



# Operational Manual for Recognition & Regulation of Assessment Agencies 2020



**National Council for Vocational Education and Training**  
(Ministry of Skill Development & Entrepreneurship)  
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New Delhi-110005



## Glossary

<b>AA</b>	Assessment Agency
<b>AB</b>	Awarding Body
<b>AI</b>	Artificial Intelligence
<b>CEO</b>	Chief Executive Officer
<b>CPD</b>	Continuous Professional Development
<b>DGT</b>	Directorate General of Training
<b>DSDC</b>	District Skill Development Committees
<b>FCRA</b>	Foreign Contribution Regulation Act
<b>GoI</b>	Government of India
<b>GST</b>	Goods and Services Tax
<b>ICT</b>	Information and Communication Technology
<b>IT</b>	Information Technology
<b>ITI</b>	Industrial Training Institutes
<b>LLP</b>	Limited Liability Partnership
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MIS</b>	Management Information System
<b>ML</b>	Machine Learning
<b>MoM</b>	Minutes of Meeting
<b>MoU</b>	Memorandum of Understanding
<b>MSDE</b>	Ministry of Skill Development and Entrepreneurship
<b>NCVET</b>	National Council for Vocational Education & Training
<b>NCVT</b>	National Council of Vocational Training
<b>NQR</b>	National Qualifications Register
<b>NSDA</b>	National Skill Development Agency
<b>NSQF</b>	National Skills Qualification Framework
<b>OM</b>	Operational Manual
<b>PAN</b>	Permanent Account Number
<b>POSH</b>	Policy for Prevention of Sexual Harassment
<b>PWD</b>	Persons with Disability
<b>QA</b>	Quality Assurance
<b>QF</b>	Qualification File
<b>QP</b>	Qualification Pack
<b>R&amp;D</b>	Research and Development
<b>RPL</b>	Recognition of Prior Learning
<b>SME</b>	Subject Matter Expert
<b>SOP</b>	Standard Operating Procedure
<b>SPOC</b>	Single Point of Contact
<b>SSDM</b>	State Skill Development Missions
<b>TAT</b>	Turn Around Time
<b>TC</b>	Training Centre
<b>ToA</b>	Training of Assessors
<b>ToT</b>	Training of Trainers
<b>TP</b>	Training Partner
<b>VET</b>	Vocational Education and Training

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## Section 1: Context Setting

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The vocational education and training space in India is marked by the presence of multiple schemes and programmes implemented by diverse set of entities. Besides the Ministry of Skill Development and Entrepreneurship (MSDE), more than 20 other Central Ministries and Departments fund skill development in India. Additionally, State Governments and their departments have their own schemes. Skill development is carried out in schools under Centrally Sponsored Schemes of Vocationalization of School Education. There are also programmes for vertical mobility from education to skill development at diploma level introduced by AICTE called D. Voc and undergraduate & graduate level vocational courses by UGC called B.Voc & M.Voc respectively. Recently, Skill Universities have been set up to impart vocational education programmes. Further, there are several private entities/ltd companies that are running certification courses of their own on a varied range of topics.

The dynamism of the skilling ecosystem leads to multiplicity of norms, procedures, curricula, assessment processes, certifications, etc, creating inconsistent outcomes. Considering these anomalies and to bring uniformity in the processes involved in imparting vocational education and training programmes, there is a need to set minimum standards for functioning of the entities engaged in the ecosystem. The establishment of such standards is expected to improve the employability of learners and promote better utilization of resources.

In order to regulate the functioning of entities engaged in Vocational Education and Training and establish minimum standards for their functioning, the National Council for Vocational Education and Training (NCVET) was notified by the Ministry of Skill Development & Entrepreneurship (vide Notification No. D-17/113/2017-E&PW) on 5th December 2018. It was operationalized by subsuming the responsibilities of the existing regulatory institutions- National Council for Vocational Training (NCVT) and the National Skill Development Agency (NSDA).

NCVET will regulate both short term and long-term training sphere and regulate their functioning for ensuring maximum quality in outcome and standardization of processes. The primary functions of NCVET inter-alia include:

- a. Recognition and regulation of Awarding Bodies, Assessment Agencies and Skill related Information Providers
- b. Approval of Qualifications
- c. Monitoring and supervision of recognized entities
- d. Grievance Redressal

In fulfilling of the above functions, the Council would frame guidelines and create standard operating procedures and manuals. Assessments are a critical step in ensuring a seamless fruition of the training process and forms a single window for adjudging the quality of the training and learners based on the established learning outcomes. To enhance the overall quality in assessment, address the current challenges in assessment and strengthen the assessment process and mechanism two sets of documents have been developed:

- (i) The 'Guidelines for the recognition and regulation of Assessment Agencies', and
- (ii) The Operational manual

While the guidelines draw up the contours of affiliation, this 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. The Operational Manual also explicitly lays down the models of assessments and their nuances of functionalities.

## Section 2: Objectives of the Operational Manual

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This operational manual charts the journey of any organization seeking recognition as an Assessment Agency, from its recognition to effective adherence to the laid-out monitoring and reporting formats. In pursuance of the ‘AA Guidelines’, the Operational Manual lays down the documentary evidence required and the processes for recognition and continuing operational efficiency for applicant organizations. The criteria which are prescribed in the guidelines have been elucidated with the procedure in a step by step format in this operational manual.

This manual will provide the reader with following information:



Figure 1: Information provided in AA operational manual

- New operational policies may be added as a consequence of periodic reviews of this manual, which may result in amendments being made to procedures and templates wherever necessary.
- The same would be informed to all recognized AAs through appropriate instruments of communication.
- It is a recognized AA’s responsibility to ensure that it is adhering to and functioning as per the most up to date version of this manual.



## Section 3: Process of Recognition

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Assessment Agencies will be recognized by NCVET for delivering assessments in **one sector or multiple sectors** based on their expertise. NCVET recognition will also clearly specify the **geographical areas** where recognized AAs would be authorized to deliver assessments. This information will be in the public domain to ensure that such information is available with all the stakeholders.

Recognized AAs will be mandated to abide by various guidelines released by the NCVET from time to time. The recognition of the AAs and mandates of the AA Guidelines will be applicable from the date of the signing of the “agreement” between the AA and NCVET.

### 3.1 Recognition Fee

An entity applying for recognition as an AA will be required to pay a recognition fee of Rs. 100000/- only through demand draft/NEFT/RTGS (Rs. 50,000/- refundable in case of rejection). This fee is payable at step 3 of the recognition process along with completed application form and supporting documents through .

No additional fee for affiliation/accreditation would be charged from an AA by the AB.

Further, no separate charges shall be applicable while applying for fast track renewal for a period of 2 years after completion of 3 years of recognition.

### 3.2 Tenure of Recognition

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:

- i. Initially, an AA will be recognized by NCVET for a period of 3 years.
- ii. Post the completion of the said duration, AA will submit an application for fast track renewal, which if approved would extend the recognition for another 2 years, from the original date of approval. This renewal will be based on the performance of an AA as per the risk rating framework and adherence to the continuation criteria as elaborated in the Operational Manual (OM).
- iii. Post completion of the total tenure of 5 years, an AA would be required to submit a fresh application for seeking recognition as an AA.

For both (ii) and (iii) an AA must apply 6 months prior to completion of recognition period. Upon such re-application/ request for fast track renewal by recognized AAs, the recognized body shall continue to have privileges of recognition till a decision on extension or discontinuation is made by NCVET, only if the application is made 6 months prior to completion of the recognition period. AA should ensure that any training batch does not spill over the recognition period.

NCVET will reserve the right to withdraw the recognition based on periodic review and audit / reports of substantiated irregularity from the stakeholders.

### **3.3 Step by Step Recognition Process Assessment Agency**

The application process for the recognition of AAs will be open throughout the year.

#### **3.3.1 Preparatory Steps**

##### **By the Applicant Organization**

The applicant organization will be expected to familiarize themselves with the information on the AA guidelines and Operational Manual on the NCVET website, before initiating the application process.

##### **By the NCVET**

NCVET may, from time to time, organize workshops/orientation programmes to assist the applicant organizations on clarifications w.r.t. the application process.

The process for the recognition of AAs is pictorially presented below:

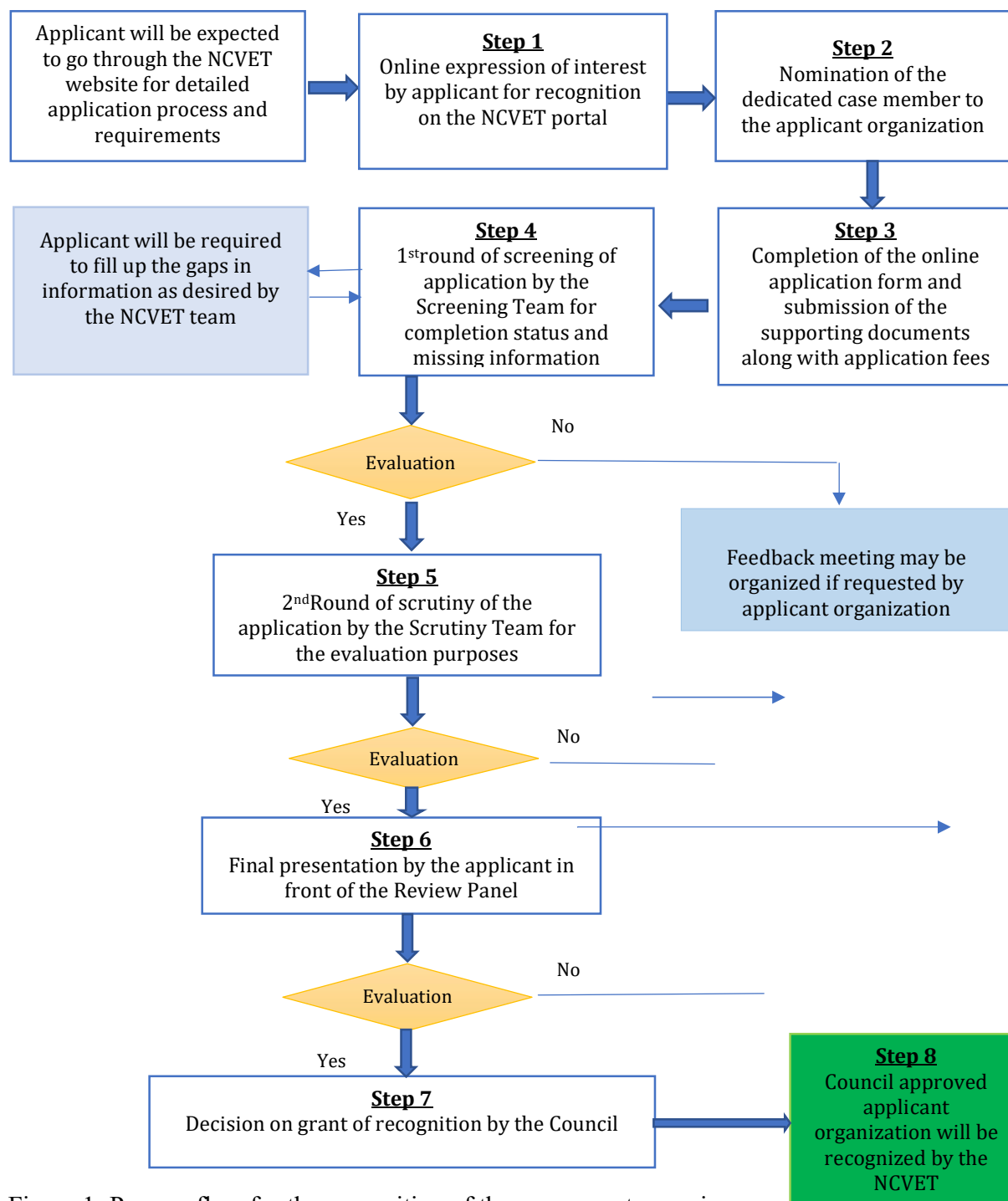


Figure 1: Process flow for the recognition of the assessment agencies

*Note: Till the time that NCVET rolls out an online system, the application process will be executed in the offline mode. Application process will begin from Step 3 and organizations will be required to fill an application in a format prescribed by NCVET and submit the same through email and hard copies. All the acknowledgements, necessary communication and information gathering will be facilitated through a contact email, details of which would be provided in the application form which would be made available on the NCVET website.*

### 3.3.2 Step 1: Expression of Interest by the Applicant Organization

This step marks the beginning of the recognition process through an expression of interest [EOI] by the applicant organization and approval of this request for processing by NCVET.

<b>Process Name: Expression of interest by the applicant organization</b>	
<b>Eligibility Criteria</b>	
An organization which fulfils the eligibility criteria as indicated in the AA Guidelines, based on self-review, can express interest to NCVET for recognition as an AA.	
<b>Input</b>	<b>Output</b>
<ul style="list-style-type: none"> <li>▪ Credentials of the applicant organization such as organizational contact details, website and contact information of the head of the organization etc.</li> <li>▪ Template for the initial registration (Annexure-I)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Login id and password for the applicant organization</li> </ul>
<b>List of steps/Tasks to be performed Stage -II Details in Appendix-II of the AA Guidelines Manual</b>	
<b>Owner</b>	<b>Tasks</b>
<b>Applicant Organization</b>	<ol style="list-style-type: none"> <li>1. Applicant must register on NCVET website and provide relevant details, for the purpose of creation of a registration account.</li> <li>2. Applicant must provide the contact details of the SPOC (Single Point of Contact) for all communications with NCVET.</li> </ol>
<b>NCVET Team</b>	<ol style="list-style-type: none"> <li>3. A NCVET team member reviews the basic credibility of the applicant through the website and other details of the organization provided during the initial registration.</li> <li>4. Based on the review, the NCVET team member either accepts or rejects the initial request with due approval of appropriate authority in NCVET.</li> </ol>
<b>Exit Criteria</b>	
This process ends with creation of login id and password for the applicant organization and communicating these details to the applicant through an email/automated mailer by NCVET.	
<b>Timeline of Completion</b>	
The login id and password will be provided to the applicant by NCVET within <b>2 working days</b> of successful submission of the initial registration details.	
<b>Verification and Validation</b>	
<b>NCVET shall ensure:</b>	
<ul style="list-style-type: none"> <li>▪ Availability of the resources to review the initial registration request of the applicant organization.</li> </ul>	
<b>Applicant Organization shall ensure:</b>	
<ul style="list-style-type: none"> <li>▪ Nomination of SPOC for all matters relating to NCVET recognition.</li> <li>▪ Furnishing of authentic information to NCVET for the initial registration.</li> </ul>	

### 3.3.3 Step 2: Nomination of a Dedicated Case Member

This step aims at supporting the applicant organization to enhance their understanding about the application process and requirement of the various documents/evidence during the entire application process.

Process Name: Nomination of the dedicated case member to the applicant organization	
<b>Eligibility Criteria</b>	
A dedicated case member will be nominated by NCVET to the applicant organization for further processing of the application.	
Input	Output
<ul style="list-style-type: none"> <li>▪ Initial application/registration details</li> </ul>	<ul style="list-style-type: none"> <li>▪ Nomination of the dedicated case member</li> </ul>
<b>List of steps/Task to be performed</b>	
Owner	Tasks
NCVET	<ol style="list-style-type: none"> <li>1. Post review of the initial organizational details submitted by the prospective Assessment Agency, NCVET nominates a dedicated case member, <b>within 5 working days</b>.</li> </ol>
<b>Exit Criteria</b>	
This process ends with the nomination of a dedicated case member for the applicant organization.	
<b>Timeline of Completion</b>	
The dedicated case member to be nominated within 5 working days of successful submission of the initial registration request.	
<b>Verification and Validation</b>	
<b>NCVET shall ensure:</b> <ul style="list-style-type: none"> <li>▪ Nomination of dedicated case member to every application.</li> </ul>	

### 3.3.4 Step 3: Filling of the Online Application

At this step, applicant organization fills the online application form and submits the documentary evidence to demonstrate compliance to the eligibility criteria.

Process Name: Filling of the online application by applicant organization
<b>Eligibility Criteria</b>
Only the applicant organizations having the login id and password provided by NCVET will be able to

access their online account to fill the application form.

<b>Input</b>		<b>Output</b>
<ul style="list-style-type: none"> <li>▪ Details of the applicant organization in line with the requirements of eligibility criteria indicated in the AA Guidelines.</li> <li>▪ Template of the application form (Annexure II)</li> </ul>		<ul style="list-style-type: none"> <li>▪ Acknowledgement from NCVET on successful submission of the application form in the form of email/automated mailer.</li> </ul>
<b>List of steps/Tasks to be performed</b>		
<b>Owner</b>	<b>Tasks</b>	
<b>Applicant Organization</b>	<ol style="list-style-type: none"> <li>1. Logging in the NCVET portal with the login credentials, the applicant organization would fill in the detailed application form with the necessary documentary evidence along with application fee.</li> <li>2. During the application process, the organization can raise queries to NCVET.</li> <li>3. Dedicated case member on behalf of NCVET would resolve the queries.</li> <li>4. When the application is completed, applicant organization shall submit the application together with the relevant evidences.</li> <li>5. The organization should ensure that its legal head signs off the application and evidence.</li> </ol>	
<b>Exit Criteria</b>		
This process ends with a receipt of an automated acknowledgment email by the applicant organization from the NCVET.		
<b>Timeline of Completion</b>		
The window to complete the application form will be open for <b>15 days</b> from the date of receipt of the login details of the portal from NCVET.		
<b>Verification and Validation</b>		
<b>NCVET shall ensure:</b>		
<ul style="list-style-type: none"> <li>▪ All queries of the applicant organization regarding the application process are addressed.</li> </ul>		
<b>Applicant Organization shall ensure:</b>		
<ul style="list-style-type: none"> <li>▪ Completion of application and submission of required documentary evidence with the application.</li> </ul>		

### 3.3.5 Step 4: First Round of Screening of Application

This is the first round of screening of application carried out by NCVET Screening Team led by the dedicated case member. This screening step majorly focuses on satisfactory completion of the application form and availability of all the necessary evidences to support the application.

**Process Name: First round of screening of the application of applicant organization**

#### **Eligibility Criteria**

This step will begin after the acknowledgement is generated by the system after successful submission of the application form by the applicant organization.

Input		Output
<ul style="list-style-type: none"> <li>▪ Details provided by the applicant organization during the application process</li> </ul>		<ul style="list-style-type: none"> <li>▪ Acknowledgment from NCVET regarding completion of first round of screening</li> <li>▪ Decision of approval or rejection of the application</li> </ul>
List of steps/Tasks to be performed		
Owner	Tasks	
NCVET Dedicated Case Member	<ol style="list-style-type: none"> <li>1. The case member will carry out an initial check of the application. If he/she identifies any areas of omission or insufficient clarity, then he/she will reach out to applicant organization for additional information or justification.</li> <li>2. The applicant organization may be asked to furnish further information as deemed fit by NCVET.</li> <li>3. If the case member is not satisfied with the application, the same may be rejected. If the dedicated case member is satisfied with the application, then it may be scheduled for second round of screening after the approval of the Director/ appropriate authority in NCVET.</li> </ol>	
Appropriate authority/ Director, NCVET	<ol style="list-style-type: none"> <li>4. Reviews the decision of the dedicated case member and approves/disapproves it with or without comments. In case of rejection approval of the Executive Member, NCVET would be taken.</li> </ol>	
NCVET Dedicated Case Member	<ol style="list-style-type: none"> <li>5. An acknowledgment is generated communicating the decision to the applicant organization. The case member must clearly document the reasons for rejection or acceptance.</li> </ol>	
Exit Criteria		
<p>The process ends with clear communication of acceptance or rejection of the application of the organization. In case of acceptance, the next steps of scrutiny shall be clearly delineated in the acknowledgement email received by the applicant organization.</p>		
Timeline of Completion		
<ul style="list-style-type: none"> <li>▪ The first round of scrutiny will be completed within <b>10 working days</b> from the date of submission of the application by the organization and communicate to the applicant organization regarding missing documents, if any, within this period.</li> <li>▪ Applicant will have to submit the missing documents/ portfolio of evidence within additional 5 working days from the date of communication from NCVET.</li> </ul>		
Verification and Validation		
<p><b>NCVET shall ensure:</b></p> <ul style="list-style-type: none"> <li>▪ Review of the application and the attached evidence are complete.</li> </ul> <p><b>Applicant Organization shall ensure:</b></p> <ul style="list-style-type: none"> <li>▪ The application is complete in all respects and required documentary evidence provided with the application are correct.</li> </ul>		

- Queries raised by the dedicated case member are addressed.

### 3.3.6 Step 5: Scrutiny of the Application

This round of screening is a critical step where a designated Scrutiny Team reviews the application on grounds of its compliance to the eligibility criteria and decides to either approve or reject the application.

