



Operational Manual for Recognition & Regulation of Awarding Bodies 2020



National Council for Vocational Education and Training
(Ministry of Skill Development and Entrepreneurship)
Kaushal Bhawan, Karol Bagh
New Delhi-110005

GLOSSARY

AA	Assessment Agency
AB	Awarding Body
AI	Artificial Intelligence
ATR	Action Taken Report
B.Voc.	Bachelor of Vocational
CEO	Chief Executive Officer
COO	Chief Operating Officer
CPD	Continuous Professional Development
CSR	Corporate Social Responsibility
DGT	Directorate General of Training
FCRA	Foreign Contribution Regulation Act
GoI	Government of India
GST	Goods and Services Tax
HR	Human Resource
IT	Information Technology
KPI	Key Performance Indicator
KRA	Key Responsibility Area
LLP	Limited Liability Partnership
M&E	Monitoring and Evaluation
MoM	Minutes of Meeting
MoU	Memorandum of Understanding
MSDE	Ministry of Skill Development and Entrepreneurship
NCVET	National Council for Vocational Education and Training
NCVT	National Council of Vocational Training
NQR	National Qualifications Register
NSDA	National Skill Development Agency
OJT	On the Job Training
PAN	Permanent Account Number
POSH	Policy for Prevention of Sexual Harassment
PWD	Persons with Disability
QA	Quality Assurance
SOP	Standard Operating Procedure
SPOC	Single Point of Contact
TC	Training Centre
ToA	Training of Assessors
ToT	Training of Trainers
TP	Training Partner
TVET	Technical and Vocational Education and Training

TABLE OF CONTENTS

1. SECTION1: INTRODUCTION	
1.1.NCVET- AN OVERVIEW	01
1.2.SNAPSHOT OF THE AWARDING BODY GUIDELINES	01
1.3.OBJECTIVES OF OPERATIONAL MANUAL	02
2. SECTION 2: APPLICATION PROCESS FOR RECOGNITION OF AWARDING BODIES	
2.1.APPLICATION PROCESS	03
2.1.1. WHEN TO APPLY AND BY WHOM	03
2.1.2. PROCESSES/ STEPS FOR RECOGNITION	03
2.1.3. FEEDBACK MECHANISM	12
2.2.APPEAL SYSTEM	13
2.3.RE-APPLICATION BY THE APPLICANT ORGANIZATION	13
2.4.EVIDENCE TO ENSURE COMPLIANCE TO ELIGIBILITY CRITERIA	13
3. SECTION 3: MONITORING AND EVALUATION	
3.1.OVERVIEW	17
3.2.MONITORING MECHANISM	17
3.3.PROCESS	18
3.4.EVIDENCE TO ENSURE COMPLIANCE TO THE CONTINUATION	
CRITERIA	23
3.5.RISK ASSESSMENT MATRIX	26
3.5.1. QUANTIFIABLE OUTCOME INDICATORS	27
3.5.2. RISK RATING AND MITIGATION	27
3.5.3. RISK RATING PROCESS	43
3.5.4. RISK MITIGATION PROCESS	46
3.5.5. ACTIONS BY NCVET	48
3.5.6. FAST TRACK APPROVAL	49
3.6.NCVET LOGO AND CERTIFICATE GUIDELINES	50

4. ANNEXURES

I. INITIAL REGISTRATION TEMPLATE	51
II. APPLICATION PROCESS	52
III. COMPOSITION & TERMS OF REFERENCE OF SCRUTINY TEAM AND REVIEW PANEL	62
IV. SELF EVALUATION FORM	64
V. DELEGATED REGULATION- TRAINING ENTITIES	69
VI. DELEGATED REGULATION- ASSESSMENT AGENCIES	71
VII. QUALITY IMPROVEMENT PLAN	72
VIII. RISK PREVENTION PLAN	73
IX. RISK MITIGATION STRATEGY TEMPLATE	74
X. IMPARTIALITY OF ASSESSMENT	76
XI. APPLICATION FORM FOR DUAL CATEGORY	78
XII. CLASSIFICATION OF THE STATES & UTS IN CATEGORY I & II	94

OPERATIONAL MANUAL FOR RECOGNITION & REGULATION OF AWARDING BODIES

SECTION 1: INTRODUCTION

1.1. NCVET- AN OVERVIEW

The National Council of Vocational Education and Training (NCVET), notified on December 5, 2018 has been set up as an overarching umbrella regulator establishing regulations and standards to ensure quality in the TVET space, subsuming the responsibilities of National Skill Development Agency (NSDA) and the erstwhile National Council of Vocational Training (NCVT).

NCVET regulated ecosystem will ensure strong industry interfacing, layered regulations for the varied stakeholders, set standards for ABs and assessment agencies. One of the key functions of NCVET is to regulate and standardize the operations of the ABs thus creating a system of quality assurance to ensure standardization in processes and consistency in outcomes.

For regulation/recognition of ABs, two sets of documents have been developed- the AB Guidelines and the Operational Manual. While the AB Guidelines outline the broad contours of the norms of recognition, the criteria for continuance and related aspects of monitoring & evaluation of recognized ABs, the Operational Manual for empanelment of the ABs delineates the detailed processes, monitoring mechanism including the risk assessment framework along with risk mitigation strategies and documentary evidence which would be required for initial recognition and continued affiliation of the ABs.

1.2. SNAPSHOT OF THE AB GUIDELINES

The 'Guidelines for Recognition & Regulation of Awarding Body' outline broad contours related to recognition ensuring quality and reliance on benchmarked standards thereby delineating the criteria for initial recognition and sustained relationship with NCVET.

The guidelines define eligibility criteria and parameters for monitoring and evaluation leading to continuity of the entity in the NCVET ecosystem. The eligibility criteria sets the basic minimum requirements/ conditions which an entity needs to have/ display as pre-

requisite for recognition by NCVET. A robust monitoring and evaluation process has been designed to assess the capacity of AB to continue in the NCVET. The continuation criteria list the various parameters for Monitoring and Evaluation. The snapshot of the AB Guidelines is as follows:

- **Section 1: Introduction**

This section gives an overview of NCVET and details down awarding body in terms of its definition, types, functions and relationship with various stakeholders.

- **Section 2: Awarding Body Guidelines**

This section lists the vision, objectives, scope, structure and features of awarding body guidelines

- **Section 3: Recognition of Awarding Body**

This section defines recognition and maps it to lifecycle of an AB in terms of scope, eligibility criteria, categories, process, tenure and suspension/ de-recognition

- **Section 4: Monitoring and Evaluation**

This section delineates the framework of continuation of an AB based on its performance against pre-defined parameters and lists objective, mechanism, criteria of monitoring and evaluation along with a risk assessment framework.

1.3. OBJECTIVES OF THE OPERATIONAL MANUAL

The operational manual charts the lifecycle of any organization as an AB, from defining recognition to elaborating parameters of association and clearly specifying the documentary evidence that are required. The manual guides those seeking and those who are already affiliated to NCVET as ABs, to understand the regulatory parlance and requirements as laid down by NCVET. This manual will provide the reader with following information:

- Details of process of application
- Details of evidences against the eligibility and continuation criteria
- Details of applicability of norms to various types of ABs
- Detailed monitoring process including a risk assessment framework
- Templates and formats

SECTION 2: APPLICATION PROCESS FOR RECOGNITION OF ABS

2.1. APPLICATION PROCESS

2.1.1. When to Apply and by Whom

The application process for the empanelment of the ABs will be open throughout the year. All such entities that fulfill the eligibility criteria as specified in the section 3.9 of the AB guidelines can apply.

2.1.2. Processes/ Steps for Recognition

PREPARATORY STEP

A. By Applicant Organization

- The applicant organization will be expected to familiarize itself with the information on the AB guidelines, before commencement of the application process.

B. By the NCVET

- NCVET shall formulate a Scrutiny Team and Review Panel to support execution of the recognition process.
- NCVET may organize workshops/orientation programs to assist the applicant organizations on clarifications on the application process.

The process for the recognition of the ABs is detailed below:

STEP 1: EXPRESSION OF INTEREST BY THE APPLICANT ORGANIZATION & NOMINATION OF DEDICATED CASE MEMBER

Who is Eligible?	
An organization which fulfills the eligibility criteria as indicated in the AB guidelines, based on self-review	
Input	Output
Credentials of the applicant organization such as organizational contact details, website and contact information of the head of the organization etc.	<ul style="list-style-type: none">▪ Login id and password for the applicant organization▪ Nomination of the dedicated case member from NCVET

Template for the initial registration is attached as Annexure I.	
Steps/Tasks to be performed	
Owner	Tasks
Applicant Organization	1. Applicant must register on NCVET website and provide relevant details, for the purpose of creation of a registration account.
NCVET Team	2. 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. 3. Based on the review, the NCVET either accepts or rejects with approval of an officer not below the rank of a Director. Login ID and password will be generated once the proposal is accepted. The application can be rejected under instances of dummy data or fake registration details provided by the applicant organization.
Exit Criteria	
This process ends with nomination of dedicated case member and creation of login ID and password for the applicant organization upon successful scrutiny of initial application	
Timeline of Completion	
The login ID and password will be provided to the applicant by NCVET and nomination of dedicated case member within 5 working days of successful submission of the initial registration details.	
Verification and Validation	
NCVET	
<ul style="list-style-type: none"> ▪ Ensure availability of the resources to review the initial registration request of the applicant organization. 	
Applicant Organization	
<ul style="list-style-type: none"> ▪ Ensure furnishing authentic information to NCVET for the initial registration. 	

STEP 2: SUBMISSION OF THE APPLICATION

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

Who is Eligible?	
The applicant organization with approved login ID and password	
Input	Output

Details of the applicant organization as per the requirements of eligibility criteria indicated in the AB guidelines. Template of the application form is attached in Annexure II	Acknowledgement from NCVET on successful submission of the application form
Steps/Tasks to be performed	
Owner	Tasks
Applicant Organization	<ul style="list-style-type: none"> i. The applicant organization would fill in the detailed application form with the necessary documentary evidence on designated portal using approved login credentials. ii. The dedicated case member may guide the applicant organization in case of any queries. iii. The applicant organization will submit the completed and duly signed application along with supporting evidence
Exit Criteria	
This process ends with an acknowledgment by NCVET.	
Timeline of Completion	
10 working days from the date of receipt of the login details of the portal from NCVET.	
Verification and Validation	
<p>NCVET</p> <ul style="list-style-type: none"> ▪ Ensure that all queries of the applicant organization regarding the application process are addressed. <p>Applicant Organization</p> <ul style="list-style-type: none"> ▪ Ensure that application is completed in all respect and clear and unambiguous documentary evidences are enclosed with the application 	

STEP 3: SCREENING OF APPLICATION BY NCVET DEDICATED CASE MEMBER

This process of screening of application is carried out by the NCVET dedicated case member. This screening step majorly focuses on satisfactory completion of the application form and availability of all the necessary evidence in support of the application.

Who is Eligible?	
Applicant organization which has received acknowledgement after successful completion and submission of application form	
Input	Output

Details provided by the applicant organization during the application process	Decision of approval or rejection of the application and communication to applicant organization
Steps/Tasks to be performed	
Owner	Tasks
NCVET Dedicated Case Member	<ol style="list-style-type: none"> 1. The case member will carry out an initial check of the application. Any areas of omission or insufficient clarity will be communicated to applicant organization for additional information or explanation needed. 2. The applicant organization will provide additional information sought by case member, within 5 days of receiving such request. Failure in providing the additional information or in case of incomplete information, the case member may recommend rejection of the application. 3. NCVET may accept or reject the application based on recommendation of the dedicated case member. The case member must clearly document the reason for acceptance and must obtain approval of an officer not below the rank of Director. In case of rejection the approval will be at level of EM, NCVET. 4. Post review by Director/ appropriate authority and his/her decision, an acknowledgment is generated communicating the decision to the applicant organization.
Appropriate Authority/ Director, NCVET	5. Reviews the recommendation of the dedicated case member and approves/disapproves it with or without comments.
Exit Criteria	
The process ends with clear communication of acceptance or rejection of the application to the applicant organization.	
Timeline of Completion	
10 working days from the date of submission of the application. Additional 5 working days to be allocated to the applicant organization to submit any additional information/ evidence etc, if any.	
Verification and Validation	

NCVET

- Ensure that the review of the application and the attached evidence are complete.

Applicant Organization

- Ensure that application is completed in all respect and the required documentary evidence provided with the application are authentic.
- Provide responses to the queries raised by the dedicated case member.

STEP 4: SCRUTINY OF THE APPLICATION BY SCRUTINY TEAM

Scrutiny is a critical step where a designated Scrutiny Team reviews the application on grounds of its compliance to the eligibility criteria and decides and recommends either approving or rejecting the application.

Who is Eligible?	
Applicant organization which has successfully cleared the screening process	
Input	Output
Details provided by the applicant organization during the application process	Decision of approval or rejection after the scrutiny and communication to applicant organization
Steps/Task to be performed	
Owner	Tasks
NCVET	<ol style="list-style-type: none"> 1. NCVET will nominate a Scrutiny team to evaluate the case. The Scrutiny Team may have 2 to 3 members including the dedicated case member. The composition and terms of reference of this team is given in Annexure III.

