power to examine such a case and take decision accordingly. Startups applying to become an AA shall fulfill the DPIIT criteria as mentioned in Annexure III(b).

b. Subsidiary Company: An entity (or applicant), operating under a parent company, seeking NCVET recognition as an assessment agency shall provide the details of the parent company along with the detailed documents of subsidiary company. The experience of parent organization may be considered in the application of subsidiaries, details are in point 2.3.2.1.

c. International Assessment Agency: An international/ global assessment agency refers to an agency that operates in one or more countries other than their native country and is responsible for conducting assessments, evaluations, or examinations to assess whether a learner has met the requirements necessary to be competent and qualified with respect to a skill or qualification.

The primary focus of an international/ global assessment agency is to assess the knowledge, skills, competencies, or qualifications of individuals or entities on a global level and such agencies operate across different regions, countries.
In order to seek NCVET recognition as an Assessment Agency, the applicant body of international repute must comply with the following additional conditions:

i. The entity must be registered in India
ii. The entity must demonstrate a proven track record of successfully conducting international assessments.
iii. The entity must demonstrate the existing collaborations/ MoUs with international organizations, educational institutions, and other stakeholders in the vocational education and training domain by submitting requisite evidence in the form of validations.

To encourage these entities to function as Assessment Agencies in the VET ecosystem suitable relaxations with respect to the eligibility criteria in terms of prior experience and financials may be considered by NCVET.

d. Entities working in Niche Areas/ Technologies: A niche area refers to a specific, specialized segment within a broader field or market. It typically caters to a unique or smaller group of individuals who have particular interests, needs, or preferences that are not addressed by mainstream offerings. By focusing on a niche, individuals or businesses can offer tailored experiences, products, or services that stand out in a crowded marketplace. NCVET may modify the criteria, in the public interest, for companies working in niche areas, emerging/ futuristic technology areas, new age/ future skills areas or strategic areas, on a case-to-case basis. The courses/ qualifications offered should be relevant to their own products, services or technologies in high demand.

The entities applying for special category in PwD sector must adhere to the NCVET Guidelines for Providing Comprehensive Accessibility Standards for training of Persons with Disabilities.

2.3.2. Prior Experience in Vocational Education, Training and Skilling

For seeking NCVET recognition as an AA, the prior experience shall only be considered if the entity directly/ indirectly deals with assessment, and consultancy services related to VET, skill development, education services and other related functions.

2.3.2.1. Criteria - Sectoral/ Domain and Geography

The entity must be able to demonstrate prior experience in the space of VETs assessments. The same would be judged based on the following:

a. The entity must be in the business of assessment of skilling for a continuous period of at least three (03) financial years, inclusive of the year of application.
b. The entity should have conducted skilling assessments of the following number of candidates in the jurisdiction for which it is seeking the Assessment Agency recognition in any two (02) of the last three (03) financial years from the date of application.

Table 1: Prior Experience requirement

Recognition Sought For	Assessments conducted in Skilling Domain
Category 'I' States/UTs*	7,500
Category 'II' States/UTs*	15,000
PAN India	75,000

**The classification of states into Category 'I' and 'II' is based on youth population (age group 15-29) as per the census 2011. List of States/UTs is placed at Annexure IV.*

c. An entity applying for recognition in a single State/ UT must showcase its experience in the same State/ UT.
d. For an entity applying for more than one State, the number of assessments conducted in the respective state would be added up for considering the prior experience.
If the entity is applying for PAN India recognition, then the entity should have conducted minimum number of 75,000 assessments as mentioned above in the table. In addition to that, the entity must be operational in at least five (05) States/ UTs representing at-least three (03) regions of India. The detailed
e. Region wise list of States/UTs is attached at Annexure V.
The recognition shall be subject to fulfillment of sector and geographical credibility listed in the guidelines.
f. For subsidiaries, the prior experience and finances of parent organization may be considered for
g. NCVET recognition as an AA, if the subsidiary has been specifically formed by the parent body for the purpose of being an Assessment Agency, and the management control of the subsidiary remains with the parent body.

2.3.2.2. The Areas considered for Prior experience

The Indicative list of areas considered for prior experience in number of assessments conducted is given as Annexure VI.

2.3.3. Financial Status of Applicant

2.3.3.1. Criteria

The entity applying for NCVET recognition as Assessment Agency must ensure the following to prove its financial viability:

a. Minimum turnover of Three crore rupees (₹ 03 crores) in the last three (03) financial years (cumulative) for the entities applying for PAN India recognition.
b. Minimum turnover of Thirty lakh rupees (₹ 30 lakhs) in the last three (03) financial years (cumulative) for the entities applying for 1 state of category I and the amount will multiply for every state added of category I.
c. Minimum turnover of Seventy lakh rupees (₹ 70 lakhs) in the last three (03) financial years (cumulative) for the entities applying for 1 state of category II and the amount will multiply for every state added of category II.
d. Entity should have positive profit before tax in the current financial year in which application is submitted.
e. Availability of funds to generate income to meet operational payments and debt commitments for at least one (01) year.
f. Entity should have a positive net worth in the current financial year in which application is submitted.
g. NCVET may decide specific requirements in case of Assessment in Niche areas for entities operating in difficult terrains like Left-Wing Extremism (LWE) affected areas, North Eastern states, Areas of National Strategic importance and Union territories except Delhi and Chandigarh.

2.3.3.2. Timeline for Considering the previous prior experience

The Assessment Agency shall opt to submit the requisite data for prior experience related to financials of the last three (03) financial years as per any of the following two options:

a. The data from the last three completed financial years will be submitted from the date of application submission.
b. Alternatively, for the running financial year the agency can submit data from one month before the application submission date. In this scenario, the ongoing financial year will be regarded as one (01) complete financial year, regardless of the number of months elapsed.

2.3.4. Eligibility Criteria (Matrix)

Table 2: Eligibility criteria

Jurisdiction		Assessments Conducted (Any two (02) years in last three (03) years)	Financial Turnover in ₹ (last three (03) financial years)
States	Category 'I'	7,500	30 Lakhs
	Category 'II'	15,000	70 Lakhs
PAN India		75,000	03 Crores

**The classification of states into Category 'I' and 'II' is based on youth population (age group 15-29) as per the census 2011. List is attached in Annexure IV.*

2.3.5. Sector Credibility (Including Industry Linkages)

2.3.5.1. Number of Sector-Wise Assessments Conducted

To establish sectoral credibility, the entity should have evidence of having conducted minimum 5000 skill assessments in any two (02) years out of three (03) financial years in a sector for which recognition is sought. The number of sector-wise assessment conducted includes NSQF aligned & approved and non-NSQF aligned qualifications.

2.3.5.2. Availability of Assessors, Master Assessors and Proctors

The organization should ensure the availability of Assessors, Master Assessors, Masters of Trade, Proctors, and supporting team members who are proficient in the relevant sector or domain. Additionally, there should be documented evidence of the availability of assessors, examiners, and proctors who are fluent in the local language of the region to facilitate assessment delivery.

2.3.5.3. Availability of Subject Matter Experts (SMEs)

The entity shall ensure the availability of at least one (01) SME for each sector for which recognition is sought along with supporting team.

2.3.5.4. Availability of Question Banks

The organization should have availability of question banks for atleast 5% of qualifications available in the sector as listed on the National Qualification Register (NQR) for which recognition is being sought on the date of submission of application. The AA shall also be responsible for preparing multiple questions on each Performance Criteria (PC) in such a manner that the minimum average number of questions per Performance Criteria (PC) within a qualification/ standard NOS/ micro-credential/ nano-credential works out to be atleast five. Question Bank(s) shall be prepared in consultation with the concerned AB to ensure the intended outcomes. The question bank should have a balanced mix of difficulty levels (low, medium,

and high levels) covering different types of questions following the Bloom's Taxonomy. The AA shall be responsible for periodic review of question banks and it must be defined by the AA and every cycle of review should be done in consultation with the concerned AB. Additionally, the organization should have assessment tools and question banks in other Indian languages relevant to the region seeking recognition. The assessment agency catering to assessment for Persons with Disabilities (PwD) may also plan to use different tools/media to enable assessments.

2.3.5.5. Availability of Industry Connects through MoUs/ Agreements

NCVET will actively encourage the effective participation of industry in the assessment process as well as in setting up assessment centers. All recognized AAs will be encouraged to strive towards excellence, strengthen effective participation of industry and promote the use of technology in the assessment process. The entity shall ensure the availability of industry connects through the agreement signed between them or through MoU.

The Integration with industry can be in the following ways:

a. Hiring of industry practitioners, as SMEs or associating with industry for the development and updating of Question Banks
b. Involving the industry in designing assessment tools and creating assessment infrastructure.
c. Participation of experienced individuals from the relevant industry as experts and assessors.
d. Involving the industry as an observer during the assessment process particularly for practical. This may strengthen the faith of the industry in the assessment process and help in the recruitment of candidates for jobs.
e. Setting up independent assessment centers supported by Industry.

2.3.6. Infrastructure Requirements

The entities seeking recognition should have good infrastructure in terms of physical and digital infrastructure to support quality assessments.

2.3.6.1. Physical Infrastructure required for Assessments

Presence of a registered office in India, the premises of which must necessarily be separate/ independent from the office of the promoting organization (if any).

Presence of a fully functional website with the following critical information:

a. Details of the operational teams with the organogram
b. Assessor and proctor details with educational qualification, and relevant experience
c. Sample assessment papers for various qualifications w.r.t. the domain and sector for which recognition is sought.
d. Information on industry linkages to strengthen assessment delivery.
e. Information on grievance redressal and POSH mechanisms.
f. Availability of supporting documents of registered office, such as ownership document or lease agreement.
g. Proof of premises being used for commercial purposes, such as telephone bill, internet bill, electricity bill, etc.

2.3.6.2. Digital Infrastructure required for Assessments

The entities seeking recognition must have a strong digital infrastructure to support secure and efficient assessments. This includes AI-enabled test engines, online proctoring systems, and performance analytics to ensure transparency and scalability.

a. Features of Digital Infrastructure

The following requirements must be met to ensure a streamlined and accountable assessment process across various formats.

i. Availability of adequate assessment tools and aids to support the delivery of assessment pertaining to the qualification (offline, blended, online, proctored)
ii. Availability of the state-of-the-art technology, AI enabled test engine to deliver and monitor online and blended assessment lifecycles. The system should provide assessment lifecycle dashboards and performance analytics to all stakeholders, along with the requisite systems to refresh the assessment content periodically.
iii. The assessment engine should incorporate an algorithm that selects questions in a randomized order while ensuring a balanced distribution of difficulty levels and weightage as per Bloom's Taxonomy. The difficulty level weightage for each assessment should be determined by AA in consultation with AB, ensuring alignment with the assessment methodology to achieve the intended Learning Outcomes (LOs) for learners.
iv. The presence of audio and video systems for online proctoring or auto proctoring to record the ongoing assessment at the assessment centers.
v. Availability of geo-tagging facilities for assessors and proctors to verify their presence in the training/ assessment centers.
vi. Performance reporting and analytics.
vii. Availability of online verification and authenticity of candidates undergoing assessments with special reference to auto online proctoring together with geo-tagging.
viii. The essential markers required for the assessment delivery to learners with disability are as follows
    A. Availability of special instructors/ content developers for creating specific disability-based assessment content.
    B. Availability of trained proctors and assessors to understand and align with the PwD learners.
    C. Availability of ICT tools for delivering assessments and monitoring.
    D. Availability of tools to publish results in line with the needs of person with Disabilities.
ix. Availability of simulator/other tools for assessments if blended mode is chosen.

b. Information Technology: Assessment Engine, Portals

Assessment Engine and Portals used for assessment process must have the following features.

i. Automated Creation of Test from the question bank. The tests created for every Qualification should follow assessments mapped to NOS and further to PCs, following a standardized pattern for question selection while ensuring balanced difficulty levels and weightage distribution as per Bloom's Taxonomy.
ii. Anti-malpractice detection by Live Proctoring: The online assessment platform should incorporate real time proctoring that can be easily monitored throughout the assessment process right from the start till the end.
iii. Real time photo capturing of candidates: As soon as the assessment begins the smart AI enabled platform should ensure live video feeds and random photo capturing at regular intervals that assist in detecting any suspicious behavior of the candidate.
iv. Graphical view for performance analysis: Generate performance analysis with a graphical view on the basis of 5 parameters mainly - Assessor, Training Partner, Job Role, State and Date (From - To).
v. Assessment tracking through Geo Location, Date & Time stamping: As soon as the Assessor Logs in or Logs out of the Assessor App, the Geo location with date & time stamping should be recorded even in an offline mode and the same should be tracked for the Students as well. Also, all the details are sent via an email to the Awarding Bodies at the time of Assessor Login.
vi. The portal should be capable of giving performance reports and analytics.
vii. In case of any malpractice from a learner, the portal should be able to record and flag that activity.
viii. Phasing out of most easy and most tough question: The platform should automatically classify the questions as easy, medium or tough questions based on the difficulty levels. A ready reference report of the usage of the questions should also be available to see the usage of each question. For the questions not answered correctly by most students, feedback may be given to the AB and the training partner.
ix. Works in Online mode and also in Offline Mode, where there is connectivity issues.
x. 100% Security of Data: This Skill Assessment Platform should ensure zero possibility of content theft and performs the suggested information security audits as per guidelines of GOI on regular intervals.
xi. Privacy of data of students should be maintained as per the guidelines of Govt of India.

xii. User-friendly Interface: Portal should have user-friendly interface should be easy to access, operate and should not require any prior expertise. Features should be specifically designed to render ease and accuracy to the user

xiii. The portal should also be able to store videos/other data pertaining to assessments as part of governance mechanism.

c. Data Management Systems (DMS) and Scientific Data Management System (SDMS)

Database Management System (DMS) and Scientific Database Management System (SDMS) of the assessment process must have:

i. Systems to record, validate and report all relevant assessment details and ensure governance.
ii. Clearly documented procedures for the security of information pertaining to learners' details including results.
iii. Availability of tools and relevant software for data collection.
iv. Management and learning support staff with necessary skills to analyze the collated assessment data and give feedback for improving operations.
v. The entity must also adhere to data maintenance and protection as per Digital Personal Data Protection Act., 2023.

2.3.7. Governance and Human Resources Management

a. Governance

The entity applying for recognition as an Assessment Agency should be able to showcase the following as part of governance structure.

i. Transparency in the ownership and management structure with suitable controls and clearly identifiable lines of authority.
ii. The head of the entity/ CEO shall be engaged on a full-time basis.
iii. The head of the entity/ CEO shall not promote/ run parallel business which may lead to a conflict of interest with assessment operation of the entity.
iv. The head of the entity/CEO would be considered unsuitable for that role by virtue of the presence of demonstrable evidence of any of the following:

   A. Any reported criminal convictions against him/her
   B. Any findings such as order/s by a court or any professional, regulatory, or government body that he/she has breached a provision of any legislation or any regulatory obligation to which he / she is subject to
   C. Any proceedings related to bankruptcy
   D. Any disqualification from holding the directorship of a company or from public office
   E. Any finding of malpractice or mal-administration
   F. Documented standard operating procedures highlighting recruitment, training, deployment and performance evaluation mechanisms for assessment staff.

b. Human Resources

The entity shall have the following:

   i. Adequate number of key assessment staff like certified assessors and proctors, (employed and/or contracted) across states and sectors as per the requirement of qualifications/ sectors for which recognition is sought.
   ii. Availability of other staff including SME for development of assessments tools, instructional designs for assessment, question bank development, performance reporting and analytics.
   iii. Presence of critical functional teams including but not limited to MIS, IT, content development etc.
   iv. For Entities with Dual Recognition as AB: In addition to the above, entities with Dual Recognition as AB shall ensure separation of personnel, systems, and managerial control of the awarding and assessment functions. Such separation should be done in such a way that both awarding and assessment arms function as separate business units or as independent departments with necessary resources at disposal. Entities recognized as Dual Agency shall formulate a policy on conflict of interest.

2.3.8. Comprehensive Future Plans

As a measure for ensuring comprehensive planning, the entity, must have a sound five (05) years future plan highlighting demonstrable evidence in the following:

a. Presence of budget projections, along with basis of underlying projections (revenue, planned assessments etc.)
b. Details of the implementation plan for the assessment proposed in different sectors, qualifications, NOSs, micro-credentials and geographies including the engagement of assessors, proctors and SMEs as required.
c. Details of assessments done on NSQF and non-NSQF aligned qualifications and fees-based assessments.
d. Presence of a comprehensive risk plan and mitigation strategies.
e. Future plan for industry linkages.
f. Plan for global assessment (if any).
g. Demonstrate ongoing research and innovation to ensure that the entity is following the best practices w.r.t. process and product/s & tools.

2.4. CONFLICT OF INTEREST

An entity applying for Assessment Agency recognition may account for conflict of interest if it is involved in training-related activities along with the assessment functions. Separating training and assessment functions helps maintain objectivity and impartiality in the evaluation process. Having separate agencies ensures a system of checks and balances, with one agency focused on delivering high-quality training programs and another agency responsible for rigorously evaluating the competency and skills of individuals through standardized assessments.