<b>Process Name: Scrutiny of the application by Screening Team</b>	
<b>Eligibility Criteria</b>	
This step will begin only after the applicant organization clears the first round of screening done by the dedicated case member and is approved by the Director/ appropriate authority at NCVET.	
<b>Input</b>	<b>Output</b>
<ul style="list-style-type: none"> <li>▪ Details provided by the applicant organization during the application process</li> </ul>	<ul style="list-style-type: none"> <li>▪ Acknowledgment from NCVET on completion of second round of screening</li> <li>▪ Decision of approval or rejection after the second round of screening</li> </ul>
<b>List of steps/Task performed to be performed</b>	
<b>Owner</b>	<b>Tasks</b>
NCVET	1. NCVET will nominate a Scrutiny Team to evaluate the case. The Team can have 2 to 3 members including the dedicated case member. The composition and terms of reference of this team is mentioned in Annexure III.
NCVET Scrutiny Team	2. The team will evaluate whether the applicant meets the eligibility criteria. 3. The team may seek input from experts and clarification from the applicant organization. 4. The team can also physically inspect the premises of the applicant organization at this stage, if required. 5. The team then arrives at a decision to either approve or reject the application.
Member, NCVET	6. The Scrutiny Team takes the decision in consultation with the Executive Member, NCVET.
NCVET Screening Team	7. The Scrutiny Team prepares an acknowledgment for the applicant organization on the decision of approval or rejection of the application. 8. On approval of the application, the acknowledgment will communicate the decision of the approval and date for the Review Panel meeting. 9. On rejection of the application the acknowledgment will communicate the decision of rejection along with reasons and any specific feedback for improvement. 10. The Team prepares minutes of meeting (MoM) of the review process clearly mentioning the reasons for acceptance or rejection of the application process and feedback (if any).



<b>Applicant Organization</b>	<b>11.</b> The applicant organization can request NCVET for a Feedback Meeting at this stage.
<b>Exit Criteria</b>	
<p>This process ends with:</p> <ul style="list-style-type: none"> <li>▪ Vetting of the Scrutiny Team’s decision by Executive Member, NCVET.</li> <li>▪ Sharing the acknowledgement with applicant of the completion of the second round of screening and with the decision of rejection or approval of the application for processing the application to the next step.</li> <li>▪ In case of acceptance, communication of the date and time of the Review Panel meeting to the organization.</li> <li>▪ Preparation of the MoM of the review made by the ScrutinyTeam along with details of the reasons of acceptance or rejection.</li> </ul>	
<b>Timeline of Completion</b>	
<ul style="list-style-type: none"> <li>▪ The second round of screening should be completed within <b>15 working days</b> from the date of acknowledgement generation of the first round of screening. Any clarification to be sought and resolved within this timeline.</li> </ul>	
<b>Verification and Validation</b>	
<p><b>NCVET shall ensure:</b></p> <ul style="list-style-type: none"> <li>▪ Evaluation of application in line with the recommendations of the eligibility criteria indicated in the AA guidelines.</li> </ul>	

### 3.3.7 Step 6: Review Panel Meeting

In this step, Review Panel members would screen the application submitted by the applicant organization and assess the capacity of the prospective Assessment Agency to operate as per the continuation criteria specified in the AA Guidelines.

<b>Process Name: Third round of screening by Review Panel</b>	
<b>Eligibility Criteria</b>	
This step will begin after the acknowledgement of approval on the second round of screening is shared with the applicant organization.	
<b>Input</b>	<b>Output</b>
<ul style="list-style-type: none"> <li>▪ Briefing on application by the Screening Team</li> <li>▪ Details provided by the applicant organization during the Review Panel meeting</li> </ul>	<ul style="list-style-type: none"> <li>▪ Decision on approval or rejection of the application after the Review Panel meeting</li> <li>▪ If approved, the application is forwarded for the Council meeting</li> </ul>
<b>List of steps/Tasks to be performed</b>	
<b>Owner</b>	<b>Tasks</b>
NCVET	<ol style="list-style-type: none"> <li>1. NCVET will nominate the Review Panel which will be headed by Executive Member, NCVET.</li> <li>2. The terms of reference and composition of the Review Panel is given in Annexure III.</li> </ol>
NCVET Screening Team	<ol style="list-style-type: none"> <li>3. The Screening team will furnish a brief of the case and the MoM of their meeting to the Review Panel.</li> </ol>
Applicant Organization	<ol style="list-style-type: none"> <li>4. The organization will make a presentation in front of the Review Panel highlighting their suitability as a recognized AA. The presentation will be delivered by the Head of the applicant organization/Business Head.</li> </ol>
Review Panel	<ol style="list-style-type: none"> <li>5. The Review Panel will assess the suitability of the applicant organization w.r.t compliance to the eligibility criteria and capacity to fulfill continuation criteria laid down in the AA guidelines.</li> <li>6. In addition, the Review Panel will assess the capacity of the applicant organization to deliver quality outcomes in line with their proposed business plan submitted with the application form.</li> <li>7. The Review Panel then will decide on the approval or rejection of the application and if approved, forward the application to the Council.</li> <li>8. The decision and the basis for the same shall be recorded in the minutes of the meeting (MoM).</li> </ol>
<b>Exit Criteria</b>	
This process ends with approval of minutes of the Review Panel meeting by <b>the Executive Member, NCVET.</b>	
<b>Timeline of Completion</b>	
The Review Panel meeting will be organized within <b>15 working days</b> of completion of the Screening	

Team meeting., extendable by the discretion of the Executive Member.

#### Verification and Validation

##### NCVET shall ensure:

- Evaluation of application is in line with the eligibility criteria and ability to fulfil the continuation criteria.

##### Applicant Organization shall ensure:

- Authenticity of information provided to the Review Panel.
- Business head/ CEO delivers the presentation in front of the Review Panel.

### 3.3.8 Step 7: Decision on the Application by the Council

NCVET is headed by a Chairperson as appointed by the Central Government. The final decision on the approval/rejection of the application for recognition of AA would rest with the Council. The composition of the Council is mentioned in the gazette notification (No. SD-17/113/2017-E&PW— dated 5 December 2018).

#### Process Name: Council Meeting

##### Eligibility Criteria

This step will begin after the approved minutes of Review Panel meeting and application of the organization has been placed before the Council.

Input	Output
<ul style="list-style-type: none"> <li>▪ Briefing and minutes of meeting of the Review Panel and Scrutiny Team</li> <li>▪ Details provided by the applicant organization during the Council meeting</li> </ul>	<ul style="list-style-type: none"> <li>▪ Decision on grant of recognition or rejection of the application of the organization after the Council meeting</li> </ul>

##### List of steps/Tasks to be performed

Owner	Tasks
NCVET Team	<ol style="list-style-type: none"> <li>1. The NCVET team will place a brief of the case before the Council along with recommendations of the earlier screenings done at NCVET.</li> </ol>
Council, NCVET	<ol style="list-style-type: none"> <li>2. Council will assess the suitability of the applicant organization on its compliance to the eligibility criteria and capacity to fulfill the continuation criteria and any other parameter as they deem fit.</li> <li>3. In addition, the Council will assess the capacity of the applicant organization to deliver quality outcomes in line with the larger industry and employment climate in the country.</li> <li>4. Thereafter, the Council may decide on the grant of the recognition or rejection of the application. The decision and</li> </ol>

	the basis for the same are recorded in the minutes of the meeting (MoM).
<b>Exit Criteria</b>	
This process ends with approval of minutes of the Council meeting by the Chairperson, NCVET/	
<b>Timeline of Completion</b>	
The Council meeting shall be organized every quarter or as per the directives of the Chairperson, NCVET.	
<b>Verification and Validation</b>	
<b>NCVET shall ensure:</b>	
<ul style="list-style-type: none"> <li>▪ Evaluation of application in line with the recommendations of the eligibility criteria and any other criteria as the Chairperson, NCVET deems fit</li> </ul>	

### 3.3.9 Step 8: Communication of the Recognition Decision to the Applicant

This is the final stage of the application process where decision on recognition as AA or rejection of the application is communicated to the applicant organization. This step also clarifies the follow up actions under both the scenarios.

<b>Process Name: Communication of the recognition decision to the applicant organization</b>	
<b>Eligibility Criteria</b>	
This step begins after the Chairperson, NCVET has approved the minutes of the Council meeting and final decision on the application of the organization has been taken.	
<b>Input</b>	<b>Output</b>
<ul style="list-style-type: none"> <li>▪ Decision of the Council meeting</li> </ul>	<ul style="list-style-type: none"> <li>▪ Communication of the decision of approval or rejection of the application to the applicant organization</li> </ul>
<b>List of steps/Tasks to be performed</b>	
<b>Owner</b>	<b>Tasks</b>
NCVET dedicated case member	<ol style="list-style-type: none"> <li>1. An email with decision of approval/rejection of the application by NCVET will be forwarded to the applicant organization.</li> <li>2. NCVET may impose any additional requirement or special conditions of recognition as it deems fit.</li> <li>3. NCVET may invite recognized AA for an induction meeting. Such meetings will be organized from time to time for newly recognized AAs to familiarize themselves with the next steps as a regulated AA.</li> <li>4. Post approval as a recognized AA, an agreement would be signed between NCVET and recognized Assessment Agency detailing the terms of association and thereby, beginning of the AA's tenure as a recognized entity.</li> </ol>
<b>Exit Criteria</b>	
This process ends with sharing of the written communication on decision of recognition, the date of the induction meeting (if approved) and the signing of the agreement between NCVET and recognized AA.	

### Timeline of Completion

- The decision on final approval or rejection of the application is to be communicated to the applicant organization in writing within **7 working days** of Council meeting.
- The agreement would be drawn up and signed within **10 working days** of the receipt of approval by the recognized AA.

### Verification and Validation

#### NCVET shall ensure:

- Adequate resources are available for necessary support to the recognized AAs.

### 3.3.10 Feedback Mechanism

For the applications which are rejected, an avenue for seeking feedback by the applicant AAs has been devised. This step is not mandatory, and the said meeting would be organized on receipt of a request by the applicant organization.

#### Process Name: Feedback Mechanism

#### Eligibility Criteria

If the applicant organization requests NCVET for a feedback, NCVET may consider organizing such a meeting.

Input	Output
<ul style="list-style-type: none"><li>▪ Request for feedback on rejection at step 4 of application process Or</li><li>▪ Request for feedback on rejection at step 5 of application process Or</li><li>▪ Request for feedback on rejection at step 6 of application process</li></ul>	<ul style="list-style-type: none"><li>▪ Feedback on reasons for rejection of the application and scope of improvement</li></ul>

#### List of steps/Task to be performed

Owner	Tasks
NCVET	<ol style="list-style-type: none"><li>1. Either the dedicated case member or a designated officer from NCVET, will provide a feedback on the gaps due to which the application was rejected and the areas of improvement.</li><li>2. The dedicated case member or the designated officer records the minutes of meeting of the said Feedback Meeting and the same is signed both by the applicant organization and NCVET officer/case member.</li></ol>

#### Exit Criteria

This process ends with the recording of the Feedback Meeting minutes.

#### Timeline of Completion

The Feedback Meeting is to be organized on a date and time as deemed fit by NCVET.

## Verification and Validation

### NCVET shall ensure:

- Applicants are adequately briefed about the reasons for rejection and areas of improvement.

### Applicant Organization shall ensure:

- Business head/CEO attends the Feedback Meeting
- Reapplication for NCVET recognition after adhering to timelines as specified (if it wishes to reapply)

**If an application is rejected by the scrutiny/screening team with approval of the Executive Member, prospective AAs may re-apply after 3 months, however, if the application is rejected by the **Review Panel or Council, the applicant organization may only re- apply after 6 months.****

## 3.4 Appeal System

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 is not an opportunity for an applicant to submit further evidence which the applicant did not send as part of the original application. An appeal can be made if an applicant organization is rejected at the following stages only:

- Step 4: Screening by dedicated case member
- Step 5: Scrutiny by the Scrutiny Team
- Step 6: Screening by the Review Panel

The decision on the appeal will be taken by the Executive Member. The appeal would have to be made within one month of receipt of the decision of rejection by the applicant organization or within 15 days of the Feedback Meeting.

## 3.5 Re-application by the Applicant Organization

The applicant organizations which are rejected after the decision of the Review Panel or Council will not be allowed to re-apply for the NCVET recognition for at least six months from the date of the rejection of the said application. For the applicant organizations whose applications are rejected at the earlier stages of screening/ scrutiny will not be allowed to re-apply for NCVET recognition for at least three months from the date of the rejection of the said 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, including the payment of the said application fee.

## 3.6 Addition of New Sectors and Geographies for a recognized AA

If the recognized AA wishes to offer assessment services for qualifications in new sectors or sub-sectors, or qualifications which have specific conditions or criteria which are not within the current scope of recognition, they will need to submit evidence, as prescribed in this manual, pertaining to section 5.5(a) ii & iii of the eligibility criteria laid down in the guidelines . This process can be carried out at any point of time after the grant of recognition by NCVET. A similar process would have to be followed if the recognized AA wishes to expand its geographical reach as mentioned during its initial application for recognition in terms of section 5.5(b) of the guidelines.

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.

## Section 4: Evidence to Ensure Compliance to the Eligibility and Continuation Criteria

To ensure compliance to the eligibility and continuation criteria of the AA Guidelines, the Assessment Agencies would be mandated to submit certain evidences. This portfolio of evidence shall be provided by the AAs to establish eligibility for recognition at the time of application, during the continuous monitoring process by NCVET and at the time of renewal of recognition.

The entities would have to submit the most relevant set of documents as evidence which comply with the eligibility and continuation criteria.

In addition to the evidence listed below, NCVET may ask for other sets of documents if it deems fit.

S. No.	Criteria	Evidence	Nature of Submission
<b>Eligibility Criteria</b> (Refer to section 8 of the assessment agency guidelines for the detailed criteria)			
1	Legal Status	<ul style="list-style-type: none"> <li>▪ Certificate of Registration and/or</li> <li>▪ Article of Incorporation</li> </ul>	Mandatory
		<ul style="list-style-type: none"> <li>▪ Society/Trust Deed Agreement of NGO Registration Certificate issued by respective State</li> </ul>	Mandatory (Applicable if the applicant entity is an NGO)
		<ul style="list-style-type: none"> <li>▪ Permanent Account Number (PAN) and Goods and Services Tax (GST) registration details &amp; any other statutory requirement under GoI/State Government</li> </ul>	Mandatory
		For international agencies - <ul style="list-style-type: none"> <li>▪ Mutual Agreement Copy with Indian partner firm</li> <li>▪ Shareholder Agreement with Indian partner firm</li> <li>▪ Permission from Ministry of Home Affairs and evidence of separate bank account for foreign funds</li> </ul>	Applicable only for foreign entities with registered Indian subsidiaries/partners
		Self-declaration Affidavit by Authorized Person that the organization has not been blacklisted/defaulted with any India/Foreign Entity in the AA guidelines/Not involved in training process	Mandatory
		Copy of the consortium agreement (Letter of Intent or Memorandum of Understanding) with a clear mention of the lead partner.	Mandatory
		Power of Attorney for Lead Member of Consortium	Mandatory



2	Financial Viability	Annual Report and Audited financial statements along with Audit Report of the entity, duly certified by the Chartered Accountant and filed with the Income Tax Authorities for preceding 3 financial years from the date of application	Mandatory
		Income tax returns for preceding 3 financial years of the entity preceding 3 financial years from the date of application	
		Minimum account balance certificate from the public/private sector bank	Optional
3	Prior Experience	Work orders of conducting assessments, as per the numbers indicated in Section 5.3 of the guidelines, in accordance with the classification of States (Annexure IX), from relevant agencies such as state and/or central government or their agencies, reputed bilateral/multilateral agencies, and/or for large and reputed public limited companies, private companies, large and/or reputed non-profit organizations, scheduled commercial banks etc.	Mandatory
		and/or Relevant experience certificates and/or record of experience of assessing the modules pertaining to vocational skills courses/ modules notified by NCVET/SCVT/Sector Skills Council or recognized by any state or central government, as per the numbers indicated in Section 5.3 of the guidelines, in accordance with the classification of States (Annexure IX)	
		and/or Terms of associations with awarding bodies for carrying out the activities mentioned in the work orders/experience certificates, as per the numbers indicated in Section 5.3 of the guidelines, in accordance with the classification of States (Annexure IX)	
		Self-Declaration affidavit by Head of the organization on number of assessments carried out by them under different schemes	
4	Sectoral Credibility and Geographical Presence	Letter of engagement of subject matter experts pertaining to the qualifications/ sector that the recognition is being sought for.	Mandatory
		Letter of engagement of assessors/examiner and proctors with credentials matched with sector/ qualifications that the agency is seeking recognition for	
		Letter of engagement or work contracts of local assessors/examiner in the geographical region/s with necessary qualifications and proficiency in vernacular languages for which the recognition is being sought	Mandatory
		Self-declaration of the presence of assessment tools being available in the local languages of the areas in which the recognition is being sought	

		Self-declaration on the number of assessments being carried out in the sector and/or geography in which recognition is sought	Mandatory
		For expansion of sector/geography not covered by the initial recognition all above evidences may be provided except self-declaration on the number of assessments	Mandatory
5	Infrastructure and Accessible Assessment Tools	Lease agreement of at least 3 years of the premises Or ownership documents like registered conveyance deed or sales deed for the premises	Mandatory (if premise is rented by the entity) Mandatory (if premise is owned by the entity)
		Google Map snapshot showing location of organization's premise and allied transport connectivity	Mandatory
		Address proof for the premises -Copy of internet/telephone bill, not older than 3 months	Optional
		URL of functional website with contact details of key functionaries and other stipulations as mentioned in the AA guidelines Section 5.6.a.ii	Mandatory
		Minutes of the consultations held with industries and associations to design the assessment strategy for their greater participation in assessment process	
		Self-declaration by the head of the organisation on the availability of assessments tools including ICT tools for assessment and monitoring as mentioned in AA Guidelines Section 5.6.b	
		Self-declaration of availability of special instructors and assessment tools amiable to the needs of the PwD	Mandatory (if the entity seeks to take up assessments of PwDs)
6	Comprehensive Business Plan	Comprehensive Business Plan document mentioning the following details must be submitted by the organization: <ul style="list-style-type: none"> <li>▪ Market research for trainings conducted state-wise</li> <li>▪ Number of assessments that can be undertaken and revenue projections for the next 3 years</li> <li>▪ Proposed number of assessors, subject matter experts and proctors to be employed</li> <li>▪ Proposed monitoring and evaluation framework and risk mitigation strategies</li> </ul>	Mandatory
7	Governance and Manpower	Copy of Organogram	Mandatory
		Internal audit reports signed by the Board	
		Engagement letter of Head of the Organisation delineating roles & responsibilities, tenure, and undertaking that there is no criminal case against the head.	
		Copy of electricity or telephone bill mentioning residential address of the Head of the Organisation	
		Conflict of interest policy and mitigation mechanisms	

		<p>Signed Declaration by assessor that there is no conflict of interest</p> <p>Letters of engagement of key staff members across states and sectors and SOP highlighting recruitment, training, deployment and performance evaluation mechanisms for them</p> <p>Proof of allowance/allocated budget for Continuous Professional Development (CPD)</p> <p>Copies of Standard Operating Procedures for the following: <ul style="list-style-type: none"> <li>▪ Data security of learners' data</li> <li>▪ HR strategy for selections and performance matrix of the assessors</li> <li>▪ Internal Quality Assurance (IQA)</li> <li>▪ Details regarding storage of data and assessment information</li> </ul> </p>	
<b>8</b>	<b>Assessment Strategy and Delivery</b>	<p>Copies of SOP for the following: <ul style="list-style-type: none"> <li>▪ Assessment Strategy with process and timeline for creating Question Bank</li> <li>▪ Content Development (including Question Bank)</li> <li>▪ Assessment and Delivery processes</li> <li>▪ Performance reporting and analytics</li> <li>▪ Selection mechanism, eligibility criteria and training and certification of proctors and assessors</li> <li>▪ Roles and responsibilities of the assessors, proctors and SME</li> </ul> <p>Declaration of internal audit to ensure quality assurance in all stages of assessment lifecycle</p> <p>Evidence of test engine or scope of work for developing test engine to deliver and monitor online and blended assessment lifecycles, with the requisite system to refresh the assessment content periodically and other stipulations as mentioned in assessment guidelines Section 5.8.e</p> </p>	Mandatory
<b>9</b>	<b>Data Management Systems</b>	<p>Copy of confidentiality policy with signed affidavits of full time and contracted staff</p> <p>Maintenance register and Maintenance contracts (wherever applicable)</p> <p>Documented SOP for <ul style="list-style-type: none"> <li>Availability of tools and software for data collection and data <ul style="list-style-type: none"> <li>• Monitoring of IT equipment</li> <li>• Security of information pertaining to learners' details including results</li> </ul> </li> </ul> </p>	Mandatory

		Self- Declaration/Affidavit for compliance to data protection norms of the Government of India	
10	Appeals and Grievance Redressal	Copy of SOP detailing: <ul style="list-style-type: none"> <li>Process for complaint handling</li> <li>Roles and responsibilities of those staff involved in complaint handling</li> </ul>	Mandatory
		Self-declaration affidavit for the establishment of a grievance redressal cell and policy of resolution. Provide copy of circular and other evidence wherever available.	Mandatory
		Letter of appointment of third-party arbitrator/ legal counsel representative in the grievance redressal council	
		Self-declaration affidavit for establishment of a POSH committee for the organization's staff	
		Details of helpline number	