NCVET Scrutiny Team	<ol style="list-style-type: none"> 2. The Scrutiny Team will evaluate whether the applicant meets the eligibility criteria. 3. The NCVET Scrutiny Team may consult experts and also physically inspect the premises of the applicant organization at this stage, if required. 4. The applicant organization will provide additional information sought by Scrutiny Team, within 10 working days of receiving such request. Failure in providing the additional information or in case of incomplete information, team may recommend rejection of the application. 5. The Scrutiny Team recommends its decision to either approve or reject the application which is vetted by the Member, NCVET. 6. The NCVET communicates the decision of approval or rejection of the application to the applicant organization along with reasons of rejections or date for the Review Panel meeting. 7. The Scrutiny Team prepares records of the review process clearly mentioning the reasons for acceptance or rejection of the application process and feedback (if any).
Applicant Organization	<ol style="list-style-type: none"> 8. The applicant organization can request NCVET for a Feedback Meeting upon rejection
Exit Criteria	
<p>This process ends with:</p> <ul style="list-style-type: none"> ▪ Decision of acceptance or rejection of the application post approval by Member, NCVET. ▪ Preparation of the records of review done by scrutiny team specifying the reasons of acceptance or rejection ▪ Communicating the applicant organization the decision on acceptance or rejection of application. If approved, the applicant organization is informed about the date of review Panel meeting and if rejected, the reasons thereof. 	
Timeline of Completion	
<ul style="list-style-type: none"> ▪ Scrutiny should be completed within 20 working days from the date of communication of decision of the screening (previous step). This timeline includes the 10 days given to the applicant organization to respond to any queries made by the scrutiny team. 	
Verification and Validation	
<p>NCVET</p> <ul style="list-style-type: none"> ▪ Ensure that application is evaluated in line with the recommendations of the AB Guidelines. <p>Applicant Organization</p> <ul style="list-style-type: none"> ▪ Provide responses to the queries raised by the Scrutiny Team 	

STEP 5: REVIEW PANEL MEETING

This is the step wherein a Review Panel chaired by Member, NCVET would review the application submitted by the applicant organization and assess capacity of the ABs wrt eligibility and continuation criteria specified in the AB Guidelines.

Who is Eligible?	
Applicant organization which has cleared the scrutiny	
Input	Output
<ul style="list-style-type: none"> ▪ Briefing on application by the Screening Team ▪ Details provided by the applicant organization during the Review Panel meeting 	<ul style="list-style-type: none"> ▪ Decision on approval or rejection of the application by Review Panel ▪ If approved, the application is forwarded to the Council
Steps/Tasks to be performed	
Owner	Tasks
NCVET	<ol style="list-style-type: none"> 1. A Review Panel chaired by Member, NCVET would review the application. The Terms of Reference and Composition of the Review Panel is given in Annexure III.
NCVET Scrutiny Team	<ol style="list-style-type: none"> 2. The Scrutiny Team will provide all the logistical support to organize the Review Panel meeting. 3. The scrutiny team will furnish a brief of the case and the records of their process to the Review Panel highlighting their recommendations
Applicant Organization	<ol style="list-style-type: none"> 4. The head of the organization will make a presentation before the Review Panel highlighting their suitability as a recognized AB.
Review Panel	<ol style="list-style-type: none"> 5. The Review Panel will assess the applicant organization on basis of compliance to the eligibility criteria and capacity to align themselves to the continuance criteria laid down in the AB guidelines. 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. 7. The Review Panel will decide on the approval or rejection of the application and if approved, recommend the application to the Council. 8. The decision and the basis for the same shall be recorded in the minutes of the meeting (MoM).

Exit Criteria
Approval of minutes of the Review Panel meeting specifying its decision on acceptance or rejection of applicant organization and communicating the same to applicant organization.
Timeline of Completion
The Review of application by the Panel may be completed within 15 working days of communicating the decision of Scrutiny Team (previous step) extendable as per discretion of NCVET.
Verification and Validation
<p>NCVET</p> <ul style="list-style-type: none"> ▪ Ensure that application is evaluated in line with the recommendations of the AB Guidelines along with general sagacity and prudence <p>Applicant Organization</p> <ul style="list-style-type: none"> ▪ Ensure that the information provided to the Review Panel is authentic ▪ Ensure that the head/ CEO delivers the presentation in front of the Review Panel ▪ Provide responses to the queries and / or additional documents sought by the review panel within the time stipulated by the review panel.

STEP 6: DECISION ON THE APPLICATION BY THE COUNCIL

The final decision on the approval or rejection of the applicant organization as a recognized AB would rest with the Council headed by the Chairperson, NCVET. The composition of the Council is mentioned in the gazette notification (No. SD-17/113/2017-E&PW—dated 5 December 2018).

Who is Eligible?	
Applicant organization recommended by the review panel	
Input	Output
<ul style="list-style-type: none"> ▪ Briefing and minutes of meeting /s of the Review Panel ▪ Details provided by the applicant organization during the Council meeting 	<ul style="list-style-type: none"> ▪ Decision on grant of recognition or rejection of the application of the organization ▪ Issuance of Letter of Intent (LoI) to applicant organization
Steps/Tasks to be performed	
Owner	Tasks
NCVET Screening Team	1. The scrutiny team will furnish a brief of the case and its recommendations along with minutes of the Review Panel Meeting/s and records of scrutiny process before the Council, detailing the

	assessment of the applicant organization.
Council, NCVET	<ol style="list-style-type: none"> 2. The Council will assess the suitability of the applicant organization on compliances to the eligibility criteria and capacity to align themselves to the continuation criteria and any other parameter as they deem fit. 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 scenario in the country. 4. Thereafter, the Council takes a decision on the grant of the recognition or rejection of the application. The decision and the basis for the same are recorded in the minutes of the meeting (MoM).
Exit Criteria	
This process ends with approval of minutes of the Council meeting by the Chairperson, NCVET highlighting their final decision and issuance of Letter of Intent (LoI) to applicant organization.	
Timeline of Completion	
The Council meeting will be organized every quarter in a year or depending on the directives of the Chairperson, NCVET.	
Verification and Validation	
NCVET	<ul style="list-style-type: none"> ▪ Ensure that application is evaluated in line with the recommendations of the eligibility criteria and any other criteria as the Council deems fit.

STEP 7: QUALIFICATION APPROVAL AND SIGNING OF AGREEMENT

Who is Eligible?	
Applicant organization with Letter of Intent (LoI) issued by NCVET	
Input	Output
<ul style="list-style-type: none"> ▪ Qualification/ s submitted as per SOPs defined by NCVET for qualification approval 	<ul style="list-style-type: none"> ▪ Approval of Qualification/s by NCVET ▪ Signing of agreement between NCVET and applicant organization (AB)
Steps/ Tasks to be performed	
Owner	Tasks
NCVET	<ol style="list-style-type: none"> 1. Scrutiny of qualification/s submitted by AB as per defined SOPs 2. Decision on approval of qualification/s by NCVET 3. The AB and NCVET will sign an agreement post approval of the qualification/s.
Applicant	<ol style="list-style-type: none"> 4. Submission of qualification/s within stipulated time period

Organization	5. Adherence to SOPs defined for the purpose
Exit Criteria	
This process ends with approval of qualification/s and signing of agreement between NCVET and applicant organization.	
Timeline of Completion	
<ul style="list-style-type: none"> ▪ Submission of Qualification/s by applicant organization: within 90 days of issuance of LoI ▪ Scrutiny and decision on approval by NCVET: within 60 days after submission of qualification/s ▪ Signing of agreement: within 15 days of approval of qualification/s 	
Verification and Validation	
NCVET	
<ul style="list-style-type: none"> ▪ Ensure that qualification/ s are scrutinized as per defined SoPs. ▪ Agreement is as per defined norms 	
Applicant Organization	
<ul style="list-style-type: none"> ▪ Adherence to SOPs ▪ Information provided is authentic and is provided in time 	

2.1.3. Feedback Mechanism

NCVET has devised an avenue for seeking feedback by the applicant ABs in case of applications rejected at following steps:

- Step 3 (Screening by dedicated case member)
- Step 4 (Scrutiny Team)
- Step 5 (Review Panel).

The applicant organization will request for a feedback meeting within 15 days of rejection of application. NCVET to organize Feedback Meeting on a date and time as deemed fit by NCVET. This step however is not mandatory and meeting will be organized only on receipt of a request by the rejected applicant.

During such meeting/s, 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 along with recording of the minutes of feedback Meeting.

2.2. APPEAL SYSTEM

Post feedback meeting, an applicant organization may seek recourse in form of an appeal to NCVET for re-examination of rejected application. This 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.

The modalities of appeal and process would be decided by NCVET and will evolve a mechanism to consider such appeals. The appeal would have to be made by the applicant organization within 15 days of the Feedback Meeting.

2.3. RE - APPLICATION BY THE APPLICANT ORGANIZATION

The applicant organizations which are rejected after the decision of the Review Panel or Council can apply for the NCVET recognition after six months from the date of the rejection.

Applications rejected at the scrutiny stages by either the dedicated case member or the Screening Team can apply for the NCVET recognition after three months from the date of the rejection.

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 beginning, including the payment of application fee.

2.4. EVIDENCE TO ENSURE COMPLIANCE TO THE ELIGIBILITY CRITERIA

Compliance to the eligibility criteria laid down in the AB guidelines will be demonstrated by the applicant organizations by submitting the following portfolio of evidences. These evidences are to be provided by the organizations along with the application. The organization shall have to submit the most relevant evidences which clearly demonstrate the compliance to the both sets of criteria.

In addition to the evidences enlisted below, NCVET may ask for other sets of documents if it deems fit. Moreover, depending on the nature and profile of the applicant organization, the respective set of documents would have to be submitted as detailed as below:

S. No.	Criteria	Evidences
Eligibility Criteria (Refer section 3.9 of the AB guidelines for detailed eligibility criteria)		
1	Legal Status	Certificate of Registration and/or
		Article of Incorporation
		Society Deed Agreement or NGO Registration Certificate issued by respective State
		In case of consortium, proof of lead partner in the consortium agreement
		Permanent Account Number (PAN) and Goods and Services Tax (GST) registration details
		Self-Declaration Affidavit by authorized person that the organization: i. has not been blacklisted by any agencies indicated in the AB guidelines ii. Organization is not-for profit entity
		For international agencies -
		Mutual Agreement copy with Indian partner firm
		Shareholder Agreement with Indian partner firm
		Permission from Ministry of Home Affairs and evidence of separate bank account for foreign funds (FCRA)
2	Financial Viability	Audited account statement signed by an independent financial auditor for three years
		Cash flow statement
		Annual report of the organization
		Minimum account balance certificate from public/ private sector bank
		Copy of liability insurance with clear mention of premiums paid till the accreditation period at least Three Years (3 years)
3	Prior Experience	Work orders as per the numbers indicated in para 3 of section 3.9 of Guidelines in accordance with the classification of States (Annexure Annexure XII) 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.
		Relevant experience certificates and/or record of experience in skill development industry as per the numbers indicated in para 3 of section 3.9 of Guidelines in accordance with the classification of States (Annexure XII)
		Terms of associations with relevant entities such training partners, assessment agencies for carrying out the activities mentioned in the

		work orders/experience certificates as per the numbers indicated in para 3 of section 3.9 of Guidelines in accordance with the classification of States (Annexure XII).
		Self-Declaration by head of the organization on the training and certification numbers/ qualifications created/ assessments carried out
		Self-Declaration of the number of learners trained, certified, and placed with details of geographical spread of the organization
4	Sectoral Credibility and Industry Linkages	MoUs with industry partners from the relevant sector (large, medium, and small enterprises) with clear terms of reference and tenure of association in building the capacity of the AB
		Proof of a written document wherein industries of either small, medium, and large scales of business from the relevant sector have been engaged as a member in the Governing Council/ Executive Committee of the Organization
		Engagement of members from relevant industry as subject matter expert established through work orders/contracts
		Workshop reports/ meeting reports with sectoral industry partners
5	Creation of Qualification	Documented process of qualification creation and review process
		Written plan with identified partners for conducting qualification wise/sector wise relevant demand and supply study supporting qualification creation. E.g. plan for skill gap analysis
		Proof of the consultations with industries and associations to design the qualification with stakeholders such as industry, academia, practitioners' etc. E.g. Minutes
6	Infrastructure Requirements	Lease agreement of at least 3 years of the premises
		Building plan approved by competent government authority
		Title Deed of the premises
		Google Map snapshot showing location of organization's premise and allied transport connectivity
		Copy of internet/telephone bill, not older than 3 months
		Self-declaration of the IT infrastructure as owned/hired by the organization
		URL of functional website with contact details of key functionaries and other stipulations as mentioned in the AB Guidelines section 6
		Self declaration for ensuring Data System & security of ecosystem
7	Governance and Manpower	Copy of Organogram
		Self-attested declaration by directors of their roles and tenure in the Board of the Organization
		MoM of the Board meetings held every fiscal year

		Internal audit reports signed by the Board
		Engagement letter of Head/CEO/COO with clear mention of roles & responsibilities, tenure and certificate of character
		Letters of engagement of key staff
		Proof of allowance/allocated budget for CPD and allied proof of membership with online/classroom based CPD courses for each function
		Self-Declaration Affidavit by authorized person stating suitability of Head/CEO/COO or any top management official as defined in point 7(v) of section 4 of AB Guideline. i. Has not been blacklisted by any agencies indicated in the AB guidelines ii. Organization is not-for profit entity
8	Third Party Arrangement	Protocols created for the training partners and assessment agencies, by the Organization
		Sample Agreement / Work Order for the third-party agencies
		SOP for monitoring and evaluating third parties and/or training partners
9	Industry Linkages	Written document wherein industries engagement of has been ensured in key decisions of the organizations either through Membership/MoUs/Meetings/Workshops etc
10	Comprehensive Business Plan	Comprehensive Business Plan document mentioning the following details must be submitted by the Organization:
		<ul style="list-style-type: none"> Targeted geographies with details of distinct officials and the relevant qualifications to be delivered Trainers and Assessors inducted/to be inducted Proposed number of learners to be certified and placed Prospective employers for placing certified trainees Financials allocated for each of the activities Documents on market research and models/assumptions justifying projections stated above
11	Grievance Redressal	Documentary proof for establishment of a grievance redressal cell and policy of how grievances are resolved.
		Letter of appointment of third-party arbitrator/legal counsel representative in the grievance redressal council
		Documentary proof for establishment of a POSH committee for the organization's staff and declaration of such committees being present for all its affiliated bodies.
		Details of helpline number

Applicability of eligibility may vary (refer to section 3.10 Guidelines). Applicability of the above evidence against each criterion, mentioned above, may vary across types of organization. Such applicability and admissibility of evidence will be decided by NCVET.