This helps ensure that assessment standards remain consistent and are not compromised by the interests of training providers. Therefore, the legal entity seeking NCVET recognition as assessment agency should not be in the business of training and certification of NSQF-aligned qualifications to avoid the conflict of interest in operations.

03

RECOGNITION OF ASSESSMENT AGENCIES – PROCESS

3.1. PROCESS OF RECOGNITION

Assessment Agencies will be recognized by NCVET for delivering NSQF-aligned assessments in various sectors and Qualifications based on their competencies and expertise. The recognition process also clearly specifies the geographical areas where recognized AAs would be authorized to deliver assessments. This information is made available in the public domain to ensure its availability to all stakeholders.

Recognized AAs will be mandated to abide by various guidelines released by the NCVET from time to time. This will be mandated and applicable from the date of the signing of the "agreement" between the respective AA and NCVET. In case any AA has any objection to the new norms and guidelines, they can give their feedback to NCVET.

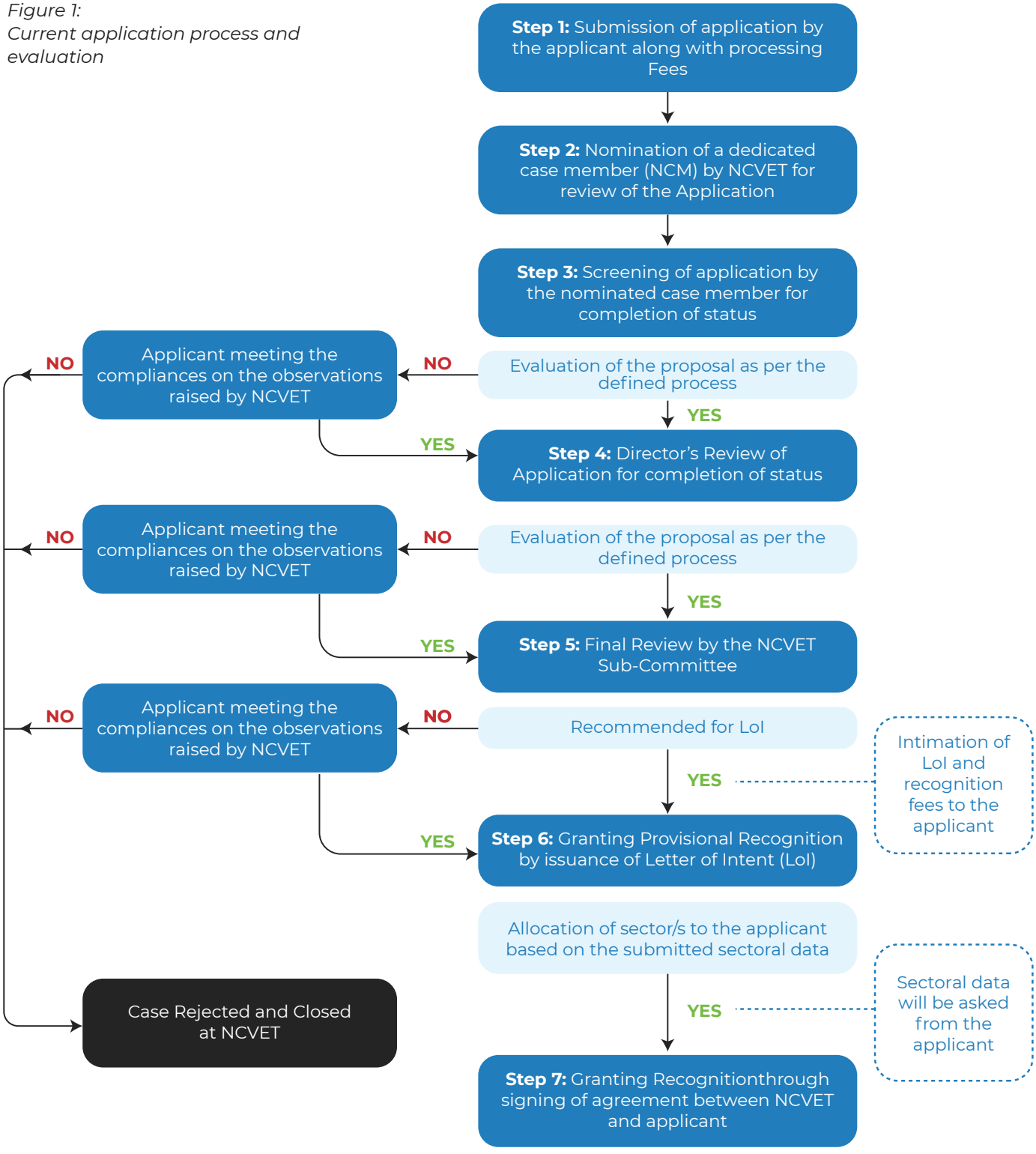
3.2. APPLICATION & RECOGNITION PROCESS

The current application process for the recognition of AAs will be open throughout the year. The detailed process and instructions for submission are outlined herein.

- **Step 1:** The entity must register by submitting required details and documents. After receiving login credentials, they must complete the application form with supporting documents and pay the prescribed registration fee of twenty five thousand rupees (₹ 25,000). Upon final submission, NCVET will review the application as per its evaluation and approval process.
- **Step 2:** This step involves nomination of Dedicated case member by NCVET and Screening of application as per the eligibility criteria by the nominated case member. The applicant is required to comply with the observations shared by the Dedicated Case Member.
- **Step 3:** Scrutiny of application by Director, where concerned Director reviews the application on grounds of its compliance to the eligibility criteria and recommends either approving or rejecting the application. The Director may also recommend the physical inspection of the premises of the applicant (if required).
- **Step 4:** The NCVET Sub-Committee authorized by the Council to grant the recognition, would review the application submitted by the applicant entity, after fulfillment of compliances recommended during the scrutiny process and assesses their capacity w.r.t. eligibility criteria specified in this Guidelines. The sectors and territorial jurisdiction will be allocated to the applicant and accordingly, a Letter of Intent (LoI) will be issued.
- **Step 5:** The applicant entity has to submit the recognition fee of one lakh rupees (₹. 1,00,000/-) upon approval of the Sub-Committee for issuance of the Letter of Intent (LoI) granting the provisional recognition.
- **Step 6:** Subsequent to the issuance of the Letter of Intent (LoI) with a validity of 90 days, the provisionally recognized AA is invited to sign an agreement with NCVET for formal recognition as an AA.

The comprehensive flowchart of the process of application and its evaluation is given in the figure below:

Figure 1:
Current application process and evaluation



With the online application system through the Digital Enterprise Portal (DEP), the entities can directly apply through the portal as per the processes defined and the flow chart given at Annexure VII of this guidelines.

3.3. TENURE OF VALIDITY OF AA

The recognition of an AA and the mandate of the AA guidelines for them will come into effect from the date of signing of the agreement between NCVET and the recognized Assessment Agency.
The tenure of recognition will be as follows:

a. Initially, an AA will be recognized by NCVET for a period of three (03) years.

b. The AA will submit an application for renewal at least six (06) months prior to the completion of the recognition period. If approved, the renewal will extend the recognition for an additional three (03) years from the original date of approval. This renewal will be based on the performance of an AA as per the risk rating framework as elaborated in section 5.4.2 of AA guidelines. The monitoring and evaluation of AA will result in their performance report.

c. Upon such re-application by recognized AAs, the recognized body shall continue to have privileges of recognition till a decision on extension or discontinuation is made by NCVET. AA should ensure that any training batch does not spill over to the post-recognition period, in case the extension process of recognition is not complete.

NCVET will reserve the right to de-recognize an AA based on periodic review and audit/ reports of substantiated irregularity from the stakeholders. This will be informed to AAs and ABs that have on-boarded that AA in advance, so that the assessment process is not disrupted.

3.4. GRANT OF PROVISIONAL RECOGNITION THROUGH THE ISSUANCE OF LETTER OF INTENT (LOI)

As per the office order no. 38004/01/2021/NCVET, dated 01st August 2022, an amendment was made in the Guidelines for Recognition & Regulation of Awarding Bodies and Assessment Agencies with respect to the Recognition fees. Processing fees is required to be submitted at the time of application, whereas the applicant is required to submit the recognition fees of one lakh rupees (₹1,00,000/-) if the case is recommended by the Sub-committee, the Letter of Intent (LoI) granting provisional recognition as an AA is issued to the entity.

After the issuance of LoI, the provisionally recognized AA will be able to conduct assessments for the allocated sector/s and territorial jurisdiction/s. The validity of the LoI shall be ninety (90) days from the date of the issuance.

3.5. GRANT OF REGULAR RECOGNITION THROUGH SIGNING OF THE AGREEMENT WITH THE APPLICANT BODY

The applicant entity is invited to sign the agreement with NCVET within a time period of ninety (90) days from the date of issuance of LoI subject to meeting all compliances.

3.6. EXTENDING THE SCOPE AND JURISDICTION OF THE RECOGNIZED ASSESSMENT AGENCY (AA)

A recognized AA wishing to expand its assessment services to new sectors and additional territorial jurisdictions beyond its current scope of recognition, will need to submit evidence, as specified in this document, demonstrating compliance with the eligibility criteria outlined in this guidelines. Monitoring Information is to be provided to NCVET at the desired frequency (monthly). AAs should not be in the high-risk category as per the AA guidelines, nor should they be blacklisted, have any pending POSH cases, or unresolved complaints or issues. There should also be supporting evidence like video clips, in the process followed by AA to carry out assessments.

The application for extension of sector and jurisdiction can be submitted after six months of signing the agreement i.e. the grant of recognition by NCVET. In such cases, NCVET may ask recognized AA to complete a statement of assurance/ compliance for some or all the criteria as part of the application process for consideration of NCVET. The data to be considered for processing the expansion of sector and Territorial

Jurisdiction shall be counted from the date of issuance of LoI or from the date of the last expansion granted. A non-refundable application processing fee of Twenty-five thousand rupees (₹25,000) is to be submitted.

The detailed application form for expansion of sectors and territorial jurisdiction is attached at Annexure VIII. The application for expansion of sector/ territorial jurisdiction is to be submitted at NCVET and also to be e-mailed at proposals-ncvet@gov.in.

The NCVET recognised Assessment Agencies (AA) can apply for the allocation of additional sectors and expansion in territorial jurisdiction subject to the fulfilment of the following eligibility criteria.

3.6.1. For Allocation of New Territorial Jurisdiction:

a. Assessments to be conducted:

Table 3: Required number of assessments for expansion of Territorial jurisdiction

<table>
<tr><th>S. No.</th><th>Recognition sought for</th><th>Minimum assessments to be done in the allocated state (In last one (01) Financial Year)*</th><th colspan="2">Additional assessments to be done in allocated State or State in which expansion is sought</th></tr>
<tr><td>i.</td><td>Category I State/ UTs</td><td>3750</td><td>3750</td><td rowspan="2">In last three (03) Financial Years</td></tr>
<tr><td>ii.</td><td>Category II State/ UTs</td><td>7500</td><td>7500</td></tr>
<tr><td>iii.</td><td>PAN India</td><td>As per the criteria defined for Category I and Category II State/ UTs</td><td colspan="2">A cumulative of 75000 assessments is to be achieved including the assessments done in the allocated state/s and UT/s (In any two (02) out of last three (03) Financial Years)</td></tr>
</table>

**If the duration exceeds more than a year, then the number of assessments required will be increased in the same proportion*

b. Minimum Financial Requirement

Table 4: Required Minimum Financial turnover

S. No.	Recognition sought for	Minimum turnover required in ₹ for expansion into new territorial jurisdiction in last one (01) Financial year*
i.	Category I State/ UTs	10 lakhs per State
ii.	Category II State/ UTs	23 lakhs per State
iii.	PAN India	1 Crore

**If the duration exceeds more than a year, then the financial turnover required will be increased in the same proportion.*

c. AA shall be able to demonstrate its capability to work in the following ways:

i. Availability of SMEs/ Assessors/ Examiners and Proctors: The AA shall be able to demonstrate the availability of Subject Matter Experts (SMEs), Assessors/ Examiners and Proctors in the relevant sectors of the geography concerned. The SMEs, Assessors/ Examiners and Proctors should be well versed in the local language of the geography concerned.

ii. Evidence of Industry Connect: The AA shall submit adequate evidence of Industry connect in case the AA has conducted fee-based/ private assessments for industry/ corporate/academic other than government/ PSUs and organization/ agency in the geography concerned.

3.6.2. Expansion of Sectors

a. The AA should have conducted a minimum of 5000 skilling assessments in last three (03) financial years in each sector for which the expansion is sought post issuance of LoI or from the date of the last expansion of sector granted.

b. The AA should have availability of question banks for atleast 5% of qualifications available on the National Qualifications Register (NQR) for the sector in which recognition is being sought at the time of submission of application.

c. The AA should submit adequate evidence of Industry Connect and SMEs in each sector in which expansion is sought.

3.7. REDUCING THE SCOPE AND JURISDICTION OF THE RECOGNIZED ASSESSMENT AGENCY (AA)

NCVET may reduce the scope of operation of the recognized entity by revoking already allocated sectors and/or jurisdictions. This will be based on the monitoring data and associated performance reports of the entity, which include performance parameters defined in section 5.2.3 of this AA guidelines. If the recognized AA is not able to perform satisfactorily in the allocated sectors and territorial Jurisdiction, as concluded in its monitoring by NCVET, then the underperforming sections or jurisdiction will be revoked which will affect the overall rating of the Assessment Agency.

A well-defined monitoring framework, as described in Section 5 of this Guidelines, has been developed which considers 6 macro parameters and 31 micro-parameters for comprehensive evaluation and overall rating of the AA.

3.8. PROVISION OF FAST-TRACK APPROVAL FOR CERTAIN EMERGENT/SPECIAL CATEGORIES

There is a special provision of fast-track approval to certain proposals which are subject to priority. This may include proposals with National interest, National emergency, special category proposals such as proposals with all digital evidence.

It is important to note that the applicant is required to go through the entire recognition process including each and every stage mentioned in the guidelines, only the timeline will be reduced to prioritize the fast-track proposals.

3.9. INELIGIBILITY & WITHDRAWAL OF APPLICATION

Table 5: Ineligible/withdrawal cases

Category	Brief of Category	Re-application Clause
Withdrawal Case	The Entity may withdraw its application at any stage of the recognition process.	In case of withdrawal of the application, the applicant may re-apply after 3 months from the date of withdrawal.
Ineligible Case	NCVET may reject an application deemed ineligible due to non-compliance, only at the level of the Executive Member (EM), NCVET based on the recommendation of the concerned Director. The Nominated Case Member (NCM) must clearly document the reasons for rejection, ensuring transparency and accountability in the decision-making process.	If the applicant is found ineligible at any stage of their scrutiny, the applicant may re-apply after 6 months from the date of rejection.

**If the duration exceeds more than a year, then the number of assessments required will be increased in the same proportion*

3.9.1. Suspension/Blacklisting of the Applicant by NCVET

At any stage of scrutiny process of application, the council has the right to blacklist an applicant if the applicant is found to be fraud and involved in illegal activities that may be a threat to the society. The suspended or blacklisted applicant will not be able to apply again for NCVET recognition as an Assessment Agency.

The recognition of the Assessment Agency may be suspended by the NCVET under the following scenarios:

a. Any document, information, data or statement submitted by the Assessment Agency in its proposal for recognition, based on which the Assessment Agency was considered eligible for grant of recognition, is found to be false, incorrect or misleading by NCVET at any stage. To democratize the process of AA recognition, the automated process implementation through Digital Enterprise Portal is in progress. AAs are expected to submit supportive documents at various stages. However, any wrong data submitted by AA will disqualify its application.

b. AA engages in any corrupt practices, malpractices and/ or fraudulent activities in their assessment operations which is found to be true after due inquiry by NCVET.

c. Assessment Agency falls in the high-risk or medium-risk category as per the Risk Assessment Framework detailed out in the Guidelines for Recognition & Regulation of Assessment Agencies 2025.

3.9.2. Provision of Review and Appeal

The applicant organization may make an appeal to NCVET for review of the application. The decision to re-examine the application would be based on the discretion of NCVET. A re- examination, however, is not an opportunity for an applicant to submit further evidence which the applicant did not send as part of the original application.

The decision on the appeal will be taken by the Chairperson, NCVET or official nominated by the Chairperson. The applicant organization can make an appeal within thirty (30) days of receipt of the decision of rejection by NCVET.

3.9.3. Number of times an Applicant may apply Post Rejection/ Withdrawal

Any legal entity applying to NCVET for recognition as AA may re-apply for a maximum of three times (If rejected or/and has withdrawn their application) within 05 financial years following the date of their first application.

In such cases, the online account created for such applicants will be deactivated by NCVET. During re-application, the applicant organization will go through the entire application process from the beginning. Any applicant entity whose proposal has been rejected twice (02) at the Subcommittee level or thrice (03) before reaching the Subcommittee review shall remain barred from applying for 2 years from the date of last rejection unless otherwise allowed by NCVET.

3.10. PENALTIES IN CASE OF NON-ADHERENCE

In case of non-adherence to NCVET policies and guidelines, as well as involvement in non-ethical and fraudulent activities by a recognized Assessment Agency (AA), penalties may be charged.