**Continuation Criteria  
(Refer section 9 of the assessment agency guidelines for the detailed criteria)**

1	Financial Viability	Audit Report, audited financial statements and Annual Report of each year	Mandatory
2	Governance & Manpower	Affidavit reflecting changes in management structure of the organization	Mandatory
		Business Plan for every year encompassing market research, financial projections, timelines etc and evidence of compliance to the business plan of the previous year.	Mandatory
		Yearly attendance records of core assessment staff sector wise and geographically	Mandatory
		Signed list of senior management staff including the head of the organization Engagement Letter of Head of the Organization/Senior management staff, in case of change	
		Performance Review parameters of core assessment staff	
		Engagement Letter/Contract of SME, Assessor, Proctor along with their Resume/CV	
		Copy of certificate (ToA) for all assessors across sectors and geographies Copy of Proctor certification for all Proctors	
		Undertaking from the assessors limiting their affiliation to max 4 AAs	
Continuous Professional Development <ul style="list-style-type: none"> <li>Record of continuous professional development (CPD) activities provided for the assessment and other functional staff</li> <li>Documented feedback on CPD activities from</li> </ul>	Mandatory		

		<p>assessment practitioners</p> <ul style="list-style-type: none"> <li>Annual report on the training needs analysis of the staff</li> </ul>	
3	Accessible Assessment Tools	SOP for reviewing and revising the question banks as mentioned in Section 7.3.a	Mandatory
		Asset inventory of the IT infrastructure and annual maintenance contracts (AMC) for the ICT Tools	
		SOP for implementation of ICT Tools as mentioned in Section 7.3.b	
4	Assessment Strategy	<ul style="list-style-type: none"> <li>Current Assessment Strategy being used for delivery of assessments, signed and verified by AB</li> <li>SOP for maintaining confidentiality of data storage</li> </ul>	Mandatory
5	Delivery of Assessments	Record of assessment activities, including: <ul style="list-style-type: none"> <li>ICT usage for assessment and monitoring</li> <li>Copies of instructions given to candidates</li> <li>Administrative checks on completed paperwork</li> <li>Feedback forms and procedure for collecting feedback</li> </ul>	Mandatory
		SOP for assessment process for all stages (before, during, after) as mentioned in Section 7.6	
		Briefing and standardization records given to assessors and proctors	
		Report on the action taken on Feedback received from TC and learners with timelines	
		Confidentiality agreement copy (signed with training partners before conducting assessments)	
		SOP for investigation and resolution of malpractice or maladministration Record of resolution of such cases	
6	Evaluation of Results	SOP for recording, storing and sharing the results with AB	Mandatory
		Copy of SOP on the process of moderation to be undertaken	
		Copy of agreement with third party enlisted for moderation	Optional (applicable only if the agency has hired third party for moderation)
7	Declaration of Results	Copy of format in which results are shared with the AB	Mandatory
		Signed copy of confidentiality between ABs and the AA	
8	Promotion of Technology	Copy of SOP of training of staff on ICT tools	Mandatory
		Evidence of CPD activities focused on technology for	

		assessors and proctors evidence of usage of ICT tools including new investments in the same SOP for maintaining the ICT tools for online and blended mode of assessment and monitoring	
9	<b>Grievance Redressal Mechanism</b>	Reports on grievances resolved and open complaints with reasons for the pendency in resolution Notification of change of members in Grievance Redressal Committee or POSH committee (if applicable)	Mandatory
10	<b>Research and Development</b>	Review & evaluation reports indicating quality improvements approved by head of the organization Report on feedback on assessment practice from professionals, candidates, training partners/entities and awarding bodies	Mandatory
		Evidence on subscriptions/ memberships being made on knowledge platforms or international collaborations for enhancing research in the organisation	Optional
11	<b>Monitoring Mechanism</b>	Relevant templates to capture the data to support the monitoring process as per the timelines and mechanism mandated by NCVET	Mandatory
12	<b>Suspension /De-recognition</b>	Self-declaration of completion of pending assessments	Mandatory
13	<b>Surrender of Recognition</b>	Intimate NCVET along with reasons, at least 90 days before proposed day of surrender Self-declaration of no pending assessments	Mandatory

## Section 5: Operational Model

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The following operational models will be adopted by the NCVET:

### 5.1 Mechanism to facilitate Third Party Assessments through recognized Assessment Agencies

NCVET will create a centralized pool of recognised AAs based on the eligibility criteria elaborated in Section 5 of the Guidelines. Thereafter there will be two phases in allocation of AAs to ABs:

#### Phase I

In Phase-1, Awarding Bodies will have the flexibility to select any Assessment Agency/ies from this pool of recognised AAs, based on their sectoral and geographical requirement, for carrying out assessments for their qualification.

- **Step 1:** AA to seek NCVET Recognition as per the process laid in Section 3
- **Step 2:** Once recognition is granted, NCVET shall maintain a list of recognized AAs in public domain for reference.
- **Step 3:** AB to select recognized AAs based on sectoral and geographical requirement
- **Step 4:** AB to get into an agreement with AA for conducting assessments as well as for sharing of assessment fees as per the norms prescribed in the NCVET guidelines

#### Phase II:

After the recognition process for AAs is completed, NCVET in due course of time would explore the possibility of randomized and automatic allocation of assessment agencies to training batches, when the ABs raise a request for assessment. NCVET will establish an online AI driven system with in-built machine learning algorithms based on identification of AA competency in sector, geography, language , job role and feedback analytics.

- **Step 1:** AA to seek NCVET Recognition as per the process laid in Section 3
- **Step 2:** Once recognition is granted, NCVET shall maintain a list of recognized AAs in public domain for reference.
- **Step 3:** AB to raise request to NCVET, once the training starts
- **Step 4:** NCVET to randomly allocate AA to the training batch based on job-role, sector and geography
- **Step 5:** AB will get into an agreement with the allocated AA. The AA to carry out assessment as per the agreement between AB and AA

*Once the online mechanism is in place, NCVET will further elaborate the process of allocation of AAs.*

## **5.2 Mechanism to facilitate the operationalization of AAs for conducting Centralized Assessment**

AA to seek NCVET Recognition as per the process laid in Section 3. This will be applicable in the case of bodies with dual recognition where ABs have their own internal mechanisms for conducting assessments such as:

- i. Government Departments/ Govt institutions or bodies
- ii. Specialized training institutes of the Govt., Skill Universities, etc for trainings directly conducted by them, for their approved qualifications.

Possible cases under Dual Recognition would be –

- a. A recognized Awarding Body is eligible to apply for recognition as an AA for trainings directly imparted in its campus, for its approved qualifications.
- b. Central Ministries/ State Departments/ Government institutions or bodies, are eligible to apply for Dual recognition

Following requirements shall be fulfilled by an entity applying under dual category recognition\*:

- Separation of personnel, systems and managerial controls
- Separation of financial resources
- Established track record and market reputation

*\*AB should move towards setting up an Assessment Board. Till such time this is done, same person shall not be involved in both assessment and training functions.*

Such bodies/ ABs will be recognized as AA, by NCVET, based on the eligibility criteria elaborated in Section 5 of the Guidelines.

## **5.3 Infrastructure Creation for Independent Assessment Centers**

In line with global best practices, NCVET would allow AAs/relevant entities such as PMKKs/ industry skill centres of repute/ autonomous institutes established by the line ministries etc. to set up independent sector wise assessment centres wherein learners with/without having undergone training can assess their skill sets. This would not only increase the reach for the conduct of quality assessments throughout the vast geography of the country, but also align with agile industry needs. Some of the critical services which the independent assessment centres could be offering include:



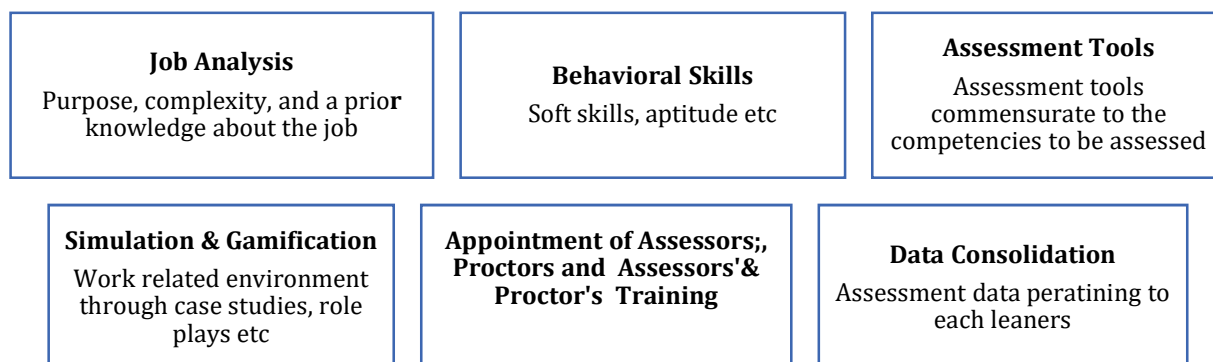


Figure 7: Proposed services offered by the independent assessment centres

Such a system can also be leveraged for taking the pre-training and post training assessment under Recognition of Prior Learning (RPL) and On-the Job Training [OJT] for Apprenticeship. The entities which seek to create such assessment centres would be recognized by NCVET as per the eligibility criteria set out in Section 5 of the Guidelines. Together with availability of quality assessors, assessment tools and pedagogy, the said assessment centres would also need to create the simulated industry environ for the learner to align with the industry surroundings. These assessment centres will have tie ups with various ABs to facilitate assessment and certification services to learners.

Moreover, with time, given the principle of increasing industry relevance in the VET ecosystem, NCVET would encourage the industries of repute and credence to set up these assessment agencies. Initially these centres would assess and certify learners on qualifications created by awarding bodies, later the industries could create their own qualifications and certify learners on the same, post seeking approval from NCVET.

## 5.4 Turn Around Time in Assessment Delivery

One of the major setbacks of the current functioning of the VET ecosystem is the time lag between training and assessment and subsequently between assessments and certification. As the regulator, NCVET would be streamlining these processes to ensure that learners and the relevant stakeholders have a smooth transition through entire training value chain. Keeping in mind the same and taking cognizance of some of the international best practices, the following Turn Around Time (TAT) framework has been developed

<b>S. No.</b>	<b>Heads</b>	<b>TATs</b>	<b>Accountability</b>
2	Assessment Scheduling	Short term - 2 weeks before the completion of the training For centralised system / long term training – assessment to be scheduled as per the calendar to be developed by the AB at the beginning of academic session	AB would inform the AA 2 weeks before the completion of the training.
1	Assessment Delivery	Short-term - Assessment to be conducted on the last day of the completion of the training Long term – The assessment should be conducted before official end of the course duration	Carrying out timely assessments will be a joint responsibility of AB, Dual recognized bodies , AA and TP/training entities.
2	Publishing of the results	Short term – Results to be published by AB within two weeks of completion of assessments Long term – Assessment results would have to be published within 2 months from the last date of the entire examination schedule	Publishing of result will be a joint responsibility of AB, Dual recognized bodies , AA and TP/training entities. AA to share the recorded results with AB in the prescribed format in a timely manner
3	Issue of Certificate	Short term – Certificate to be issued to the candidates after successful completion of the training, within one week of publishing of results Long term – Certificates to be given within 1 month from the date of declaration of results	Issue of certificates to the learner will be the responsibility of the AB, TP

## **Section 6: SOP for Assessment and Issue of Certificates for Qualifications**

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The standard operating procedures lays down the overarching the processes for conducting assessments for the short- and long-term skill training programmes. Together with the generic processes, the SOP also delineates the responsibilities for the stakeholders involved in the assessment process namely the learners, training entities, AAs, ABs and NCVET.

The following pointers would be applied across the spectrum:

- a.** It shall be mandatory for Awarding Bodies to get their assessments done by NCVET recognized Assessment Agencies for NSQF aligned qualifications.
- b.** All requests for assessments would have to be routed through ABs to the concerned AAs. No training entities/ training partners can directly approach the AAs for conducting assessments.
- c.** The processes for re-assessments would be delineated by concerned AB, till such time that NCVET devises the guidelines for re-assessment.
- d.** In case of any external exigencies, the AB may re-schedule the exam after receiving requests from training entity/training partner. In such a case, the training partner must let the AB know at least 15 days in advance from the date of assessment and the AB must inform the AA at least 10 days before the date of assessments.

The Assessment process is bifurcated into the following 3 stages :

- (i) Before Assessments
- (ii) During Assessments
- (iii) After Assessments

### **6.1 Before Assessments**

The stage prior to the actual delivery of the assessments is crucial as it lays the foundational design and premise for the assessments concerned.

At this stage, the AA shall formulate the Assessment Strategy based on the Assessment Guide ( provided by AB for each sector)

Before assessment, the Assessment Agency shall also be responsible for training and certification of the assessors/proctors.

<b>Responsibility</b>	<b>Role of Awarding Body</b>	<b>Role of Assessment Agency</b>	<b>Role of training entities/ partners</b>	<b>Roles of NCVET</b>
<b>Development of Assessment Guide</b>	<ul style="list-style-type: none"> <li>▪ Develop the Assessment Guide for each sector</li> <li>▪ Share the Assessment Guide with the AA after signing the agreement with them.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Adhere to the Assessment Guide provided by AB</li> </ul>	NA	<ul style="list-style-type: none"> <li>▪ Prescribe broad guidelines for mandatory components of Assessment Guide</li> </ul>
<b>Assessment Strategy</b>	<ul style="list-style-type: none"> <li>▪ Ensure the Assessment Strategy developed by AA are in line with the Assessment Guide</li> <li>▪ Approve the pool of questions, bi-annually, and Question Bank quarterly, prepared by AA</li> </ul>	<ul style="list-style-type: none"> <li>▪ Formulate Assessment Strategy based on the Assessment Guide provided by AB</li> <li>▪ Bi-annually, the AA shall prepare pool of questions and get it approved by AB</li> <li>▪ Quarterly, the AA shall prepare Question Bank and get it approved by ABs</li> <li>▪ Create technology platforms for assessment</li> </ul>	NA	<ul style="list-style-type: none"> <li>▪ Prescribe broad norms and monitor of the Assessment Strategy</li> </ul>
<b>Hire and Train Assessors and Proctors</b>	<ul style="list-style-type: none"> <li>▪ Lay down requirement for assessors/proctors in the qualification.</li> <li>▪ Conduct ToA</li> <li>▪ Define standards for proctors</li> <li>▪ Ensure assessment takes place through certified assessors</li> </ul>	<ul style="list-style-type: none"> <li>▪ Engage qualified assessors as per requirement of qualifications. Where this is not mentioned, as per Section 7.3.2.b of the guidelines.</li> <li>▪ Engage examiner, proctors and SME</li> <li>▪ Ensure their assessors are certified</li> <li>▪ Hire certified</li> </ul>	NA	<ul style="list-style-type: none"> <li>▪ Provide broad norms for engagement of assessors, Proctors and SME</li> <li>▪ Provide parameters for Rating of Assessors</li> </ul>

		<p>proctors for assisting in assessment</p> <ul style="list-style-type: none"> <li>▪ Provide risk rating for assessors and review performance of proctors</li> </ul>		
<b>Formative assessments</b>	<ul style="list-style-type: none"> <li>▪ Provides the assessment guide for formative assessments</li> <li>▪ Ensures that all training entities deliver the assessment to the learners</li> </ul>	<ul style="list-style-type: none"> <li>▪ Provide inputs (if any) to the ABs for the assessment guide</li> </ul>	<ul style="list-style-type: none"> <li>▪ Ensure formative assessment are delivered to the learners at stipulated intervals</li> <li>▪ Record the results of the formative assessment</li> </ul>	<ul style="list-style-type: none"> <li>▪ Prescribe broad framework</li> <li>▪ Monitor the overall process</li> </ul>
<b>Assessment Scheduling</b>	<ul style="list-style-type: none"> <li>▪ Inform AAs of at least 15 days before completion of training</li> <li>▪ In Phase -II of third party assessments, AB shall inform the aforementioned to NCVET at the start of training.<sup>1</sup></li> <li>▪ In centralized assessments, bring out a calendar with clear timelines for assessment</li> <li>▪ Prescribe proof of identity of learner and procedure for its verification.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Allocate assessors/proctors as per the assessment schedule and inform the same to ABs</li> <li>▪ Ensure that trained assessors and proctors are available on the date of the assessment</li> <li>▪ In centralized assessments, AA to identify and assign examiner</li> <li>▪ Co-ordinate with the training partner to</li> </ul>	<ul style="list-style-type: none"> <li>▪ Inform AB in case of delays in assessment dates, well in advance (if any).</li> <li>▪ Inform the learners of the proof of identity required for assessments.</li> <li>▪ Ensure all tools required for assessments are available</li> </ul>	<ul style="list-style-type: none"> <li>▪ Prescribe timelines for conduct of assessment.</li> <li>▪ Monitor the overall process.</li> <li>▪ Redress grievances in case of any escalations and delays NCVET will take the required actions</li> </ul>

<sup>1</sup> Once the online mechanism is in place, NCVET will further elaborate the process of allocation of AAs.

		<p>ensure availability of required tools for assessment</p> <ul style="list-style-type: none"> <li>▪ AA shall inform the concerned AB of the assessor/proctor being allocated to a training batch, wherever applicable.</li> </ul>		
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The Assessment Guide mentioned above shall be prepared by AB providing the overall structure and guidance for planning the assessments, thereby, demarcating the role of ABs, training partner and the Assessor in the delivery of assessments.

### 1. Assessment Guide

The Assessment guide elucidates the following:

- a. **Entry Criteria:** Defines minimum threshold of attendance and formative assessment wherever applicable, marks of the learners to be eligible to appear for the assessments.
- b. **Mode of Assessment:** Defines the overall design and mode of the assessment (online/offline) for the qualification with clear bifurcation between the theory and practical components.
- c. **Learning Outcomes:** Defines what should be assessed from the qualifications as learning outcomes
- d. **Content of Assessment:** Defines the questions and/or case studies that would be given to the learners with clear mixing of easy, medium, and difficult in the question paper. The time limit for responding to the assessment would also be specified here. This section should also delineate the specific role of technology in the assessment delivery.
- e. **Evaluation Matrix:** The evaluation matrix will clearly stipulate markers of evaluation against each of the learning outcomes identified in the qualification. This would entail embedding objectivity and impartiality in the assessment. Moreover, it shall identify and document the expected responses for each questions/task. This information provides the basis for the briefing of assessors. It shall also cross-reference the expected responses with the learning & performance outcomes to ensure that the questions/tasks are appropriate and are covered in the competency assessment to provide feedback on the efficacy and appropriateness of the question bank w.r.t. the desired learning and performance outcomes. The matrix shall also touch upon the evaluation methodology (positive/negative marking model). The broad guidelines on moderation of results wherever applicable should also be enlisted in the guide.

#### **f. Administrative Requirements**

- Ratio of learners to assessors
- Ratio of learners to proctors in an online face to face, virtual or remote auto proctored mode
- Time required for a summative assessment, together with allowances factored in for special needs' learners and those taking the assessment in low connectivity areas. These arrangements should be appropriate for the individual but should not compromise the integrity of assessment.
- Venue requirements for assessment both on- line and offline
- Equipment, connectivity and bandwidth availability for learners and/or assessors/proctors for all modes of assessments
- Arrangements for learners who need additional support to complete assessment
- Storage of assessment materials to maintain their security
- Staffing requirements including SMEs to ensure the appropriate conduct and security of assessment

**g. Duration of Validity of the Score:** Assessment Guide shall also elucidate the time period till which the assessment score would retain validity.

#### **2. Assessor and Proctor Training:**

The assessors will be recruited by the Assessment Agencies. Their qualification and experience should be in line with the requirements for the qualification which they would be assessing. Where qualifications of Assessors are not mentioned in the Qualification File, qualifications as per Section 7.3.2.b of the guidelines would be adhered to. They should also meet the basic assessor guidelines as laid down by NCVET from time to time. Only certified assessors will be able to conduct assessments. The responsibility of getting the assessor certified will be that of the AA. The responsibility for Training of Assessors (ToA) will be that of AB. The assessor shall give priority to AA which has enabled the ToA certification for 6 months. It is recommended that an assessor is not affiliated by more than 4 AAs simultaneously.

### **6.2 During the Conduct of Assessments:**

This stage of the assessment process focuses on assessment delivery.

- a. Checking the Authenticity of Learners:** To ensure that assessments are carried out in a seamless manner and righteously, the identity of the learners need to be verified by the assessor. The assessor/proctor should ensure that there is no conflict of interest during the assessments. If any, the same must be reported to the respective AAs.
- b. Assessors/Proctors:** Certified assessors/examiners and proctors for each assessment must reach the venue for assessment delivery in time. Protocols in line with the assessment strategy should be followed by the assessors/ examiners for the assessment delivery. At all assessment

centers, assessors/examiners and proctors, as applicable, shall follow consistent administrative procedures, including those relating to the maintenance of confidentiality of assessment. The assessor - learner ratio, wherever applicable, shall be as defined by ABs. However, it should not be more than 20:1 in case of manufacturing sector and 30:1 in case of service sector.