SECTION 3: MONITORING AND EVALUATION

3.1. OVERVIEW

NCVET as a learner centric and industry driven regulator affirmed to being flexible and adaptive, seeks to promote a collaborative approach of working. The ABs 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 TVET ecosystem in the country. The recognized ABs would be asked to set up in-house monitoring and evaluation systems in line with the performance metrics of NCVET to drive their operations and those of the third parties affiliated by it. The quality assurance and standards by NCVET would be driven towards a continuous evaluation of the recognized ABs and their industry relevance.

In line with the above approach, the emphasis will be on self-regulation of the AB and there will be an in-built system of self-improvement to encourage such self-regulation. The NCVET would also have a robust mechanism for continuous monitoring to ensure quality. In addition to the continuous monitoring, annual review of the recognized ABs would be critical, to arrive at their risk ratings. The continuous monitoring and annual review will be carried out considering the evidences furnished by the recognized AB enumerated in Section 4 and Section 3 of the manual.

Normally, physical inspections will not be undertaken unless there are serious discrepancies in the functioning of ABs and/or its third-party agencies or they fall in high risk categories.

Further, as a regulator, NCVET expects high levels of integrity in the functioning of the AB. The ABs which can showcase such high caliber performance and integrity in actions; and those which would consistently strive to achieve the standards and benchmarks as set by NCVET would be incentivized appropriately.

3.2. MONITORING MECHANISM

Brief snapshot of the monitoring mechanism as described in AB guidelines is as below

i. Annual Review

- Risk Assessment Framework
- Self improvement
- Process of Annual Review

ii. Continuous Performance Monitoring of the Recognized ABs

iii. Self Regulation

3.3. PROCESS

Monitoring Team will be set up by NCVET for annual review. The recognized AB shall furnish the relevant information as prescribed in Self Evaluation Form (**Annexure IV**) within one month of completion of 1 year of recognition period, failing which the AB shall be liable to be suspended.

3.3.1. Annual Review

I. The process flow for the annual review is as follows:

Who is Eligible?	
Recognized AB which has submitted the self evaluation form	
Input	Output
Self-evaluation form and portfolio of evidence provided by the recognized AB in compliance to the continuation criteria	Risk rating of the recognized AB
Steps/Task to be performed	
Owner	Tasks
Recognized AB	<ol style="list-style-type: none"> 1. The AB submits self-evaluation form, data, and evidence to demonstrate compliance to the continuation criteria and other KPIs (if any) within one month of completion of 1 year of recognition period. In case of missing evidence, the AB should submit the same within 7 working days of receiving the intimation from the monitoring team.
NCVET Monitoring Team	<ol style="list-style-type: none"> 2. The team will carry out a review of the data provided by the recognized AB. 3. In case of missing evidence, the team will explain clearly to the concerned AB why the evidence submitted is insufficient, and what additional type of evidence is needed. 4. The team will arrive at a risk rating of the AB based on the findings of the review. 5. After the computation of the risk rating of the AB, following follow up processes will be carried out:

	<p>For low and medium risk ABs:</p> <ul style="list-style-type: none"> Approval from Director and Member, NCVET is sought for the risk ratings <p>For high risk ABs:</p> <ul style="list-style-type: none"> The team may plan a site inspection and submit the request in the review report.
Director, NCVET	<p>For low and medium risk ABs:</p> <p>6. The review report of the AB would be submitted to the Director who reviews it and forwards the same to the Member, NCVET with/without comments.</p> <p>For high risk ABs:</p> <p>7. In addition to the review report the Director also reviews the request for the inspection and forwards the same to the Member, NCVET.</p>
Executive Member, NCVET	<p>For low and medium risk ABs:</p> <p>8. Executive Member, NCVET peruses the document and gives necessary approvals for the risk rating.</p> <p>For high risk ABs:</p> <p>9. Executive Member, NCVET decides on the need and nature of site inspection for high risk rating category ABs.</p>
NCVET Monitoring Team	<p>10. If approved, the team will schedule a site inspection.</p> <p>11. In case of regular inspection, the date and time will be communicated 10 working days prior to the said date.</p> <p>12. No date and/or time would be communicated to the AB in case of a surprise inspection.</p>
Exit Criteria	
<p>For low and medium risk ABs:</p> <ul style="list-style-type: none"> The process ends with the approval of risk ratings of the AB by Member, NCVET and public disclosure as per the process described in Section 3 of Manual <p>For high risk ABs:</p> <ul style="list-style-type: none"> This process ends with either approval of a site inspection or finalization of the risk rating. 	
Timeline of Completion	
<ul style="list-style-type: none"> This step should be completed within 20 working days from the date of submission of the self-evaluation form and evidence In case of a site inspection additional 5 working days may be granted. 	
Verification and Validation	
NCVET	

- Ensure that relevant team is deputed to carry out the review and monitoring exercise within the timeline.

AB

- Ensure that the documents and evidences submitted are in due cognizance of the requirements.

For the continuous monitoring of the AB, NCVET would establish an in-house monitoring unit with dedicated resources to carry out the required functions.

II. Inspection

As a proponent of self-regulation, NCVET believes that the ABs should set up in-house mechanisms to ensure quality assurance. Hence site inspection of the recognized ABs or its third-party agencies will be carried only on a need basis and under extraordinary situations. Site inspections may be carried out under the following instances:

- (i)** Receipt of information by NCVET of any malpractice being carried out by recognized ABs or third-party agencies
- (ii)** Receipt of serious or constant complaints against the recognized AB or its third-party agencies by NCVET

The inspection carried out due to the above-mentioned instances can be organized at any point of the year. The output of such an inspection will be evaluation of the complaints and remedial/punitive action proposed by NCVET on a case to case basis.

- (iii)** Post annual review, certain recognized ABs fall in the high-risk category
- (iv)** If felt necessary, inspection can be carried as part of constant monitoring of the performance by NCVET

Inspection for the high-risk category of ABs will be carried out after the annual review. Output of such inspections will be validating the high-risk rating awarded to the said AB/bodies.

Wherever site inspection becomes necessary, it will be carried out as per the process below. For cases, where site inspection is undertaken, the NCVET monitoring team can also gather information from or reach out to third parties operating under the ABs.

The process flow for the site inspection is described below:

Who is Eligible?

Site inspections will be carried out for the following:

- Recognized ABs which fall in the high-risk category
Or
- Recognized ABs against whom severe complaints have been raised to NCVET
Or
- Recognized ABs who may have indulged in fraudulent activities and those have been brought to the notice of NCVET
Or
- As part of constant monitoring of the performance by NCVET

Input	Output
<ul style="list-style-type: none"> ▪ Portfolio of evidence provided by the recognized AB ▪ Site inspection plan prepared by NCVET- interviewee list and questions, list of evidence to be collected and observed ▪ Evaluation and analysis of evidence collected. 	<ul style="list-style-type: none"> ▪ Overall monitoring report of the recognized AB ▪ Final risk rating of the recognized AB

Steps/Task to be performed

Owner	Tasks
Recognized AB/ Third Party Entities	<ol style="list-style-type: none"> 1. Submits all the evidence requested by NCVET. 2. Facilitate site inspection by calling in on stakeholders to be interviewed by the NCVET monitoring team. 3. Ensure that head and any other key functionary that NCVET monitoring team requests be available during the site inspection.
NCVET Monitoring Team	<ol style="list-style-type: none"> 4. The team must ensure that the AB's management has been briefed. 5. The team will collect the evidence and interview the pre-determined list of personnel of the AB and/or their affiliated agencies if necessary, to validate the evidence that is collected. 6. The team will determine whether further investigation is required if there any gaps in the collected evidence. 7. If there are any gaps and the AB cannot provide or does not have the additional evidence, the same would be recorded in the report. 8. The team will analyze all the collected evidence and prepare a report which has to be signed by the competent authority of AB and NCVET.
Director, NCVET	<ol style="list-style-type: none"> 9. The inspection report of the AB would be submitted to the Director, NCVET who reviews it and forwards the same to the Executive Member, NCVET with/without comments.
Executive	<ol style="list-style-type: none"> 10. The final risk rating based on compliance to the continuation

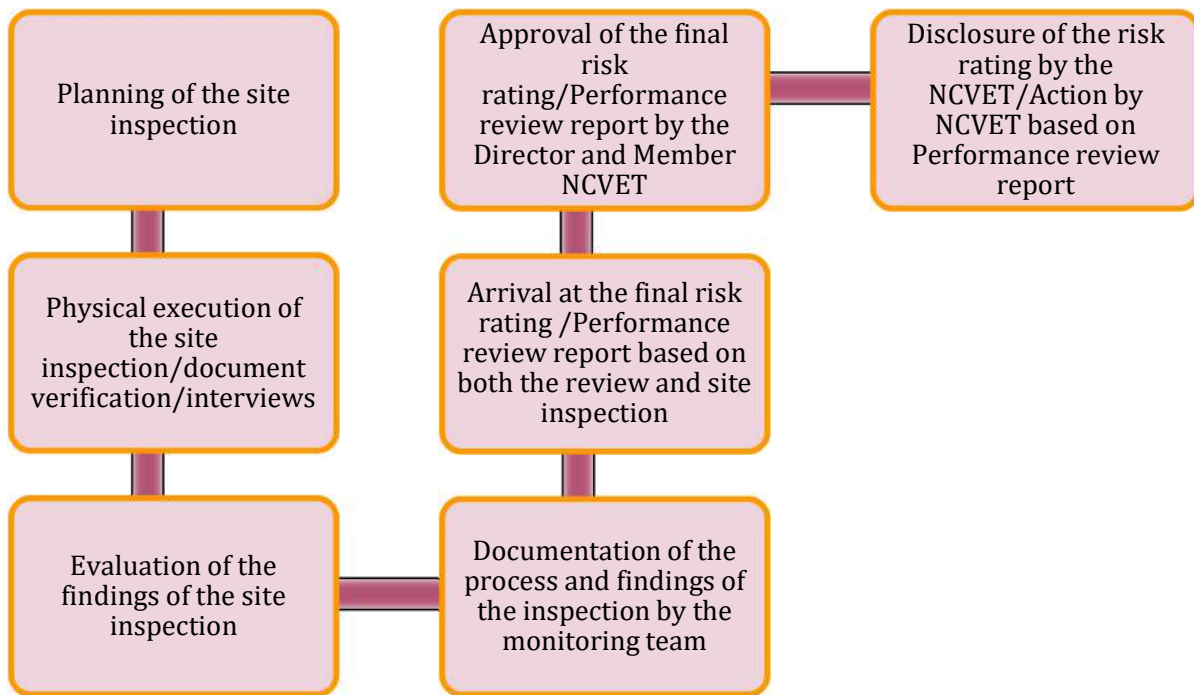
Member, NCVET	criteria and other KPIs (if any) or performance review report is sent to the Executive Member NCVET for her/his comments and approval.
Exit Criteria	
<ul style="list-style-type: none"> ▪ Finalization and communication of the final risk rating of the AB by NCVET ▪ Communication to the AB of action taken by NCVET as per performance review done. 	
Timeline of Completion	
<ul style="list-style-type: none"> ▪ The site inspection report, should be submitted to the Member, NCVET for her/his approval within 10 working days of the completion of the inspection. Member, NCVET would communicate his/her decision with 5 working days of the submission of the report. 	
Verification and Validation	
NCVET	
<ul style="list-style-type: none"> ▪ Ensure that relevant team is deputed to carry out the review and inspection exercise within the timelines. 	
AB	
<ul style="list-style-type: none"> ▪ Ensure the documents and evidence is timely submitted in due cognizance of the requirements. 	

Post finalization of the Risk Rating as high by NCVET and communication of the same to the concerned AB, if deemed appropriate, the monitoring team may schedule a meeting with the concerned AB to discuss the following:

- Organizational strengths
- Any opportunities for improvement identified by the monitoring team, including the gaps in evidence.
- Findings and recommendation.
- Strategies of improvement for the functioning of the AB

Subsequently, AB would prepare the required documents for improvement and submit to NCVET in line with Risk Mitigation Process as elaborated in para 3.5.4. of Section 3 of OM.

The pictorial representation of inspection process flow has been showcased below:



3.4. EVIDENCE TO ENSURE COMPLIANCE TO THE CONTINUATION CRITERIA

Compliance to the Continuation Criteria laid down in the AB guidelines will be demonstrated by the applicant organizations by submitting the following evidences. These evidences are to be provided by the organizations during the annual monitoring process. The organization shall have to submit the most relevant evidences which clearly demonstrate the compliance.