The penalties are categorized into two types:

a. Financial Penalty and/or
b. Other penalties

3.10.1. Financial Penalties

Financial penalties refer to the imposition of monetary fines on the recognized Assessment Agency. The severity of the penalty is likely to be determined by the seriousness of the non-adherence or fraudulent activities. The purpose of financial penalties is to deter entities from violating NCVET policies and guidelines and to ensure compliance. Instances in which entities are levied a financial penalty are as follows:

a. Falling into the medium risk rating for three consecutive years after recognition may lead to public warning and NCVET may levy financial penalty.
b. Falling into the high-risk risk rating during two consecutive years after recognition may lead to public warning and NCVET may levy financial penalty.

However, the specific financial penalties, if any to be levied, will be conveyed by NCVET from time to time as part of updates on AA guidelines.

3.10.2. Other Penalties

Other penalties may include a range of non-monetary actions taken against the recognized Assessment Agency. These actions are likely to be diverse and can vary based on the nature and gravity of the non-compliance. Some of other penalties may include:

a. **Impact on Overall Rating -**
The revocation of underperforming sections can have a cascading effect on the overall rating of the Assessment Agency. This implies that the agency's rating may be downgraded due to its failure to meet the required standards and expectations set by NCVET.

b. **Revocation of Recognition -**
If the recognized Assessment Agency consistently fails to adhere to NCVET policies or performs inadequately in recognized sectors, qualifications, National Occupational Standards (NOSs), micro-credentials, or specific geographical areas, the NCVET has the authority to revoke the recognition of underperforming sections. NCVET may reduce the scope of operation of the recognized entity by revoking already allocated sectors and/or jurisdictions as defined in Section 3.6 of this guidelines.

3.11. RENEWAL OF APPLICATION AS AN AA

3.11.1. Submission of Application for Renewal

The AA can apply for renewal six (06) months prior to validity of the recognition, subject to the monitoring and evaluation conducted by NCVET. An Assessment Agency applying for renewal of recognition after initial recognition of three (03) years needs to submit the details of the work done in the recognition period of three (03) years and establish their credibility to continue to the work in VET and Skilling ecosystem.

A non-refundable application processing fee of Twenty-five thousand rupees (₹25,000) is to be submitted. The application for renewal of recognition is to be submitted at NCVET through DEP and also to be e-mailed at ***proposals-ncvet@gov.in***. The AA needs to submit the renewal fees of one lakh rupees (₹1,00,000/-) if the case is recommended by the NCVET Sub-committee. The renewal process shall be as per the section 5.4.2 of the guidelines.

3.11.2. Revised Allocation of Sectors and Territorial Jurisdiction

Based on the performance of AA, measured through NCVET's monitoring and evaluation mechanism, the revised sectors and territorial jurisdiction will be allocated to the AA.

3.12. ON BOARDING OF ASSESSMENT AGENCIES BY AWARDING BODIES

a. Awarding Bodies shall onboard the NCVET recognized Assessment Agency based on the sector and geography for which the AA is recognized. However, awarding bodies must ensure a transparent onboarding mechanism of Assessment Agencies. All Awarding Bodies shall adopt a common standard in the form of Request of Proposal for onboarding of Assessment agencies to ensure transparency in the ecosystem. NCVET reserves the right to make any changes in the onboarding process of Assessment Agencies from time to time. The mechanism for allocation of target to Assessment Agency by Awarding Body should be such that each recognized AA to get a minimum of 8% assessments and max up to 25% in the specific sector.

b. AAs not having PAN INDIA recognition may be on-boarded by ABs over and above the defined maximum number of 12 for assessment in that specific geography and sector for which they have been approved.

c. In addition, if the number of assessments to be done by any AB exceeds or is likely to exceed 2,00,000 (Two Lakhs) in a financial year than for every twenty thousand (20,000) assessments beyond 2 lakhs, AB may on-board 01 additional approved AA. This will be applicable only for the period for which such demand has arisen. In this case, the concerned ABs will be required to take prior approval of NCVET by submitting detailed justification along with evidence of need.

3.13. DATA AGGREGATION

The AA shall provide the assessment related data as required by the Government for data aggregation as prescribed. Such data sharing shall be subject to the provisions of the Digital Personal Data Protection Act., 2023.

04

ROLES, RESPONSIBILITIES AND FUNCTIONS OF ASSESSMENT AGENCIES

4.1. DEVELOPMENT OF QUESTION BANKS

a. The AA shall be responsible for preparing multiple questions on each Performance Criteria (PC) in such a manner that the minimum average number of questions per PC of every NOS within a qualification/ standalone NOS/ micro-credential/ nano-credential works out to be atleast 5 in number.

b. These Questions in the Question Bank(s) shall be prepared in consultation with the concerned AB for ensuring that these are assessing the intended outcomes. The AA shall be responsible for a process for periodic review of question banks and every cycle of review should be done in consultation with the concerned AB. The questions shall be changed/ upgraded periodically.

c. Question banks should be available in Indian Languages also, as per requirement.

d. Sample questions should be readily available on the website of concerned AB and the AA.

e. The question banks should have a proportional mix of easy, medium and hard questions as guided by the AB and should be changed/ upgraded periodically.

f. The assessment engine of the AA should be able to handle all types of multiple-choice and short answers questions. The detailed set of desirable features of Assessment Engine are given in Annexure B of Blended Learning Guidelines notified by NCVET.

g. AAs are also encouraged to include scenario based questions as part of the question bank.

h. In some cases, as per the qualification, the assessment may also be done online/offline using simulator as specified in the blended learning guidelines.

i. The AA may also create question bank of viva questions and also of practical assessments to be done.

4.2. ASSESSMENT (ASSESSMENT CALENDAR, ASSESSMENT TOOLS AVAILABILITY, TOA ETC):

a. The Assessment Agency (AA) should maintain a tentative monthly Assessment Calendar, which must be published on its website along with a web link to NCVET, displaying details of all assessments being conducted.

b. The entity should ensure availability of assessment tools and question banks in Indian languages for the region in which recognition is sought and the entity should also have the requisite assessment tools to cater to the interests of different learner groups such as Persons With Disabilities (PwD).

c. The entity shall ensure that they have a ready repository of the tools and aids which are aligned to the needs of the qualifications. The tools developed for assessing the qualifications should be able to map the skills, knowledge and competencies of the learners, and should be accessible and commensurate to the learner's needs. Entity shall also ensure that the tools of assessment adequately support the delivery of assessments for learners with disability.

d. The entity shall ensure that assessment tools to be used for the assessment delivery for various qualifications are approved by the concerned AB before the assessment delivery.

e. The entity shall ensure that all assessors and proctors are trained to use the assessment tools and assessment guides appropriately.

f. Ensure gender parity and affirmative action for marginalized sections as for as its staff including assessors and proctors.

g. Maintain the repository of learners' assessment data either through its own in-house team or through an agency proposed by NCVET in adherence with the Data security, privacy & storage guidelines as provided by Government of India; It should also maintain Repository of the assessors with their qualification and number of years of work experience.

4.2.1. Training of Assessors (ToA)

The ToA process involves developing NSQF-aligned qualifications and providing mandatory training for assessors. This comprehensive program would include both theoretical and practical training covering topics such as assessment methodology, standardization, quality assurance, and employability skills.

All assessors must undergo the ToA program. The Awarding Bodies (ABs) must develop a NSQF aligned Qualification on ToA within six months of recognition and get it approved by NCVET as per ToA guidelines.

Awareness programs shall be conducted for mobilization, followed by screening and training. The program is conducted, focusing on domain and platform skill assessments. Successful candidates become certified assessors, while those needing improvement undergo skill gap training for further assessment. Collaboration with industry partners is essential to ensure the program's relevance and alignment with industry standards.

ToA Certificates issued are valid for three years, and detailed guidelines for the ToA process can be accessed at: ***https://ncvet.gov.in/wp-content/uploads/2024/03/ToA-Guidelines_final.pdf***

4.3. AVAILABILITY OF ASSESSORS AND OTHER ASSESSMENT STAFF

The AA must ensure that they onboard assessors with qualifications and experience in line with the requirements as specified/ elaborated in the qualification to be assessed and also meet the basic Training of Assessor's (ToA) Guidelines as laid down by NCVET from time to time. The AA shall adhere to the Standard Operating Procedures (SOPs) for the selection and recruitment policies as developed and submitted by the AA during the application. The AA needs to ensure the proper conduct of Training of Assessors on the specific qualifications to keep them current with the assessment norms as per the NSQF aligned and approved qualifications. The entity shall ensure the following:

a. Only certified assessors will be able to conduct the assessments. The responsibility of getting the assessor certified will be that of the AA.

b. The AA must provide logistics support to the assessor and make payments in a timely manner as per the guidelines of NCVET.

c. Adequate number of key assessment staff like certified assessors and proctors, (employed and/or contracted) across states and sectors as per requirement of qualification/ sector for which recognition is sought. In addition to it, the availability of assessor/ examiners and proctors well-versed in the local language of the region, to facilitate the delivery of assessment needs to be ensured. The expected training requirements of the assessment staff and their preferential experience in the sector has been detailed in the ToA guidelines.

d. Availability of other staff including SME for development of assessments tools, instructional designs for assessment, question banks, performance reporting and analytics.

e. Presence of critical functional teams including but not limited to MIS, IT, content development etc.

f. For entities with Dual Recognition as AB
   i. In addition to the above, entities with Dual Recognition as AB shall ensure separation of personnel, systems, and managerial control of the awarding and assessment functions. Such separation should be done in such a way that both awarding and assessment arms function as separate business units or as independent departments with necessary resources at disposal.

   ii. Entities recognized as Dual Agency shall formulate a policy to handle conflict of interest in trainings and assessments.

4.3.1. Availability of sufficient number of Subject Matter Experts (SME) and Proctors

a. The entity should have the availability of Subject Matter Experts (SME) and supporting team members competent in the domain/sector. The entity shall ensure the availability of at least 1 SME for each sector they are working in with a minimum of 05 years of relevant experience for which recognition is sought.

b. The AA must ensure that they hire sufficient number of proctors, wherever necessary in line with the requirement of the qualification to be specified by the AB concerned. The proctors engaged by the AA shall fulfil the conditions laid down in the AA and ToA Guidelines as amended from time to time.

c. The AA shall align proctors for online and blended assessments that are conducted:
   i. Face-to-face at assessment center
   ii. Online proctored for a virtual assessment at the candidate's own place
   iii. Remote auto proctored at the candidate's own place/ station. In specific cases, the AA may use AI based proctoring for which they should take prior approval for using such products and also publish such cases.

d. The AA shall ensure that assessors and proctors are trained and certified and are provided any need-based bridge training for new qualifications. The AA shall provide data relating to number of assessors and proctors trained by them to NCVET. Continuous Professional Development (CPD) courses must be undertaken for all other staff for enhancing their functional performance including the assessors and proctors.

e. The entity should have evidence of availability of assessor/ examiners and proctors well-versed in the local language of the region to facilitate the delivery of assessment.

f. Availability of special instructors/ content developers for creating specific disability-based assessment content.

4.4. ROLE OF AA IN PRE-ASSESSMENT

a. Identification and selection of TOA certified assessors for proper conduct of assessment.

b. The AAs shall confirm the availability and deputing of the qualified assessors for assessments.

c. Assessors/Proctors' Verification before conducting assessment at the training centre in order to prevent any malpractices.

d. Coordination with Assessor for travel, logistics and boarding for the assessment.

e. AAs shall ensure that the deputed assessors are able to reach the place of assessment within 24 hours (travel time).

f. The assessor shall verify the availability of assessment tools and equipment in the training centre, conduct assessment in the scheduled language, wherever required etc. The same will be a part of the Service Level Agreement (SLA) to be signed between the ABs and AAs which must be adhere to.

g. The AA shall ensure that an assessor is not affiliated/ working with more than four AAs simultaneously. AA shall take an undertaking from the assessor that the assessor is not working with more than four AAs simultaneously. For any niche area, based on AB/AA's request, this condition may be relaxed.

4.5. ROLE OF AA DURING ASSESSMENT

The AA must ensure that the assessments are conducted as per the assessment strategy defined in the respective qualification/NOS/MC.

a. Candidate verification and evidence collection ensuring genuine candidates appearing for assessment.

b. Candidate Orientation about the assessment process.

c. Execution of the Assessment Process including invigilation (Real Time Audit) and resolution of various technical issues.

d. Ensuring smooth conduct of examination. Record the results of the assessment accurately, and communicate it to recognized bodies in the manner stated in the agreement granting recognition;

e. Record the results of the assessment accurately, and communicate it to recognized bodies in the manner stated in the agreement granting recognition.

f. To uphold transparency, reliability, and audit-readiness in the assessment process, it is imperative to systematically collect and maintain digital evidence across all stages of skill assessments—theory, practical, and viva voce. The following measures must be taken to ensure that such evidence is valid, verifiable, and serves as credible proof of assessment activities:

   i. **Use of Technology with Metadata Capabilities:** Platforms or tools used for collecting digital evidence must automatically embed metadata such as date, time, and GPS location into the files to establish authenticity.

   ii. **Comprehensive Visual Documentation:** Video recordings of all assessment components—theory, practical, and viva voce—must be captured for learners. Photographic and video evidence should clearly show candidate presence and the conduct of practical tasks.

   iii. **Assessment Reports and Digital Logs:** Reports generated from assessment applications or digital tools must accurately reflect candidate performance and submissions.

   iv. **Structured Traceability:** All digital evidence should be systematically organized for enabling traceability to the individual candidate, along with the corresponding job role, batch, date, and location of assessment.

   v. **Verification and Audit Readiness:** The collected digital evidence must be sufficient, verifiable, and preserved in a manner that supports future audits, reviews, or resolution of grievances.

g. The Assessor: Learner ratio, wherever applicable, shall be as defined by ABs in line with the requirements of Central/ State School Examination Boards, Technical Boards, Skill Education, or as per the requirements of the scheme-specific Guidelines released by the Government from time to time.

   However, the indicative Assessor:Learner ratios can be in the range as given below:

Table 6: Assessor:Learner ratio

Manufacturing Sector	1:20 to 1:25
Service Sector	1:30 to 1:35
School Education	1:50 to 1:60

4.6. ROLE OF AA IN POST-ASSESSMENT

a. Collection of post assessment documents, such as answer sheets.
b. Resolution of conflict wrt results raised by the trainee.
c. Result uploading and Approval.
d. Conducting re-evaluation/re-assessment, on demand assessment
e. Re-uploading of results in case there is a mismatch in the result shared and the data uploaded on Skill India Digital Hub (SIDH) or any other authorized system.
f. Coordination with the Skill India Digital Hub (SIDH) team & ABs for the resolution of the SIP-related activities, if any.
g. AAs carrying all assessments for a scheme, additionally should comply with scheme guidelines.

AA plays a major role in result uploading, documentation and Compliance of entire assessment process.

4.7. PROVISION OF RE-ASSESSMENT

a. A learner shall be eligible for reassessment only if he/ she has failed or was absent for the scheduled assessment. The reassessment is not intended for mark improvement but serves as an opportunity to pass the examination and earn the required credits.

b. Reassessment shall only be conducted for Short Term Training (STT) and Long Term Training (LTT).

c. The relevant AB may determine the number of attempts permitted for re-assessment. However, it shall be ensured by the AB that these attempts are made within one year of the publication of the results.

d. Reassessment attempts shall not be reflected in any learner's official documents, such as mark sheets or certificates, across all qualifications. The scheduling, conduct of assessment, and certification process shall remain unchanged.

4.8. DETAILED ASSESSMENT PROCESS

The detailed assessment process and the role of NCVET recognised Assessment Agency for carrying out assessments for regular qualifications and Micro/Nano credentials is given as follows.