<b>Responsibility</b>	<b>Role of Awarding Body</b>	<b>Role of Assessment Agency</b>	<b>Role of training entities/ partners</b>	<b>Roles of NCVET</b>
<b>Verifying the learners' identity</b>	<ul style="list-style-type: none"> <li>Stipulates the guidelines and documents required to verify the identity of the learners</li> <li>Sets the guidelines/technology-based platform for checking the attendance record of the learners to qualify for assessment</li> </ul>	AA through Assessors/Proctors/Examiner to ensure that learners giving assessments are the same as those who have undergone training. This may be validated by checking government approved ID , enrolment forms and attendance records or any other document prescribed by AB..	<ul style="list-style-type: none"> <li>Ensure a learners enrolled in the training are the ones giving the assessments</li> </ul>	<ul style="list-style-type: none"> <li>In case of any gross discrepancy, AA is to immediately report the same to AB and NCVET for appropriate action</li> </ul>
<b>Accessible Assessment Tools</b>	<ul style="list-style-type: none"> <li>Ensure all tools listed in the qualification are present with the TP</li> </ul>	<ul style="list-style-type: none"> <li>Assessors shall report any inadequacy in assessment tools to AA</li> <li>Assessor shall ensure availability of the Question Papers in vernacular languages</li> <li>ICT tools to be used for assessment delivery should be aligned to the competencies as defined by the AB in its qualification</li> </ul>	<ul style="list-style-type: none"> <li>TP to ensure that assessment tools are available</li> </ul>	<ul style="list-style-type: none"> <li>Re-dress any grievance</li> </ul>
<b>Conduct of Assessment</b>	<ul style="list-style-type: none"> <li>Monitor the assessment</li> </ul>	<ul style="list-style-type: none"> <li>Conduct the assessment (online/offline/blended based on the assessment guide</li> </ul>	<ul style="list-style-type: none"> <li>Provide logistics or any other</li> </ul>	<ul style="list-style-type: none"> <li>Prescribe guidelines</li> </ul>



			support required for the smooth conduct of assessment	
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### 6.3 After the Conduct of Assessments:

- a. **Record and Storage of Assessment Materials:** AA must ensure the availability of safe and secured storage facilities for storing the assessment results of the learners. They must not share their assessment decisions/results with learners, teachers/trainers. All results/scores must be forwarded to AB in a format prescribed by them for publishing and result certification.
- b. **Feedback Collection:** Assessors shall collect feedback from learners/trainers etc to understand the efficacy of assessment process.
- c. **Moderation Process:** Norms for moderation of results shall be provided by each Awarding Body. For entities with dual recognition, for purpose of moderation it must be ensured that the staff chosen to undertake the moderation have not been associated in any capacity with the assessment planning and delivery.
- d. **Results:**
  - (i) Assessor/Proctor/Examiner shall record and collate results of assessments. It is recommended that evidence (technological/product based) is stored to validate the results. NCVET encourages the use of ICT tools for recording results to minimize malpractice.
  - (ii) AAs should ensure that the results are reported to ABs in a format prescribed by them within the stipulated timelines.
  - (iii) AB to publish results on their website and generate the certificates for the learners within stipulated time.

Responsibility	Role of Awarding Body	Role of Assessment Agency	Role of training entities/ partners	Roles of NCVET
<b>Recording and Storage of Assessment Materials</b>	<ul style="list-style-type: none"> <li>Sets the broad guidelines of how to record and store the assessments material post assessment</li> </ul>	<ul style="list-style-type: none"> <li>Ensures that the assessment material is collected safely and stored securely</li> </ul>	<ul style="list-style-type: none"> <li>Facilitates the process of recording of the assessment material in a safe manner</li> </ul>	<ul style="list-style-type: none"> <li>Provides an overarching guideline</li> </ul>

<b>Feedback Collection</b>	<ul style="list-style-type: none"> <li>Provides the formats for collecting feedback from learners, trainers and other stakeholders (if any)</li> </ul>	<ul style="list-style-type: none"> <li>Creates the feedback form and collects the same post the assessment</li> <li>Creates a feedback and action taken report and submits the same to AB</li> </ul>	<ul style="list-style-type: none"> <li>Facilitates the assessors in collecting the feedback from the learners and trainers</li> </ul>	<ul style="list-style-type: none"> <li>Provides an overarching guideline (if any)</li> </ul>
<b>Moderation Process</b>	<ul style="list-style-type: none"> <li>Provides the broad guidelines to be followed during the moderation process</li> <li>Defines the grounds of anomalies to be recorded during moderation</li> </ul>	<ul style="list-style-type: none"> <li>Undertakes the process of moderation in consultation with AB</li> <li>Records the results of the moderation process</li> </ul>	<ul style="list-style-type: none"> <li>Highlights and reports any anomalies recorded during assessments to the AB</li> </ul>	<ul style="list-style-type: none"> <li>will formulate the moderation guidelines separately</li> </ul>
<b>Results</b>	<ul style="list-style-type: none"> <li>Provide format for recording of results</li> <li>Set the norms for moderation</li> <li>Publish results on their website and generate the certificates for the learners within stipulated time.</li> <li>AB to decide on requests for re-evaluation/re-assessment, as applicable</li> </ul>	<ul style="list-style-type: none"> <li>Records the results of assessment and report the same to AB in a timely manner</li> <li>Ensures safe transmission of the results from the AA to the ABs</li> </ul>	NA	Prescribe norms for recording and publishing results
<b>Issuing Certificates</b>	<ul style="list-style-type: none"> <li>Prescribe norms for distribution of certificate and issue of duplicate certificate.</li> </ul>	<ul style="list-style-type: none"> <li>Report any fraudulent incidents of certificates</li> </ul>	<ul style="list-style-type: none"> <li>Assist and facilitate the process of certification distribution (if required)</li> </ul>	Provide format for certificate along with certificate code

## Section 7: Risk Assessment Framework

The risk assessment framework delineates several key performance and procedural indicators which allow regulator to assess the functional health of AAs along with their assessment processes. This framework has been developed based on international best practices.

The objectives of the risk assessment framework are twofold:

- To create an overall monitoring framework to ensure that the AAs are meeting their functional and operational requirements.
- To effectively respond to the risks associated with the non-compliance of AAs to regulatory parameters and take corrective/punitive actions as the case may be.

### 7.1 Risk Rating and Mitigation

The risk assessment of recognized AAs would be undertaken during their annual review. A revision of the same may be undertaken in case of a site inspection. It is possible that even after the site inspection, the risk rating of the AA remains the same.

The matrix is divided under the following 6 broad heads namely: - (i) Governance & Manpower, (ii) Legal & Financial Viability, (iii) Credibility, (iv) Assessment Process, (v) Grievance Redressal Mechanism and (vi) Procedural Compliance.

The parameters in the risk framework would be evaluated along a three pegged scale of low, medium and high risk. A numerical value for each level of this earmarked scale would be offered. An overall risk score can be evaluated by the summation of the all the values that the AA has scored for each of the identified parameters in the risk assessment framework.

Certain parameters have been identified in the risk assessment framework whose importance and veracity are non-negotiable. If any of the recognized AAs are found to be on high risk level in the following parameters, NCVET may impose penalties and/or take punitive actions if it deems fit. These parameters are mentioned below:

Functional Area	Parameters
Financial Viability	<ul style="list-style-type: none"><li>• Ongoing viability of accounts and operations</li></ul>
Organizational Performance	<ul style="list-style-type: none"><li>• Preparation of assessment guide/blueprint</li><li>• Trained staff for assessment delivery</li><li>• Preparation of assessment related analytics and feedback mechanisms</li><li>• </li></ul>
Processual Compliance	<ul style="list-style-type: none"><li>• Impartiality of assessments</li><li>• Availability of resources and tools for assessments</li></ul>

Further parameters may be added and/or these parameters may be amended by NCVET as and when it deems fit. For those AAs which fall in the high-risk zone, they may be evaluated again post a period of three to six months depending on the gravity of the situation at hand and the foreseen repercussions of the risk and the incumbent decision taken by NCVET.

**Process Name: Risk rating of recognized Assessment Agencies**

**Eligibility Criteria**

The risk rating process is a critical part of the annual review exercise wherein the Assessment Agencies would be adjudged on their functional and organizational health. Based on the evidence submitted by the AA and stakeholder interactions the lead officer and monitoring team would stipulate a rating along the identified risk scale for each of the parameters listed in the framework.

The overall risk score would be declared based on the cumulative sum of the individual scores given on the risk scale against all the parameters in the framework. The scores as per the risk category would be as per the table below:

Risk scale	Score
Low	0
Medium	5
High	10

Input	Output
<ul style="list-style-type: none"> <li>Data and evidence provided by the recognized AAs for compliance to KPIs and parameters mentioned in the risk assessment framework</li> </ul>	<ul style="list-style-type: none"> <li>Overall risk score of the recognized AA.</li> </ul>

**List of Steps/Task to be performed**

Owner	Tasks
Recognized AA	<ol style="list-style-type: none"> <li>AA submits self-evaluation form, data, and evidence to demonstrate compliance to the risk assessment KPIs and parameters.</li> </ol>
NCVET Monitoring Team	<ol style="list-style-type: none"> <li>The team will carry out a review of the data provided by the recognize AA and any interactions undertaken with stakeholders by NCVET. A site inspection (if required) may take place and a scrutiny of the evidence collected may be undertaken.</li> <li>Based on the portfolio of evidence and observations and interactions with stakeholders (in case of site inspection), the lead officer and monitoring team would score each of the parameters given in the risk assessment framework. The overall risk score would be a summation of all the individual risk scores against every parameter earmarked in the risk scale.</li> </ol>

	Criteria	Overall risk rating	Grade
	The overall risk score of the AA falls between the range = $0 < 100$	Low risk	A
	The overall risk score of the AA falls within the range = or $> 100$ but $< 150$	Medium risk	B
	The overall risk score of the AA falls within the range of = or $> 150$	High risk	C
	4. The monitoring team notes the risk score and submits a report to the Director, NCVET.		
<b>Director, NCVET</b>	5. Director, NCVET reviews the report of the AA and forwards it to Member NCVET with/without comments.		
<b>Member, NCVET</b>	6. The score as submitted by the monitoring team is discussed and is presented to Member NCVET. She/he may approve it with or without modifications and comments.		
<b>NCVET Monitoring Team</b>	7. Post the approval of the Member, NCVET, the risk score is then communicated to the AA by the monitoring team. A meeting may be scheduled for discussing the risk mitigation strategy.		
<b>Exit Criteria</b>			
This process ends with communicating the overall risk score to the recognized AA. The grades as against the risk scores may be made public as per the decision of NCVET.			
<b>Timeline of Completion</b>			
<ul style="list-style-type: none"> <li>The risk score as suggested by the monitoring team would be submitted to the Director and Member, NCVET along with the review report within 10 working days of the end of the entire review cycle.</li> </ul>			
<b>Verification and Validation</b>			
<b>NCVET shall ensure</b>			
<ul style="list-style-type: none"> <li>A relevant monitoring team is deputed to carry out the review and continuous monitoring exercise</li> </ul>			
<b>Assessment Agency shall ensure</b>			
<ul style="list-style-type: none"> <li>All the necessary documents are submitted and any stakeholder interaction which is needed by NCVET is facilitated.</li> </ul>			

After the risks have been identified and assessed, a subsequent mitigation process would be designed for the AA . The risk mitigation process acknowledges the presence of certain difficult terrains of functioning and highlights the improvement areas to overcome the same.

**Process Name: Risk mitigation process as per the risk rating**

**Eligibility Criteria**

- This process delineates what steps would be undertaken by the AA and NCVET based on the risk rating of the former.

Input		Output													
<ul style="list-style-type: none"> <li>▪ Overall risk rating given by NCVET to the AA</li> </ul>		<ul style="list-style-type: none"> <li>▪ Improvement strategy as suggested by NCVET according to the risk rating</li> </ul>													
List of Steps/Task to be performed															
Owner	Tasks														
NCVET Monitoring Team	<ol style="list-style-type: none"> <li>1. The team will write to AA requesting progress reports to be submitted to them by set dates.</li> <li>2. The mitigation strategy would be designated based on the following criteria: <table border="1" data-bbox="422 689 1364 1753"> <thead> <tr> <th>Risk rating</th> <th>Mitigation strategy</th> <th>Document to be submitted</th> </tr> </thead> <tbody> <tr> <td>Low Risk</td> <td> <ul style="list-style-type: none"> <li>▪ Tolerable risk. No specific review activity is required, and the AA would have to follow the routine functionalities and submit the quality improvement plan.</li> </ul> </td> <td>Quality Improvement Plan (annexure VI)</td> </tr> <tr> <td>Medium Risk</td> <td> <ul style="list-style-type: none"> <li>▪ The mitigation process would be through a programme of review and/or monitoring activity, identify quality improvement strategies, professional development activities and any other process mandated by NCVET to facilitate the improvement of assessment services.</li> <li>▪ The AA would have to submit a risk prevention plan and identify a team of personnel to oversee the improvements.</li> </ul> </td> <td>Preventive Risk plan and improvement progress plan (annexure VII)</td> </tr> <tr> <td>High Risk</td> <td> <ul style="list-style-type: none"> <li>▪ Immediate action would have to be identified and undertaken.</li> <li>▪ The improvement actions would have to be delineated in a risk mitigation and management plan.</li> <li>▪ Penalties and/or warnings would be imposed on the AA as per the decision of NCVET.</li> <li>▪ In extreme cases, immediate withdrawal of recognition status maybe considered.</li> </ul> </td> <td>Risk mitigation and management plan (annexure VIII)</td> </tr> </tbody> </table> </li> <li>3. The mitigation measures would be submitted to the Director and Member, NCVET for her/his approval.</li> </ol>			Risk rating	Mitigation strategy	Document to be submitted	Low Risk	<ul style="list-style-type: none"> <li>▪ Tolerable risk. No specific review activity is required, and the AA would have to follow the routine functionalities and submit the quality improvement plan.</li> </ul>	Quality Improvement Plan (annexure VI)	Medium Risk	<ul style="list-style-type: none"> <li>▪ The mitigation process would be through a programme of review and/or monitoring activity, identify quality improvement strategies, professional development activities and any other process mandated by NCVET to facilitate the improvement of assessment services.</li> <li>▪ The AA would have to submit a risk prevention plan and identify a team of personnel to oversee the improvements.</li> </ul>	Preventive Risk plan and improvement progress plan (annexure VII)	High Risk	<ul style="list-style-type: none"> <li>▪ Immediate action would have to be identified and undertaken.</li> <li>▪ The improvement actions would have to be delineated in a risk mitigation and management plan.</li> <li>▪ Penalties and/or warnings would be imposed on the AA as per the decision of NCVET.</li> <li>▪ In extreme cases, immediate withdrawal of recognition status maybe considered.</li> </ul>	Risk mitigation and management plan (annexure VIII)
	Risk rating	Mitigation strategy	Document to be submitted												
	Low Risk	<ul style="list-style-type: none"> <li>▪ Tolerable risk. No specific review activity is required, and the AA would have to follow the routine functionalities and submit the quality improvement plan.</li> </ul>	Quality Improvement Plan (annexure VI)												
	Medium Risk	<ul style="list-style-type: none"> <li>▪ The mitigation process would be through a programme of review and/or monitoring activity, identify quality improvement strategies, professional development activities and any other process mandated by NCVET to facilitate the improvement of assessment services.</li> <li>▪ The AA would have to submit a risk prevention plan and identify a team of personnel to oversee the improvements.</li> </ul>	Preventive Risk plan and improvement progress plan (annexure VII)												
	High Risk	<ul style="list-style-type: none"> <li>▪ Immediate action would have to be identified and undertaken.</li> <li>▪ The improvement actions would have to be delineated in a risk mitigation and management plan.</li> <li>▪ Penalties and/or warnings would be imposed on the AA as per the decision of NCVET.</li> <li>▪ In extreme cases, immediate withdrawal of recognition status maybe considered.</li> </ul>	Risk mitigation and management plan (annexure VIII)												
Director, NCVET	<ol style="list-style-type: none"> <li>4. The Director, NCVET may discuss the suggested mitigation measures with the monitoring team and forwards the same to Member, NCVET with or without</li> </ol>														

	modifications.
<b>Member, NCVET</b>	5. Member, NCVET may discuss the suggested mitigation measures with the monitoring team and approve the same with or without modifications.
<b>Council, NCVET (optional)</b>	6. The cases of high and medium risk category of AAs may be presented to the Council for its view and any corrective/punitive action it may seek to take.
<b>NCVET Monitoring Team</b>	7. Post the approval of Member NCVET and Council (if required) the mitigation measures are then communicated to the AA by the monitoring team. A meeting may be scheduled by the monitoring team to further explain the suggested measures.
<b>Recognized AA</b>	8. The recognized AA takes the necessary action and submits the documents as per its stipulated overall risk rating.

#### Exit Criteria

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

#### Timeline of Completion

- The mitigation measures suggested by the monitoring team would be submitted to the Member, NCVET along with the review report within 10 working days of the end of the entire annual review cycle.
- The measures would be communicated to the AA by the monitoring team 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 directive of the required mitigation plan.

#### Verification and Validation

##### NCVET shall ensure

- Relevant monitoring team submits the overall score and suggests measures for mitigation after the review exercise based on the overall risk score.

##### Assessment Agency shall ensure

- Adherence to the mitigation measures suggested by NCVET and submission of the improvement plan and mitigation strategy as directed.

The risk assessment process of the recognized AAs would be carried once a year. The following actions will be taken for AAs based on two factors – assessed risk levels and recurrence and/or subsequent risk ratings in the next two years

Risk Level	Frequency of Occurrence		
	Once	Twice	More than twice
Low	No action	Incentivization	Fast track renewal*
Medium	Private warning	Public warning	Public warning + Penalty

High	Public warning	Public warning + Penalty	De-recognition
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\*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 risk rating would be compared with that of the preceding year to evaluate and track improvements (if any) and subsequently the necessary action will be taken as mentioned below:

Initial Risk Level	Current Risk Level	Action
Low	Medium	Private warning
Low	High	Public warning
Medium	Low	No action
Medium	High	Public warning + Penalty
High	Medium	Private warning
High	Low	Letter of Appreciation

For the recognized AAs which are falling in high and medium risk category in year one, NCVET may invite them for a feedback meeting to discuss potential areas of improvement and the improvement measures. If an AAs has consistently had a low risk rating, for two or more review cycles, NCVET may incentivize their performance through measures as deemed appropriate by Member, NCVET and the Council.