The reporting schedule for the recognized awarding body would be annual. However, NCVET may solicit information and/or evidence against any parameter/s at any point of time as part of continuous monitoring. The detailed list of evidences against the parameters listed in continuous criteria is as below:

S. NO.	CRITERIA	EVIDENCES
Continuation Criteria (Refer section of the AB guidelines for the detailed continuation criteria)		
1	FINANCIAL	
		Detailed audited financial statement signed by an independent financial auditor for the period
		Document establishing compliance with the Business Plan
		Tax filing records (not applicable to Govt. bodies)
		Records of significant financial decision along with the decision making authority (not applicable to Govt. bodies)
2	ORGANIZATIONAL	
A.	Governance	Organizational Structure with clearly demarcated lines of authority
		Details of Management along with any changes made
B.	Human Resource	HR policy & Staff manual
		Details of workforce along with any changes made (retention/ attrition)
		Evidence of certification of staff through professional development courses
3	TECHNOLOGY AND DATA MANAGEMENT	
A.	Technology	Functional Tech platform/ Portal/ MIS with a dynamic outcome dashboard and Website
		Details of dedicated IT team
B.	Data Management	Functional portal/ MIS reflecting learners data as per 3(b)(i) of Section 4.3 of AB Guidelines and consolidated list of trainee credentials to map geography wise qualification, student uptakes and dropouts, training completion and placement numbers
		Self declaration on compliance with GOI directives on data security
4	TRAINING	
A.	Relationship with training entities (Delegated regulation)	Documented affiliation protocol for the training partners which includes the parameters as mandated by NCVET (Annexure V)
		Copy of agreements between training entities and AB
		Details of monitoring and evaluation mechanism at AB level
B.	Learning Resources	Sample copies of learning resources
		Document to establish adequacy of learning material

		ToT calendar
		Sample copies of learning resources
		Document to establish adequacy of learning material
D.	Mobilization	Mobilization plan
		Record of enquiries
E.	Counseling	Copy of counseling guidelines
5	ASSESSMENT	
A	Relationship with Assessment Agencies (Delegated Regulation)	Copy of agreements between AA and AB which includes the parameters as mandated by NCVET (Annexure VI)
		Copy of details of the assessors/ assessment agencies with names of their heads operating within the AB ecosystem
		Documented appeal policy for any reported malpractices
B	Assessment Strategy	Written policy for assessment of learners
C.	Assessment Accessibility	Record of activities undertaken during assessment lifecycle from placing request for assessors to publishing of results with timelines
D.	Impartial Assessments	Same as B and C above
E.	Data Management and MIS	Functional Tech platform/ Portal/ MIS which maintains the assessment data
F	Declaration and Publishing of results	Publically accessible platform for displaying result
G	Training of Assessors (ToA)	Document detailing ToA mechanism
		ToA calendar
6	QUALIFICATION CREATION AND APPROVAL	
	Market relevancy, review and withdrawal of qualification	Details of total qualifications, NSQF aligned qualifications and active qualifications
		Written plan regarding withdrawal of qualification
		Document on withdrawal of qualifications should specify how the interest of learners and related stakeholders in relation to that qualification will be protected

7	INDUSTRY ENGAGEMENT	
		Written document wherein industries engagement of has been ensured in vital operations of the organizations either through membership/ MoUs/ meetings/ Workshops etc
8	INCLUSIVITY	
		Gender ratio wrt training batches and trainers
		Number of PwD wrt training batches and trainers
		Details of PwD and women friendly infrastructure
9	GRIEVANCE REDRESSAL AND FEEDBACK MECHANISM	
A.	Grievance	Document establishing presence of robust grievance redressal system
		Reports on grievances resolved and open complaints with reasons for the pendency in resolution
		Change of members in Grievance Redressal Committee or POSH Committee
B.	Feedback	Details of students and employers surveys, results thereof and action taken report on the same
10	OTHERS	
		Sample copy of certificate issued by the ABs
		Self-attested list of documents on which NCVET logo is being used
		Documented policy on management of fraudulent case

3.5. RISK ASSESSMENT MATRIX

Taking cognizance of the risk assessment frameworks available globally, the following matrix has been designed along the lines of the KPIs and compliance parameters mentioned. The parameters defined in the matrix may be amended from time to time by NCVET. The AB must adhere to the most updated version of the same.

The objectives of the risk assessment matrix are two-fold:

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

3.5.1. Quantifiable Outcome Indicators

NCVET seeks to promote an outcome-based monitoring through the certain quantifiable indicators. The performance indicator-based monitoring system will be SMART i.e. Specific, Measurable, Achievable, Relevant and Time bound. Such a system would allow honing the overall impact chain by attributing improvements in input indicators and process indicators through targeted improvements in midterm and long-term outcomes; bringing objectivity into the systems of measurement.

The risk matrix has a mix of input and process indicators and will be used for continuous and periodic monitoring; a similar approach may be adopted by the recognized ABs in their monitoring systems and bylaws for training and assessment delivery.

3.5.2. Risk Rating and Mitigation

The risk rating and the related mitigation strategy would be based on the score given in the annual review and cumulatively along with the site inspection wherever it has been conducted. The score would be adjudged based on the parameters identified in the risk assessment matrix. The matrix is divided in the 10 broad heads, namely financial, organizational, technology and data management, training, assessment, qualifications, industry engagement, inclusivity, grievance redressal and feedback, others. The indicators mentioned in the risk assessment framework would be evaluated along three variables- low, medium, and high with each of them being given a numerical value for calculating an overall risk score. The detailed Risk Assessment Matrix is as below:

WEIGHTAGE CRITERIA				RISK LEVELS		
Parameter	Criteria	Weightage	Low	Medium	High	
FINANCIAL						
1	Ongoing viability of accounts and operations	Critical	4	<ul style="list-style-type: none"> • Clear demonstration of continuing viability of operations including financial viability through the course of the time period of review and beyond 	<ul style="list-style-type: none"> • Maintains financial records as per mandated business plan however the sources of cash flow and required resources for the projections are not clearly delineated. 	<ul style="list-style-type: none"> • Cash flows and resources are not as per the projections in the business plan.
				<ul style="list-style-type: none"> • Has mandated availability of business plan with financial projections/cash flow forecast/well maintained financial records indicating turnover, wherever applicable. 	<ul style="list-style-type: none"> • The turnover has been mentioned 	<ul style="list-style-type: none"> • Financial records including salary records of employees for last year operations not maintained (where applicable)
2	Accounting Details	Medium	2	<ul style="list-style-type: none"> • The AB has a clear understanding of bookkeeping and maintains the records meticulously. 	<ul style="list-style-type: none"> • Financial records are maintained, and financial statement is signed off by an independent auditor. 	<ul style="list-style-type: none"> • Bare/no maintenance of financial records and decisions.
				<ul style="list-style-type: none"> • Tax return slips, GST filling et.al is on point. Has maintained all other accrual accounting practices and able to provide an audited accounts statement signed off by an independent financial auditor. 	<ul style="list-style-type: none"> • Accrual accounting practices are in place. 	<ul style="list-style-type: none"> • Barely has/does not have any guaranteed sources of income

				<ul style="list-style-type: none"> • Has a clear account of the financial decisions taken 	<ul style="list-style-type: none"> • Documentation of the financial decisions is not in place/not submitted 	<ul style="list-style-type: none"> • However, AB is able to provide internal financial records such as a balance sheet
ORGANIZATIONAL						
• Governance						
3	Change of controls clarity of ownership and well defined management structure	High	3	<ul style="list-style-type: none"> • The management structure is stable over time • Any change is intimated at least two months in advance and in writing to NCVET • Submits evidence of the presence of regional SPOCs of ABs • The senior leadership is easily identifiable, and the management roles and their lines of authority are clearly marked out and understood by the larger operational staff 	<ul style="list-style-type: none"> • The established ownership/ management structure has experienced some sudden or unexpected changes • Submits evidence of the presence of regional SPOCs of ABs • The senior leadership is easily identified, and the lines of command are documented but the staff is not very proficient in adhering to the same 	<ul style="list-style-type: none"> • Ownership/management changed several times resulting in operational problems/ frequent leaves and non-responsive senior leadership • Submits no evidence of the regional SPOCs of ABs • The leadership is unidentifiable without any accountability being mapped and operational staff do not know the reporting lines
4	Business planning and management control over plans	Medium	2	<ul style="list-style-type: none"> • The AB has a sound business plan encompassing - ✓ Clear evidence of market research and budget projections, including details of assumptions underlying 	<ul style="list-style-type: none"> • The AB has a basic business plan which incorporates the following: ✓ Basic market research on the qualifications created/ to be created 	<ul style="list-style-type: none"> • The AB has no adherence to the pre-ordained business plan in place to realize any goal so identified.

				<p>projections for the upcoming fiscal year</p> <p>✓ Clarity and dedicated timeline bound approach for achieving objectives and strategies in place including financials, resources and staff required for the implementation of the envisioned business plan</p> <p>✓ A comprehensive risk plan and mitigation strategies</p> <p>• Appropriate controls in place for operationalizing the plan and distinct officials recognized for mitigating the incumbent risks</p>	<p>✓ Basic understanding and clarity on the objectives and strategies for achieving the same</p> <p>• While appropriate controls are documented and recognized, there is little internal adherence through a standardized M&E format</p>	<p>• Also, there is no M&E framework in place for the ensuring adherence to the business plan as submitted</p>
5	<p>Experience of the Management *Variability of the experience is subject to the discretion of NCVET for industry conglomerate</p>	Medium	2	<p>• The senior leadership has been drawn from the vocational education space wherein they have extensive experience in short and long-term training</p>	<p>• Senior leadership has some experience of either long/ short term skill ecosystem</p>	<p>• The senior leadership has no TVET experience</p>

• Human Resource						
6	Appointment and retention of the staff	Low	1	<ul style="list-style-type: none"> Key staff members have been with the organization for a year or more from the period of initial recognition and clear contracts of engagement for each of the members is available 	<ul style="list-style-type: none"> The key staff has been with the organization for less than year and clear contracts of engagement for each of the members is available 	<ul style="list-style-type: none"> The retention of key staff members is less than three months at a stretch and no clear contracts are available with the staff members at all levels
7	Organizational support staff	Low	1	<ul style="list-style-type: none"> Organizational staff such as project head, accounts & financial staff, administrative support staff is available on records and clear declaration of the organizational strength is communicated in a letter head of the AB. 	<ul style="list-style-type: none"> Organizational staff is available however not to the optimal strength for training delivery and support as mentioned in the initial recognition application submission 	<ul style="list-style-type: none"> 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.
				<ul style="list-style-type: none"> The organizational staff as per functional qualifications for each of positions continue in the organization 	<ul style="list-style-type: none"> Clear communication received that the personnel will be recruited within a fixed period. 	<ul style="list-style-type: none"> The current staff is not qualified as per the functional requirements for each of the role mentioned.
8	Continuous professional development (CPD) of the staff	Medium	2	<ul style="list-style-type: none"> Clear adherence to the CPD plans as mentioned in the business plans and submission of records of the courses undertaken 	<ul style="list-style-type: none"> CPD plans in place however default on the adherence of the same-not more than once with reasons communicated to NCVET within 14 days of non-compliance 	<ul style="list-style-type: none"> CPD plans in place however no adherence to the same and default on the same for more than once
				<ul style="list-style-type: none"> CPD is available for both contractual and permanent employees 		<ul style="list-style-type: none"> No communication of default to NCVET

				<ul style="list-style-type: none"> Staff manuals and clear HR policies available on website with availability of digital attendance monitoring of the staff 	<ul style="list-style-type: none"> Staff manuals and HR policies are there but not readily available 	<ul style="list-style-type: none"> No staff manuals are available
TECHNOLOGY & DATA MANAGEMENT						
• Technology						
9	Availability of the required technology platforms	High	3	<ul style="list-style-type: none"> The technology platform used for the delivery of either training or assessment services is highly stable, secure and usability remains high regardless of bandwidth. 	<ul style="list-style-type: none"> The technology platform used for the delivery of either training or assessment services is stable, secure, though usability is affected in rural and remote areas. 	<ul style="list-style-type: none"> The technology platform used for the delivery of either training or assessment services is not stable or secure and is unreliable in rural and remote areas
				<ul style="list-style-type: none"> Has the ability to handle load as well as all probable on the ground scenarios such as vernacular languages, loss of Internet connectivity, power failure etc. 	<ul style="list-style-type: none"> Has some ability to handle load and has vernacular languages. 	
10	Website Maintenance	Medium	2	<ul style="list-style-type: none"> Fully functional website with clear linkages between the different pages 	<ul style="list-style-type: none"> Functional website with clear linkages between the different pages 	<ul style="list-style-type: none"> Website is not functional and has 404 errors
				<ul style="list-style-type: none"> Availability of contact numbers and names of the organizational SPOCs 	<ul style="list-style-type: none"> Availability of contact number and names but they have not 	<ul style="list-style-type: none"> Non-availability of contact numbers and SPOC names on the