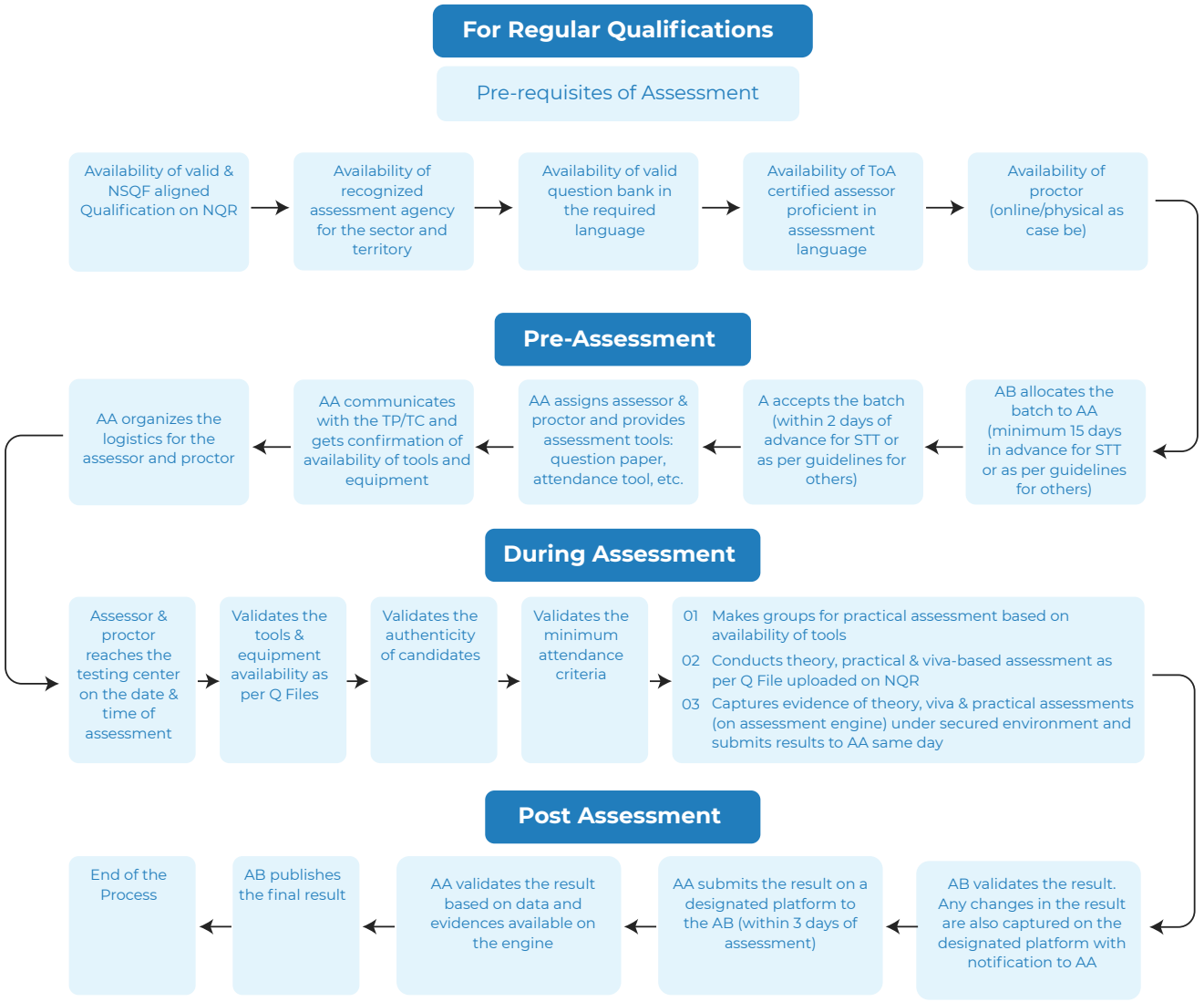


FIGURE 2: ASSESSMENT PROCESS FOR QUALIFICATIONS

The assessment process for regular qualifications involves pre-assessment preparation, conducting assessments as per standards, and post-assessment evaluation, including result compilation and certification. It ensures alignment with competency-based frameworks and industry requirements. The Assessment of Nano/Micro Credentials may not require the involvement of an AA.

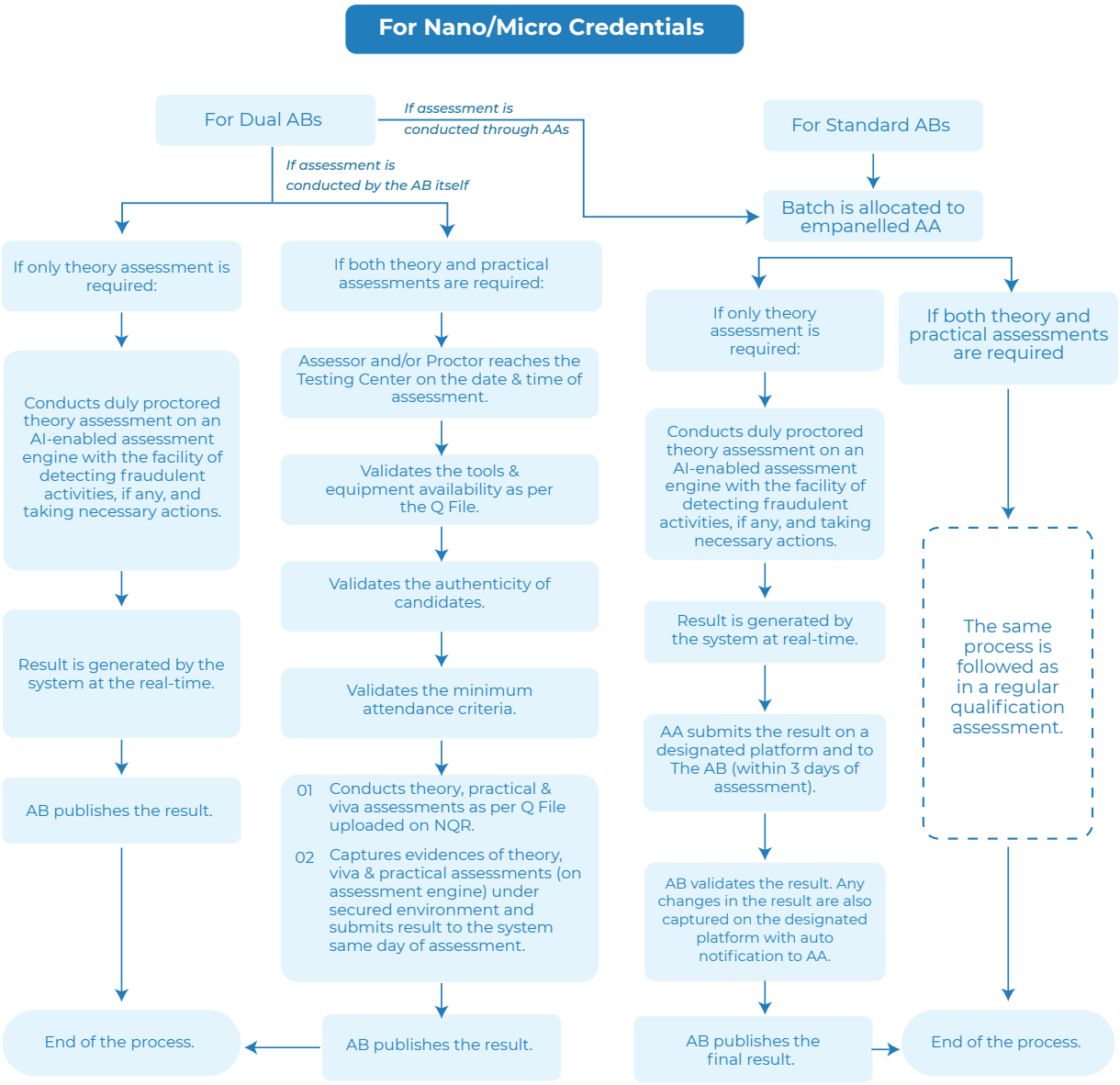


Figure 3 Assessment process for MC/NC

Following are the timelines to be followed by the Assessment agency and Assessor in accordance to the various functions conducted by them.

Activity	Timeline	Responsibility
Assignment of batch by Awarding Body to Assessment Agency	As given in the Awarding Body Guidelines	Awarding Body
Batch acceptance / Rejection by Assessment agency	Within 2 working days of batch receipt from Awarding body	Assessment Agency
Assignment of batch to Assessor	Short term training – Within 7 working days of receipt of batch from Awarding body For Long term training – assessor to be assigned before 30 working days of scheduled assessment / examination date	Assessment Agency
Submission of results by Assessment Agency	Short term training – Within 3 working days from conduct of assessment For Long term training – within 5 working days of examinations schedule	Assessment Agency

4.9. ADHERENCE TO NCVET GUIDELINES

NCVET may call for any information related to assessors, proctors, and SMEs associated with the AA like their qualifications, work experience etc. and the AA shall provide such information to NCVET. NCVET will, however, ensure the confidentiality of such information as per the data privacy & other concerned laws.

a. The recognized AA must adhere to the Guidelines/SoP prepared by the NCVET to ensure smooth functioning of assessment.

b. The entity must also adhere to data maintenance and protection as per Government laws/ norms.

c. Adherence to Assessment Guide developed by AB for each qualification.

d. Assessments data to be stored and preserved in adherence with the Data security, privacy & storage guidelines as provided by Government of India. The Assessment Agency must ensure adherence to timelines laid down by NCVET from time to time.

4.10. ADHERENCE TO STANDARDIZED ASSESSMENT METHODOLOGY

Assessment Agencies (AAs) must ensure strict compliance with the assessment methodology as defined in the Qualification Templates for both Short-Term Training (STT) and Long-Term Training (LTT) programs. In particular, Assessment Agencies must ensure that each of three core components of skill assessment namely Theory, Viva, and Practical components are comprehensively covered and evaluated as prescribed in the qualification. This standardization is critical for ensuring fairness, consistency, and quality in the assessment process across all sectors and training formats. The assessment methodology comprises the following key elements:

a. AAs must use the prescribed assessment pedagogy and tools appropriate for the specific job role or qualification, such as simulations, practical demonstrations etc.

b. AAs should conduct assessments in online, offline, or blended modes as specified in the qualification.

c. Marks or weightage assigned to each Performance Criteria must be followed as per the qualification.

d. AAs must ensure that only eligible learners, trainers, and assessors participate in the assessment process, as specified in the qualification.

e. AAs must evaluate and declare results based on the minimum pass marks defined separately for theory, practical, and viva components.

The standard Qualification Template for STT/LTT qualifications can be accessed at https://ncvet.gov.in/wp-content/uploads/2023/07/Template-for-STT-qualifications-NCVET.docx.

4.11. PROMOTION OF TECHNOLOGY

a. The AA shall ensure proper use of appropriate technology viz, Artificial Intelligence (AI)/ Machine Learning based test engine, computers, tablets, mobile applications, video communication tools, simulators etc as given in the blended learning guidelines. to deliver domain specific assessments. ICT tools and processes to be used by the AA for the assessment delivery shall be approved by the concerned AB and /or NCVET. ICT/ technology tools to be used for assessment delivery should be aligned to the competencies as defined by the AB in its qualification. ICT/ technology tools shall be used for the assessor verification (during the time of assessment), conducting the assessment in

online mode and recording of results. There should also be technology tools available for disabled-friendly assessments.

b. Any AA which is using online mode for assessment must also provide a link for real time monitoring of the assessment process to NCVET. Others using offline or blended mode of assessment must also provide video clips & pictures of the batch being assessed. These pictures &video clips shall be geo-tagged and time-stamped.

c. In case of completely online assessment process, in line with the blended learning guidelines of NCVET, technology platform should be capable enough to detect & avoid any kind of frauds.

4.12. RESEARCH & DEVELOPMENT

Assessment Agency must carry out research and conduct Skill Gap Analysis to understand the need of assessment. All Assessment Agencies shall work in collaboration with Industry partners to understand the new age and future emerging skills and prepare themselves in accordance with the need.

4.13. RELATIONSHIP OF ASSESSMENT AGENCY WITH VARIOUS STAKEHOLDERS

Assessment Agency must carry out research and conduct Skill Gap Analysis to understand the need of assessment. All Assessment Agencies shall work in collaboration with Industry partners to understand the new age and future emerging skills and prepare themselves in accordance with the need.

Table 8 Relationship of AA with various Stakeholders

Stakeholder	Terms of relationship with AA
NCVET	NCVET grants recognition to AAs, regulates their functioning and monitors their performance in line with the Guidelines developed by NCVET and modified from time to time.
Awarding body AB	Onboard NCVET recognized AAs on the basis of sectors and geography for the assessment of their training batches. AB is responsible for day-to-day monitoring of AA and also conducting Training of Assessors ToA.

05
MONITORING AND EVALUATION

a. Monitoring and Evaluation (M&E) plays a pivotal role in ensuring the efficacy and quality of Assessment Agencies (AAs) operating within the vocational education and training sector. Effective M&E of AAs not only upholds the integrity of the certification process but also guarantees that the skill sets assessed are relevant, reliable, and reflective of industry requirements. This, in turn, ensures that learners are equipped with the competencies necessary to thrive in a dynamic and competitive job market. With this background, NCVET mandates the implementation of a comprehensive and systematic monitoring system to enforce adherence to quality and reliability benchmarks across all AAs.

5.1. OBJECTIVES OF MONITORING AND EVALUATION

Monitoring and Evaluation of AAs shall be guided by the following objectives

a. Continued Compliance:
To thoroughly monitor that AAs are continuously meeting the compliance as per NCVET standards and maintaining the same without deviation.

b. Quality Assurance:
To systematically evaluate and conform that AAs are conducting assessments in strict alignment with the established quality and compliance benchmarks put forth by NCVET.

c. Ethical Operations:
To monitor that AAs and their affiliates conduct their operations with high ethical standards, keeping in mind the welfare and rights of learners as well as interests of other stakeholders.

d. Performance and Outcome Enhancement:
To oversee and encourage AAs to adopt fair and transparent procedures that are conducive to the attainment of improved outcomes for learners.

e. Grievance Resolution:
To set up a mechanism to resolve grievance and complaints lodged against recognized AAs or individual assessors/proctors, upholding the sanctity and fairness of the assessment process.

f. Integrity adherence:
To enforce and monitor high levels of integrity and transparency among AAs, creating an environment of trust and reliability within the skilling ecosystem.

g. Innovation and Adaptation:
To promote and stimulate the use of advanced ICT tools and innovative practices among AAs for the enhancement of the assessment process, ensuring scalability and adaptability to future trends.

h. Recognition and Incentivization:
To implement a merit-based incentive system that recognizes and rewards AAs for exceptional performance and adherence to NCVET directives, fostering a culture of excellence and continuous evolution.

5.2. MONITORING AND EVALUATION VIA EXCELLENCE-RISK FRAMEWORK

With the above objectives in mind, monitoring and evaluation of AAs shall be conducted through Excellence-Risk Framework (ERF) which is a structured approach of management of risks arising out of the key functions of AAs and simultaneously rewarding their attainment of excellence on the same functions. It encompasses a systematic process of identifying, monitoring, and assessing risks while concurrently striving for excellence in conducting quality assured standardized assessments.
This framework emphasizes proactive identification of potential risks related to various aspects of assessment strategy and delivery, governance and manpower, business planning, financials, and grievance and POSH. The purpose is to integrate risk management seamlessly into the NCVET's strategy and operations, fostering a proactive approach to risk identification along with defining excellence.

5.2.1. Purpose of Excellence-Risk Framework (ERF)

Key purposes of ERF to be followed by AAs are:

a) **Focus on Excellence:**
The framework shall emphasize on achieving excellence in key functions while managing risks effectively.

b) **Comprehensive Risk Assessment:**
The framework shall enable a thorough evaluation of potential risks across various macro-parameters.

c) **Regulatory Compliance:**
The framework shall ensure adherence to NCVET standards and regulations while managing risks and compliance requirements.

d) **Continuous Improvement:**
The framework shall facilitate continuous improvement through ongoing monitoring, evaluation, and refinement of risks.

e) **Stakeholder Engagement:**
The framework shall encourage active engagement with AAs to ensure alignment of risk management efforts.

f) **Transparency and Accountability:**
The framework shall promote transparency and accountability in risk management processes to build trust and credibility.

g) **Scoring and grading:**
The framework shall assist in arriving at a comprehensive score for each AA based on objective scoring and grading them basis the scores. The AAs will then be graded based on pre-determined

5.2.2. Process of Monitoring mechanism

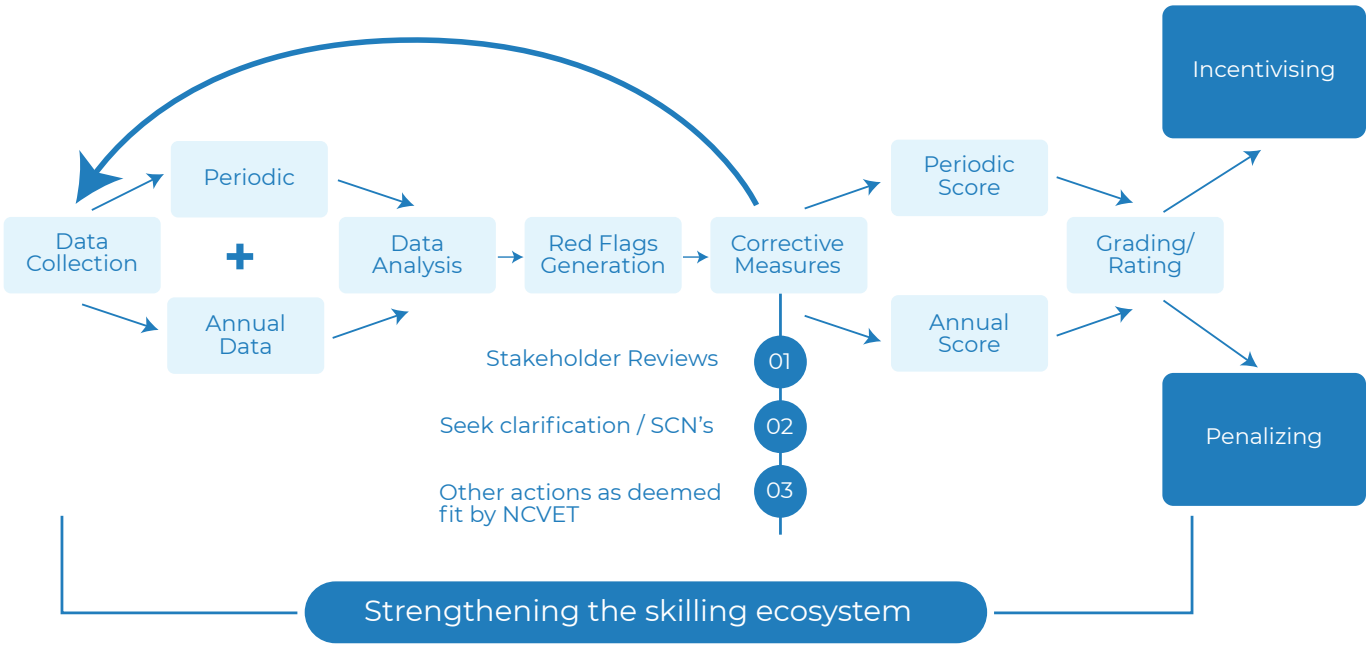
NCVET mandates a stringent monitoring mechanism to ensure that the standards of quality and reliability are maintained amongst all AAs. The following are the inherent components of the monitoring system created by the NCVET for recognized AAs.

i. Annual and Monthly Review of an AA would be conducted wherein yearly performance will be assessed on the monitoring and evaluation parameters enumerated in Annexure IX(a) : Detailed Excellence Risk Framework.

ii. Continuous Performance Monitoring: Continuous performance monitoring will be carried out throughout the tenure of recognition. AAs are required to develop and maintain IT portals and MIS related to their operations. Such platforms will be continuously monitored by NCVET. Also information/data shall be furnished by AAs on continuous basis for the purpose of monitoring. In addition to this, to self-regulate on performance on proposed parameters, the Assessment Agencies shall continue to monitor themselves on continuous basis.