## 7.2 Risk Assessment Matrix

Category: Governance				
		RISK LEVELS		
	Criteria	Low	Medium	High
1	Change of controls/clarity of ownership and management structure and transparency in reporting lines	<ul style="list-style-type: none"> <li>▪ The management structure is stable over time</li> <li>▪ Any change is intimated at least two months in advance in writing to NCVET</li> <li>▪ The senior leadership is easily identifiable, and the management roles and their lines of authority are clearly marked out and understood by the</li> </ul>	<ul style="list-style-type: none"> <li>▪ The established ownership/ management structure has experienced some sudden or unexpected changes</li> <li>▪ The change is intimated to NCVET when it takes place</li> <li>▪ The senior leadership is easily identified, and the lines of command are documented but the staff is not adhering</li> </ul>	<ul style="list-style-type: none"> <li>▪ Ownership/management changed several times resulting in operational problems/ frequent leaves and non-responsive senior leadership</li> <li>▪ Information is not intimated to NCVET</li> <li>▪ The leadership is unidentifiable without any accountability being mapped and operational staff do not know the reporting lines</li> </ul>



		larger operational staff	to the same	
2	Business planning & Research	<ul style="list-style-type: none"> <li>▪ Clear evidence of market research and budget projections for the upcoming fiscal year and adherence to the same</li> <li>▪ Timeline bound approach for achieving strategies of financials, resources and staff required for the implementation of business plan</li> <li>▪ Adequate Risk monitoring and mitigation strategies</li> <li>▪ Basic market research on assessment needs</li> <li>▪ Decisions taken by the governing board of the AA is driven by the research</li> </ul>	<ul style="list-style-type: none"> <li>▪ AA has a basic business plan and not adhering fully to the same</li> <li>▪ While appropriate controls are documented and recognized, there is little internal adherence through a standardized Monitoring &amp; Evaluation format</li> <li>▪ The decisions taken by the governing board is not driven by the research</li> <li>▪ Risk mitigation strategies exist but not followed</li> </ul>	<ul style="list-style-type: none"> <li>▪ The AA has no adherence to the pre-ordained business plan in place to realize any goal so identified.</li> <li>▪ Also, there is no Monitoring &amp; Evaluation framework in place for the ensuring adherence to the business plan as submitted</li> <li>▪ The AA has not been showing any evidence of adequate research per sector</li> <li>▪ The decisions taken by the governing board of the AA is not driven by research</li> <li>▪ No Risk Management Strategies</li> </ul>
3	Engagement and retention of certified assessors/examiner & proctors	<ul style="list-style-type: none"> <li>▪ All assessors and proctors delivering assessments are certified through a ToA program by respective ABs</li> <li>▪ Induction &amp; orientation program is conducted for all assessors/proctors joining the AA</li> </ul>	<ul style="list-style-type: none"> <li>▪ 90% of the assessors/proctors delivering assessments are certified</li> <li>▪ Induction &amp; orientation program is conducted for at least 70% of all assessors/proctors joining the AA</li> </ul>	<ul style="list-style-type: none"> <li>▪ Less than 90% of the assessors/proctors delivering assessments are certified</li> <li>▪ Induction &amp; orientation program is conducted for less than 70% of all assessors/proctors joining the AA</li> <li>▪ Attrition rate is more than 30%</li> </ul>

		<ul style="list-style-type: none"> <li>▪ Attrition rate of assessors and proctors is less than 10%</li> <li>▪ Staff manuals and clear HR policies are available on website with availability of digital attendance monitoring of the staff</li> </ul>	<ul style="list-style-type: none"> <li>▪ Attrition rate is between 10-30%</li> <li>▪ Staff manuals and HR policies are there but not readily available</li> <li>▪ Manual attendance of the staff is available</li> </ul>	<ul style="list-style-type: none"> <li>▪ No staff manuals are available</li> <li>▪ No records of attendance of the staff is available</li> </ul>
4	Engagement of SME sector-wise	<ul style="list-style-type: none"> <li>▪ Each SME engaged per sector is an expert with experience of more than 7 years in the relevant job-role</li> <li>▪ Availability of at least 1 SME working fulltime during the tenure of recognition</li> </ul>	<ul style="list-style-type: none"> <li>▪ Each SME engaged per sector is an expert with experience of more than 5 years in the relevant job-role</li> <li>▪ SMEs are not fulltime during the tenure of recognition</li> </ul>	<ul style="list-style-type: none"> <li>▪ Each SME engaged per sector is an expert with experience of less than 5 years in the relevant job-role</li> <li>▪ No SME available for consecutive 6 months</li> </ul>
5	Continuous Professional Development of Assessment Staff	<ul style="list-style-type: none"> <li>▪ Clear adherence to the CPD plans as mentioned in the business plan and submission of records of the courses undertaken</li> <li>▪ CPD is available for both contractual and permanent employees</li> </ul>	<ul style="list-style-type: none"> <li>▪ CPD plans in place however default on the adherence is not more than once. This has been communicated to NCVET within 14 days with reasons</li> </ul>	<ul style="list-style-type: none"> <li>▪ CPD plans in place however no adherence to the same and default more than once</li> <li>▪ No communication of default has been sent to NCVET</li> </ul>
<b>Legal &amp; Financial Viability</b>				
6	Blacklisted/Default by any Indian/or foreign entity	<ul style="list-style-type: none"> <li>▪ AA not blacklisted by any Indian or foreign entity</li> <li>▪ AA is not involved in any training process thereby avoiding conflict of interest</li> </ul>	<ul style="list-style-type: none"> <li>▪ AA is blacklisted by 1 Indian or foreign entity and informs the same to NCVET within 7 days</li> <li>▪</li> </ul>	<ul style="list-style-type: none"> <li>▪ AA is blacklisted by more than 1 Indian or foreign entity</li> </ul>
7	Ongoing viability	<ul style="list-style-type: none"> <li>▪ The AA shows clear</li> </ul>	<ul style="list-style-type: none"> <li>▪ Maintains financial</li> </ul>	<ul style="list-style-type: none"> <li>▪ The business planning is</li> </ul>

	of accounts and operations	<p>demonstration of continuing financial viability of operations</p> <ul style="list-style-type: none"> <li>▪ Availability of business plan with financial projections/cash flow forecast/ well maintained financial records indicating turnover, wherever applicable.</li> </ul>	<p>records as per mandated business plan however the sources of cash flow and required resources for the projections is not clearly delineated.</p> <ul style="list-style-type: none"> <li>▪ The turnover has been mentioned in the reports submitted</li> </ul>	<p>weak and complete details are not available. Cash flows and resources are not as per the projections in the business plan.</p> <ul style="list-style-type: none"> <li>▪ Financial records including salary records of employees for last year operations not maintained (where applicable)</li> </ul>
8	Accounting Details	<ul style="list-style-type: none"> <li>▪ The AA has a clear understanding of bookkeeping and maintains the records meticulously.</li> <li>▪ Tax return slips, GST filling are available. Has maintained all other accrual accounting practices and able to provide an audited accounts statement signed off by an independent financial auditor.</li> <li>▪ Has a clear account of the financial decisions taken</li> </ul>	<ul style="list-style-type: none"> <li>▪ Financial records are maintained, and financial statement is signed by an independent auditor.</li> <li>▪ Accrual accounting practices are in place.</li> <li>▪ Documentation of the financial decisions is not in place/not submitted</li> </ul>	<ul style="list-style-type: none"> <li>▪ Barely any/no maintenance of financial records and decisions.</li> <li>▪ Barely has/does not have any guaranteed sources of income</li> <li>▪ However, AA is able to provide internal financial records such as a balance sheet</li> </ul>
<b>Credibility</b>				
9	Assessments Conducted in each state sector-wise annually	<ul style="list-style-type: none"> <li>▪ Evidence of ongoing and/or completed assessments in different states - sector wise in accordance</li> </ul>	<ul style="list-style-type: none"> <li>▪ Evidence of ongoing and/ or completed assessments in different states in accordance with</li> </ul>	<ul style="list-style-type: none"> <li>▪ Evidence of ongoing and/ or completed assessments in different states in accordance with business plan with deviation more than 30%</li> <li>▪ Submits no evidence of the regional SPOCs and assessment staff</li> </ul>

		<p>with business plan</p> <ul style="list-style-type: none"> <li>▪ Submits evidence of the presence of regional SPOCs and assessors</li> <li>▪ Submits evidence of the assessors delivering assessment proficient in vernacular languages</li> </ul>	<p>business plan with deviation less than 30%</p> <ul style="list-style-type: none"> <li>▪ Submits evidence of the presence of assessment staff but not regional SPOCs</li> <li>▪ Submits evidence that at least 90 percent of the assessors delivering assessment proficient in vernacular languages</li> </ul>	<ul style="list-style-type: none"> <li>▪ Submits no evidence of the assessors delivering assessment proficient in vernacular languages</li> </ul>
10	Readiness of assessment tools	<ul style="list-style-type: none"> <li>▪ Has all resources (physical, online, blended) needed to deliver assessment based on the assessment guide.</li> <li>▪ Develops question bank, quarterly,</li> </ul>	<ul style="list-style-type: none"> <li>▪ Has all key resources (physical, online, blended) as required in line with specifications of the competent authority and concerned</li> </ul>	<ul style="list-style-type: none"> <li>▪ Key resources listed by the competent authority and concerned ABs are not available / in short supply</li> <li>▪ Develops same question bank annually</li> <li>▪ Use the same set of questions consecutively for more than 2 assessment cycle</li> </ul>

		<p>based on question pool formulated bi-annually and gets it vetted by AB.</p> <ul style="list-style-type: none"> <li>▪ Use the different set of questions for assessments</li> <li>▪ Assessment tools are available in all vernacular languages for states for which recognized</li> </ul>	<p>ABs</p> <ul style="list-style-type: none"> <li>▪ Develops question bank bi-annually</li> <li>▪ Use the same set of questions consecutively for 2 assessment cycle</li> <li>▪ 90 % Assessment tools are available in vernacular languages for states</li> </ul>	<p>less than 90 % Assessment tools are available in vernacular languages for states</p>
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**Organizational Performance**

▪ **Assessment Process**

<b>11</b>	Assessment Strategy	<ul style="list-style-type: none"> <li>▪ AA has followed all parameters of assessment guide for the development of assessment strategy</li> <li>▪ Follows assessment criteria outline in the qualification with no deviation and delays</li> <li>▪ Maintains confidentiality for storage of</li> </ul>	<ul style="list-style-type: none"> <li>▪ AA has followed most parameters of assessment guide for the development of assessment strategy</li> <li>▪ Follows assessment criteria outline in the qualification with less than 10% deviation &amp; no delays</li> <li>▪ Maintains</li> </ul>	<ul style="list-style-type: none"> <li>▪ AA has not followed parameters of assessment guide for the development of assessment strategy</li> <li>▪ The delays and deviation have been more than 50 percent of the assessments during the period of review</li> <li>▪ Follows assessment</li> </ul>
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		assessment material in all stages of assessment process and documents it.	confidentiality for storage of assessment material in all stages of assessment but does not document it.	criteria outline in the qualification with more than 10% deviation  <ul style="list-style-type: none"> <li>▪ Does not maintain confidentiality for storage of assessment material in all stages of assessment</li> </ul>
12	Assessment delivery	<ul style="list-style-type: none"> <li>▪ The AA has delivered based on qualifications/assessment guide</li> <li>▪ There are no shortfalls in the assessment delivery</li> <li>▪ Assessor-learner ratio is 20:1 for manufacturing sector and 30:1 for service sector</li> <li>▪ Certified assessors/examiners and proctors reach the venue for assessment delivery well in time.</li> <li>▪ Identity of learners is verified as per documented SOP</li> <li>▪ Consistent administrative procedures as</li> </ul>	<ul style="list-style-type: none"> <li>▪ The AA has delivered the assessments based on qualifications/assessment guide.</li> <li>▪ The reported shortfalls in the assessment delivery has been less than 10 percent of the total assessments allotted</li> <li>▪ Assessor-learner ratio is between the range of 20:1 - 30:1 for manufacturing sector and 30:1 – 40:1 for service sector, in which case additional hours / assessors shall be allocated for the assessment</li> <li>▪ Certified assessors/examiners and proctors reach the venue for assessment delivery just in time.</li> <li>▪ Proof of identity of all learners is not validated</li> <li>▪ Slight deviations in</li> </ul>	<ul style="list-style-type: none"> <li>▪ The AA has not delivered the assessments based on qualifications/assessment guide</li> <li>▪ The reported shortfalls in the assessment delivery has been more than 10 percent of the total assessments allotted</li> <li>▪ Assessor-learner ratio is more than 20:1 for manufacturing sector and 30:1 for service sector, and no additional hours / assessors allocated for the assessment</li> <li>▪ Certified assessors/examiners and proctors does not reach the venue for assessment delivery on time.</li> <li>▪ Identification process of all learners is not undertaken</li> </ul>

		documented in assessment strategy and guide are followed	administrative procedures	<ul style="list-style-type: none"> <li>▪ Significant deviations in administrative procedures</li> </ul>
13	Assessment results	<ul style="list-style-type: none"> <li>▪ Clear demarcation of roles and responsibilities of assessors and AAs for recording, maintaining confidentiality &amp; submission of results</li> <li>▪ Adherence to the format and time period provided by AB/NCVET</li> <li>▪ Safeguards for evaluation of results are in place and only those authorized have access to them</li> <li>▪ The moderation of the results of the assessments have shown less than 10 percent deviation from the standardized results</li> </ul>	<ul style="list-style-type: none"> <li>▪ No documentation of demarcation of roles and responsibilities of assessors and AAs for recording, maintaining confidentiality &amp; submission of results</li> <li>▪ Adherence to the same format and time period provided by AB/NCVET with slight deviations</li> <li>▪ The moderation of the results of the assessments have shown more than 10 percent but less than 20 percent deviation from the standardized results</li> </ul>	<ul style="list-style-type: none"> <li>▪ No demarcation of roles and responsibilities of assessors and AAs for recording, maintaining confidentiality &amp; submission of results</li> <li>▪ No adherence to the format and/or time period provided by AB/NCVET</li> </ul> <p>The moderation of the results of the assessments have shown more than 20 percent deviation from the standardized results</p>
14	Use of technology in assessment delivery and monitoring	<ul style="list-style-type: none"> <li>▪ The AA has shown presence of ICT tools including AI based test engine, test resume facility for assessment delivery</li> <li>▪ ICT tools like IP tagging, navigation control, geo tagging, etc to monitor the assessment and flag in case of any malpractice in</li> </ul>	<ul style="list-style-type: none"> <li>▪ The AA has moderate presence of : (i) ICT tools including AI based test engine, test resume facility for assessment delivery (ii) ICT tools like IP tagging, navigation control, geo tagging, etc to monitor the assessment and flag in case of any malpractice in</li> </ul>	<ul style="list-style-type: none"> <li>▪ The AA has limited presence of ICT tools for assessment delivery and monitoring</li> </ul>

		<p>assessment delivery</p> <ul style="list-style-type: none"> <li>▪ ICT tools used in monitoring of assessment process and assessor verification</li> <li>▪ Platform capability across devices is maintained</li> <li>▪ Platform capability supports offline assessment for candidates in case of limited internet bandwidth</li> <li>▪ More than 75 percent of the total theory components of the assessments have been digitized, in service sectors &amp; in manufacturing sectors, where possible.</li> </ul>	<p>assessment deliveryT in assessment delivery</p> <ul style="list-style-type: none"> <li>▪ Moderate use of ICT tools in in monitoring of assessment process and assessor verification</li> <li>▪ Platform capability across devices is maintained</li> <li>▪ Platform capability supports offline assessment for candidates, but in limited devices</li> <li>▪ More than 50 percent but less than 75 percent of the total theory components of the assessments have been digitized</li> </ul>	<p>ICT tools are barely used in monitoring of assessment process and assessor verification</p> <ul style="list-style-type: none"> <li>▪ Limited platform capability across devices is maintained</li> <li>▪ Platform capability does not support offline assessments.</li> <li>▪ Less than 50 percent of the total theory components of the assessments have been digitized</li> </ul>
15	Organizational support staff	<ul style="list-style-type: none"> <li>▪ Organizational staff such as project head, accounts &amp; financial staff, administrative support staff is available on records and clear declaration of the organizational strength is communicated The organizational staff is hired as per the functional requirements indicated in the SOP</li> </ul>	<ul style="list-style-type: none"> <li>▪ Organizational staff is not to the optimal strength for training delivery and support as mentioned in the initial recognition application</li> <li>▪ Clear communication received that the personnel will be recruited within a fixed period.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Organization is short staffed in comparison to the strength mentioned in the initial recognition document and there are no clear plans of recruitments for the same.</li> <li>▪ The current staff is not qualified as per the functional requirements for each of the roles mentioned.</li> </ul>
16	Industry Engagement	<ul style="list-style-type: none"> <li>▪ Industry is involved in hiring of SMEs, assessor, designing</li> </ul>	<ul style="list-style-type: none"> <li>▪ Limited Industry involvement in hiring of SMEs, assessor,</li> </ul>	<ul style="list-style-type: none"> <li>▪ No Industry involvement in hiring of SMEs, assessor, designing</li> </ul>



		<p>assessment tools and as an observer.</p> <ul style="list-style-type: none"> <li>Has regular interaction with industries for setting up assessment standards.</li> </ul>	<p>designing assessment tools and as an observer.</p> <ul style="list-style-type: none"> <li>Has infrequent interaction with industries for setting up assessment standards.</li> </ul>	<p>assessment tools and as an observer.</p> <ul style="list-style-type: none"> <li>No recorded interaction with industries for setting up assessment standards</li> </ul>
17	Feedback Surveys	<ul style="list-style-type: none"> <li>trainee and training centre feedback surveys undertaken by assessor after assessment delivery.</li> <li>Submits evidence of action taken on such surveys</li> <li>Regular meetings with ABs whose qualifications are being assessed (quarterly for short term trainings and annually for long term training)</li> </ul>	<ul style="list-style-type: none"> <li>Trainee and training centre feedback surveys are not documented properly after assessment delivery.</li> <li>Limited action taken on such surveys</li> <li>Meetings with ABs whose qualifications are being assessed. (6 months for short term training and every 18 months for long term)</li> </ul>	<ul style="list-style-type: none"> <li>No documentation of Trainee and training centre feedback surveys after assessment delivery.</li> <li>No action taken on such surveys</li> <li>Meetings with ABs whose qualifications are being assessed. (1 year for short term training and every 2 years for long term)</li> </ul>
18	Compliance of continuation criteria	<ul style="list-style-type: none"> <li>Meets the prescribed standards of NCVET for all the review formalities as mentioned in the continuation criteria.</li> <li>Adhered to the schedule of improvements with less than 10 percent deviation</li> </ul>	<ul style="list-style-type: none"> <li>Met the prescribed standards of NCVET for review formalities in time of enrolments but has defaulted on submitting complete report once or twice with detailed explanations for the default on the organizational letter head</li> <li>Adhered to the schedule of improvements with less than 20 percent deviation.</li> </ul>	<ul style="list-style-type: none"> <li>Has not met the review standards of NCVET after the period of initial recognition and failed to undertake the processes for quality assurance as undersigned in the document processes</li> <li>The adherence to the suggested improvement schedule is more than 20 percent deviation.</li> </ul>
<b>Grievance Redressal Mechanism</b>				

19	Grievance Redressal	<ul style="list-style-type: none"> <li>▪ Presence of a robust grievance redressal system for complaints, particularly from learners, with proper documentation of the same</li> <li>▪ Presence of a clearly mandated POSH Committee and evidence of its functioning through a letter signed by all members of the same has been submitted</li> <li>▪ Resolutions quickly enacted through the organization's internal complaints and appeals process- 90 percent cases are closed within 3 weeks</li> <li>▪ There are no or minimal complaints against the AA by the learners, staff and training partner/entity</li> </ul>	<ul style="list-style-type: none"> <li>▪ Presence of a grievance redressal system particularly for learners wherein all complaints have been documented however the resolution takes more time. Only between 70 percent but less than 90 percent of the complaints are resolved within 3 weeks</li> <li>▪ Presence of a clearly mandated POSH Committee and evidence of its functioning through a letter signed by all members of the same has been submitted</li> <li>▪ There have been some complaints against the AA by the learners, staff and training partner. They have been verified and upheld by the it and have not been escalated to NCVET.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Major complaint/s received by the NCVET about the non-compliance by the AA</li> <li>▪ Presence of grievance redressal and POSH committee on paper, but no evidence submitted of its functioning to NCVET</li> <li>▪ Less than 70 percent complaints have been resolved within 3 weeks.</li> </ul> <p>There have been ongoing learners, staff and training partner complaints about the AA, verified and upheld and escalated to NCVET</p>
20	Incidents of malpractice <i>*Severity of the reported malpractices would be decided by NCVET</i>	<ul style="list-style-type: none"> <li>▪ There are no reported incidents of malpractice.</li> <li>▪ Any complaints if received on this were investigated by the AA through the due process of redressal and found to be not valid</li> </ul>	<ul style="list-style-type: none"> <li>▪ Few reported incidents of malpractice reported, however the same was investigated within timelines stipulated in the malpractice process and the necessary action taken if found valid</li> </ul>	<ul style="list-style-type: none"> <li>▪ Multiple instances of malpractice reported;</li> <li>▪ Demonstrated and documented delay in investigation observed.</li> <li>▪ No evidence submitted of necessary action taken for valid malpractice instances</li> </ul>

**Processual Compliance**

21	Compliance to data management systems and data security	<ul style="list-style-type: none"> <li>▪ Clearly delineated MIS systems in place with organizational staff</li> <li>▪ Online availability of updated assessment data on the website</li> <li>▪ Adherence to data protection laws and norms-local and national</li> <li>▪ The organization has robust processes around data security and storage</li> </ul>	<ul style="list-style-type: none"> <li>▪ MIS systems in place with no proper documentation</li> <li>▪ Assessment data available online is not regularly updated</li> <li>▪ Adherence to data protection laws and norms-local and national</li> <li>▪ The organization has some informal or undocumented processes around data security and storage</li> </ul>	<ul style="list-style-type: none"> <li>▪ Non-adherence to the MIS system as mentioned in AA guidelines does not exist</li> <li>▪ Non-availability of the updated assessment data online</li> <li>▪ Non-adherence to data protection laws</li> <li>▪ The organization has no processes around data security and storage</li> </ul>
22	Website maintenance	<ul style="list-style-type: none"> <li>▪ Fully functional website with clear linkages between the different pages</li> <li>▪ Availability of contact numbers and names of the organizational SPOCs</li> <li>▪ Availability of updated assessment centres and assessment calendars with clear locational specificities (in case of independent centres)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Functional website with clear linkages between the different pages</li> <li>▪ Availability of contact number and names but they have not been updated</li> <li>▪ Assessment calendars and details of assessment centres are available but have not been updated for one month</li> </ul>	<ul style="list-style-type: none"> <li>▪ Website is not functional and has errors</li> <li>▪ Non-availability of contact numbers and SPOC names on the website</li> <li>▪ Assessment calendars and assessment centres details are not available (in case of independent centres)</li> </ul>
23	Impartiality of assessment and delivery of results	<ul style="list-style-type: none"> <li>▪ Robust and impartial systems of assessments in place with results being declared in not more than 15 days since the time of assessment to the ABs. short term &amp; long term to be</li> </ul>	<ul style="list-style-type: none"> <li>▪ Impartial systems of assessments in place however the results take more than 15 days and less than one month to be declared to the ABs.</li> <li>▪ Separate assessment wing/board available if the body has dual</li> </ul>	<ul style="list-style-type: none"> <li>▪ Impartial systems in assessments are in place but no documentary evidence submitted.</li> <li>▪ Results take more than one month to be declared to the ABs</li> <li>▪ Separate assessment wing/board available if the body has dual</li> </ul>

		<p>added</p> <ul style="list-style-type: none"> <li>Separate assessment wing/board available if the body has dual recognition</li> </ul>	<p>recognition</p>	<p>recognition however the continuance of the same is not documented</p>
24	Availability of assessment resources for PwDs	<ul style="list-style-type: none"> <li>The AA has the necessary tools and aids for the delivery of assessments to AAs</li> <li>Has specialized instructors and content designers for the PwD assessments</li> <li>The assessors have all undergone sensitization training for assessing PwDs</li> </ul>	<ul style="list-style-type: none"> <li>The AA does not have necessary tools and aids for assessing PwDs however a plan has been submitted to NCVET for engaging the same</li> <li>There are no specialized instructors engaged with the AA but plan is submitted for their recruitment</li> <li>The sensitization training plan has been submitted but not yet undertaken by the assessors</li> </ul>	<ul style="list-style-type: none"> <li>The AA does not have the necessary tools and aids for assessing the PwDs and there are no plans submitted for engaging the same</li> <li>The AA has neither specialized instructors nor any plans for sensitization training of all assessors and no plan for the above has been shared with NCVET</li> </ul>

### 7.3 Assessors Rating Framework

The assessors in the ecosystem form a quintessential link in the entire training value chain. While they are directly employed or contracted by the assessment agencies, their overall performance has an enormous impact on the quality of assessment. From ensuring the correct delivery of assessments mapped to the learning outcomes to garnering feedback from the learners, the role of the assessors is quite critical. In acknowledging the criticality of their role and embedding an aspect of standardization to ensure a semblance of uniformity in adjudging their overall performance, NCVET has drawn a framework for looking at their performance.