				<ul style="list-style-type: none"> Availability of updated training calendars with clear specificities of training programs with centre 	<p>been updated</p> <ul style="list-style-type: none"> Training calendars and training programs with centre are available but have not been updated since last month (from the date of review) 	<p>website</p> <ul style="list-style-type: none"> Training calendar and training programs with centre are not available
<ul style="list-style-type: none"> Data Management 						
11	Student uptake and dropout rates for courses	Critical	4	<ul style="list-style-type: none"> There is genuine demand for the course documented through the admissions in the same. Barely any dropouts or the rate of dropouts is 20 percent or less of the total estimated uptake 	<p>While there is demand for the course, but the batches are not full and dropout rate is more than 20 but less than 50 percent of the total estimated uptake</p>	<p>There is barely any demand for the course and the batch admission is 50 percent or less with dropout rates being 50 percent or more of the total estimated uptake</p>
12	Certification rate	Medium	2	<ul style="list-style-type: none"> The number of learners certified is more than 70 percent of the learners enrolling 	<ul style="list-style-type: none"> The number of learners certified is between 70 and 50 percent of learners enrolling 	<ul style="list-style-type: none"> The number of learners certified is less than 50 percent of learners enrolling
13	Placement rates	High	3	<ul style="list-style-type: none"> The number of learners getting placed is 70 percent of the graduating batch or are self-employed in a particular fiscal year 	<ul style="list-style-type: none"> The number of learners getting placed or self-employed is more than 30 percent but less than 70 percent in a particular fiscal year 	<ul style="list-style-type: none"> The number of learners getting placed or self-employed is 30 percent or less in a particular fiscal year

14	Delivery of trainings as per the jurisdiction allowed	High	3	<ul style="list-style-type: none"> Evidence of ongoing and/or completed trainings in the areas wherein the jurisdictions of certification had been mentioned in the business plan. 	<ul style="list-style-type: none"> Evidence of ongoing and/ or completed training in areas of deemed jurisdictions available however the uptake is not less than 50 percent and not more than 75 percent at given point of time 	<ul style="list-style-type: none"> Evidence of ongoing and/ or completed training is available but enrolment and retention is less than 50 percent of the total batch strength
15	Compliance to data management systems and data security	High	3	<ul style="list-style-type: none"> Clearly delineated MIS systems in place with organizational staff of 2 people or more at any given point of time Updated online availability of training data on the website Adherence to data protection laws and norms-local and national The organization has robust processes around data security and storage 	<ul style="list-style-type: none"> Clearly delineated MIS systems in place however organizational staff defaults with less than 2 people at a given point of time Online training data is not regularly updated Adherence to data protection laws and norms-local and national The organization has some informal or undocumented processes around data security and storage 	<ul style="list-style-type: none"> Non-adherence to the MIS system guidelines as assured in the initial recognition Organizational staff for data management is less than 1 at any given time Non-availability of the training data online Non-adherence to data protection laws The organization has no processes around data security and storage

TRAINING						
• Relationship with Training Entities						
16	Delegated regulation	High	3	<ul style="list-style-type: none"> Has copies of agreement signed with all training entities 	<ul style="list-style-type: none"> Has some copies of agreement signed with all training entities 	<ul style="list-style-type: none"> Has no copies of agreement signed with all training entities
				<ul style="list-style-type: none"> Agreement covers all the NCVET guidelines with details 	<ul style="list-style-type: none"> Agreement covers all the the NCVET guidelines with inadequate details 	<ul style="list-style-type: none"> Agreement covers none of the NCVET guidelines
				<ul style="list-style-type: none"> Monitoring and Evaluation mechanism well defined and fully functional at AB level 	<ul style="list-style-type: none"> Monitoring and Evaluation mechanism is loosely defined not properly functional at AB level 	<ul style="list-style-type: none"> Monitoring and Evaluation mechanism is either not defined and/or non functional at AB level
				<ul style="list-style-type: none"> Has a well defined system of record keeping of training operations and such record is available 	<ul style="list-style-type: none"> Has a system of record keeping of training operations and such record is not completely available 	<ul style="list-style-type: none"> Does not have a system of record keeping of training operations
• Learning Resources						
17	Availability of resources	Medium	2	<ul style="list-style-type: none"> Has all resources needed to deliver training/ assessment in line with specifications of the competent authority. 	<ul style="list-style-type: none"> Has all key resources as required in line with specifications of the competent authority. 	<ul style="list-style-type: none"> Key resources listed by the competent authority not available / in short supply
				<ul style="list-style-type: none"> Availability of the resources in the vernaculars also 	<ul style="list-style-type: none"> Resources are not available in the vernaculars during the time of review but plan for the same has been submitted to NCVET in writing 	<ul style="list-style-type: none"> Resources are not available in the vernaculars and no plan is submitted for the due cognizance of the same

• Training of Trainers						
18	Trained staff for training delivery	Critical	4	<ul style="list-style-type: none"> Trained staff as per the qualifications needed in the qualification is available. 	<ul style="list-style-type: none"> Trained staff as per qualifications needed in the qualifications is available 	<ul style="list-style-type: none"> Teaching staff is not qualified as per the norms of the qualifications
				<ul style="list-style-type: none"> Digital attendance of the staff is available ToT calendar formulated and communicated to all training entities, also available on website Master trainer available as per requirement and record having complete details is available 	<ul style="list-style-type: none"> Manual attendance of the staff is available ToT calendar formulated but not well communicated to all training entities or available on website Master trainer available as per requirement and record of complete details is available 	<ul style="list-style-type: none"> No records of attendance of the staff is available ToT calendar not formulated and communicated to all training entities, also not available on website Master trainer not available as per requirement
• Mobilization & Counseling						
19	Student mobilization and counselling	Low	1	<ul style="list-style-type: none"> The AB has clear policy for formulating mobilization plans delineating the techniques to be used and the clusters to target for student acquisition for each of job roles accredited for, together with diagnostic assessment tools for matching the aptitude of the students with the job role. 	<ul style="list-style-type: none"> The AB has a policy for creating mobilization plans but does not use any diagnostic tools for matching ability of prospective students and the job roles. 	<ul style="list-style-type: none"> The AB has a policy for formulating mobilization plan but has no evidence to submit for the clear adherence to the same.

				<ul style="list-style-type: none"> Maintains a record of the prospective students who enquired for the courses <p>Counselling guidelines are in place with clear records of counselling related data and resources at implementation level</p>	<ul style="list-style-type: none"> Maintains a record of the prospective students who have enquired for the courses Counselling guidelines are in place but clear records of counselling related data and resources at implementation level is not available 	<ul style="list-style-type: none"> Does not maintain a register of prospective candidates who enquired for the course <p>Counselling guidelines are not in place</p>
<ul style="list-style-type: none"> ASSESSMENT 						
20	Impartiality of assessment	Critical	4	<ul style="list-style-type: none"> Robust and impartial systems of assessments in place with results being given in not more than one month since the time of assessment by the third-party assessors. 	<ul style="list-style-type: none"> Impartial systems of assessments in place however the results take more than one month and less than three months to be declared. 	<ul style="list-style-type: none"> Impartial systems in assessments are in place and no documentary evidence submitted and results take more than three months to come
				<ul style="list-style-type: none"> Separate assessment wing available if the body has dual recognition and continuance of the same is documented 	<ul style="list-style-type: none"> Separate assessment wing available if the body has dual recognition and continuance of the same is documented 	<ul style="list-style-type: none"> Separate assessment wing available if the body has dual recognition however the continuance of the same is not documented
				<ul style="list-style-type: none"> Request for allocating assessors to a batch is made two weeks before the proposed assessment date. 	<ul style="list-style-type: none"> Request for allocating assessors to a batch is made two weeks before the proposed assessment date. 	<ul style="list-style-type: none"> Request for allocating assessors to a batch is made two weeks before the proposed assessment date.

• QUALIFICATION						
21	Market relevancy & Withdrawal	Medium	2	• All qualifications are NSQF aligned	• All qualifications are NSQF aligned and	• All qualifications are not NSQF aligned
				• All qualifications are active	• Majority qualifications are active.	• Majority qualifications are not active.
				• Well defined written withdrawal plan.	• Written withdrawal plan.	
INDUSTRY ENGAGEMENT						
22	Industry Connections	High	3	• Has clear routed connections with the industry with regular interactions of courseware updations in pre-scheduled intervals of every 4 months	• Has industry connections however has defaulted on regular meet ups and consultations not more than once/twice due to reasons clearly communicated to NCVET	• Has clearly established industry linkages but there are no records of industry consultations
				• Submits minutes of meetings of all industry consultations		
INCLUSIVITY						
23	Gender Parity and Affirmative action for marginalized section	Medium	2	• Taken effort to engage women and PwDs as trainers and admitted them as trainees- at least 40 percent of a batch has women trainees and at least one PwD (if permitted by trade) as trainer and 3 percent as candidates of any batch	• Actively tried to engage women and PwD as trainers and admitted them as students:	• Does not have women and PwD trainers in its folds.
				• Has taken efforts to make the building 100 percent PwD friendly for both the AB's building and the training centres		

					<ul style="list-style-type: none"> • Has less than 3 percent PwD candidates as trainees 	<ul style="list-style-type: none"> • Building is not PwD friendly for both the AB and the training centres
					<ul style="list-style-type: none"> • Has taken efforts and has at least 50 percent building as PwD friendly for both the AB's building and the training centres 	
<ul style="list-style-type: none"> • GRIEVANCE REDRESSAL & FEEDBACK 						
<ul style="list-style-type: none"> • Grievance Redressal Mechanism 						
24	Validation and redressal of trainee and external stakeholders' complaints and upheld	Medium	2	<ul style="list-style-type: none"> • Presence of a robust grievance redressal system for complaints with proper documentation of the same 	<ul style="list-style-type: none"> • Presence of a grievance redressal system wherein all complaints have been documented however the resolution takes more than a month. 	<ul style="list-style-type: none"> • Major complaint/s received by the NCVET about the non-compliance of grievances by the AB
				<ul style="list-style-type: none"> • Presence of a clearly mandated POSH committee and evidence of its functioning through a letter signed by all members of the same 	<ul style="list-style-type: none"> • Presence of a clearly mandated POSH committee and evidence of its functioning through a letter signed by all members of the same 	<ul style="list-style-type: none"> • Presence of grievance redressal and POSH committee but no evidence submitted of its functioning
				<ul style="list-style-type: none"> • Resolutions quickly enacted through the organization's internal complaints and appeals process- within 3 weeks 		

25	Staff and training partner complaints that have been verified and upheld <i>*the magnitude of complaints will be on the discretion of NCVET</i>	Low	1	<ul style="list-style-type: none"> There are no or minimal staff and training partner complaints about the organization and the same has been documented by the organization with clear proof 	<ul style="list-style-type: none"> There have been some staff and training partner complaints about the organization being verified and upheld by the organization and have not been escalated to NCVET 	<ul style="list-style-type: none"> There have been ongoing staff and training partner complaints about the organization being verified and upheld and escalated to NCVET
<ul style="list-style-type: none"> Feedback 						
26	Administered student and employer surveys	Low	1	<ul style="list-style-type: none"> Employer and student surveys undertaken over the long-term at pre-scheduled intervals: once every quarter (4 months) with high response rates Regular Meetings with Industry representatives/ organizations where trainees have been placed held (once in two months) 	<ul style="list-style-type: none"> Employer and student surveys undertaken once within 6 months of training/assessment completion with mixed response rates Meetings with Industry representatives/ organizations where trainees have been placed held (Once in 4 months) 	<ul style="list-style-type: none"> No structured survey undertaken/undertaken within a month of training & assessment with very few responses, Frequency of surveys low- Once a year Frequency of meetings with industry low or not held at all

				<ul style="list-style-type: none"> Submits evidence of such surveys conducted through a written declaration and submission of few samples received and an action taken report (ATR) based on the feedback so received 	<ul style="list-style-type: none"> Submits evidence of such surveys conducted but no action taken report. 	<ul style="list-style-type: none"> Submits no evidence or ATR of the feedback so received
					<ul style="list-style-type: none"> However, submits a declaration saying that the ATR would be submitted within 21 days of the submission of evidence 	
OTHER						
• Usage of Logo						
27	Logo usage	Low	1	<ul style="list-style-type: none"> Strict adherence to the logo usage guidelines as mentioned and prints the highest resolution of the NCVET and related AB logo 	<ul style="list-style-type: none"> Adherence to logo usage guidelines but has low resolution of the logo of NCVET and that of the related AB 	<ul style="list-style-type: none"> Non-adherence to logo usage guidelines
• Certification						
28	Certificate usage	Medium	2	<ul style="list-style-type: none"> AB gives certificate only after due process of impartial assessments and is satisfied of the merit of the assessment within one month of the announcement of the results 	<ul style="list-style-type: none"> AB gives certificate only after due process of impartial assessments and is satisfied of the merit of the assessment but takes more than one month but less than three months from the announcement of the results 	<ul style="list-style-type: none"> AB gives certificate only after due process of impartial assessments and is satisfied of the merit of the assessment but takes more than three months from the announcement of the results

				<ul style="list-style-type: none"> • Certificates are available through secured online platforms 	<ul style="list-style-type: none"> • Certificates are available through secured online platforms 	<ul style="list-style-type: none"> • Certificates are not available through secured online platforms
<ul style="list-style-type: none"> • Probity 						
29	Incidents of malpractice <i>*Severity of the reported malpractices would be decided by NCVET</i>	Critical	4	<ul style="list-style-type: none"> • There are no reported incidents of malpractice. • Any complaints if received on this were investigated by the AB through the due process of redressal and found to be not valid 	<ul style="list-style-type: none"> • 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 	<ul style="list-style-type: none"> • Multiple instances of malpractice reported; • Demonstrated and documented delay in investigation observed. • No evidence submitted of necessary action taken for valid malpractice instances
30	Accuracy and integrity of marketing	Low	1	<ul style="list-style-type: none"> • All marketing materials accurately reflect the training programs and associated career outcomes, or the options for further learning pathways • No false claims about placements or employer association is made 	<ul style="list-style-type: none"> • All marketing materials accurately reflect the training programs • No false claims about placements or employer association is made 	<ul style="list-style-type: none"> • All marketing materials unrealistically presents the training programs and associated career outcomes, or the options for further learning pathways

These indicators will be reviewed by NCVET from time to time and more indicators may be included based on the discretion of NCVET.