Based on the monitoring parameters an Excellence risk assessment framework is developed to see the performance of AA across on various categories - (Risk, compliance and excellence.). Red flags based on defined criteria will be raised on non-compliances and will form the basis for corrective measures and improvements by the Assessment Agencies. Red flags are the warning signs or indicators that suggest there may be an inconsistency or underlying issue that requires attention.

The process flow for monitoring mechanism has been given below:



iii. Scoring and Grading: Scoring and Grading will be undertaken for the AAs and will form the basis for penal measures or incentives for the AAs.

iv. Self-Improvement: After annual scoring and grading, an AA is expected to develop a risk mitigation strategy. Most significant part of such strategy is development of various self-improvement plans (e.g. quality improvement plan, preventive risk plan and improvement, improvement progress plan, etc.) which an AA must prepare keeping its risk category in mind. This inculcates the idea of improvement through self-initiation leading to reduced requirement of external regulatory control in long run.

5.2.3. Parameters of Excellence-Risk Framework (ERF)

The framework incorporates six (06) macro-parameters that collectively contribute to its robust and effective operation. The parameters are as follows:

i. Governance and Manpower: This parameter refers to the specific criteria measuring aspects such as decision-making structures, policies, and procedures, number of employees (both assessment and non-assessment staffs), training and development needs that guide the overall functioning of AA. It is composed of 7 sub-parameters.

ii. Business Planning and Research: This parameter attempts to conform whether recognised AAs are meeting their targets as per their prepared business planning including their specific goals, strategies and actions and are involved in market research. It is fragmented into 4 sub-parameters.

iii. Financials: This parameter explores the aspects of financial stability of AAs by considering indicators such as annual turnover, net worth, profitability. It also pays emphasis towards observing the paying capacity of an AA especially towards its assessors and proctors. It is further segregated into 4 sub-parameters.

iv. Assessment Strategy: This parameter examines plan or approach designed by AAs and its readiness to evaluate the learning progress, skills, and knowledge of candidates. It is composed of 5 sub-parameters.

v. Assessment Delivery: This parameter analyses the process of administering and conducting assessments by AAs by selecting appropriate assessment methods. It captures the activities pertaining to assessment delivery and result submission. It is fragmented into 9 sub-parameters.

vi. Grievance Redressal and POSH: This parameter examines the effectiveness of an AA's grievance redressal system including POSH. It is divided into 2 sub-parameters.

The following table lists out the sub-parameters against each macro-parameter:

Table 9 List of Macro and Sub-Parameters

S.No	Macro-Parameters	Name of Sub-Parameters
1.	**Governance & Manpower**	1. Leadership Stability 2. Positions continuously filled as per the organogram submitted during recognition 3. Percentage of revenue utilized towards Continuous Professional Development (CPD) of staffs 4. Feedback mechanism (post assessment) 5. Adherence to SOPs and guidelines related to assessment 6. Availability of data storage mechanism as per Digital Protection Data Protection Act, 2023. 7. Awards, recognition, accreditation etc.
2.	**Business Planning & Research**	1. No. of assessments planned V/S actual 2. Continuity of assessments in allocated sectors 3. Proportion of govt. v/s non-govt. funded assessments 4. Global benchmarking in assessments
3.	**Financials**	1. Turnover planned V/S actual 2. Continued positive net worth 3. Total amount pending for payment to assessors/proctors 4. Profitability
4.	**Assessment Strategy**	1. Availability of question bank with required number of questions as per NCVET Guidelines 2. Question bank availability in official languages of Indian states/local language as per state of operation 3. Sample questions available on website for active qualifications 4. Availability of certified assessors across allocated sectors 5. Question bank validation by AB/Industry
5.	**Assessment Delivery**	1. Batch acceptance rate 2. Deviation between scheduled and actual assessment date 3. Offline Assessment conducted by certified Assessor 4. Assessor's fluency in the language mentioned as the preferred language of assessment 5. Result submission within Turnaround Time 6. Video evidence of assessment captured on AA assessment engine/portal/app 7. Number of practical assessments assessed by an assessor as per limits set in the NCVET guidelines 8. Result returned by AB for non-accuracy of data 9. Process in place to ensure one assessor could not assess two or more batches on same day at different locations

6.	**Grievance Redressal & POSH**	1. Presence of Grievance committee 2. Presence of POSH committee
	Total	**31**

By looking into the excellence and risk aspects on the same parameter, this framework brings forth a comprehensive approach to monitoring and evaluation, thereby adhering strictly to regulatory mandates set by NCVET. Additionally, it facilitates towards a structured process for continuous improvement of AAs.

5.2.4. Structure of the Excellence-Risk Framework (ERF)

The ERF consists of macro-parameters, each encompassing specific risk categories, compliance benchmarks, and excellence parameters. The framework clearly visualizes how the AAs has performed in various categories of risk viz. low, medium, and high risk along with compliance and excellence in a single sub-parameter defined under a macro-parameter. The arrow moving towards left identifies the three categories of risks and explains the sub-parameters which fall under a particular category of risks while the arrow moving towards right shows compliance first and then excellence. This framework, therefore, suggests a sequential interlinking with the risks and excellence in the monitoring and evaluation process.

An illustrative structure of the framework is given below:

Macro-Parameter	**Name of Sub-Parameters**				
Sub-Parameter	**High Risk**	**Medium Risk**	**Low Risk**	**Compliance**	**Excellence**
Result submission within Turn Around Time	% of batches whose results have been submitted after 6 days of TAT	% of batches whose results have been submitted between 4 to 6 days after TAT	% of batches whose resu% of batches whose results have been submitted between 1-3 days after	% of batches whose results have been submitted within TAT(STT-3 days, LTT-5 days)	Achieving 100% compliance throughout the year

5.2.5. Definition of Excellence and Risks

This section puts forth the definitions of various categories of risks, compliance, and excellence.

Table 11 Definition of Risks and Excellence

S.No	Categories of Risk	Definitions
1.	**Low Risk**	Parameters under low-risk categories shall be defined as events with some concerns which the existing controls and procedures shall be able to cope up with.
2.	**Medium Risk**	Parameters under medium-risks categories shall be defined as significant event or circumstances that requires NCVET management effort to minimize the impact.
3.	**High Risk**	Parameters under high-risk categories shall be defined as events or circumstances with potentially disastrous impact on stakeholders, thus impacting the credibility of the skill ecosystem and NCVET's regulatory role.

4.	**Compliance**	Compliance parameters involves adhering to criteria and benchmarks as mentioned in these guidelines.
5.	**Excellence**	Excellence parameters are criteria which shall be used to evaluate AA's performance in exceeding compliance requirements and achieving superior outcomes.

5.2.6. Submission of monitoring data on DEP (Digital Enterprise Portal)

AAs will be required to furnish all data and evidence on DEP regularly for the continuous monitoring purpose. Red flags will be generated on periodic basis for the non-compliances and will be shared with Assessment agencies for improvements and strive for excellence. AAs shall take all necessary action to remain in the Compliance, preferably also in the Excellence in all applicable parameters immediately on detection of any type of risk.

5.3. PROCESS FOR IMPLEMENTATION OF EXCELLENCE-RISK FRAMEWORK

To operationalize the ERF, detailed mechanism has been framed that translates the conceptual aspects of the framework into actionable steps. This mechanism is designed to embed the core parameters of excellence and risk management into the regular tasks and strategic decisions of AAs.

The following steps outline the mechanism for implementation of the framework:

5.3.1 Step 1: Preparation of Scoring Matrix

The ERF is designed to evaluate and monitor the performance of AAs in relation to six macro-parameters that signify risk and excellence within their operations. A scoring matrix is an essential component of this framework as it translates qualitative considerations into quantitative scores that can be analyzed and compared over time. The scoring matrix detailed herein provides a structured approach for assigning numerical values to the parameters that determine the risk level and excellence of AAs.

a. Purpose of the Scoring Matrix

The scoring matrix intends to:

i. Quantify the risk and excellence parameters identified in the framework.
ii. Provide a standardized method for evaluating the performance of AAs.
iii. Facilitate decision-making for interventions, recognitions, and improvements.
iv. Encourage continuous improvement by identifying areas for development.
v. Ensure transparency and objectivity in the monitoring and evaluation process.

b. Structure of the Matrix

The scoring matrix is constructed by assigning point values to each category of risks, compliance, and excellence while weightages are assigned to macro-parameters and corresponding sub-parameters. This shall help to accurately reflect the emphasis on distinct operational areas.

c. Weightages

Macro-parameters represent the primary areas of AA's operations and responsibilities. The weightage assigned to each macro-parameter reflects its relative importance. For instance, 'Assessment Delivery' is allocated the highest weight at 50%, indicating its central role in the AA's functions. Following this, 'Assessment Strategy' is weighted at 10%, acknowledging its foundational importance in enabling the AAs to provide high-quality assessments and adhere to established NCVET guidelines. The table below provides an overview of weightages given to each macro-parameter, determined by its impact on the quality, viability, and risk profile of an AA:

S.No	Macro-Parameters	Number of Sub-Parameters*	Weightage
1.	**Governance & Manpower**	**7**	**10%**
2.	**Business Planning & Research**	**4**	**10%**
3.	**Financials**	**4**	**15%**
4.	**Assessment Strategy**	**5**	**10%**
5.	**Assessment Delivery**	**9**	**50%**
6.	**Grievance Redressal & POSH**	**2**	**5%**
	Total	**31***	**100%**

* Details of these parameters are provided in Annexure IX(a).

The allocation of weightage for each macro-parameter is distributed among its corresponding sub-parameters according to their relative significance. For instance, the macro-parameter 'Governance & Manpower', which is allocated a total weightage of 10%, is subdivided among seven (7) sub-parameters, with the sum of their individual weightages equating to the assigned 10%.
Additionally, the three categories of risks have been scored ranging from (-1) till (-4) and compliance as 4, as shown below:

Table 13 Score of Risks and Compliance

S.No	Categories	Score
1.	High Risk	-4
2.	Medium Risk	-2
3.	Low Risk	-1
4.	Compliance	4
5.	Excellence	To be decided by NCVET Senior Management based on submitted documentary proofs

d. Scoring Process

An integral aspect of the scoring matrix is the differentiation between the levels of risk (viz. low, medium, and high), compliance, and excellence. Each macro and sub-parameters are evaluated across these dimensions:

i. Risk Categories: Each level of risk, low, medium, and high has been scored based on the likelihood and potential impact of adverse events within the scope of the macro-parameter.

ii. Compliance: This dimension addresses whether the AA adheres to established regulatory and procedural standards, with scores reflecting how well these standards are met.

iii. Excellence: This dimension evaluates the extent to which the Assessment Agency (AA) not only meets compliance standards but also demonstrates superior performance and industry-leading practices. Excellence scores shall be awarded only upon submission of verifiable proofs such as official documents, letters, reports, and other credible records. These submissions will be reviewed by NCVET's competent authority, and only after due validation will the excellence scores be assigned, reflecting achievements beyond mere compliance. As part of this parameter, AAs shall also be required to submit placement records post-assessment to support monitoring and evaluation efforts. Additionally, employer feedback or endorsement letters must be submitted annually to provide further evidence of the quality and impact of assessments conducted.

The final scoring process involves a series of calculations based on the sub-parameters and their respectiverisk categories. To determine the final score for a sub-parameter, the following steps are taken:

i. Identification of the percentage of the sub-parameter (wherever applicable) that corresponds to each assigned risk category.
ii. Multiplication of this percentage by the score associated with the risk category.
iii. Multiplication of the resulting value by the weight assigned to the sub-parameter.
iv. Summing up the scores of constituent sub-parameters to obtain the total score for a macro-parameter.
v. The overall final score for AA is then calculated by summing the weighted scores of all the macro-parameters, with weights reflecting the relative importance of each macro-parameter.
vi. Highest score which an AA can secure shall be not more than 400.

e. Example of Overall Score Calculation of AA

i. **Macro-Parameter:** At first let us consider, macro-parameters and the subsequent weightage accorded to them based on importance. For example, let us consider a macro-parameter namely Assessment Delivery with 50% weightage.
ii. **Assessment Delivery**
A. **Weightage: 50 %**
B. **Sub-parameters:** Total 9 sub-parameters such as batch acceptance, deviation between scheduled assessment date and actual assessment date, analysis of assessment data etc.
C. **Risk Score:** Scores from -1 till -4 for each category of risk.
D. **Compliance:** Score of 4
E. **Weighted Sub-Parameter Score:** Percentage of sub-parameter which falls into a particular category of risk (wherever applicable) X weight of that sub-parameter X risk score.
F. **Final Macro-Parameter Score:** Summation of all sub-parameter scores
G. **Final AA Score:** Summation of all macro-parameter Score

Given below is an illustrative example of an Assessment Agency named AA1 which will provide better understanding of the ERF scoring process. Macro-parameter 'Assessment Delivery' has been considered with a sub-parameter below:

• **Result submission within Turn Around Time (TAT) (weightage 8%)**

Macro-Parameter	**Name of Sub-Parameters**				
Sub-Parameter	**High Risk (R1) (Score = -4)**	**Medium Risk (R2) (Score = -2)**	**Low Risk (R3) (Score = -1)**	**Compliance (R4) (Score = 4)**	**Excellence (Score = TBD)**
Result submission within Turn around Time (sub-parameter weightage: SPW2= 8%)	% of batches whose results have been submitted after 6 days of TAT	% of batches whose results have been submitted between 4 to 6 days after TAT	% of batches % of batches whose results have been submitted between 1-3 days after TAT	% of batches whose results have been submitted within TAT(STT-3 days, LTT-5 days)	Achieving 100% compliance throughout the year
% of batches	5%	10%	15%	70%	NA

The scoring process of AA 1 as per Table 14 :

° AA1 has submitted result within TAT for 70% of its assessed batches meaning that AA1 is compliant for 70% of its assigned batches.
° For the non-compliance of 30%, the AA1 is at a risk category of 5%, 10% and 15% for high risk, medium risk and low risk category respectively on account of submitting results outside TAT
• Therefore, scoring for sub-parameter shall be as follows:
° Compliance score (70% batches) +Low Risk score (15% batches) + Medium Risk score (10% batches) +High Risk score (5% batches) ={8X70%X (+4) +8X15%X (-1) + 8X10%X(-2) +8X5%X(-4)}= {22.4+(-1.2) +(-1.6) + (-1.6)} = 18
• Hence, total score of AA1 with respect to the sub-parameter shall be 18

f. Cumulative-Scores Calculation

The Cumulative-Scores of an AA could be depicted using the below formula:

Final Score of an AA = $\sum_{j=1}^{31} SPW_j X \sum_{i=-4}^{4} PC_j \; X \; R_i$

Where,
i = suffix used for scores for of compliances and three categories of risk
j = suffix used for sub-parameters
PCj = Percentage compliance on the sub-parameter
Ri = Scores of compliances and three categories of risk
SPWj = Sub-parameter weightage

The Sub-parameter weightage for all the 31 sub-parameters has been attached at Annexure IX(b). Maximum marks which an AA can obtain shall be 400. Additional marks may be assigned to excellence category (maximum) which shall be given subject to decision of NCVET Internal Monitoring Committee and based on submitted documentary evidence.