Some of the key recommendations of NCEVT pertaining to assessors rating framework include:

- a. The recognized AAs would be mandated to ensure that the following criteria are embedded in their individual performance evaluation matrix for assessors.
- b. The ratings and details of the assessors has to be communicated to NCVET by AAs
- c. Continuous performance review of assessors. Ratings of the assessors will be carried out by the recognized AAs every year

- d. NCVET will maintain a repository of assessors and recognized AAs, including their qualification, number of years of work experience and Aadhaar Number / Aadhaar Application Number (Aadhaar number to be masked)
- e. NCVET] may carry out verification of the assessors' rating by the AAs on a sample basis as part of the continuous monitoring exercise.

**Broad parameters for rating of assessors by AAs:**

Broad area of expertise	Core skills and performance criteria
<b>Assessment planning and delivery</b>	<p>The assessors must be able to undertake the following set of activities while planning and delivering assessments:</p> <ol style="list-style-type: none"> <li>1. Read and interpret the assessment guide and identify the standards and criteria to be used for assessment.</li> <li>2. Review the details of the learners in line with the stipulations mentioned by the ABs.</li> <li>3. Review the assessment venue, tools and aids and other details of the assessment are in place and report any discrepancy to relevant personnel of the AA and/or AB.</li> <li>4. Amend the assessment plan in case of any exigency in line with the instructional design and the learning outcomes.</li> <li>5. Understand the assessment process and record the assessment processes and criteria.</li> <li>6. Ensure that the tools and equipment required for observing and recording evidence is in order.</li> <li>7. Reach venue for the assessment at appropriate date, time with relevant materials, questionnaires tools, recorders etc.</li> </ol>
<b>Organizational knowledge</b>	<p>The assessors as key members of the assessment process should have knowledge about the following aspects:</p> <ol style="list-style-type: none"> <li>1. Systems, policies and procedures of the assessor selection, rationale and purpose of competency-based assessment, costs/resourcing.</li> <li>2. Organizational procedures on the assessment process-rational and purpose of learning outcome-based assessment; data management systems and assessment records; assessment reporting procedures; assessment appeals; registering of grievances by learners and other staff members; validation and evaluation procedures of the same; finances associated with the resourcing; policies on access and equity/reasonable adjustment; professional health safety and environment based protocols relating to delivery of assessment.</li> <li>3. Procedures for recording, reporting and maintenance of the equipment at their workplace.</li> </ol>

<b>Technical knowledge</b>	<p>The assessors should be able to understand and have knowledge on the following:</p> <ol style="list-style-type: none"> <li>1. Setting up of the assessment facilities, tools and aids, recorders and speakers, cameras and other tech-based monitoring equipment, understanding of the question papers and/or any other assessment materials.</li> <li>2. Understanding of the types and volume of evidence required for the assessments; choice of assessment methods for a particular qualification; communication with learner and other stakeholders involved in the assessment procedure; time and duration of assessment as per the chosen method of the assessment ; specific learner needs and any support required; recording feedback to learners and other stakeholders;</li> <li>3. Understanding of the strengths and limitations of a range of assessment methods with reference to the needs of individual learners.</li> <li>4. Overview of the different assessment methods that the AA undertakes across all qualifications: observation of performance of learners in the simulated work environment; discussing with the learners and the trainers; recognizing prior learning assessment techniques; understanding the oral and written questions; assignments; projects; case studies.</li> <li>5. Understanding of the specific resources, equipment and support services available for candidates with special needs.</li> </ol>
<b>Generic skills</b>	<p>The assessors must be able to showcase the following core skills which are integral to the profile:</p> <ol style="list-style-type: none"> <li>1. Writing skills: Ability to prepare the required documentation and collate evidence in the format prescribed by the AA. Must be able to document the decisions of the assessments taken.</li> <li>2. Reading skills: Ability to read and comprehend information such as assessment plans and instruments- in English and the prescribed regional languages which they are mandated to assess.</li> <li>3. Oral communication skills: Ability to discuss assessment plan and processes with the learners. Give clear and precise instructions and provide clarifications to the learners and other related stakeholders. Must be able to discuss the learning outcomes and provide feedback to the competent authority (if necessary).</li> </ol>
<b>Personality based and attitudinal skills</b>	<p>Given that the assessors would be the key communicators and essential linkage that they create between the learners and the industry, they must be able to showcase the following skills:</p> <ol style="list-style-type: none"> <li>1. Decision making-Must be able to weigh the assessment evidence and competency levels of the learners and decide on the skills of the learners.</li> <li>2. Organization and planning- Must be able to meticulously manage time in the delivery of assessments and other related tasks associated with it.</li> <li>3. Learner centricity-Should know how to observe the learners’ skills and associated behavioral patterns to judge industry fitment. Must address the needs of the especially abled learners and all learners from marginalized communities.</li> <li>4. Problem solving-Must be able to handle any difficult situation at the assessment centre and resolve the same when it is within their own jurisdiction of authority.</li> </ol>

Should be able to handle consultations with all relevant stakeholders at the assessment centre.

5. Critical thinking and integrity-Should be able to highlight the any disruptions in the process and any unethical practices in the assessment process.

## Section 8: Monitoring Mechanism

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NCVET mandates a dynamic and robust monitoring mechanism to ensure that standards of quality and reliability are maintained amongst all AAs. The performance of AAs shall be continuously monitored by the ABs. NCVET regulations will be largely outcome driven and recognized AAs agencies will be monitored by NCVET on the achievement of outcomes. To ensure self – improvement, NCVET will promote self-regulation for the assessment agencies. Recognized AAs are expected to set up in- house monitoring and evaluation mechanisms to ensure quality assured assessments.

During the site audit, the Assessment Body must ensure that all evidence and personnel notified in advance by the auditor must be available to the auditor/s for authentication, review and interview. If requested personnel and/or evidence is not available at the time of the site audit, it will be assumed that they do not exist. The Competent Authority will charge the Assessment Body an additional fee if site audits have to be rescheduled due to either the absence of stipulated evidence or previously- requested personnel.

The M&E framework is divided into three-fold monitoring process - (i) continuous; (ii) annual and (iii) Inspections when deemed fit. NCVET also encourages the AB and AA to use ICT tools for monitoring the assessment process. The annual and continuous review takes cognizance of the performance of the assessment agencies along the stipulated lines of standardization with regular feedback for improvement.

Further, as a regulator, NCVET expects the highest levels of integrity in the functioning of the Assessment Agencies. Agencies with high calibre performance shall be incentivized for their performance through fast track renewal of their recognition or through any such measures which NCVET deems appropriate. The monitoring mechanism would be drawn around certain key performance indicators (KPIs) and a risk assessment framework.

### 8.1 Objectives of the Monitoring Process

The objectives of monitoring processes for AA are as follows:

- Evaluate if the AA continues to meet the requirements of a recognized AA under NCVET.
- Ensure that the assessments meet the compliance and standards earmarked by NCVET.

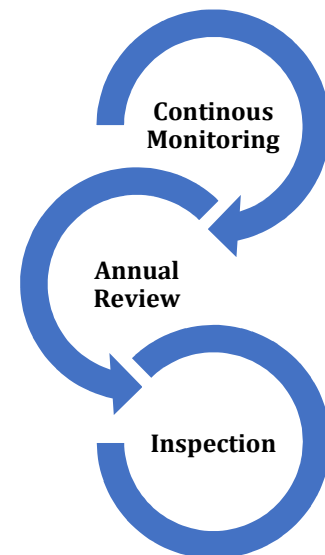


Figure 10: Monitoring Framework



- Ensure that the AA and its affiliates operate ethically and considers the needs and well-being of learners and other related stakeholders.
- Investigate any complaint made against a recognized AA or its assessors/proctors

## 8.2 Monitoring & Evaluation Framework

### 8.2.1 Continuous Monitoring of the Recognized Assessment Agencies

The performance of AAs shall be continuously monitored by the ABs throughout the tenure of the recognition based on the quality norms prescribed in the guidelines. In case of any malpractices at any point in the assessment lifecycle, the AB is obligated to report the same to NCVET immediately. Entities with Dual recognition, shall set up a monitoring unit within their organization to monitor the assessment function as per NCVET prescribed risk matrix and risk evaluation criteria.

The recognized AA will be mandated to periodically report on certain parameters of the eligibility and continuation criteria, during their tenure of recognition, as per the schedule indicated in section 9. Also, as mentioned in the schedule, in cases of extraordinary circumstances such as blacklisting of the AA or any of its assessor, the same must be reported to NCVET immediately.

In addition to the laid down parameters NCVET may also carry out an even more elaborate evaluation of the assessments and assessors on a sample basis.

### 8.2.2 Annual Review

Annual Review shall be conducted by NCVET to evaluate yearly performance of the recognized AA, The recognized AA shall submit the self-evaluation form along with necessary evidences associated with it.. Post the submission the concerned monitoring team at NCVET shall review the same for computing the risk rating of the AAs. The review would be made to check the adherence of the agencies to continuation criteria and continued relevance of the eligibility criteria in their functioning.

The process flow for the annual review is as follows:

<b>Process Name: Annual review of the recognized AA</b>	
<b>Eligibility Criteria</b>	
The process would begin when the AA submits the self-evaluation form (attached as Annexure V of Appendix-II of the NCVET AA Guidelines Manual) and the necessary evidence associated with it. The monitoring team is expected to make an initial judgment about the AA adherence to the continuation criteria and other KPIs as NCVET deems fit.	
<b>Input</b>	<b>Output</b>

<ul style="list-style-type: none"> <li>▪ Self-evaluation form and portfolio of evidence submitted by the recognized AA is in compliance with the continuation criteria and other KPIs (if any)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Risk rating of the recognized AA</li> </ul>
<b>List of steps/Task to be performed</b>	
<b>Owner</b>	<b>Tasks</b>
<b>Recognized AA</b>	<ol style="list-style-type: none"> <li>1. The AA submits self-evaluation form, data, and evidence to demonstrate compliance to the continuation criteria. In case of missing evidence, the agency should submit the same within 7 working days of receiving the intimation from the monitoring team.</li> </ol>
<b>NCVET Monitoring Team</b>	<ol style="list-style-type: none"> <li>2. The team will carry out a review of the data provided by the recognized AA.</li> <li>3. In case of missing evidence, the team will communicate to the concerned AA and request additional evidence as needed.</li> <li>4. The team will arrive at a risk rating of the AA based on the findings of the review.</li> <li>5. After the computation of the risk rating of the AA concerned , subsequent actions will be undertaken depending on the rating <b><u>as articulated below</u></b></li> <li>6. Approval from Director and Executive Member, NCVET is sought for the risk ratings</li> <li>7. Approval from Director and Executive Member, NCVET is sought for a site inspection, wherever required.</li> </ol>
<b>Director, NCVET</b>	<p><b><u>For low / medium risk AAs</u></b></p> <ol style="list-style-type: none"> <li>8. The review report of the AA would be submitted to the Director who will review it and forward the same to the Member, NCVET with comments.</li> </ol> <p><b><u>For high risk AAs:</u></b></p> <ol style="list-style-type: none"> <li>9. In addition to the review report, the Director will also consider the request for site inspection and forward the same to the Member, NCVET.</li> </ol>
<b>Member, NCVET</b>	<p><b><u>For low and medium risk AAs</u></b></p> <ol style="list-style-type: none"> <li>10. Member, NCVET will peruse and evaluate the document and give the necessary approvals for ‘risk rating’.</li> </ol> <p><b><u>For high risk AAs</u></b></p> <ol style="list-style-type: none"> <li>11. Member, NCVET may approve the site inspection for high risk rating category AAs.</li> </ol>
<b>NCVET</b>	<b><u>For low and medium risk AAs</u></b>

<b>Monitoring Team</b>	<p>12. The team communicates the risk rating to the concerned AAs and discusses the strategy for improvement as per the ratings.</p> <p><b><u>For high risk AAs</u></b></p> <p>13. If the approval for site inspection is given, the team goes ahead with the inspection plan</p> <p>14. If the approval for inspection is not given, the team goes ahead and offers a show cause letter/notice to the AA and asks for a detailed improvement plan which they should present to NCVET</p> <p>15. In case of regular inspection, the date and time will be communicated 10 working days prior to the said date.</p> <p>16. No date and/or time would be communicated to the AA in case of a surprise inspection.</p>
<b>Exit Criteria</b>	
<p><b>For low and medium risk AAs:</b></p> <ul style="list-style-type: none"> <li>▪ The process ends with the approval of risk ratings of the AAs concerned by Member, NCVET. The outcomes of risk evaluation will be disclosed in public as per the process described in <b>Section 11</b>.</li> </ul> <p><b><u>For high risk AAs:</u></b></p> <ul style="list-style-type: none"> <li>▪ This process ends with the evaluation of performance of the AAs concerned based on the portfolio of evidence submitted. If there is a need for a site inspection, the process would end with communicating the date and time of the site inspection to the AA, in case of regular inspections. In cases of surprise inspections, the same is known only to the monitoring team.</li> </ul>	
<b>Timeline of Completion</b>	
<ul style="list-style-type: none"> <li>▪ The review exercise should be completed within 10 working days by the monitoring team from the date of submission of the self-evaluation form and evidence.</li> <li>▪ The site inspection (if any) should be planned within the above mentioned 10 working days and executed post completion of the review of evidence.</li> <li>▪ In cases where risk rating is to be disclosed, the same would be done within 5 working days from the date of the completion of the risk rating.</li> </ul>	
<b>Verification and Validation</b>	
<p><b>NCVET shall ensure:</b></p> <ul style="list-style-type: none"> <li>▪ Relevant team is deputed to carry out the review and monitoring exercise within the timeline appropriated.</li> </ul> <p><b>Assessment Agency shall ensure:</b></p> <ul style="list-style-type: none"> <li>▪ The documents and evidences submitted are in due cognizance of the requirements articulated.</li> </ul>	

**The process flow for the annual review is as follows:**

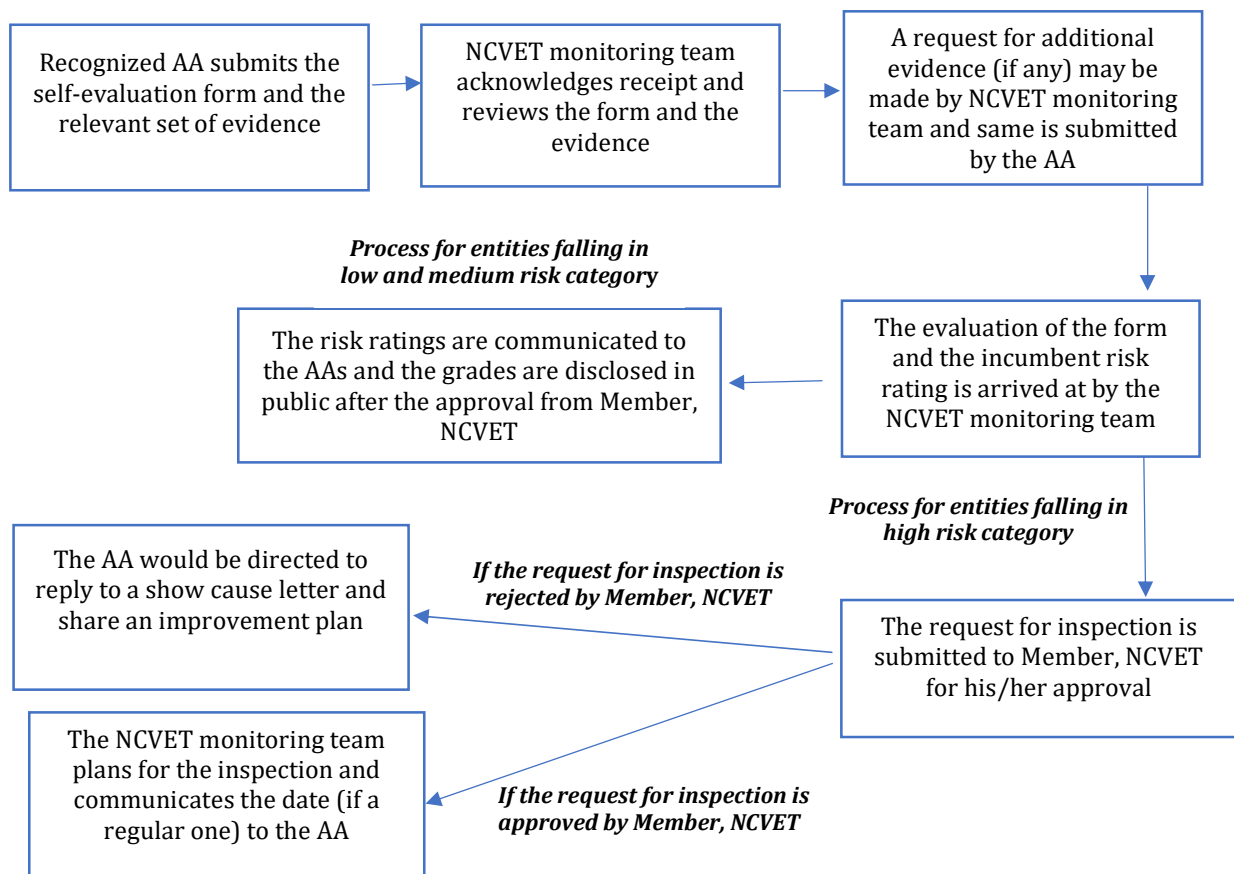


Figure 12: Annual review process flow

### 8.2.3 Inspection

NCVET promotes a culture of self-monitoring and self-regulation for the AAs. The AAs would be urged to self-regulate and enhance their performance in line with overarching principles of quality stipulated by NCVET, as their proper functioning is quintessential to the health of the VET ecosystem in the country.

As a proponent of self-regulation, NCVET believes that the AAs should set up in-house mechanisms in line with the performance metrics of NCVET to drive their operations and those affiliated by it like assessors and proctors. Hence, site inspection of the recognized AAs will be carried out only on a need basis and under extraordinary situations like serious complaints, fraudulent activities and high-risk ratings of the recognized AAs. NCVET may also undertake random visits to the training/assessment centres as deemed fit. Site inspections may be carried out under the following instances but not limiting to:

- (i) Receipt of serious and constant complaints against the recognized AAs, by NCVET.
- (ii) Receipt of information by NCVET of any fraudulent activities being carried out by recognized AA

Post annual review, the AAs which fall in the high-risk category Inspections carried out referencing instances mentioned in points (i) and (ii) can be organized at any point of the year. Through such inspections, NCVET will evaluate the nature and gravity of the complaint/s and the remedial/punitive action/s to be proposed on a case to case basis. Inspection of the high-risk category AAs will be carried out after the annual review. The inspection will be carried to further evaluate and vet the high-risk rating of the said AAs.