Given the primary importance for some of the indicators mentioned in the risk assessment framework, an AB cannot be on high risk for them. If the ABs are found to be on high risk in the below mentioned parameters, its overall risk rating will shift to high risk category. These parameters are mentioned below:

FUNCTIONAL AREA	PARAMETERS
Financial	Ongoing viability of accounts and operations
Data Management	Student uptake and dropout rates for courses
Training	Trained staff for training delivery
Assessment	Impartiality of assessments
Probity	Prevention of any malpractice or mal-administration

Further parameters may be added by NCVET as and when it deems fit. For those ABs which fall in the high-risk zone for the parameters, they would be evaluated again in a period of three to six months depending on the intensity of the risk and the decision taken by NCVET.

3.5.3. Risk Rating Process

This process is applicable on the recognized ABs to be scrutinized in the annual review process and delineates how the overall risk score would be adjudged based on the risk assessment matrix.

Risk will be calculated based on two factors namely – Weightage of the Criteria and Risk Range Score

I. Weightage of Criteria

Each parameter is assigned a constant weightage basis their importance and impact on AB operations. Weightage is categorized as follows:

WEIGHTAGE CRITERIA	WEIGHTAGE SCORE
Low	1
Medium	2
High	3
Critical	4

II. Risk Range of each Criteria

Each of the parameters listed in the risk assessment framework would be given a range based on the risk rank (low/medium/high) that the lead officer and monitoring team

believe the AB should get based on the documentary evidence and the interactions with the stakeholders.

RISK CRITERIA	RISK RANGE
Low	1
Medium	2
High	3

Note: Given the primary importance for indicators mentioned in the assessment framework, an AB cannot be on high risk for them. These critical parameters (weightage=4) are mentioned below:

FUNCTIONAL AREA	PARAMETERS
Financial	Ongoing viability of accounts and operations
Data Management	Student uptake and dropout rates for courses
Training	Trained staff for training delivery
Assessment	Impartiality of assessments
Probity	Prevention of any malpractice or maladministration

III. Cumulative Risk Score

- i. The overall risk score would be declared based on the above two factors.

$$\text{Total Risk Score} = \sum (\text{Weightage} \times \text{Risk range})$$

- ii. Possible values for each parameter

WEIGHTAGE	RISK RANGE		
	Low (1)	Medium (2)	High (3)
Low (1)	1	2	3
Medium (2)	2	4	6
Possible High(3)	3	6	9
Critical (4)	4	8	12

The detailed Risk Rating Process is as below:

Who is Eligible?														
Recognized AB to be scrutinized in the annual review process														
Input	Output													
Data and evidence provided by the recognized AB for compliance to the parameters mentioned in the risk assessment framework	Overall risk score of the recognized AB													
Steps/Task to be performed														
Owner	Tasks													
Recognized AB	1. The AB submits self-evaluation form, data, and evidence to demonstrate compliance to the risk assessment parameters.													
NCVET Monitoring Team	2. The team will carry out a review of the data provided by the recognized AB and may also conduct a site inspection if required and collect the necessary evidence. 3. Based on the portfolio of evidence and observations and interactions with stakeholders (in cases of site inspection), the lead officer and team would score each of the parameters given in the risk assessment framework. The overall risk score would be an accumulation of the individual parameters' scores.													
	<table border="1"> <thead> <tr> <th>Criteria</th> <th>Overall Risk Rating</th> <th>Grade</th> </tr> </thead> <tbody> <tr> <td>The overall score of the AB falls within the range of 70 to 115</td> <td>Low risk</td> <td>A</td> </tr> <tr> <td>The overall score of the AB falls within the range of 116 to 163</td> <td>Medium risk</td> <td>B</td> </tr> <tr> <td>The score of the AB falls within the range of 164 to 210 Or The AB has been rated as high in any of the critical parameters</td> <td>High risk</td> <td>C</td> </tr> </tbody> </table>	Criteria	Overall Risk Rating	Grade	The overall score of the AB falls within the range of 70 to 115	Low risk	A	The overall score of the AB falls within the range of 116 to 163	Medium risk	B	The score of the AB falls within the range of 164 to 210 Or The AB has been rated as high in any of the critical parameters	High risk	C	
Criteria	Overall Risk Rating	Grade												
The overall score of the AB falls within the range of 70 to 115	Low risk	A												
The overall score of the AB falls within the range of 116 to 163	Medium risk	B												
The score of the AB falls within the range of 164 to 210 Or The AB has been rated as high in any of the critical parameters	High risk	C												
	4. The monitoring team notes the risk score and submits the report to the Director, NCVET.													
Director, NCVET	5. The Director, NCVET shall review the report of the AB and forwards it to the Member NCVET with/without comments.													
Member, NCVET	6. The score as submitted by the monitoring team is discussed													

	and is presented to the Member NCVET. She/he may approve it with or without modifications.
NCVET Monitoring Team	7. Post approval of the Member, NCVET, the risk score is communicated to the AB by the monitoring team. A meeting may be scheduled for discussing the risk mitigation strategy.
Exit Criteria	
This process ends with communicating the overall risk score to the recognized AB. The grades as against the risk scores may be made public as per the decision of NCVET.	
Timeline of Completion	
<ul style="list-style-type: none"> The risk score as suggested by the monitoring team would be submitted to Director and Member, NCVET along with the review report within 10 working days of the end of the entire review cycle. Additional 5 working days may be granted in case of a physical site inspection. 	
Verification and Validation	
NCVET	
<ul style="list-style-type: none"> Ensure that relevant monitoring team is deputed to carry out the review and continuous monitoring exercise. 	

3.5.4. Risk Mitigation Process

The process of risk mitigation would be addressing of how NCVET would be managing the ABs based on their risk score and what would be the strategies for improvement.

Who is Eligible?		
Recognized ABs with an assigned risk rating.		
Input	Output	
Overall risk rating given by NCVET to the AB	Improvement strategy as agreed upon by both NCVET and the said AB	
Steps/Task to be performed		
Owner	Tasks	
NCVET Monitoring Team	<ol style="list-style-type: none"> The team will write to organization requesting for a brief on compliance with previous year's improvement strategy and current year's mitigation measures. The templates of mitigation measures are given below. The mitigation strategy would be designated based on the following criteria: 	
	Risk Rating	Mitigation strategy
	Low Risk	Tolerable risk. No specific review activity is required and AB will continue to follow the
		Document to be submitted
		Quality Improvement

	regular review activity	Plan (Annexure VII)
Medium Risk	<ul style="list-style-type: none"> ▪ The mitigation would be through a program of review and/or monitoring activity, identify quality improvement strategies, professional development activities and other to facilitate the improvement of training/ education/ assessment services. ▪ The AB would be submitting a risk prevention plan and identify a team of resources to oversee the improvements 	Preventive Risk and Improvement Progress Plan (Annexure VIII)
High Risk	<ul style="list-style-type: none"> ▪ Penalties and/or warnings would be imposed on the AB as per the decision of NCVET. ▪ The mitigation report should be submitted. ▪ Other conditions such restricted access to government funding etc. may be imposed ▪ In extreme cases, immediate withdrawal of recognition status maybe considered. 	Risk Mitigation and Management Plan (Annexure IX)
	<p>3. The mitigation measures, especially in cases of the high risk would be submitted to the Director and Member, NCVET for her/his approval</p> <p>4. The cases of high and medium risk categories maybe presented to the Council for its view and any corrective/punitive action it may seek to take.</p>	
Director, NCVET	5. The Director, NCVET may discuss the suggested mitigation measures with the monitoring team and forwards the same to Member, NCVET with or without modifications.	
Member, NCVET	6. Member, NCVET may discuss the suggested mitigation measures with the monitoring team and approve the same with or without modifications.	
NCVET Monitoring Team	7. Post the approval of Member NCVET and Council (if required) the mitigation measures are then communicated to the AB by the monitoring team. A meeting may be scheduled by the monitoring team	
Recognized AB	8. The recognized AB takes the necessary action and submits the documents as per its stipulated overall risk score.	
Exit Criteria		
This process ends with communicating the decision of mitigation measures to the recognized AB and submission of relevant document 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 submission of filled in templates for mitigation strategies by ABs.
- The measures would be communicated to the AB within 5 working days from the date of receipt of the approval of Member, NCVET.
- The recognized AB must submit the relevant document as per their overall risk category within 15 working days of receiving the required mitigation plan.

Verification and Validation

NCVET

- Ensure that relevant monitoring team submits the overall score and suggested measures for mitigation after the review exercise.

AB

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

3.5.5. Actions by NCVET

The risk mapping exercise of the recognized ABs will be carried out once a year. The following actions will be taken for ABs based on two factors - risk level achieved and frequency of occurrence of the risk.

RISK LEVEL	FREQUENCY OF OCCURRENCE (CONSECUTIVE)			
	Once	Twice	Thrice	More than thrice
Low	No action	Incentivizing	Automatic renewal of application*	Further incentivization
Medium	Private warning	Public warning	Public warning + Penalty	Suspension
High	Public warning	Public warning + Penalty	Suspension followed by De-recognition	NA

**Subject to fulfillment of mandatory conditions*

Risk Rating of the fifth year (5th year) will be considered while evaluating the fresh applications for recognition of ABs.

The current risk score achieved will 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 ABs which fall in the high and medium risk category in year one, NCVET may invite them for a feedback meeting to discuss potential areas of improvement and follow up actions. If an AB has consistently been a low risk entity for two or more review cycles, NCVET may incentivize their performance through measures as deemed appropriate by Member, NCVET and the Council.

For the entities whose overall risk rating is high or medium, for the renewal process, they would have to submit further evidence as stipulated by NCVET.

3.5.6. Fast Track Renewal

Initially an AB will be recognized by NCVET for a period of 3 years. Post completion of the said duration, AB will submit an application for fast track renewal, which if approved will extend the recognition for another 2 years from the original date of recognition. The renewal will be based on ABs performance as per the risk rating framework elaborated as below: -

- Automatic fast track renewal will be granted to an AB falling in low risk category for consecutive three years.
- An AB falling in high risk category for consecutive 3 years will not be considered for fast track approval.
- For all other cases overall performance of ABs across the 3 years will be considered, however the entities whose overall risk rating is high or medium for the last year before fast track approval, would have to submit further evidence as stipulated by NCVET.

3.6. NCVET LOGO USAGE AND CERTIFICATE GUIDELINES

The recognized awarding bodies would be mandated to follow the latest logo and certificate guidelines as drawn up by NCVET.

ANNEXURE I: INITIAL REGISTRATION TEMPLATE

S. No.	Fields	Additional Sub-fields
1.	Type of applicant organization	SSC, Government, Private,
2.	Focus of Organization	Rural, Urban, Women, Minority, J&K, North East and LWE, Disability, Any Other
3.	Name of the Institution	
4.	Address	Detailed Postal Address with Pincode along with: Telephone Number (0) Email Address Website URL
5.	Contact Details of Head/Officiating Head	<ul style="list-style-type: none"> ▪ Name ▪ Phone Number ▪ Email ID
6.	Details of Contact/Nodal Officer	<ul style="list-style-type: none"> ▪ Name of person responsible for the application process: ▪ Job title/designation of officer: ▪ Phone number and email address for officer
7.	Sectoral Expertise	<ul style="list-style-type: none"> ▪ Name of the sector/s ▪ No. of years of operation
8.	Current status of affiliation/ recognition/ empanelment/ partnership/ association etc: (if any)	<ul style="list-style-type: none"> ▪ affiliation/recognition/empanelment/partnership/association etc with SSC, NSDC, DGT, GoI Ministry, SCVT/SSDM/State Department, any other government scheme

ANNEXURE II: APPLICATION FORM

COVER LETTER

(Date)

Dear Sir/Madam

Sub: Application for NCVET Recognition

I, the undersigned, hereby acknowledge that I have read and understood the requirements and conditions contained in the Awarding Body-Eligibility and Continuation Criteria and the Operational Manual. I represent(*Name of the applicant body*) and have the legal authority to ensure commitment of my organization to uphold the requirements and conditions of NCVET recognition.

I am aware that if the information contained in this application and self-evaluation is false/mis-represented, then NCVET retains the right to forfeit the application fee and my organization will no longer be eligible for recognition.

I, the undersigned, will also ensure that the organization acts in accordance with the Guidelines and procedures detailed in the NCVET Awarding Body Operations Manual and understand that failure to do so will result in non-compliance leading to consequences as detailed down in the Guidelines.

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 applicant organization (*name of organization*) to review these terms and conditions in order to maintain compliance.