5.3.2 Step 2: Grading

The final score for the AA is the sum of the weighted scores of all macro-parameters with 400 being the maximum score. The score will ultimately place the AA within a performance tier. The following table provides details of grades along with range of scores in which those grades fall:

Table 15 Grading Bands

S.No	Grade	Definitions	Range
1.	A	AAs who demonstrate compliance to most of the parameters which are itself set at high standards, would be graded at the highest level.	324-400
2.	B	AAs performing tasks effectively and meeting the compliance levels in many parameters or falling minimally in the high risk.	171-324
3.	C	AAs meeting the compliance levels at a few parameters and whose many areas of performance fall under high-risk categories.	18-171
4.	D	AAs whose performance is consistently below the required standard or found non-compliant in most of the parameters.	Below 18

These bands determine the nature and frequency of oversight or incentives that might be applied. AAs falling in B, C and D grade shall be required to develop a comprehensive Risk Mitigation Plan in consultation with NCVET and the ABs they are affiliated with, if needed. The leadership team of the AA shall be required to present the same to NCVET within a month of the release of grading, on a suitable date. NCVET might seek clarifications on the plan, if required. For AAs in the last three categories, NCVET shall continue to monitor performance and, in line with its mandate to strengthen the skilling eco system, guide and support the AA in taking corrective actions towards risk mitigation.

An Internal Monitoring Committee (IMC) will be formed, which will include senior NCVET officials to review and evaluate on details submitted for excellence parameters by the AA. The IMC will also take decisions on actions to be taken for repeated default / red flags raised on non- compliances by the Assessment Agencies.

The grades post approval of the Internal Monitoring Committee would be made public by the NCVET.

5.4. CONSEQUENCES OF SCORES FOR AAS

This section outlines the implications of the performance scores AAs receive within the ERF. These scores directly influence the operational scrutiny and recognition status of the agencies

5.4.1. Physical Inspection

Physical inspections (if required) shall be conducted for AAs based on the scores they receive through ERF. The frequency and depth of the inspections shall correlate with the scores achieved by the agencies. AAs with scores in the higher range, indicating an 'A' or 'B' grade, shall be subject to less frequent and less intensive inspections due to their demonstrated ability to manage risks and uphold high standards. Conversely, agencies with scores in the lower range, falling within the 'C' or 'D' grade, shall be subject to more thorough inspections to verify that they are addressing any risks effectively and are on a path towards improving their operations to meet the required standards.

5.4.2. Renewal of Recognition

The scores obtained through ERF shall be a determining factor in the renewal process for the recognition status of AAs. Once an AA's initial recognition period of three years concludes, the renewal shall be contingent upon their performance as measured by the framework's metrics.

AAs falling under grades of A and B will have their recognition automatically renewed, provided they submit their renewal request at least six months before the expiry of their current recognition. For AAs graded C or D, the renewal process will be determined by a Subcommittee constituted within NCVET, empowered by the council.

5.5. FREQUENCY OF MONITORING

To ensure fair and reliable process of assessments NCVET shall monitor recognized AAs both annually and monthly on the parameters mentioned in section 5.2.3. The table below provides the frequency at which the macro-parameters shall be monitored.

Table 16 List of Macro and Sub-Parameters

Sl.No.	Macro-Parameters	Frequency of Monitoring
1.	Governance & Manpower	Annual (subject to change as per NCVET decision)
2.	Business Planning & Research	Annual (subject to change as per NCVET decision)
3.	Financials	Annual (subject to change as per NCVET decision)
4.	Assessment Strategy	Annual (subject to change as per NCVET decision)
5.	Assessment Delivery	Monthly (subject to change as per NCVET decision)
6.	Grievance Redressal & POSH	Annual/As on Occurrence (subject to change as per NCVET decision)

5.6. RISK MITIGATION PROCESS

Risk mitigation process shall ensure that for any AA which falls under B, C or D grade shall take appropriate measures to come out of the risks and move towards compliance first and subsequently towards excellence (wherever applicable). The process of risk mitigation addresses how NCVET shall be managing the AAs based on their overall ERF score against each macro and sub-parameter and what shall be the strategies for improvement.

Table 17 Risk Mitigation Process

Who is Eligible?

Recognized AAs with grades of B, C or D

<table>
<tr><th>Owner</th><th colspan="3">Tasks</th></tr>
<tr><td>NCVET Monitoring Team</td><td colspan="3">1. The team will write to the AA requesting for a brief on compliance with previous year's improvement strategy and current year's mitigation measures. The templates of mitigation measures are given below.
2. The mitigation strategy shall be designated based on the following criteria:</td></tr>
<tr><td rowspan="5"></td><td>Grade</td><td>Mitigation Strategy</td><td>Documents to be Submitted</td></tr>
<tr><td>B</td><td>This category indicates that some of macro and sub-parameter scores falls under risk categories which is tolerable. No specific review activity is required, and AA shall continue to follow the regular review activity.</td><td>Quality Improvement Plan
(Annexure X)</td></tr>
<tr><td>C</td><td>• The mitigation shall be through a program of review and/or monitoring activity, identify quality improvement strategies, professional development activities and other to facilitate the improvement of training/ education/ assessment services.
• The AA shall submit a risk prevention plan and identify a team of resources to oversee the improvements.</td><td>Preventive Risk Plan and Improvement Progress Plan
(Annexure X)</td></tr>
<tr><td>D</td><td>• Penalties and/or warnings shall be imposed on the AA as per decision of NCVET.
• The mitigation report shall be submitted.
• Other conditions such as restricted access to government funding etc. may be imposed.
• In extreme cases, immediate withdrawal of recognition status maybe considered.</td><td>Risk Mitigation and Management Plan
(Annexure X)</td></tr>
<tr><td colspan="3">3. The mitigation measures, especially in cases of 'Grade D' shall be submitted to the Director and Member, NCVET for her/his approval.
4. The cases of 'Grade B or C', AA shall be presented to the Council for its view and any corrective/punitive action it may seek to take.
For ease of AA, a suggestive list of mitigation measures has been outlined in Annexure XIII.</td></tr>
<tr><td>Director, NCVET</td><td colspan="3">1. The Director, NCVET may discuss the suggested mitigation measures with the monitoring team and forwards the same to Member, NCVET with or without modifications.</td></tr>
<tr><td>Member, NCVET</td><td colspan="3">1. Member, NCVET may discuss the suggested mitigation measures with the monitoring team and approve the same with or without modifications.</td></tr>
<tr><td>NCVET Monitoring Team</td><td colspan="3">1. Post the approval of Member NCVET and Council (if required) the mitigation measures are then communicated to the AA by NCVET monitoring team. A meeting may be scheduled by the monitoring team.</td></tr>
<tr><td>Recognized AA</td><td colspan="3">1. The recognized AA takes the necessary action and submits the documents as per its stipulated overall grade.</td></tr>
</table>

Exit Criteria

This process ends with communicating the decision of mitigation measures to the recognized AA and submission of relevant document by them.

Timeline of Completion

- The mitigation measures suggested by NCVET monitoring team shall be submitted to the Member, NCVET along with the review report within 10 working days of the submission of filled in templates for mitigation strategies by AAs.
- The measures shall be communicated to the AA within 5 working days from the date of receipt of the approval of Member, NCVET.
- The recognized AA must submit the relevant document as per their overall risk category within 15 working days of receiving the required mitigation plan.

Verification and Validation

NCVET

- Ensure that relevant monitoring team submits grades as per ERF score and suggested measures for mitigation after the review exercise.

AA

- Adheres to the mitigation measures and submits the improvement plan.

5.6.1. Risk Mitigation Measures of AA & Corrective Actions

As the regulatory authority responsible for upholding the standards of vocational education and training, NCVET is committed to implementing robust risk mitigation and corrective action strategies. Keeping this mind, this section provides a suggestive list of mitigation measures to facilitate AAs for preparation of their mitigation plan. All AAs falling under risk categories need to submit mandatorily their risk mitigation plan to NCVET. Illustrative risk mitigation measures and corrective action are given in Annexure XIII.

5.6.2. Actions by NCVET

The scoring exercise of the recognized AAs shall be carried out once a year. The following actions shall be taken for AAs based on two factors – grading and frequency at which a particular AA falls under a particular grade.

Table 18 Frequency of Occurrence (Consecutive)

Sl.No.	Grade	Once	Twice	More than Twice
1.	A	Letter of Appreciation	Incentivization	Fast track renewal
2.	B	No action	Letter of Appreciation	Incentivization
3.	C	Private warning	Public warning	Public warning + Penalty
4.	D	Public warning	Public warning + Penalty	De-recognition

**Subject to fulfillment of mandatory conditions*

For recognized AAs who have been in the NCVET ecosystem for more than a year, during a particular year of review, their current grades shall be compared with that of the preceding year to evaluate and track improvements (if any) and subsequently the necessary action shall be taken as mentioned below:

Table 19 Comparison of Grades

Sl.No.	Grade	Once	Twice
1.	A	B	Private warning
2.	A	C	Public warning
3.	A	D	Public warning + Penalty
4.	B	A	Letter of Appreciation
5.	B	C	Public warning
6.	B	D	Public warning + Penalty
7.	C	A	Letter of Appreciation
8.	C	B	Private appreciation
9.	C	D	Public warning + Penalty
10.	D	A	Letter of Appreciation
11.	D	B	Private appreciation
12.	D	C	Frequent handholding

For the recognized AAs which fall in D and C Grade in year one, NCVET may invite them for a feedback meeting to discuss potential areas of improvement and follow up actions. If an AA has consistently been at 'B' category for two or more review cycles, NCVET may incentivize their performance through measures as deemed appropriate by Member, NCVET and the Council. For the entities whose overall ERF score is high or medium, for the renewal process, they would have to submit further evidence as stipulated by NCVET.

Apart from the above actions which shall be taken annually based on the ERF scores, NCVET shall take some monthly actions based on red flags generated by monthly analysis.

Going forward, the monitoring of AA shall be made available on the digital platform that is expected to integrate data with other relevant portals. It will help AAs to avoid repeated reporting of data required for monitoring. This self-monitoring mechanism shall prevent AAs from falling into the risk zone. AAs are encouraged to consider gradual improvement of the status in the sequence of High Risk to Excellence. AAs shall take all necessary action to remain in the Compliance, while also striving for Excellence in all applicable parameters immediately on detection of any type of risk.

06
CONCLUSION

The skilling ecosystem in the country is highly dynamic due to technological advancements and positive disruptions, driven by automation, digital transformation, and evolving industry needs. The eligibility criteria, recognition process, and monitoring parameters for the AA guidelines may be modified over time to align with industry standards, regulatory requirements, and technological progress, with the approval of the competent authority. A flexible approach ensures that the guidelines remain relevant, effective, and responsive to sectoral demands.

ANNEXURE

ANNEXURE I: DEFINITIONS

a. **Awarding Body (AB)** refers to an entity that awards or proposes to award certification to trainees for an NSQF-aligned and approved qualification either developed or adopted by it as per policy on adoption of Qualifications by ensuring quality training and reliable assessments.

b. **Assessment Agency (AA)** refers to an agency that tests or conducts examinations to assess whether a learner has met the requirements necessary to be competent and qualified with respect to a skill or qualification.

c. **Assessment Agency (AA)** Guidelines are the Guidelines for Recognition & Regulation of Assessment Agencies released by NCVET and as updated from time to time for recognition and regulation of the AAs recognized by NCVET.

d. **Original Equipment Manufacturers (OEMs):** An Original Equipment Manufacturer (OEM) makes systems or components that are used in another company's end-product.

e. **Multinational Company (MNC):** Multinational Corporations or Multinational Companies are enterprises that operate in one or more countries other than their native country. MNCs are globally reputed successful firms that have grown over many years into large corporations that are international in their vision, strategies, and operations including development, manufacturing, deployment, hiring, and marketing, etc.

f. **Council** means the National Council for Vocational Education and Training notified on December 5, 2018, vide notification number SD-17/113/2017-E&PW of the Ministry of Skill Development and Entrepreneurship, Government of India.

g. **National Skills Qualification Committee (NSQC)** is the Committee formed under NCVET (also notified under the NSQF gazette notification No. 8/6/2013-Invt dated 27th December 2013) which approves qualifications for NSQF alignment and other qualification approval parameters laid down by the NCVET.

h. **National Qualification Register (NQR**) is the online repository of the NCVET-approved qualifications, anchored, and housed under NCVET.

i. **National Skills Qualification Framework (NSQF)** is a competency-based skill framework which organizes qualifications according to a series of levels of knowledge, skills, and aptitude notified by NCVET as updated from time to time. The NSQF is anchored at NCVET. NCVET has prescribed norms, procedures, and templates for NSQF alignment of qualifications which shall be followed by all the NCVET recognized Awarding Bodies and Assessment Agencies for performing their functions.
https://ncvet.gov.in/wp-content/uploads/2023/06/NSQF-Order-updated-.pdf

j. **Recognition of an entity as an AA by NCVET** means that the entity has been authorized to assess trainees after completion of the trainees' training under an NSQC-aligned and approved qualification.

k. **Training Bodies** are the entities which are affiliated by recognized Awarding Body in consonance with the NCVET guidelines and agreement signed with AB concerned and will function under its supervision.

l. **Academic Bank of Credits (ABC**) is a national repository to digitally store the academic and other credits earned from recognized institutions/bodies so that credits could be redeemed, and the relevant award of certificate, diploma or degree granted taking into account the credits/credit points earned at various NCrF levels.

ANNEXURE II: LIST OF SECTORS (INDICATIVE)

S. NO.	SECTOR
1	Aerospace and Aviation
2	Automotive
3	Agriculture
4	Apparel
5	Beauty & Wellness
6	BFSI
7	Capital goods
8	Chemicals and Petrochemicals
9	Construction
10	Domestic Worker
11	Education, Training & Research
12	Electronics
13	Environmental Science
14	Food
15	Gems/Jewel
16	Glass & Ceramics
17	Handicrafts
18	Healthcare
19	Hydrocarbon
20	Infrastructure
21	Iron & Steel
22	IT-ITeS
23	Judiciary
24	Leather
25	Legal Services
26	Legislators
27	Life Sciences
28	Media & Entertainment
29	Mining
30	Musical Inst.
31	Office Admin
32	Optical Products
33	Org. Retail
34	Paints & Coatings
35	Paper & paper products
36	Plumbing
37	Postal
38	Power
39	Printing
40	Public Admin
41	Pvt. Security
42	PwD
43	Railways
44	Real Estate
45	Religious Prof.
46	Rubber
47	Shipping
48	Sports
49	Telecom
50	Textile
51	Tobacco
52	Tourism & Hospitality
53	Transportation, Logistics and Warehousing
54	Unorg. Sector
55	Water Supply
56	Wood & Carp.
57	Instrumentation
58	Green Jobs
59	Management

ANNEXURE III(A)
TYPES OF COMPANIES UNDER COMPANIES ACT 2013

a. Public Limited Companies or Limited Companies: A public limited company is a company that has limited liability and offers its shares to the general public for subscription and trading on stock exchanges.
b. Private Limited Companies: A Private Limited Company is a separate entity that is held privately and provides limited liability.
c. One Person Company: One Person Company (OPC) is a type of company that can be formed with just one person as its member and shareholder.
d. Non-Profit or Section 8 Companies: A non-profit company is a company incorporated with the primary objective of promoting commerce, art, science, sports, education, research, social welfare, religion, charity, protection of the environment, or any other similar objective, provided that its profits, if any, are utilized solely for promoting its objectives and not distributed among its members as dividends.

ANNEXURE III(B)
DPIIT CRITERIA FOR STARTUPS

For startups: Startups applying to become an AA shall fulfill the DPIIT criteria as follows.

a. The entity should be a DPIIT (Department for Promotion of Industry and Internal Trade) recognized Startup.
b. The entity must possess DPIIT Certificate of Recognition for Startups not obtained before 5 years from the date of application.
c. The entity should be working towards innovation/ improvement of existing products, services and processes in the vocational education/ skilling domain and should have the potential to generate employment/ create wealth. The entity should have a scalable business model with demonstrated excellence in the area of conducting assessments for vocational education and skilling.
d. An entity formed by splitting up or reconstruction of an existing business shall not be considered a "Startup."