Wherever site inspection becomes necessary, it will be carried out as per the process below. For cases, where the site inspection is undertaken, NCVET monitoring team can also gather or reach out to third parties operating with such AAs for information. The flow of information between various stakeholders for the purpose of inspection is as follows:

**The process flow for the site inspection is described below:**

Process Name: Site Inspection of the recognized assessment agencies	
<b>Eligibility Criteria</b>	
Site inspections will be carried out for the following: <ul style="list-style-type: none"> <li>▪ Recognized AAs who fall in the high-risk category Or</li> <li>▪ Recognized AAs against whom severe complaints have been received Or</li> <li>▪ Where information related to fraudulent activities by certain recognized AAs has been brought to the notice of NCVET</li> </ul>	
<b>Input</b>	<b>Output</b>
<ul style="list-style-type: none"> <li>▪ evidences provided by the recognized AA</li> <li>▪ Site inspection plan prepared by NCVET               <ul style="list-style-type: none"> <li>- list of interviewees and questions</li> <li>-list of evidence to be collected and <b>observed</b></li> </ul> </li> <li>▪ Evaluation matrix for analyzing the evidence collected.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Overall monitoring report of the recognized AA</li> <li>▪ Final risk rating of the recognized AA</li> </ul>
<b>List of steps/Task to be performed</b>	
<b>Owner</b>	<b>Tasks</b>
<b>Recognized AA</b>	<ol style="list-style-type: none"> <li>1. AA submits all the evidence requested by NCVET</li> <li>2. AA facilitates the site inspection by calling in on stakeholders to be interviewed by NCVET monitoring team.</li> <li>3. AA to ensure that the head of the organization and any other key functionary to be available during the site inspection.</li> </ol>
<b>NCVET Monitoring Team</b>	<ol style="list-style-type: none"> <li>4. Communicate the date of inspection, list of interviewers and other necessary documents to AA.</li> <li>5. Collection of the evidence. In case the evidence/stakeholders not available, shall be assumed to be non-existing. Interview the pre-determined list of staff members and key management personnel of AA and/or any training entity or AB working with the concerned AA if necessary. Interviews will be largely structured with a detailed questionnaire to encourage objective answers; open-</li> </ol>

	<p>ended questions may also be there to discuss additional problems.</p> <p>6. Determine whether further investigation is required and/or if there are any gaps in the evidence collected.</p> <p>7. If the quality of the evidence is inadequate and the AA cannot provide or does not have the additional evidence on the day of site inspection, the same would be recorded in the report.</p> <p>8. Analyze all the collected evidence and arrive at a final risk rating of the AA based on the findings of the evaluation.</p>
<b>Recognized AA</b>	9. Post conduct of AA inspection the report would have to be signed off by the AA's competent authority and/or the head of the organization and the lead officer of NCVET monitoring team.
<b>Director, NCVET</b>	10. Site inspection report of the AA would be submitted to the Director, NCVET who reviews it and forwards the same to the Member, NCVET with comments.
<b>Member, NCVET</b>	11. Site inspection report with the final risk rating and compliance towards continuation criteria) is sent to the Member NCVET for approval.
<b>NCVET Monitoring Team</b>	<p>12. If deemed appropriate, post the approval of Member NCVET, the monitoring team may schedule a meeting with the concerned AA to discuss the following:</p> <ul style="list-style-type: none"> <li>• Organizational strengths</li> <li>• Any opportunities for improvement identified by the monitoring team, including the gaps in evidence.</li> <li>• Findings and recommendation.</li> <li>• Strategies for improvement w.r.t. the functioning of AAs</li> </ul> <p>13. Communicate to AAs, the timelines for submission of a report w.r.t. implementation of the proposed improvement strategies and list of AA dedicated resources for the same</p>
<b>Recognized AA</b>	14. On receipt of the final risk rating, AA would prepare the required documents for improvement and submit to NCVET.

#### **Exit Criteria**

This process ends with the submission of the required set of documents by AAs as per their risk rating.

#### **Timeline for Completion**

- The site inspection report, and the final risk rating, should be submitted to Member, NCVET for approval within 10 working days of completion of the inspection. Member, NCVET would communicate the decision within 7 working days of the submission of the report.
- The meeting with the concerned AA (if any) should take place within 7 working days from the date of receipt of approval from Member, NCVET.
- The risk mitigation strategy report and any other relevant document should be submitted to NCVET within 15 working days from the date of such a meeting
- Even if in case the meeting is not conducted, the report must be submitted to NCVET within 15

working days from the date of the site inspection.

### Verification and Validation

#### NCVET shall ensure:

- The relevant team is deputed to carry out the review and inspection exercise within the said timelines

#### Assessment Agency shall ensure:

- The documents and related evidence are submitted in due cognizance of the requirements; and
- the risk mitigation strategy report is submitted on time

The pictorial representation of the inspection process flow is illustrated below:

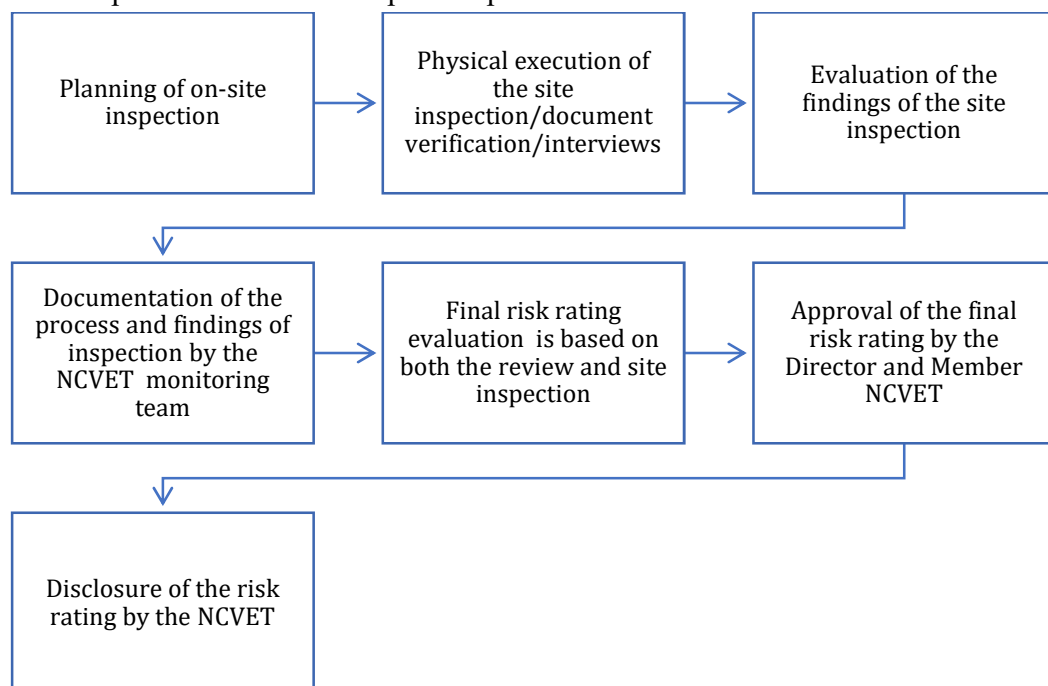


Figure 14: Inspection process flow

## Section 9: Reporting Schedule for Monitoring and Inspection

The frequency of reporting the various evidence and documents would be dependent on the timelines set by NCVET. NCVET may amend these timelines if it deems fit and the same would be communicated to the recognized AAs. It is responsibility of the AAs to adhere to the most up to date reporting schedule as stipulated by NCVET.

S. No.	Criteria	At the time of recognition	Post Recognition and frequency of reporting
<b>Eligibility Criteria</b>			
1	Legal Status	✓	Annual. Cases of being blacklisted by any Indian and/or foreign entity would have to informed immediately
2	Financial Viability	✓	Annual. Cases of bankruptcy and/or cases of financial evasions would be reported immediately
3	Prior Experience	✓	Not Applicable
4	Sectoral Credibility and Geographical Presence	✓	Annual (number of assessments undertaken in each sector and geography per year/or time to time as decided by NCVET
5	Infrastructure and Accessible Assessment Tools	✓	Annual
6	Comprehensive Business Plan	✓	Annual. Any major changes in the plan would have to reported to NCVET immediately
7	Governance and Manpower	✓	Any change in the management and/or key officials is to be reported immediately Performance rating of the assessment staff to be reported annually
8	Assessment Planning and Delivery	✓	Bi-annual
9	Data Management Systems	✓	Annual
10	Appeals and Grievance Redressal	✓	Bi-annual
<i>Standard Operating Procedures across all criteria</i>		✓	<i>Annual (any major change with regard to the established and approved procedures would have to be reported to NCVET within 15 days of such change)</i>
<b>Continuation Criteria</b>			
1	Tenure of Recognition	✓	The tenure would be 3 years but may be subject to change on terms decided by NCVET



2	Assessment Staff	✓	Annual
3	Continuous Professional Development of Staff	✓	Bi-annual
4	Accessible Assessment Tools	✓	Bi-Annual
5	Continuous Professional Development	✓	Bi-Annual
6	Assessment Strategy	✓	Annual (any major changes in the established and approved procedures would have to reported to NCVET within 15 days of the said change)
7	Delivery of Assessments	✓	Annual (any major changes in the established and approved procedures would have to reported to NCVET within 15 days of the said change)
8	Evaluation of Results	✓	Annual
9	Declaration of Results	✓	Annual
10	Promotion of Technology	✓	Annual
11	Grievance Redressal Mechanism	✓	Bi-Annual
12	Monitoring Mechanism	✓	As per the decision of NCVET
14	Surrender of Recognition/De-recognition	✓	As per the decision of NCVET

Exemptions as given in Sec 6 of the AA guidelines shall be applicable.

## Annexure I: Template for the Initial Registration

S. No.	Fields	Additional Sub-fields
1.	<b>Type of institution</b>	Government, Private, Skill University
2.	<b>Focus of Organization</b>	Rural, Urban, Women, Minority, J&K, North East and LWE, Disability, Any Other
3.	<b>Name of the Institution</b>	
4.	<b>Address</b>	Postal Address Taluka/District: State Pin code: Telephone Number (0): Email Address: Website URL
5.	<b>Contact Details of Legal Head/ Officiating Head</b>	<ul style="list-style-type: none"> <li>▪ Name</li> <li>▪ Phone Number</li> <li>▪ Email id</li> </ul>
6.	<b>Details of Contact/Nodal Officer</b>	<ul style="list-style-type: none"> <li>▪ Name of person responsible for the application process:</li> <li>▪ Job title/ designation of officer:</li> <li>▪ Phone number and email address for officer</li> </ul>
7.	<b>Sectoral Expertise</b>	<ul style="list-style-type: none"> <li>▪ Name of Sector</li> <li>▪ Number of years of operation</li> </ul>
8.	<b>Geographical Presence</b>	<ul style="list-style-type: none"> <li>▪ Name of States of Operation</li> </ul>
9.	<b>Current status of affiliation: (if any)</b>	<ul style="list-style-type: none"> <li>▪ Affiliated with SSCs: Name of the SSCs and affiliation Numbers/codes (if any)</li> <li>▪ Affiliated with NSDC: Affiliation number (if any)</li> <li>▪ Affiliated with NCVT (erstwhile) DGT file reference no.:</li> <li>▪ Affiliated with GOI Ministry: Affiliation no. (if any)</li> <li>▪ Affiliated with SCVT/SSDM/State authority Affiliation no. (if any)</li> <li>▪ Affiliation with any other body: Affiliation to any government scheme:</li> </ul>

## **Annexure II: Template of the Complete Application Form**

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### **Cover Letter:**

(Date)

Dear Sir/Madam

#### **Sub: Application for NCVET recognition for assessment agencies**

I, the undersigned, hereby acknowledge that I have read and understood the requirements and conditions under the eligibility and continuation criteria mentioned in the Operational Manual and Guidelines for Recognition and Regulation of Assessment Agencies by National Council for Vocational Education and Training. I represent (name of the applicant organization) and have the legal authority to ensure commitment of my organization to uphold the requirements and conditions of NCVET recognition process.

I am aware that if the information contained in this application and self-evaluation is not valid/is falsified, then NCVET will forfeit the registration fee and my organization will no longer be eligible to be recognized.

I, the undersigned, will also ensure that the organization acts in accordance with the guidelines and procedures detailed in the Recognition and Regulation of Assessment Agencies by National Council for Vocational Education and Training- Guidelines and Operational Manual and understand that failure to do so will result in non-compliance, suspension, and possible withdrawal of recognition.

I understand that the NCVET absolves itself of any legal or financial liability arising out of any act involving any accidental or consequential damages to personnel/equipment at any time.

I am aware that the terms and conditions of NCVET recognition may be amended from time to time and that the updating of the same on the website and in writing shall constitute due notice.

I understand that it is the responsibility of my organisation (name of organization) to review these terms and conditions in order to maintain compliance.

Signed

(Name and Position)

On behalf of (name of the applicant agency)

### **Part A: Basic Details of the Organization**

Sr. No.	Fields	Details
1.	Organization Name	
2.	Parent Company Name (if different)	
3.	Nature of legal entity (i.e. company, charitable trust, society etc.)	
4.	Permanent Income Tax Account Number (PAN)	
5.	GST Registration Number	
6.	Date of Establishment	
7.	Complete Address	
8.	Organization's Email ID	
9.	Website URL	
10.	Phone	
11.	Name, designation, and contact details of primary point of contact	
12.	Status of Application	Initial Application/On-going Recognition (As applicable)

The organization must submit the following documents also;

**Part B: Legal status and infrastructure requirements**

Name of document	Nature of document	Submitted (Yes/No)
Certificate of Registration and/or Article of Incorporation	Mandatory	
Society/ Trust Deed Agreement of NGO Registration Certificate issued by respective state	Mandatory (for NGOs)	
<b>Permanent Account Number (PAN) and Goods and Services Tax (GST) registration details &amp; any other statutory requirement under GoI/State Government</b>	Mandatory	
<b>For international agencies -</b> <ul style="list-style-type: none"> <li>▪ <b>Mutual Agreement Copy with Indian partner firm</b></li> <li>▪ <b>Shareholder Agreement with Indian partner firm</b></li> </ul> <b>Permission from Ministry of Home Affairs, submission of FCRA clearance certificate and evidence of separate bank account for foreign funds</b>	Applicable only for foreign entities with registered Indian subsidiaries/partners	
Title deed and building plan	Mandatory (if office premises are owned)	
Lease Agreement for 3 years	Mandatory (if office premises are rented)	
<b>Google Map snapshot showing location of</b>	Mandatory	

<b>organization's premise and allied transport connectivity</b>		
<b>Address proof for the premises -Copy of internet/telephone bill, not older than 3 months</b>	Mandatory	
Affidavit by Authorized Person that the organization has not been blacklisted/defaulted by any agencies indicated in the Assessment Agency guidelines	Mandatory	
Copy of the consortium agreement (Letter of Intent or Memorandum of Understanding) with a clear mention of the lead partner.	Mandatory (if the applicant organisation is a consortium)	
Power of Attorney for Lead Member of Consortium	Mandatory (if the applicant organisation is a consortium)	
<b>Minutes of the consultations held with industries and associations to design the assessment strategy for their greater participation in assessment process</b>	Mandatory	
<b>Self-declaration by the head of the organisation on the availability of assessments tools including ICT tools for assessment and monitoring</b>	Mandatory	

### Part C: Financial viability:

The organisation must submit the following documents:

<b>Name of document</b>	<b>Nature of document</b>	<b>Submitted (Yes/No)</b>
Annual Report and Audited financial statements of the entity, duly certified by the Chartered Accountant and filed with the Income Tax Authorities for preceding 3 financial years from the date of application along with audit report	Mandatory	
Income tax returns for preceding 3 financial years of the entity preceding 3 financial years from the date of application		
Minimum account balance certificate from the public/private sector bank	Optional	
ISO certificate / Rating report	Optional	

### Part D: Senior Management Details (Includes Board members and 1 head of the organization) \*

<b>Name</b>	<b>Title/ Designation</b>	<b>Phone and Email Id</b>	<b>Address</b>


- \*Copy of Organogram/Engagement letter of Head of the Organisation delineating roles & responsibilities, tenure, and certificate of character (police verification)
- Copy of electricity/ telephone bill mentioning residential address of the Head of the Organisation
- Conflict of interest policy and mitigation mechanisms

The resumes of the senior personnel should be submitted in the format listed below along with the engagement letter:

<b>Position /Title</b>		Photo
<b>Name of Professional</b>		
<b>Date of Birth</b>		

**a. Education:**

Year	Degree/ Diploma	University/ College/ Institution

**b. Employment Record:**

Period	Employing organization and title/position. Contact info for references	Country	Summary of activities performed relevant to the during the tenure

**c. Membership in Professional Associations and Publications**

**d. Adequacy for the Assignment:**

Detailed Tasks Assigned in the Organization	Reference to Prior Work/Assignments that Best Illustrates Capability to Handle the Assigned Tasks

Part E: Details of assessment staff  
List of assessors/examiner/proctors

S.no	Name	Eligibility (Education)	Prior Experience	Certified (Yes/NO)	Tenure of engagement	Full time/part time

f. SME Details

S.no	Name	Prior experience	Tenure of engagement	

G. List of staff (other than ssors/examiner/proctors and SME) involved in assessment and monitoring

**Part E: Prior Experience**

Each of the projects/programmes that the organization has done has to be listed in the format listed below. Work order along with completion certificate/appointment certificate for each of the engagements have to be attached

Project name:		Country:
Name of Client: (if Any)		Project Location within country:
Start date (mon/yyyy):	Completion date (mon/yyyy):	Approx. Value of Services:
Name of any Associated Firms(s), if any:		No. of person-months of professional staff provided by Associated Firm(s):
Name of Senior Staff (Project Director/Coordinator, Team Leader) involved:		
Detailed Narrative Description of Project:		

Detailed Description of Actual Services Provided by the organisation:

**Part F: Sectoral Credibility**

**I.**

Name of Subject Matter Expert *	Date of joining (DD/MM/YY)	Location

**II.**

Name of Assessor/Examiner/Proctor*	Date of joining (DD/MM/YY)	Location

**\*Engagement letters to be submitted as supporting documents**

**The resumes of the Subject Matter Experts (SME) must be provided in the same way as the senior management**

Self-declaration on the number of assessments being carried out in the sector in which recognition is sought

**Part G: Geographical credibility**

**I.**

Name of Assessor/Examiner/Proctor*	Date of joining (DD/MM/YY)	Location

**\*Engagement letters to be submitted as supporting documents**

**II. Accessible Assessment Tools**

Name of courses offered	Name of the assessment tools	Availability in local language	Accessible for PwD (Yes/No)	Alternative for PwDs	Remarks (if any)



		(Yes/No)			

Self-declaration on the number of assessments being carried out in the geography in which recognition is sought

#### Part H: Grievance Redressal Mechanism

Presence of Grievance Redressal Committee (Yes/No)	Name of GRC Members	Contact Details

Presence of Prevention of Sexual Harassment at Workplace Committee (Yes/No)	Name of POSH Members	Contact Details

#### Part H: Prior Experience

The organization must enlist the details of the skill-based training and/or assessments undertaken prior to the application

Sr. No	Sector	Qualification Name	Name of Awarding Body (whose QP was assessed)	No. of batches trained and/or assessed

*\*training for the qualifications to be undertaken at least for a time period of one year. Part of the business/financial plan*

#### Part I: Continuous Professional Development of Staff

The organization must enlist the proposed and the continued measures undertaken for the CPD of the staff

Sr. No	Course Name	Target Audience	Course Duration	Course Fee	No. of batches trained and certified

*\*training for the courses to be undertaken at the assessment agency at least for a time period of one year. Part of the business/financial plan*

#### Part J: Comprehensive Business Plan:

The organisation must submit a comprehensive business plan with the following parameters being mentioned:

- Market research for trainings conducted state-wise
- Number of assessments that can be undertaken and revenue projections for the next 3 years

- Proposed number of assessors, subject matter experts and proctors to be employed
- Proposed monitoring and evaluation framework and risk mitigation strategies

**Part K: Standard Operating Procedures (SOP):**

The organization must submit evidence of the presence of standard operating procedures for the following thematic areas:

- Internal Quality Assurance
- Process of assessment planning and delivery
- Grievance
- Data management systems

*Further, in the Operational Manual against each of the parameters, the SOPs have been mentioned and they must be shared with NCVET*

**Part M: Authorization Statement of the Organization**

I, the undersigned, confirm the following:

- that the information contained in this application and all supporting evidence is correct and accurate, the property of the organization and that it reflects the organization’s business practice to the best of my knowledge.
- that this organization has not been blacklisted by any ministry, department, agency or undertaking of the Central or any State Government, nor has it at any time been indicted for corrupt and/or fraudulent practice.
- that I have never been involved in a business/institution which has been blacklisted by any ministry, department, agency or undertaking of the Central or any State Government, nor have I ever been indicted for corrupt and/or fraudulent practice nor of an offence against the law.
- that the organization nor I have linkages with other organizations or individuals which might constitute a conflict of interest.

**Signature of legal head**

**Date**

Office use only

Application checked by	
Registration No	
All required information provided	
Follow up action	
Date	

## **Annexure III - Composition and Terms of Reference of the Screening Team and Review Panel**

The Screening Team and Review Panel are committee of select officials and representatives who would be evaluating the applications received from the organizations requesting to be recognized as awarding bodies. The committee would be defined by select terms of reference which would govern their composition and their jurisdiction of work.