Signed

(Name and Position)

On behalf of (name of organization)

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	

B. The organization must also submit the following documents:**1. Legal**

S. No	Name of Document	Submitted (Yes/No)
i.	Certificate of Registration and/or	
ii.	Article of Incorporation	
iii.	Society Deed Agreement or NGO Registration Certificate issued by respective State	
iv.	In case of consortium, proof of partner in-charge (lead partner in the consortium agreement)	
v.	Permanent Account Number (PAN) and Goods and Services Tax (GST) registration details	
vi.	For international agencies :	
vii.	Mutual Agreement copy with Indian partner firm	
a	Shareholder Agreement with Indian partner firm	
b	Permission from Ministry of Home Affairs and evidence of separate bank account for foreign funds (FCRA)	
c	Self-Declaration Affidavit by authorized person that the	

organization: i. Has not been blacklisted by any agencies indicated in the AB Guidelines ii. Organization is not-for profit entity	
--	--

2. Financial Viability

The entity must submit the following documents:

S. No	Name of Document	Submitted (Yes/No)
i.	Audited account statement signed by an independent financial auditor for three years	
ii.	Cash flow statement	
iii.	Annual report of the organization	
iv.	Minimum account balance certificate from the public/private sector bank	
v.	Copy of liability insurance with clear mention of premiums paid till the accreditation period at least (3 years)	

3. Prior Experience

S. No	Name of Document	Submitted (Yes/No)
i.	Work orders 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.	
ii.	Relevant experience certificates and/or record of experience in the skill development industry	
iii.	Terms of associations with relevant entities such training partners, assessment agencies for carrying out the activities mentioned in the work orders/experience certificates	
iv.	Self-Declaration by head of the organization on the training and certification numbers/ qualifications created/ assessments carried out	
v.	Self-Declaration of the number of learners trained, certified, and placed with details of geographical spread of the organization	

3.1. Each of the projects/programmes that the organization has done has to be listed in the format listed below. Completion certificate/appointment certificates for each of the engagements have to be attached

Project Name:		Country:
Name of Client: (if Any)		Project Location within country:
Start Date (MM/YYYY):	Completion Date(MM/YYYY):	Approx. Value of Services:
Name of any Associated Firm(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 firm:		

3.2. Batch Details

No. of batches trained (Year wise)	No. of batches undergoing training	No. of assessed candidates	Key Employers	Name of courses offered

4. Sectoral Credibility and Industry Linkages

S. No	Name of Document	Submitted (Yes/No)
i.	MoUs with industry partners from the relevant sector (large, medium, and small enterprises) with clear terms of reference and tenure of association in building the capacity of the AB	
ii.	Proof of a written document wherein industries of either small, medium, and large scales of business from the relevant sector have been engaged as a member in the Governing Council/ executive committee of the organization	
iii.	Engagement of members from relevant industry as subject matter expert established through work orders/contracts	
iv.	Workshop reports/ meeting reports with sectoral industry partners	

4.1. The organization must **enlist the proposed and the already functional industry affiliations** that it currently has.

Sr. No	Name of Organization	Name and Contact details of the SPOC	Sector	Start date of association	Tenure of association	Complete address	MoU submitted (Yes/No)

5. Creation of Qualification

S. No.	Name of Document	Submitted (Yes/No)
i.	Documented process of qualification creation and review process	
ii.	Written plan with identified partners for conducting qualification wise/sector wise relevant demand and supply study supporting qualification creation. E.g.: plan for skill gap analysis	
iii.	Minutes of the consultations held with industries and associations to design the qualification with stakeholders such as industry, academia, practitioners' etc.	

5.1. The organization must **enlist the proposed and the already NSQF aligned courses** (if any) with the relevant details

Sr. No	Sector	Qualification Name	Industry Validation done (Yes/No)	No. of batches trained and certified

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

5.2. The applicant organization must submit **evidence of the presence of standard operating procedures** for the qualification creation, delivery, and withdrawal.

6. Infrastructure Requirements

S. No	Name of Document	Submitted (Yes/No)
i.	Lease agreement of at least 3 years of the premises	
ii.	Building plan approved by competent government authority	
iii.	Title Deed of the premises	
iv.	Google Map snapshot showing location of organization's premise and allied transport connectivity	
v.	Copy of internet/telephone bill, not older than 3 months	
vi.	Self-declaration of the IT infrastructure as owned/hired by the organization	
vii.	URL of functional website with contact details of key functionaries and other stipulations as mentioned in the AB guidelines section 6	
viii.	Data system & security of ecosystem	

7. Governance and Manpower

S. No.	Name of Document	Submitted (Yes/No)
i.	Copy of Organogram	
ii.	Self-attested declaration by directors of their roles and tenure in the board of the organization	
iii.	MoM of the Board meetings held every fiscal year	
iv.	Internal audit reports signed by the Board	
v.	Engagement letter of Head/CEO/COO with clear mention of roles & responsibilities, tenure and certificate of character	
vi.	Letters of engagement of key staff	
vii.	Proof of allowance/allocated budget for CPD and allied proof of membership with online/classroom based CPD courses for each function	
viii.	Self-Declaration Affidavit by authorized person stating suitability of Head/CEO/COO or any top management official as defined in point 7(v) of Section 4 of AB Guideline. i. has not been blacklisted by any agencies indicated in the AB guidelines ii. Organization is not-for profit entity	

7.1. Senior Management Details (Includes Board Members and Head)

Name	Title/ Designation	Phone and Email ID	Address

7.2. The **resumes** of the senior personnel should be submitted in the format listed below:

Position /Title		Photo
Name of Professional		
Date of Birth		

a. Education

Year	Degree/ Diploma	University/ College/ Institution

b. Employment Record

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

8. Third Party Arrangements

S. No.	Name of Document	Submitted (Yes/No)
i.	Affiliation protocols for the training partners and assessment agencies created by the organization	
ii.	Sample Agreement/Work Order for the third-party agencies	
iii.	SOP for monitoring and evaluating third parties and/or training partners	

8.1. Affiliation Details

Name of Organization	Affiliation Date (DD/MM/YY)	Location	Nature of Affiliation (TP, Vendor, AA)	MoU Submitted (Yes/No/In Process)

8.2. The applicant organization must **submit evidence of the presence of standard operating procedures for the Monitoring Framework** for third parties and training partners

9. Industry Linkages

Name of Document	Submitted (Yes/No)
Written document wherein industries engagement of has been ensured in key decisions of the organizations either through Membership/MoUs/Meetings/Workshops etc	

10. Continuous Professional Development

S.No	Name of Document	Submitted (Yes/No)
i.	Comprehensive Business Plan document mentioning the following details must be submitted by the organization:	
ii.	Targeted geographies with details of distinct officials and the relevant qualifications to be delivered	
iii.	Trainers and assessors inducted/to be inducted	
iv.	Proposed number of learners to be certified and placed	
v.	Prospective employers for placing certified trainees	
vi.	Financials allocated for each of the activities	

10.1. 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 Awarding Body at least for a time period of one year (Part of the business/financial plan)*

10.2. Comprehensive Business Plan

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

- Sector and Labor market research plan for present qualifications and those to be developed
- Proposed training capacity with geographical spread-must cover proposed number of trainees to be trained, proposed number of trainers to be hired, proposed number of operational staff to be hired
- Financial outlay and budget projections for implementation of the business plan
- Comprehensive risk assessment and mitigation strategies for overall operations
- Comprehensive monitoring plan for enlisted training partners and third-party agencies

11. Grievance Redressal Mechanism

S. No	Name of Document	Submitted (Yes/No)
i.	Self-declaration affidavit for the establishment of a grievance redressal cell and policy of how grievances are resolved	
ii.	Letter of appointment of third-party arbitrator/legal counsel representative in the grievance redressal council	
iii.	Self-declaration affidavit for establishment of a POSH committee for the organization's staff and declaration of the such committees being present for all its affiliated bodies	
iv.	Details of helpline number	

11.1. Committee Details

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

11.2. Sexual Harassment Committee Details

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

C. 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 or of an offence against the law.
- That neither the organization nor I have linkages with other organizations or individuals which might constitute a conflict of interest.

Signature of Nodal Officer:

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 SCRUTINY TEAM AND REVIEW PANEL

The Scrutiny 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.

a. SCRUTINY TEAM

1.1. Composition

Scrutiny Team
<ul style="list-style-type: none">▪ Headed by Officer not below the rank of Director, NCVET▪ Dedicated Case Member (Consultant), NCVET▪ Consultant, NCVET▪ Any other as decided by NCVET

1.2. Terms of Reference

- a. This team is tasked with verifying if the applicant meets the basic eligibility criteria as set for in the Awarding Body 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 and sectoral advice, the screening team would present the case to Review Panel for approval

b. REVIEW PANEL

2.1. Composition

Review Panel
<ul style="list-style-type: none">▪ Headed by Executive Member NCVET▪ Director, NCVET▪ Dedicated Case Member, (Consultant) NCVET▪ Sectoral Expert, Co-opted▪ Any other as decided by NCVET

2.2. Terms of Reference

- 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 awarding body 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 domain of TVET and the related industry that it is a part of. The head or personnel authorized by the head of the applicant organization delivers the presentation.
- e. The recommendations of the panel would be communicated to the Awarding Body

c. COUNCIL

3.1. Composition

Council
<p>The composition of the Council as listed in the NCVET notification is as follows:</p> <ul style="list-style-type: none">▪ A Chairperson to be appointed by the Central Government;▪ Two or more persons — Executive Members to be appointed by the Central Government;▪ Two or more persons — Non-Executive Members to be appointed by the Central Government;▪ One person nominated by the Central Government.

3.2. Terms of Reference

1. This is the highest decision-making authority in the NCVET on the application of organizations to take a decision on the recognition of ABs
2. The Council meets and reviews the PPT/word document prepared by the Review Panel on the eligibility of the applicant and the compliance to the documentary framework
3. The views of the sectoral expert on industrial climate and employment scenario of the country is considered
4. The dedicated officer prepares and presents all the findings and recommendations on the applicant organization.
5. The recommendations of the Council would be communicated to the AB and the decision would be final

ANNEXURE IV: 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 AB Guidelines and Operational Manual. I am the AB 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 NCVET AB Guidelines and Manual and understand that post evaluation by NCVET, any aberrations may result in non-compliance, suspension, and possible withdrawal of affiliation

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 AB 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

S. NO.	CRITERIA	EVIDENCES
Continuation Criteria (Refer Section of the AB guidelines for the detailed continuation criteria)		
1	FINANCIAL	
		Detailed audited financial statement signed by an independent financial auditor for the period
		Document establishing compliance with the Business Plan
		Tax filing records (not applicable to Govt. bodies)
		Records of significant financial decision along with the decision making authority (not applicable to Govt. bodies)
2	ORGANIZATIONAL	
A.	Governance	Organizational Structure with clearly demarcated lines of authority
		Details of Management along with any changes made
B.	Human Resource	HR policy & Staff manual
		Details of workforce along with any changes made (retention/attrition)
		Evidence of certification of staff through professional development courses
3	TECHNOLOGY AND DATA MANAGEMENT	
A.	Technology	Functional Tech Platform/Portal/MIS with a dynamic outcome dashboard and Website
		Details of dedicated IT team
B.	Data Management	Functional portal/MIS reflecting learners data as per 3(b)(i) of Section 4.3 of AB guidelines and consolidated list of trainee credentials to map geography wise qualification, student uptakes and dropouts, training completion and placement numbers
		Self declaration on compliance with GOI directives on data security
4	TRAINING	
A.	Relationship with training entities (Delegated regulation)	Documented affiliation protocol for the training partners which includes the parameters as mandated by NCVET (Annexure V)
		Copy of agreements between Training entities and AB
		Details of monitoring and evaluation mechanism at AB level

B.	Learning Resources	Sample copies of learning resources
		Document to establish adequacy of learning material
		ToT calendar
		Sample copies of learning resources
		Document to establish adequacy of learning material
D.	Mobilization	Mobilization plan
		Record of enquiries
E.	Counseling	Copy of counseling guidelines
5	ASSESSMENT	
A	Relationship with Assessment Agencies (Delegated Regulation)	Copy of agreements between AA and AB which includes the parameters as mandated by NCVET (Annexure VI)
		Copy of details of the assessors/assessment agencies with names of their heads operating within the AB ecosystem
		Documented appeal policy for any reported malpractices
B	Assessment Strategy	Written policy for assessment of learners
C.	Assessment Accessibility	Record of activities undertaken during assessment lifecycle from placing request for assessors to publishing of results with timelines
D.	Impartial Assessments	Same as B and C above
E.	Data Management and MIS	Functional Tech platform/Portal/MIS which maintains the assessment data
F	Declaration and Publishing of results	Publically accessible platform for displaying result
G	Training of Assessors (ToA)	Document detailing ToA mechanism
		ToA calendar
6	QUALIFICATION CREATION AND APPROVAL	
	Market relevancy, review and	Details of total qualifications, NSQF aligned qualifications and active qualifications
		Written plan regarding withdrawal of qualification

	withdrawal of qualification	Document on withdrawal of qualifications should specify how the interest of learners and related stakeholders in relation to that qualification will be protected
7	INDUSTRY ENGAGEMENT	
		Written document wherein industries engagement has been ensured in vital operations of the organizations either through Membership/MoUs/Meetings/Workshops etc
8	INCLUSIVITY	
		Gender ratio wrt training batches and trainers
		Number of PwD wrt training batches and trainers
		Details of PwD and women friendly infrastructure
9	GRIEVANCE REDRESSAL AND FEEDBACK MECHANISM	
A.	Grievance	Document establishing presence of robust grievance redressal system
		Reports on grievances resolved and open complaints with reasons for the pendency in resolution
		Change of members in Grievance Redressal Committee or POSH Committee
B.	Feedback	Details of students and employers surveys, results thereof and action taken report on the same
10	OTHERS	
		Sample copy of certificate issued by the ABs
		Self-attested list of documents on which NCVET logo is being used
		Documented policy on management of fraudulent case

Outcome of the self-evaluation (in not more than 200 words)
Areas requiring improvements
Suggested measures for Improvement

Name of Organization' 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, neither have I ever been indicted for corrupt and/or fraudulent practice nor of an offence against the law. That neither the organization nor I have linkages with other organizations or individuals which might constitute a conflict of interest.