ANNEXURE IV: CLASSIFICATION OF STATES AND UTS

CLASSIFICATION OF THE STATES AND UTS		
S.NO.	**TYPE**	**STATE /UT**
1.		Andaman and Nicobar Islands
2.		Lakshadweep
3.		Dadra & Nagar Haveli and Daman & Diu
4.		Ladakh
5.		Chandigarh
6.		Puducherry
7.		Sikkim
8.		Mizoram
9.		Goa
10.	**CATEGORY –I**	Arunachal Pradesh
11.		Nagaland
12.		Manipur
13.		Meghalaya
14.		Tripura
15.		Himachal
16.		Uttarakhand
17.		J and K
18.		NCT of Delhi
19.		Chattisgarh
20.		Telangana
21.		Haryana
22.		Kerala
23.		Punjab
24.		Jharkhand
25.		Assam
26.		Orissa
27.	**CATEGORY –II**	Gujarat
28.		Karnataka
29.		Rajasthan
30.		Tamil Nadu
31.		Madhya Pradesh
32.		Andhra Pradesh
33.		Bihar
34.		West Bengal
35.		Maharashtra
36.		Uttar Pradesh

ANNEXURE V
REGION WISE LIST OF STATES FOR PAN INDIA RECOGNITION

S. NO.	REGION	STATES/ UTS
1	Central India	Chhattisgarh, Madhya Pradesh, Uttarakhand and Uttar Pradesh
2	East India	Bihar, Jharkhand, Odisha, and West Bengal
3	North India	Chandigarh, Delhi, Haryana, Himachal Pradesh, Jammu and Kashmir, Ladakh, Punjab, and Rajasthan
4	North East India	Assam, Arunachal Pradesh, Manipur, Meghalaya, Mizoram, Nagaland and Tripura
5	South India	Andhra Pradesh, Karnataka, Kerala, Puducherry, Tamil Nadu, and Telangana
6	Western India	Dadra and Nagar Haveli and Daman and Diu, Goa, Gujarat, and Maharashtra

ANNEXURE VI:
AREAS CONSIDERED FOR PRIOR EXPERIENCE

a. School Education and Higher Education including technical education

The NEP 2020 recognizes the importance of integrating skill development into school and higher education to ensure that graduates are not only academically proficient but also equipped with practical skills essential for the workforce. The number of assessments conducted for school education and higher education in the skilling domain shall be considered in the prior experience.

b. Vocational Education, Training and Skilling (VETS)

Vocational Education and Training and Skilling (VETS) is a form of education that focuses on providing practical skills and knowledge required for specific occupations or trades. It is designed to prepare individuals for employment in a particular industry or sector. VET and skilling play crucial roles in preparing individuals for the workforce and aims to provide a foundational set of skills that can be applied across various fields. Assessments conducted in such fields shall be considered in their prior experience.

c. Heritage and Traditional Skills

'Heritage skills' shall include, but shall not be limited to, those skills, aptitudes, and competences necessary for the completion of a specific work in the sphere of cultural heritage. These skills include the application of a heritage trade or craft, knowledge, custom, art, technique and skill as have been developed and safeguarded, whether through tradition or instruction, and having a conservation context.
Traditional skills that are still practiced today have passed through generations, like intricate embroidery and weaving, wood carving, pottery, and stone carving etc. These skills not only provide a source of livelihood for many people but also help preserve India's rich cultural heritage. Despite the challenges and the use of modern technology; India’s craft sector is one of the largest employment sectors, after agriculture, and it employs a large number of people, including artisans, weavers, potters, stone carvers, and other skilled workers who create handmade products.

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ANNEXURE VII:
DETAILED RECOGNITION PROCESS

Step 1: Registration and Submission of the duly filled in application form by the applicant entity along with processing fees.

a. Login ID and password will be generated which will be used by the entity for filling in the detailed application form.
b. The applicant has to submit the UTR no of processing fee during the time of application.
c. Login id and password shall be deactivated if the application form is not submitted within 15 working days of initial registration.
d. No additional fee for affiliation/ accreditation would be charged from AAs by the ABs.
e. No onboarding fees will be charged by ABs to onboard AA for their qualification

Step 2: Nomination of case member by NCVET and Screening of application as per the eligibility criteria by the nominated case member

a. This process entails the nomination of a dedicated case member and screening of application. This step majorly focuses on reviewing the availability of completed application form and all the necessary evidence in support of the application.
b. Nomination of case member within 5 working days from the date of submission/ receipt of application form.
c. For screening of application by case member 10 working days from nomination of the case member.
d. In case of a request from the applicant entity, additional 5 working days may be allocated to them to submit additional information/ evidence etc., if any.

Step 3: Scrutiny of application by Director

a. Scrutiny is a critical step where a concerned Director reviews the application on grounds of its compliance to the eligibility criteria and decides and recommends either approving or rejecting the application.
b. Director concerned will evaluate whether the applicant entity meets the eligibility criteria within 5 working days of clearing the screening.
c. In case of a request from the applicant entity, an additional 5 working days may be allocated to them to submit additional information/ evidence etc., if any.
d. Scrutiny should be completed within 20 working days from the date of communication of decision of the screening (previous step) including the additional time.

Step 4: Final review by the Sub-Committee empowered by the Council.

a. In this step, the Sub-Committee authorized by the Council and chaired by Chairperson, NCVET would review the application submitted by the applicant entity, after fulfillment of compliances recommended during the scrutiny process and assesses their capacity w.r.t. eligibility criteria specified in this Guidelines.
b. The Sub-Committee meeting will be scheduled within 10 working days after the clearance of the director scrutiny and fulfilment of compliance by the applicant entity.
c. The Sub-Committee will take the final decision for issuance of Letter of Intent (LoI) or rejection of the application.

Step 5: Submission of the recognition fee by the applicant entity

a. Upon recommended approval of the Sub-Committee for granting the provisional recognition, the applicant entity is required to submit the recognition fee of Rs. 1,00,000/- through channel prescribed by NCVET, before the issuance of the Letter of Intent (LoI).
b. The fee to be paid within 15 working days of approval by the Sub-Committee is validated through a written communication by NCVET. The applicant will also be required to submit proof of deposit of the fees/ share the NEFT/RTGS details of transferred amount.
c. In case of non-payment or request from the entity, an additional time of 5 working days shall be provided after which the approval of Sub-Committee may stand invalid.
d. The applicant entity may, if needed make a special request for enhancement of timeline for payment of recognition fee subject to approval of the Chairperson, NCVET.

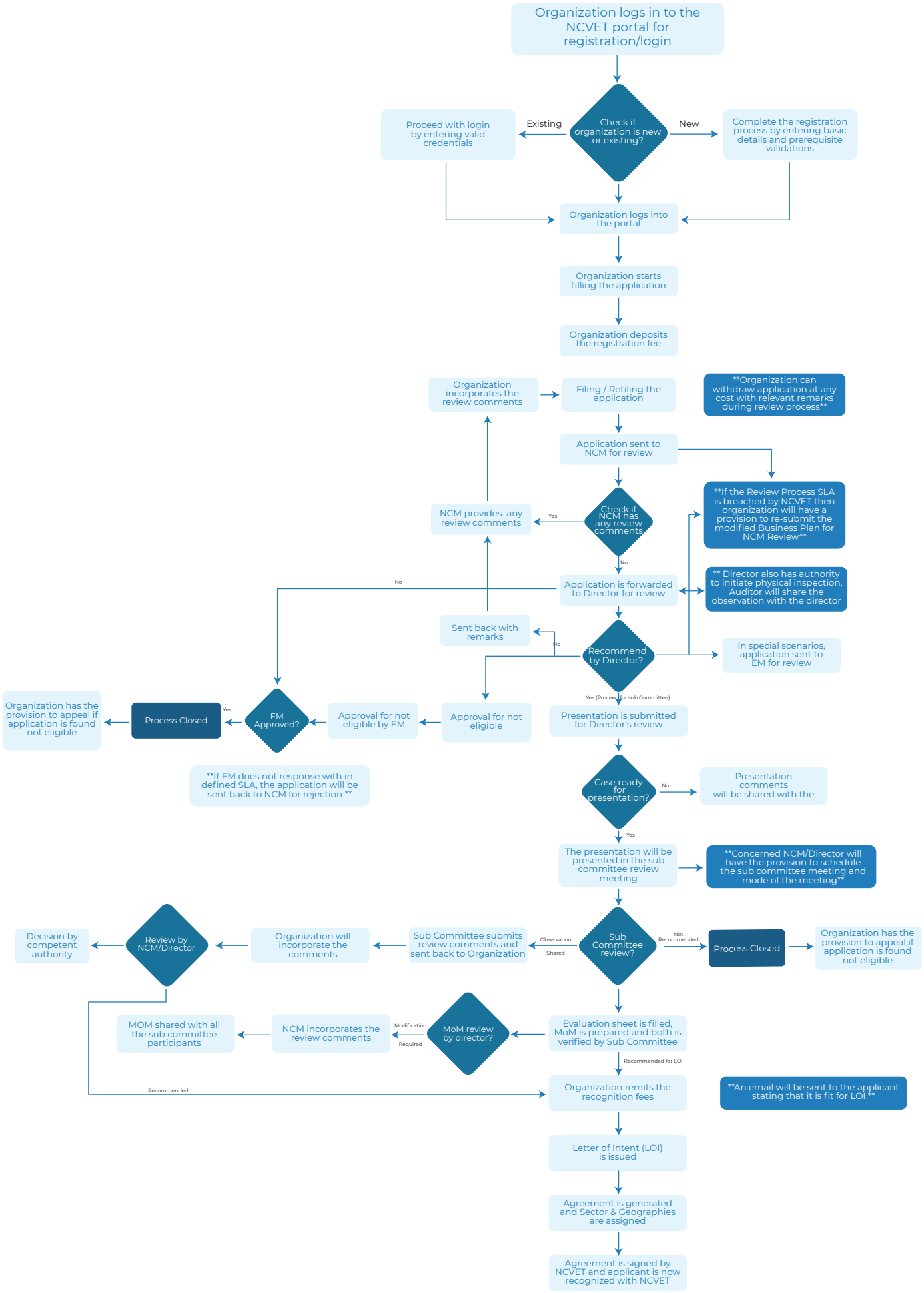
Step 6: Provisional Recognition- Issuance of Letter of Intent (LoI)

a. Once the recognition fee of Rs. One lakh is paid by the applicant along with a copy of the evidence of payment and the same has been verified at the NCVET, the applicant will be issued a letter of Intent (LoI).
b. The LoI shall be issued within 7 working days after receipt of the recognition fee and validation of the same at NCVET.
c. The LoI shall indicate all necessary details including the geographical jurisdiction & sector for which the applicant entity is being provisionally recognized.

Step 7: Signing of Agreement between NCVET and provisionally recognized AA for recognition

a. Subsequent to the issuance of the Letter of Intent (LoI) with a validity of 90 days, the provisionally recognized AA is invited to sign an agreement with NCVET for formal recognition as an AA.
b. The AA shall be issued a final letter of recognition (LOR) by NCVET after the agreement is signed.

Recognition: Process Flow AA



ANNEXURE VIII:
APPLICATION FORM FOR EXPANSION OF TERRITORIAL JURISDICTIONS AND SECTORS

Applying for:

- ☐ **Expansion of Territorial Jurisdiction (Please fill section A)**
- ☐ **Expansion of Sectors (Please fill section B)**
- ☐ **Expansion in both Sectors and Territorial Jurisdiction (Please fill sections A & B)**

1. Basic Details (Mandatory):

S. NO.	FIELDS	DETAILS
i)	Name of the Organization	
ii)	Recognition Code	
iii)	Name of CEO	
iv)	Contact No. and Email ID of CEO	
v)	Name, Designation, and Contact Details of Primary Point of Contact	
vi)	Website URL	
vii)	Date of Issuance of LoI	
viii)	Date of Agreement Signing	
ix)	Details of Awarding Bodies (ABs) by whom the AA is onboarded	Provide Data as per Annexure A
x)	UTR No. along with date for the payment of Application Processing fees	

Section A

2. Expansion of Territorial Jurisdiction:

S. NO.	FIELDS	DETAILS	
i)	Existing Jurisdiction for which recognition already granted	S. No.	Jurisdiction
ii)	Number of times expansion has been sought by AA in the past (if any)		
iii)	Details of previous expansions in the jurisdiction (if any) A. Date/s of submission of previous expansion requests B. Whether considered eligible for expansion by NCVET? (yes/no) C. If yes, details of territorial jurisdiction allocated.		
iv)	Jurisdiction for which current expansion is sought.	S. No.	Jurisdiction

3. Basis on which Expansion of Jurisdiction is sought:

S. NO.	FIELDS	DETAILS
i)	Assessments done state wise*	Provide Data as per Annexure B
ii)	Minimum financial turnover**	Provide Data as per Annexure B

*To apply, the entity must have completed at least 50% of the total assessments required in its initially allocated geography in last 01 Financial Year. If the duration exceeds more than a year, then the number of assessments required will be increased in the same proportion. This amounts to 3,750 assessments for Category I and 7,500 assessments for Category II within one year of receiving the Letter of Intent (LoI) or from the date of the last expansion granted. Additional 50% of assessments (i.e. 3,750 assessments for Category I and 7,500 assessments for Category II) should also be conducted either in the current geography or new geography for which recognition is sought or a combination of both in last 03 Financial Years.
In case, the expansion is sought for PAN India, then the entity must have conducted at least 50% of the total assessments required in its initially allocated geography in last 01 Financial Year. A cumulative of 75000 assessments is to be achieved including the assessments done in the allocated state/s and UT/s in any 02 years out of last 03 Financial years.

**The minimum financial turnover in a year post issuance of LoI is Rs. 10 lakhs per state and Rs. 23 lakhs per state, for category I and category II respectively. In addition to this, for the AA seeking PAN India recognition, minimum financial turnover in a year post issuance of LoI is Rs. 1 crore. If the duration exceeds more than a year, then the financial turnover required will be increased in the same proportion.

Section B

4. Expansion of Sectors:

S. NO.	FIELDS	DETAILS	
i)	Existing Sector/s for which recognition already granted	S. No.	Name of Sector
ii)	Number of times expansion has been sought by AA in the past (if any)		
iii)	Details of previous expansions in the sector (if any) A. Date/s of submission of previous expansion requests B. Whether considered eligible for expansion by NCVET? (yes/no) C. If yes, details of the sector/s allocated.		
iv)	Sector/s for which current expansion is sought	S. No.	Name of Sector

5. Basis on which Expansion of Sector/s is sought:

S. NO.	FIELDS	DETAILS				
i)	Assessments done sector wise*					
ii)	No. of qualifications available in the sector (as per NQR) and availability of question bank for which expansion is sought	S. No.	Sector/s	No. of Qualifications available on NQR (X)	No. of Question Bank Available (Y)	Percentage {(Y/X)*100}
iii)	Sector-wise details of SMEs	Provide Data as per Annexure C				
iv)	No. of Question and Question Bank available qualification wise**	Provide Data as per Annexure C				
v)	Industry linkages	Provide Data as per Annexure C				

*For expansion into a new sector, the AA shall conduct atleast 5000 assessments in the sector in last three (03) financial years for which assessment is sought.

**The entity should have availability of question banks for atleast 5% of qualifications available on NQR for the sector in which recognition is being sought as on date of application.

Details of Awarding Bodies (ABs) by whom the AA is onboarded Annexure A

S. NO.	NAME OF NCVET RECOGNIZED AB	SECTOR/S FOR WHICH AA IS ONBOARDED	DATE OF MOU SIGNED WITH AB/S	DURATION OF MOU
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

Expansion of Territorial Jurisdiction - Annexure B

S.No.	Name of State/ UT	Category of State/ UT (As defined in AA Guidelines)	Official language of the state	No. of SMEs for the respective Indian language	Name of Qualification for which Assessment is Conducted	Whether Qualification is NSQF Aligned (Yes/ No)	Name of the sector	Name of Organization for which Assessment has been conducted	Types of assessment conducted (Fee based/ scheme-based)	No. of Assessments conducted	Month and Year of Assessment (mm/yy)	Mode of Assessment (Online/ Offline/ Blended)
1												
2												
3												
4												
5												
6												
7												
8												
9												
10												
TOTAL												

Expansion of Sectors - Annexure C

S.No.	Name of Sector in which expansion is sought	Name of Qualification for which Assessment is Conducted	Name of Organization for which Assessment has been conducted	Types of assessment conducted (Fee-based/ scheme-based)	No. of Assessments conducted	Mode of Assessment (Online/ Offline/ Blended)	Month and Year	No. of SMEs Available		No. of Assessors available		No. of Question banks available
1								On Roll	Contractual	On Roll	Contractual	
2												
3												
4												
5												
6												
7												
8												
9												
10												
TOTAL												

ANNEXURE IX(A): DETAILED EXCELLENCE RISK FRAMEWORK

1. Governance & Manpower

S. NO.	SUB-PARAMETERS	HIGH RISK	MEDIUM RISK	LOW RISK	COMPLIANCE	EXCELLENCE
1.	**Leadership Stability**	No intimation given to NCVET after change in leadership	Change in leadership and intimation given to NCVET post change of the position	Planned change in leadership and advance intimation given to NCVET	No change in the leadership of the Organizational structure	NA
2.	**Positions continuously filled as per the organogram submitted during recognition**	Key positions as per organization organogram are not filled for more than 60 days (such as CXOs, functional heads including Operation, IT, HR, Finance)	Operational staff as per organization organogram not filled for more than 60 days (such as Managers, Executives etc.)	Operational staff as per the organogram not filled for more than 30 days (such as Managers, Executives etc.)	All positions are filled as per the organogram submitted during recognition	NA
3.	**Percentage of revenue utilized towards Continuous Professional Development (CPD) of staffs**	NA	AA utilizes less than 2% of its revenue towards CPD	NA	AA utilizes 2% of its revenue towards CPD	AA utilizes more than 7% of its revenue towards CPD
4.	**Feedback mechanism (post assessment)**	No mechanism for capturing the feedback	% of batches in which feedback has not been collected from learners	NA	% of batches in which feedback has not been collected from learners	NA
5.	**Adherence to SOPs and guidelines related to assessment**	Non-adherence to SOPs and guidelines	NA	NA	Continued adherence to SOPs and guidelines	NA
6.	**Availability of data storage mechanism as per Digital Protection Data Protection Act, 2023.**	Non-availability of data storage mechanism as per Digital Protection Data Protection Act, 2023.	NA	NA	Availability of data storage mechanism as per Digital Protection Data Protection Act, 2023.	NA
7.	**Awards, recognition, accreditation etc.**	NA	NA	NA	NA	Awards and recognition from other entities like ABs, employers, oversees accreditation by a reputed agency