### **1. Scrutiny Team**

#### **1.1. Suggested Composition of the Scrutiny Team\***

##### **Scrutiny Team**

- Dedicated case member, NCVET
- Consultant, NCVET or any other as decided by NCVET

#### **1.2. Terms of Reference: Scrutiny Team**

- a. This team is tasked with verifying if the applicant meets the basic eligibility criteria as set for in the AA guidelines.
- b. The team may also call upon the applicant to submit any further documents and/or seek clarifications on the ones submitted.
- c. Post verification of documents, the screening team would present the case to Member, NCVET and Review Panel for approval.

### **2. Review Panel**

#### **2.1. Suggested Composition of the Review Panel\***

##### **Review Panel**

- Member NCVET
- Representative from key ministries
- Director, NCVET
- Dedicated case member, NCVET
- Sectoral Expert, Co-opted

#### **2.2. Terms of Reference: Review Panel**

- a. This is a high-level task force which would be responsible for suggesting the Council its recommendations on the recognition of an applicant as a recognized AA under NCVET.
- b. The Panel meets and reviews the PPT/word document prepared by the Screening Team on the eligibility of the applicant and the compliance to the documentary framework.

- c.** The sectoral expert presents the relevance of the applicant in the relevant industry domain and its need for it.
- d.** The applicant prepares a presentation on its credibility, value additions and expertise in the assessment domain. The legal head or personnel authorized by the legal head of the applicant organization delivers the presentation. The Review Panel then arrive a decision on recommendation to grant approval or rejection of the application.

*\*This is only suggested composition, to be decided by NCVET*

## Annexure IV: Change Request Form

To be filled by change requester:

SUBMITTER - GENERAL INFORMATION				
Change request number				
Submitter Name				
Brief Description of Request				
Date Submitted				
Date Required				
Priority	<input type="checkbox"/> Low	<input type="checkbox"/> Medium	<input type="checkbox"/> High	<input type="checkbox"/> Mandatory
Reason for Change				
Other process/document Impacted				
Assumptions and Notes				
Attachments or References	<input type="checkbox"/> Yes	<input type="checkbox"/> No		
	<b>Link:</b>			

To be filled by the board/ owners:

CHANGE CONTROL BOARD - DECISION				
Decision	<input type="checkbox"/> Approved	<input type="checkbox"/> Approved w/Conditions	<input type="checkbox"/> Rejected	<input type="checkbox"/> More Info
Decision Date				
Decision Explanation				
Conditions				

## Annexure V: Self-Evaluation Form

### Part A: Cover Letter

(Date)

#### Sub: Acknowledgment of the requirements and conditions listed under Continuation Criteria

Dear Sir/Madam,

I, the undersigned, do hereby acknowledge that I have read and understood the requirements and conditions contained in the Recognition and Regulation of Assessment Agencies by National Council for Vocational Education and Training-Guidelines and Operational Manual. I am the Assessment Agency representative with the legal authority to commit the organization to uphold the requirements and conditions of said guidelines and manual.

I am aware that if the information contained in this application and self-evaluation is not valid then (name of organization) will no longer be eligible for affiliation.

I, the undersigned, have ensured the organization acts in accordance with the guidelines and procedures detailed in the Recognition and Regulation of Assessment Agencies by National Council for Vocational Education and Training-Guidelines and Operational Manual and understand that post evaluation by NCVET, any aberrations may result in non-compliance, suspension, and possible withdrawal of recognition.

I understand that the NCVET absolves itself of any legal or financial liability arising out of any act involving any accidental or consequential damages to personnel/equipment at any time.

I am aware that the terms and conditions of Recognition and Regulation of Assessment Agencies by National Council for Vocational Education and Training-Guidelines and Operational Manual may be amended from time to time and that the updating of the same on the website and in writing shall constitute due notice. I understand that it is the responsibility of (name of organization) to review these terms and conditions in order to maintain compliance.

Signed

(Name and Position)

On behalf of (Organization)

#### Part B: Self-Evaluation:

The organization needs to submit the following documents for their self-evaluation by NCVET

Parameters			
Registration of Entity	Portfolio of evidence	Documents Submitted (Yes/No)	If missing, reason
<b>Legal entity: the continued existence and legality of the organization is essential to validate their abidance to the registration norms of the land.</b>			

<b>Registration of Applicant Organization</b>	<ul style="list-style-type: none"> <li>▪ Certificate of Registration in form of either Registrar of Companies Trust or</li> <li>▪ Society Deed Agreement of NGO Registration Certificate issued by respective State</li> <li>▪ Articles of Incorporation</li> </ul>		
<b>Adherence to FCRA (if it is a foreign entity)</b>	<ul style="list-style-type: none"> <li>▪ Mutual agreement copies with Indian partner firm</li> <li>▪ Shareholder Agreement with Indian partner firm</li> <li>▪ Permission from Ministry of Home Affairs (MHA) and evidence of separate bank account for foreign funds</li> </ul>		
<b>Blacklisting and any immediate threat to organization</b>	<ul style="list-style-type: none"> <li>▪ Self-Declaration Affidavit by Authorized Person of the applicant organization</li> </ul>		
<b>Consortium</b>	<ul style="list-style-type: none"> <li>▪ Copy of the consortium agreement (Letter of Intent or Memorandum of Understanding) with a clear mention of the lead partner.</li> <li>▪ Power of attorney for lead member of consortium</li> </ul>		
<b>Financial Viability: Continued adherence to sound financial practices and debt commitments are important in maintaining the quality of assessment planning and delivery. Focus on audits and financial management are points of inquiry for NCVET.</b>			
<b>Financial Registration (if applicable)</b>	<ul style="list-style-type: none"> <li>▪ Copy of PAN Card or GST Registration Certificate generated through GST portal</li> </ul>		
<b>Audit Compliance</b>	<ul style="list-style-type: none"> <li>▪ Audited accounts statement signed off by an independent financial auditor</li> <li>▪ Annual reports</li> <li>▪ Minimum account balance certificate</li> <li>▪ Income tax returns for preceding 3 financial years of the entity preceding 3 financial years from the date of application</li> </ul>		
<b>Prior Experience: Entity must have had some notable experience of working in the TVET ecosystem in private or public capacity and must have been associated with stakeholders of repute</b>			

<b>Work done in the VET space</b>	<ul style="list-style-type: none"> <li>▪ Work orders from government or international entities</li> <li>▪ Relevant experience certificates and/or record of experience in the industry</li> <li>▪ Terms of associations with entities such as TPs/ABs in the Indian VET space</li> <li>▪ Self-Declaration Affidavit by Authorized Person</li> <li>▪ Self-Declaration affidavit by legal head of the organization on assessments carried out by them</li> </ul>		
<b>Governance Structure: The entity must ensure transparency along with defined structures, role &amp; responsibilities, and lines of reporting in its governance and management structure</b>			
<b>Governing Body</b>	<ul style="list-style-type: none"> <li>▪ Copy of Organogram dually signed by the Agency's Promoters of Governing Council</li> <li>▪ Self-attested declaration by directors of their roles</li> <li>▪ MoM of the Board meetings held every fiscal year</li> <li>▪ Copy of key financial decisions taken signed by independent auditor</li> </ul>		
<b>Appointment of a Head/CEO</b>	<ul style="list-style-type: none"> <li>▪ Engagement letter of CEO with clear mention of roles &amp; responsibilities, mentioning tenure and also character certificate of the officer</li> <li>▪ Copy of electricity/ telephone bill clearly mentioning address of residence of CEO</li> </ul>		
<b>The entity must have adequate permanent/ contractual staff for its daily operations.</b>	<ul style="list-style-type: none"> <li>▪ Letters of engagement of key staff as mentioned in the Assessment Agency guidelines</li> </ul>		
<b>Continued employment and development of CEO and staff</b>	<ul style="list-style-type: none"> <li>▪ Proof of allowance/allocated budget for CPD</li> <li>▪ Proof of membership with online/classroom based CPD courses for each function</li> <li>▪ Structure /staff details assigned for CPD (if any)</li> </ul>		
<b>The entity must ensure continued employment of the staff in relevant functions for the smooth functioning of operations</b>	<ul style="list-style-type: none"> <li>▪ Salary records of staff for a quarter</li> <li>▪ Financial record of spent on CPD</li> <li>▪ Certificate of completion of relevant trainings</li> <li>▪ Evidence of CPD activities focused on technology for assessors and proctors</li> </ul>		



<b>Change in governance structure</b>	<ul style="list-style-type: none"> <li>▪ Self-declaration by the entity signed by the competent authority</li> </ul>		
<b>Infrastructural requirements: The ease of access of the entity is quintessential for allowing NCVET, training partners/ trainees to each there without any hindrance</b>			
<b>Location and Convenience</b>	<ul style="list-style-type: none"> <li>▪ Lease agreement, (plan should be validated by a govt. approved entity)</li> <li>▪ Building plan approved by competent authority</li> <li>▪ Google map snapshot with nearest transportation distance including Rail, Air and Bus)</li> <li>▪ Copy of Internet bill, not older than 3 months)</li> </ul>		
<b>Sectoral credibility and geographical presence: The entity must be able to ensure its sectoral credibility through engagement with industries and subject matter experts. Moreover, they must be able to ensure that geographical presence has been validated through the presence of local assessors</b>			
<b>Sectoral expertise</b>	<ul style="list-style-type: none"> <li>▪ Letter of engagement of subject matter experts pertaining to the qualifications/ sector that the recognition is being sought for.</li> <li>▪ Letter of engagement of assessors with credentials matched with sector/ qualifications that the agency is seeking recognition for</li> </ul>		
<b>Geographical presence</b>	<ul style="list-style-type: none"> <li>▪ Letter of engagement or work contracts of local assessors in the geographical region/s for which the qualifications are being sought for</li> <li>▪ Self-declaration of the presence of assessment tools being available in the local languages of the areas in which the recognition is being sought</li> </ul>		
<b>Assessment planning and delivery- the organisation must be able to showcase the presence of robust assessment processes against each of the qualifications/ sectors it seeks to be recognised for assessments</b>			

<b>Assessment planning and tools</b>	<ul style="list-style-type: none"> <li>▪ Copies of Standard Operating Procedures for the following: <ul style="list-style-type: none"> <li>• Process and timelines for creating question banks</li> <li>• Invigilation guidelines</li> <li>• On-boarding and training of assessors</li> <li>• Reviewing and revising of question banks</li> </ul> </li> <li>• Questionnaires/question banks for theory and practical for every qualification (minimum 500 questions per qualification)</li> <li>• Procurement orders of IT infrastructure for assessment planning and monitoring</li> <li>• Asset inventory of the IT infrastructure and annual maintenance contracts (AMC) for the ICT Tools Agreement/contract with service providers for technology (if any)</li> <li>• SOP covering the following: <ul style="list-style-type: none"> <li>▪ the use of equipment/resources</li> <li>▪ adequacy of equipment/resources are ensured</li> </ul> </li> </ul>		
<b>Assessment guide</b>	<ul style="list-style-type: none"> <li>• Copy of SOP for each qualification covering the points mentioned in section 5 of the AA guideline</li> <li>• Signed and stamped declaration of concerned awarding bodies of their approval of the assessment guide so prepared</li> </ul>		
<b>Assessment Delivery</b>	<ul style="list-style-type: none"> <li>• Record of assessment activities, including: <ul style="list-style-type: none"> <li>• Venue and resource checklists</li> <li>• Identity checks</li> <li>• Copies of instructions given to candidates</li> <li>• ICT usage for monitoring</li> <li>• Administrative checks on completed paperwork</li> <li>• Feedback forms and procedure for collecting feedback</li> </ul> </li> <li>• Copy of SOP for mode of the assessments-online and in person</li> <li>• Briefing and standardization records given to assessors and proctors</li> <li>• Copy of Confidentiality agreement copy (signed with training partners before conducting assessments)</li> </ul>		

<b>Evaluation of results</b>	<ul style="list-style-type: none"> <li>• Self-declaration of the agency citing maintenance of difference of assessment planning and moderation team</li> <li>• Copy of SOP on the process of moderation to be undertaken</li> <li>• Evidence of the induction and training given to moderation staff</li> <li>• Copy of agreement with third party enlisted for moderation (if any)</li> </ul>		
<b>Declaration of results</b>	<ul style="list-style-type: none"> <li>• Copy of format in which results are shared with the awarding bodies</li> <li>• Signed copy of confidentiality between awarding bodies and the AA</li> </ul>		
<b>ICT and Data Management System: The interfacing with state of art technology is quintessential to ensure that learner records are up to date and the learning outcomes achieved can be of highest standards. Clearly delineated MIS systems in place with organizational staff is of key importance</b>			
<b>Website</b>	<ul style="list-style-type: none"> <li>• Website URL</li> </ul>		
<b>Data Management and security systems</b>	<ul style="list-style-type: none"> <li>• Invoices of purchased of tools and software for gathering the data and delivery challan</li> <li>• License key of softwares</li> <li>• ready formats for data collections</li> <li>• certificates and records of staff ensuring their professional competency</li> <li>• Copy of confidentiality policy with signed affidavits of staff- full time and contracted</li> </ul>		
<b>ICT Tools</b>	<ul style="list-style-type: none"> <li>• Maintenance register and Maintenance contracts (wherever appropriate)</li> <li>• Copy of SOP for maintaining digital records</li> <li>• Copy of SOP covering monitoring of IT equipment</li> </ul>		
<b>Promotion of Technology</b>	<ul style="list-style-type: none"> <li>• Copy of SOP of training of staff on ICT tools</li> <li>• Agendas and minutes of meetings focusing on technology-based investments</li> </ul>		
<b>Comprehensive Business plan: The base document which allows NCVET to look at the plan for business in a fiscal year and the related financial outlay for realizing the same.</b>			
<b>Comprehensive Business Plan Document</b>	<ul style="list-style-type: none"> <li>• Business plan document attested by the legal head and the board of directors of the organization</li> </ul>		
<b>Research and development: Given integral connect that assessments provide between industries and the VET space while also judging the assessing the competencies of the learners, it is imperative that there must constant engagement with research and development to update the methodologies</b>			

<b>Research in the recognized sectors</b>	<ul style="list-style-type: none"> <li>• Review &amp; evaluation reports indicating quality improvements approved by the legal head</li> <li>• Report on feedback on assessment practice from professionals, candidates, training partners/entities and awarding bodies</li> <li>• Agendas and minutes of meetings focusing on circling the feedback into the assessment process</li> <li>• Copy of SOP on review of ICT and assessment processes currently in place</li> </ul>		
<b>Learner Support for Persons with Disability</b>	<ul style="list-style-type: none"> <li>• Written description of process, including reference to any special arrangements which have been made (an assessment agency must allow equal opportunity for all, in case it is unable to cater to the specialized needs of the learners, they must refer them to specialized institutions)</li> </ul>		
<b>Data Management and Security; Robust data management systems are the key to effective decision making and implementation. In view of the same, the assessment agency must maintain student, training staff and other staff records making sure of their accuracy, integrity and ensuring secure storage.</b>			
<b>MIS reports and Declaration</b>	<ul style="list-style-type: none"> <li>• Report on learners' assessments</li> <li>• Records of assessors</li> <li>• Self-Declaration of compliance of data and privacy laws of the country and globally</li> </ul>		
<b>Grievance Redressal and Feedback Mechanism: A responsive and neutral grievance handling mechanism must be kept in place. The entity must ensure the appointment of the relevant personnel for handling and escalating of the grievances and complaints so received. The entity should establish a helpline number for its related entities</b>			
<b>Grievance Handling</b>	<ul style="list-style-type: none"> <li>• Self-declaration affidavit of the establishment of a grievance redressal council</li> <li>• Letter of appointment of third-party arbitrator/ legal counsel representative in the council</li> <li>• Self-declaration affidavit an establishment of a POSH Committee own staff and allied entities</li> <li>• Details of helpline number</li> <li>• Details of complaints</li> <li>• Action Taken reports of the reported grievances</li> </ul>		
<b>Feedback Mechanism</b>	<ul style="list-style-type: none"> <li>• Minutes of Meetings of awarding bodies' consultations</li> <li>• Action Taken Report of the feedback received</li> </ul>		

**Outcome of the self-evaluation (in not more than 200 words)**

**Areas requiring improvements**

**Suggested measures for Improvement**

**Name of Organization's Legal Head**

**Signature and Date**

**Part C: Authorization Statement**

I, the under-signed, confirm the following:

1. that the information contained in this application and all supporting evidence is correct and accurate, the property of the organization and that it reflects the organizations' business practice.
2. that this organization has not been blacklisted by any ministry, department, agency or undertaking of the Central or any State Government, nor has it at any time been indicted for corrupt and/or fraudulent practice.
3. that I have never been involved in a business/institution which has been blacklisted by any ministry, department, agency or undertaking of the Central or any State Government, nor have I ever been indicted for corrupt and/or fraudulent practice nor of an offence against the law. that the organization nor I have linkages with other organizations or individuals which might constitute a conflict of interest.

**Signature of legal head**

**Date:**

Office use only

Application checked by	
Registration No	
All required information provided	
Follow up action	
Date	

**Signature of Nodal Officer:**

**Date:**

## Annexure VI: Quality Improvement Plan

The Quality Improvement Plan (QIP) is a mutually agreed document for ensuring quality standards of the recognized assessment agency is met. The document would be prepared by the recognized assessment agency and vetted by NCVET

**Document Number** *(for office use only)*

**Name of 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)* agree to undertake the following actions for ensuring quality and standards as mandated by NCVET

Sr. 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 the awarding body
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Signature of legal head of assessment agency: \_\_\_\_\_

Date: \_\_\_\_\_

*For office use only:*

Sr. 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: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Comments by Approver(s)

Approver/s Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_



## Annexure VII: Risk Prevention Plan

The Risk Prevention Plan (RPP) is to be submitted by those recognized assessment agencies whose overall risk score falls in the range deemed as medium risk. This document allows an evaluation of the risks and their causal factors and improvement measure

**Document Number** *(for office use only)*

**Name of 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)* agree to undertake the following actions for ensuring quality and standards as mandated by NCVET and evade being in the medium or high-risk zone

Sr. No.	Specific criteria/ risk parameter to be addressed	Initial Risk score	Risk Level	Cause of identified risk	Corrective action deployed	Identified resources	Timeline	Identified monitoring mechanism	Evidence to be submitted	Signature of legal head of the assessment agency
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Signature of legal head of assessment agency: \_\_\_\_\_

Date: \_\_\_\_\_

*For office use only:*

Sr. no	Specific criteria/ risk parameter to be addressed	Evidence submitted by AA (yes/no)	Date of evidence receipt	Evidence checked (Yes/No)
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Reviewer/s Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Comments by Approver(s)

Approver/s Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

## Annexure VIII: Risk Mitigation Strategy Template

The risk mitigation strategy is mandatory for the recognized assessment agency whose overall risk score is in the range termed as high risk. Given their highly volatile network and increased preponderance of hazard, they must submit a risk mitigation strategy document.

<b>Document Number</b> <i>(for office use only)</i>
<b>Name of assessment agency</b>
<b>Name of legal head of assessment agency</b>
<b>Quality Review Method</b>
<b>Created by</b>
<b>Date Created</b>
<b>Reviewed by</b> <i>(for office use only)</i>
<b>Review date</b> <i>(for office use only)</i>
<b>Approved by</b> <i>(for office use only)</i>
<b>Approval date</b> <i>(for office use only)</i>

The recognized assessment agency *(name of the organisation)* agree to undertake the following actions for ensuring quality and standards as mandated by NCVET and evade being in the high-risk zone

Sr. No	Specific criteria/risk parameter to be addressed	Initial Risk score	Risk Level	Cause of identified risk	Current Status	Mitigation action deployed	Identified resources	Timeliness	Identified monitoring mechanism	Evidence to be submitted	Signature of legal head of the assessment agency

Signature of legal head of assessment agency: \_\_\_\_\_ Date: \_\_\_\_\_

Lead Officer /s Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

*For office use only:*

Sr. No	Specific criteria / risk parameter	Evidence submitted by	Evidence checked	Check on cause of	Status of mitigation plan (approve/re	Name of person who	Name of person who	Signature of concerned	Date

ter to be addres sed	AA	(Yes/ No)	identif ied risk	ject)	check ed evid ence	review ed mitigat ion plan	person
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Reviewer/s Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

## Annexure IX: Classification of States & UTs in Category I & II

Classification of the States and UTs in Category I & II for AB Guidelines		
S.No.	`	State /UT
1	<b>Category -I</b>	Andaman and Nicobar Islands
2		Lakshadweep
3		Dadra and Nagar Haveli
4		Daman ana Diu
5		Ladakh
6		Chandigarh
7		Puducherry
8		Sikkim
9		Mizoram
10		Goa
11		Arunachal Pradesh
12		Nagaland
13		Manipur
14		Meghalaya
15		Tripura
16		Himachal
17		Uttarakhand
18		J and K
19		NCT of Delhi
20	<b>Category - II</b>	Chattisgarh
21		Telangana
22		Haryana
23		Kerala
24		Punjab
25		Jharkhand
26		Assam
27		Orissa
28		Gujarat
29		Karnataka
30		Rajasthan
31		Tamil Nadu
32		Madhya Pradesh
33		Andhra Pradesh
34		Bihar
35		West Bengal
36		Maharashtra
37		Uttar Pradesh

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**National Council for Vocational Education and Training**  
(Ministry of Skill Development & Entrepreneurship)  
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