2. Governance & Manpower

S. NO.	SUB-PARAMETERS	HIGH RISK	MEDIUM RISK	LOW RISK	COMPLIANCE	EXCELLENCE
1.	**No. of assessments planned V/S actual**	NA	% of achievement of actual plan	NA	% of achievement of actual plan	NA

2.	**Continuity of assessments in allocated sectors**	% of allocated sectors in which AA has conducted no assessment	NA	NA	% of allocated sectors in which AA has conducted assessments	AA conducts 5000 or more assessments in any sector over and above allocated by NCVET.
3.	**Proportion of govt. v/s non-govt. funded assessments**	NA	NA	NA	NA	The non-govt. funded assessment is more than 75% of the total assessment
4.	**Global benchmarking in assessments**	NA	NA	NA	NA	AA is able to present evidence of process/ technology improvements undertaken based on Research/ Mapping of current trends globally in assessment

3. Finacials

S. NO.	SUB-PARAMETERS	HIGH RISK	MEDIUM RISK	LOW RISK	COMPLIANCE	EXCELLENCE
1.	**Turnover planned V/S actual**	NA	% of non-achievement of actual plan	NA	% of achievement of actual plan	NA
2.	**Continued positive net worth**	Net worth is negative	NA	NA	Net worth is positive	NA
3.	**Total amount pending for payment to assessors/ proctors**	When the payment to the assessor/proctor is outstanding	NA	NA	There is no payment outstanding to any assessor/ proctor	NA
4.	**Profitability**	AA is a loss-making entity in two consecutive years	AA is a loss-making entity	NA	AA remains in profit	NA

4. Assessment Strategy

S. NO.	SUB-PARAMETERS	HIGH RISK	MEDIUM RISK	LOW RISK	COMPLIANCE	EXCELLENCE
1.	**Availability of question bank with required number of questions as per NCVET Guidelines**	% of qualifications wherein question banks does not have required number of questions as per NCVET Guidelines	NA	NA	% of qualifications wherein question banks have required number of questions as per NCVET Guidelines* number to be calculated as No. of NOS X No. Of PCsX5 questions (5 NOS X 20 PCs each NOS X 5=500 questions)	AA has developed question banks as per the NCVET guidelines for over and above sectors allocated by NCVET

2.	**Question bank availability in official languages of Indian states/ local language as per state of operation**	NA	% of qualifications wherein question banks are not available in official languages of Indian states/ local language as per area of operation	NA	% of qualifications wherein question banks are available in official languages of Indian states/ local language as per area of operation	NA
3.	**Sample questions available on website for active qualifications**	NA	% of active qualifications for which sample questions are not available on website for all active qualification	NA	% of active qualifications for which sample questions are available on website for all active qualification	NA
4.	**Availability of certified assessors across allocated sectors**	Minimum 1 TOA certified assessor not available for all allocated sectors by NCVET	NA	NA	Minimum 1 TOA certified assessor available for all allocated sectors by NCVET	NA
5.	**Question bank validation by AB/Industry**	NA	% of qualifications whose question bank has not been validated by AB/Industry	NA	% of qualifications whose question bank has been validated by AB/Industry	NA

5. Assessment Delivery

S. NO.	SUB-PARAMETERS	HIGH RISK	MEDIUM RISK	LOW RISK	COMPLIANCE	EXCELLENCE
1.	**Batch acceptance rate**	% of batches rejected by AA for assessment	NA	NA	% of batches accepted by AA for assessment	NA
2.	**Deviation between scheduled and actual assessment date**	% of batches assessed with a deviation of more than 10 days	% of batches assessed within a deviation of 6 to 10 days	% of batches assessed within a deviation of 1 to 5 days	% of batches assessed within scheduled date of assessment	NA
3.	**Offline Assessment conducted by certified Assessor**	% of batches assessed by non-TOA certified assessors	NA	NA	% of batches assessed by TOA certified assessors	NA
4.	**Assessor's fluency in the language mentioned as the preferred language of assessment**	NA	% of batches assessed by assessors who are not well versed with local language in which assessment is to be carried out	NA	% of batches assessed by assessors who are well versed with local language in which assessment is to be carried out	NA

5.	**Result submission within Turn around Time TAT(STT-3 days, LTT-5 days)**	% of batches whose results have been submitted after 6 days of TAT	% of batches whose results have been submitted between 4 to 6 days after TAT	% of batches whose results have been submitted between 1-3 days after TAT	% of batches whose results have been submitted within TAT	Achieving 100% compliance throughout the year
6.	**Video evidence of assessment captured on AA assessment engine/portal/ App**	% of batches whose video evidence have not been captured on AA assessment engine/portal/ app	NA	NA	% of batches whose video evidence have been captured on AA assessment engine/portal/ app	NA
7.	**Number of practical assessments assessed by an assessor as per Assessor: Learner ratio set in the NCVET guidelines**	% of batches in which the no. of candidates has exceeded beyond 20% of the limits set in guidelines	% of batches in which the no. of candidates has exceed between 11% to 20% of the limits set in guidelines	% of batches in which the no. of candidates has exceed upto 10% of the limits set in guidelines	% of batches in which the no. of candidates do not exceed the limits set in guidelines	NA
8.	**Result returned by AB for non-accuracy of data**	% of batches whose results have been returned by AB for non-accuracy of data	NA	NA	% of batches whose results have been accepted by AB without rejection/ review	NA
9.	**Process in place to ensure one assessor could not assess two or more batches on same day at different locations**	% of batches in which one assessor has assessed 2 batches at different location in a day.	NA	% of batches in which one assessor has assessed 2 batches on the same location in a day if no. of candidates in each batch was less than 10	% of batches in which one assessor has assessed only one batch in a single day	NA

1. Grievance Redressal and POSH

S. NO.	SUB-PARAMETERS	HIGH RISK	MEDIUM RISK	LOW RISK	COMPLIANCE	EXCELLENCE
1.	**Presence of Grievance committee**	Position of any member vacant for more than 30 days	NA	NA	Position of all members should be filled	NA
2.	**Presence of POSH committee**	Position of any member vacant for more than 30 days	NA	NA	Position of all members should be filled	NA

ANNEXURE IX(B): SUB-PARAMETER WEIGHTAGE

S. NO.	PARAMETERS	SUB-PARAMETERS	MARKS
01	Assessment Delivery	Batch Acceptance Rate	4
02	Assessment Delivery	Deviation between scheduled and actual assessment date	0
03	Assessment Delivery	Offline Assessment conducted by certified Assessor	8
04	Assessment Delivery	Assessor's fluency in the language mentioned as the preferred language of assessment	2
05	Assessment Delivery	Result submission within Turn Around Time of 3 days (except for LTT which is 5 days)	8
06	Assessment Delivery	Video evidence of assessment Captured on AA assessment engine/portal/app	8
07	Assessment Delivery	Number of practical assessments assessed by an assessor as per limits set in the NCVET guidelines	8
08	Assessment Delivery	Result returned by AB for non-accuracy of data	4
09	Assessment Delivery	Process in place to ensure one assessor could not assess two or more batches on same day at different locations	8
10	Assessment Strategy	Availability of question bank with required number of questions as per NCVET Guidelines	6
11	Assessment Strategy	Question bank availability in official languages of Indian states/local language as per state of operation	1
12	Assessment Strategy	Sample questions available on website for active qualification	1
13	Assessment Strategy	Availability of certified assessors across allocated sectors	1
14	Assessment Strategy	Question bank validation by AB/Industry	1
15	Business Planning & Research	No. of assessments planned V/S actual	5
16	Business Planning & Research	Continuity of assessments in allocated sectors	5
17	Business Planning & Research	Proportion of govt. v/s non-govt. funded assessment in numbers	
18	Business Planning & Research	Global Benchmarking in assessments	
19	Financials	Total amount pending for payment to assessors/proctors	5

S. NO.	PARAMETERS		MARKS
20	Financials	Turnover planned V/S actual	0
21	Financials	Continued positive net worth of the AA	5
22	Financials	Profitability	5
23	Governance & Manpower	Leadership stability	1
24	Governance & Manpower	Positions continuously filled as per the organogram submitted during recognition	1
25	Governance & Manpower	Percentage of revenue utilized towards Continuous Professional Development of staffs	2
26	Governance & Manpower	Feedback mechanism (post assessment)	1
27	Governance & Manpower	Adherence to SOPs and guidelines related to assessment	1
28	Governance & Manpower	Availability of data storage mechanism as per Digital Protection Data Protection Act, 2023.	4
29	Governance & Manpower	Awards, recognition, accreditation etc.	
30	Grievance Redressal and POSH	Presence of Grievance committee	2
31	Grievance Redressal and POSH	Presence of POSH committee	3
	TOTAL		**100**

ANNEXURE X:
QUALITY IMPROVEMENT PLAN

The Quality Improvement Plan (QIP) is a mutually agreed document for ensuring quality standards of the recognized assessment agency are being met. The document shall be prepared by the recognized assessment agency whose rating band falls into good category and vetted by NCVET. Following format to be used for the same purpose:

Document Number *(for office use only)*
Name of the Assessment Agency:
Name of legal head of Assessment Agency:
Quality Review Method:
Created by:
Date Created:
Reviewed by *(for office use only):*
Review date *(for office use only):*
Approved by *(for office use only):*
Approval date *(for office use only):*

The recognized assessment agency (name of the organization) agrees to undertake the following actions for ensuring quality and standards as mandated by NCVET:

Sl. No.	Specific criteria/risk parameter to be addressed	Proposed strategy for improvement	Named resources	Timeline of completion	Evidence to be submitted

Signature of legal head of assessment agency: _____

Date: _____

For office use only:

Sl. No.	Specific criteria/risk parameter to be addressed	Evidence submitted by AA	Date of receipt of evidence	Evidence Checked (Yes/No)	Remarks

Reviewer's Name: _____

Date: _____

Comments by Approver(s):

Approver/s Name: _____

Signature: _____

Date: _____

ANNEXURE XI:
PREVENTIVE RISK PLAN AND IMPROVEMENT PROGRESS PLAN

The Risk Prevention Plan (RPP) shall be submitted by those recognized assessment agencies whose overall performance score falls in 'Needs Improvement' category. This document allows an evaluation of the risks and their causal factors and improvement measure:

Document Number *(for office use only)*
Name of the Assessment Agency:
Name of legal head of Assessment Agency:
Quality Review Method:
Created by:
Date Created:
Reviewed by *(for office use only):*
Review date *(for office use only):*
Approved by *(for office use only):*
Approval date *(for office use only):*

The recognized assessment agency (name of the organization) agrees to undertake the following actions for ensuring quality and standards as mandated by NCVET and evade being in the 'Needs improvement' category:

Sl. No.	Specific criteria/risk parameter to be addressed	Initial perfor-mance score	Performance Level	Cause of identified risk	Corrective Action Deployed	Identified Resources	Timelines	Identified monitoring mechanism	Evidence to be submitted

Signature of legal head of assessment agency: _____

Date: _____

For office use only:

Sl. No.	Specific criteria/risk parameter to be addressed	Evidence submitted by AA	Date of receipt of evidence	Evidence Checked (Yes/No)	Remarks

Reviewer's Name: _____

Date: _____

Comments by Approver(s):

Approver/s Name: _____

Signature: _____

Date: _____

ANNEXURE XII:
RISK MITIGATION & MANAGEMENT PLAN

The risk mitigation and management strategy is mandatory for the recognized assessment agency whose overall performance category falls in 'Unsatisfactory' category. Given their highly volatile network and increased preponderance of hazard, they must submit a risk mitigation strategy document.

Document Number *(for office use only)*
Name of the Assessment Agency:
Name of legal head of Assessment Agency:
Quality Review Method:
Created by:
Date Created:
Reviewed by *(for office use only):*
Review date *(for office use only):*
Approved by *(for office use only):*
Approval date *(for office use only):*

The recognized assessment agency (name of the organisation) agrees to undertake the following actions for ensuring quality and standards as mandated by NCVET and evade being 'Unsatisfactory' category:

Sl. No.	Specific criteria/risk parameter to be addressed	Initial perfor-mance score	Performance Level	Cause of identified risk	Mitigation Action Deployed	Identified Resources	Timelines	Identified monitoring mechanism	Evidence to be submitted

Signature of legal head of assessment agency: _____

Date: _____

For office use only:

Sl. No.	Specific criteria/risk parameter to be addressed	Evidence submitted by AA	Date of receipt of evidence	Evidence Checked (Yes/No)	Remarks

Reviewer's Name: _____

Date: _____

Comments by Approver(s):

Approver/s Name: _____

Signature: _____

Date: _____

ANNEXURE XIII:
RISK MITIGATION MEASURES

S. NO.	MACRO-PARAMETER	RISK CATEGORY	MITIGATION MEASURES (SUGGESTIVE)	CORRECTIVE ACTIONS (ILLUSTRATIVE)
1.	Governance & Manpower	Low	•Enhance transparency of decision-making processes through clear documentation and communication. •Regularly evaluate and update job descriptions to ensure clarity of roles and responsibilities.	•AAs shall conduct targeted re-training where lapses occur. •Documentary proofs to be submitted to NCVET.
		Medium	•Introduce regular leadership development workshops to prepare for managerial transitions. •Create a rapid response team for succession planning to address sudden leadership changes.	•Managerial contingency plans shall be deployed by AAs. •Subsequent proofs to be submitted by AA.
		High	•Establish strong external advisory support for augmented guidance on governance issues.	•AAs shall execute governance restructuring. •Submission of relevant proof to NCVET.
2.	Business Planning & Research	Medium	•Conduct a thorough analysis of the factors contributing to underachievement. Identify specific areas where performance is lacking. •Review and adjust targets to ensure they are realistic and achievable, considering current capabilities and resources. •Allocate additional resources, such as personnel, budget, or time, to areas that are underperforming.	•AA can identify specific areas for improvement and review and adjust performance targets. •Submission of relevant documentary proofs to NCVET.
3.	Financials	Low	•Automate routine financial compliance checks to prevent minor oversights. •Conduct frequent micro-audits of various financial operations to maintain clean financial health.	•AAs shall address discrepancies and retrain personnel. •Submission of relevant documentary proofs to NCVET.

S. NO.	MACRO-PARAMETER	RISK CATEGORY	MITIGATION MEASURES (SUGGESTIVE)	CORRECTIVE ACTIONS (ILLUSTRATIVE)
		Medium	•Use financial stress testing to assess impact on liquidity under various market conditions. •Employ financial risk management software to proactively manage credit and market risks.	•AAs shall implement financial strategy adjustments. •Submission relevant documentary proofs to NCVET.
		High	•Draft and test a financial crisis response plan to ensure operational continuity.	•AAs shall undertake financial turnaround which should include expense reduction, asset liquidation, debt restructuring, operational streamlining and rebranding and repositioning. •Relevant documentary proofs required to be submitted to NCVET for further approval.
4.	**Assessment Strategy**	**Low**	•Regular reviews of assessment tools to validate their effectiveness and relevance. •Use peer assessments to flag and rectify any minor inconsistencies in methodology.	•AAs shall refine assessment strategies. •Submit the improvement plan to NCVET.
		Medium	•Revise assessment strategies periodically informed by industry feedback. •Conduct pilot programs for new assessment modalities before widespread adoption.	•AAs shall replace ineffective methodologies. •Submit the improvement plan to NCVET.
		High	•Engage with external experts to devise innovative assessment strategies capable of withstanding critical scenarios. •Develop backup assessment protocols for emergency situations.	•AAs shall reassess the current strategy and replace it with a new one. •New and improved strategy shall be submitted to NCVET.

S. NO.	MACRO-PARAMETER	RISK CATEGORY	MITIGATION MEASURES (SUGGESTIVE)	CORRECTIVE ACTIONS (ILLUSTRATIVE)
5.	Assessment Delivery	Medium	•Enhance standard operating procedures with checklists to prevent procedural lapses. •Regular maintenance of assessment delivery systems to prevent minor technical faults.	•Concerned team within NCVET shall oversee that AAs shall correct delivery errors and enforce standard protocols.
		Medium	•Establish a centralized monitoring system for real-time oversight of assessment deliveries. •Create redundancy in delivery channels to prevent disruption from medium-impact risks.	•AAs shall submit improve-ment plan to NCVET depicting establishment of alternative delivery mechanisms.
		High	•Implement alternative assessment methods (e.g., online) to maintain function during severe events. •Conduct large-scale simula-tions to prepare for major interruptions to delivery.	•AAs shall scale alternative delivery formats. •Submit requisite evidence and proofs to NCVET.
6.	Grievance & POSH	Low	•Provide recurring POSH and grievance redressal training for quick and proper response to minor issues. •Implement a simple and transparent reporting mechanism for grievances.	•Concerned team within NCVET shall oversee that grievance policies as submitted by AA should be enforced by them.
		Medium	•Set up mediation and counseling services for more significant concerns. •Introduce a system to track and analyze patterns in grievance reports for preemptive actions.	•AA shall revise and enhance grievance procedures. •Submit the revised document to NCVET for their approval.
		High	•Appoint an independent ombudsperson to oversee high-stakes grievance cases. •Conduct annual reviews of grievance processes with external parties for integrity and improvements.	•AA shall frame a new grievance redressal framework. •Submit it to NCVET for their approval.

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