Signature of Nodal Officer:

Date:

Office use only

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

ANNEXURE V: DELEGATED REGULATION – TRAINING ENTITIES

- a. The agreement between training entity and AB should cover recommendations including:
- **Legal Status of the Training Entity:** The training/education institution is a legal entity registered/ affiliated in India as one of the following – (i) Registered under the Company Act, 1956; (ii) Registered under Society Act, 1860; (iii) Charitable Trust; (iv) Consortium/Partnership/Proprietorship; (v) GOI/State affiliation and the training partner should have valid PAN and GST registrations.
 - **Financial Viability:** The training entity must demonstrate the continuing viability, including financial viability, of its proposed operations for the period of empanelment with the AB.
 - **Infrastructure:** The training entity must ensure that their infrastructure is in line with the recommendations of the qualifications offered by the AB.
 - **Mobilization of the Learners:** The training entity should ensure that appropriate mobilization strategies and counseling mechanism for the potential learners are implemented and bring on board those who are genuinely interested to take up the said qualification.
 - **Learning Resources:** The training entity must ensure that learning resources and teaching aids for learners and trainers are appropriate to the qualifications being delivered and are present in sufficient numbers.
 - **Training Pedagogy:** The training entity must ensure that training pedagogy is a mix of theory and practical/OJT. The learning outcomes and duration of the training should be in line with the recommendations/requirements of the qualifications.
 - **Availability of Qualified Trainers and Staff:** The training entity must ensure the availability of dedicated/ adequate number trainers per batch in line with the recommendation of the qualification. The qualification and experience of the trainer should conform to the recommendations of the said qualifications. The training entity should ensure that they have sufficient staff to offer management support and carry out various services offered by the training entity
 - **Continuous Professional Development of Trainers:** The training entity will be mandated to provide avenues of professional development of their trainers through the training of trainer programmes. training entity will facilitate the

certification of their trainers through the ABs or NCVET approved agencies. ToT calendar for trainer's/ master trainers would be planned by the AB and such trainings should be attended by the learners from time to time.

- **Assessment Delivery:** The training entity should offer all the necessary support to the AB and assessment agencies to carry out timely and impartial assessment in line with the recommendation of the NCVET guidelines.
- **Transparency:** The training entity will be mandated to ensure a transparent system and accessible modes to share with learners the details of various qualifications, assessment parameters, placement details and other learner support services. They would be mandated to have a grievance Redressal mechanism for the learners
- **Data Management System:** The training entity will be required to manage the database of the learners across the training value chain including learner's enrollment, training completion, assessment, certification and details of the trainers. Such data should be shared with the ABs affiliated to it.
- **Monitoring and Reporting:** The training entity will be mandated to abide by the reporting requirements in line with agreed KPIs of NCVET and the AB
- **Industry Engagement:** The training entity should ensure industry tie ups through MoUs to facilitate the OJTs and placement of the learners after the completion of the training.
- **Inclusion:** The training entity should ensure that sufficient learner support system is in place for the training delivery of the persons with disability.
- **Rights of the Training Entity:** The training entity can raise its grievances to the AB, and it will be mandated that such grievances are resolved within a one-month time duration from the date of receipt of the complaint. The TP can also raise its grievances to the NCVET for matters pertaining to the AB
- **Placement:** The training entity should ensure sufficient industry tie ups are facilitated to ensure placement of the successful learners. In addition, the TP should ensure credit and market linkages to support those learners seeking self-employment.

ANNEXURE VI: DELEGATED REGULATION – ASSESSMENT AGENCIES

The agreement between Assessment Agencies and AB should cover recommendations including:

- **Adherence to assessment criteria** specified in qualifications like mode of assessment, assessment strategy etc.
- **Availability of assessment tools** in vernacular language and as per trainee requirement
- **Infrastructure:** resources required to deliver assessments are as per requirements and NCVET guidelines
- **Availability of qualified assessors & staff**
- **Continuous professional development** of assessors through training of assessors and similar programs.
- **Data management and IT system:** The recognized AB should ensure that assessment agencies deploy technology to enhance the validity, reliability & comparability of assessments.
- **Timelines** for conducting assessment and furnishing information to AB
- **Transparent and fair assessments-** corrupt and fraudulent activities must be specified clearly along with punitive actions which can be taken in case of violation
- **Appeals:** The recognized AB should ensure that assessment agencies have requisite organizational policies and procedures for handling (i) complaints from learners (ii) complaints from training organizations; (iii) accusations of malpractice against staff, contracted assessment practitioners and associated external personnel

ANNEXURE VII: QUALITY IMPROVEMENT PLAN

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

Document Number <i>(for office use only)</i>	
Name of AB	
Name of Head of AB	
Quality Review Method	
Created by	
Date Created	
Reviewed by <i>(for office use only)</i>	
Review date <i>(for office use only)</i>	
Approved by <i>(for office use only)</i>	
Approval date <i>(for office use only)</i>	

The recognized AB *(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 head of the AB

Signature of Head of AB: _____

Date: _____

For office use only:

Sr. no	Specific criteria/ risk parameter to be addressed	Evidence submitted by AB	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 VIII: RISK PREVENTION PLAN

The Risk Prevention Plan (RPP) is to be submitted by those recognized ABs 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 <i>(for office use only)</i>	
Name of AB	
Name of Head of AB	
Quality Review Method	
Created by	
Date Created	
Reviewed by <i>(for office use only)</i>	
Review date <i>(for office use only)</i>	
Approved by <i>(for office use only)</i>	
Approval date <i>(for office use only)</i>	

The recognized AB *(name of the organization)* 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	Timeli ne	Identified monitoring mechanism	Evidence to be submitted	Signatu re of legal Head of the AB

Signature of Head of AB: _____

Date: _____

For office use only:

Sr. no	Specific criteria/ risk parameter to be addressed	Evidence submitted by AB (yes/no)	Date of evidence receipt	Evidence checked (Yes/No)

Reviewer/s Name: _____

Signature: _____

Date: _____

Comments by Approver(s)

Approver/s Name: _____

Signature: _____

Date: _____

ANNEXURE IX: RISK MITIGATION STRATEGY TEMPLATE

The Risk Mitigation Strategy is mandatory for the recognized ABs 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.

Document Number <i>(for office use only)</i>	
Name of AB	
Name of Head of AB	
Quality Review Method	
Created by	
Date Created	
Reviewed by <i>(for office use only)</i>	
Review date <i>(for office use only)</i>	
Approved by <i>(for office use only)</i>	
Approval date <i>(for office use only)</i>	

The recognized AB *(name of the organization)* 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	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 Head of the AB

Signature of Head of AB: _____

Date: _____

Lead Officer /s Name: _____

Signature: _____

Date: _____

For office use only:

S r. n o	Specific criteria / risk parameter to be addressed	Eviden ce submit ted by AB	Eviden ce checke d (Yes/N o)	Check on cause of identifi ed risk	Status of mitigation plan (approve/rej ect)	Name of perso n who checke d eviden ce	Name of perso n who review ed mitigati on plan	Signatu re of concern ed person	Dat e

Reviewer/s Name: _____

Signature: _____

Date: _____

ANNEXURE X: IMPARTIALITY OF ASSESSMENTS

The AB is responsible for developing, implementing, monitoring, and evaluating quality assessment strategies and practices that meet NCVET accredited qualification requirements. Systematic monitoring of internal systems, strategies and practices must be built in the functioning of the AB to respond to changes in the marketplace or to stakeholder expectations without delay.

Following points should always be adhered to:

1. AB's assessment strategies should provide an accurate or sufficiently detailed framework for delivery and evaluation of results.
2. AB's assessment strategies must be adapted to meet the needs of the various target group and must clearly map to the learning outcomes as defined in the qualification.

The AB must develop an assessment strategy for each of the qualifications developed and may need to develop different strategies for different delivery modes or target groups/student cohorts. Moreover, the assessment strategy must be revisited to align with the changes in industry technology and techniques, legislation, and the qualification itself.

Principles of impartiality:

The AB must at all points of time, adhere to the following principles of impartiality in the assessments. They must be conscious of the following risks which may arise in the assessment and act in accordance.

Self-interest: The AB must be wary of risks of over dependency on a contract/fee or the fear of learners being failed to an extent that it adversely affects the impartiality of carrying out the assessments and collusion is formed with AA/Assessor.

Ownership: The AB must be wary of risks that arise if the AB and the AA belong to the same legal entity or an employee/trainer of the AB is involved in the ownership or management of the AA or the assessor/AA is involved in the ownership or management of the AB.

Self-Review: The AB must be wary of risks that may arise in which it evaluates the results of other services which are being provided by the AA/assessor. At no point of time, should either the AA or the AB be engaged in each other's services in any internal audit or any other service.

Advocacy: The AB or the AA/assessor through any of its personnel must be mindful of not making any claims or act in support or opposition to the services offered by either of the entities. Complaints if any must be submitted to either of the entities through the due process of grievance or to NCVET.

Over Familiarity: The AB must be wary of any of its personnel being overly familiar or too trusting instead of seeking evidence of conformity to said processes of assessment by the AA.

Intimidation: The AB and AA must be cautious of any of its personnel intimidating the learners or the trainers which would deter the impartiality of the assessments. Displaying threatening behavior towards the assessors or learners or trainers by any of the said entities would be regarded as intimidation.

Bribery: The AB must be wary of the risks which may arise due to the act of giving money, services or other forms to recompense to the AA/assessor in exchange for an alteration of their behavior to the benefit/interest of the AB that the recipient would otherwise not alter.

Competition: The AB must be wary of any risks which may arise if it or any part of the same legal entity competes for market shares or resources which are also being pursued by the AA or any parts of its legal entity. Such a pursuit must not affect the conformity to carrying out impartial assessments.

ANNEXURE XI: TEMPLATE FOR DUAL CATEGORY RECOGNITION

A. Initial Registration Form:

S. No.	Fields	Additional Sub-fields
1.	Type of Applicant Organization	Government, Private, Skill University
2.	Focus of Organization	Rural, Urban, Women, Minority, J&K, North East and LWE, Disability, Any Other
3.	Name of the Institution	
4.	Address	Detailed Postal Address with Pin Code along with: Telephone Number (O) Email Address Website URL
5.	Contact Details of Head	<ul style="list-style-type: none"> ▪ Name ▪ Phone Number ▪ Email id
6.	Details of Contact/Nodal Officer	<ul style="list-style-type: none"> ▪ Name of person responsible for the application process: ▪ Job title/ designation of officer: ▪ Phone number and email address for officer
7.	Sectoral Expertise	<ul style="list-style-type: none"> ▪ Name of the sector/ s ▪ No. of years of operation
8.	Geographical Presence	<ul style="list-style-type: none"> ▪ No of States of Operation
9.	Current status of affiliation/ recognition/ empanelment/ partnership/ association etc: (if any)	<ul style="list-style-type: none"> ▪ affiliation/ recognition/ empanelment/ partnership/ association etc with SSC, NSDC, DGT, GoI Ministry, SCVT/SSDM/State Department, any other
10.	Reasons for seeking Dual Category Recognition	<ul style="list-style-type: none"> ▪

B. Cover Letter:

(Date)

Dear Sir/Madam

Sub: Application for NCVET Dual Recognition

I, the undersigned, hereby acknowledge that I have read and understood the requirements and conditions under the Eligibility & Continuation Criteria mentioned in the Guidelines and Operational Manuals for recognition and regulation of Awarding Body and Assessment Agency respectively. I represent (*Name of the applicant body*) and have the legal authority to ensure commitment of my organization to uphold the requirements and conditions of NCVET recognition.

I am aware that if the information contained in this application and self-evaluation is false/mis-represented, then NCVET retains the right to forfeit the application fee and my organization will no longer be eligible for recognition.

I, the undersigned, will also ensure that the organization acts in accordance with the Guidelines and procedures detailed in the NCVET Operations Manuals and understand that failure to do so will result in non-compliance leading to consequences as detailed down in the Guidelines.

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 applicant organization (*name of organization*) to review these terms and conditions in order to maintain compliance.

Signed

(Name and Position)

On behalf of (name of organization)

C: 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), if applicable	
5.	GST Registration Number, if applicable	
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	

D. The organization must submit the following documents for Dual Category Recognition separately for both Awarding function (Part -I) and Assessment function (Part -II)

Part - I Awarding Function:

1. Legal

S. No	Name of Document	Submitted (Yes/No)
i.	Certificate of Registration and/or	
ii.	Article of Incorporation	
iii.	Society Deed Agreement or NGO Registration Certificate issued by respective State	
iv.	In case of consortium, proof of partner in- charge (lead partner in the consortium agreement)	
v.	Permanent Account Number (PAN) and Goods and Services Tax (GST) registration details	
vi.	For international agencies -	
vii.	Mutual Agreement copy with Indian partner firm	
viii.	Shareholder Agreement with Indian partner firm	
ix.	Permission from Ministry of Home Affairs and evidence of separate bank account for foreign funds (FCRA)	
x.	Self-Declaration Affidavit by authorized person that the organization i. has not been blacklisted by any agencies indicated in AB guidelines ii. Organization is not-for profit entity	

2. Financial Viability:

The entity must submit the following documents:

S. No	Name of Document	Submitted (Yes/No)
i.	Audited account statement signed by an independent financial auditor for three years	
ii.	Cash flow statement	
iii.	Annual report of the organization	
iv.	Minimum account balance certificate from the public/ private sector bank	
v.	Copy of liability insurance with clear mention of premiums paid till the accreditation period at least (3 years)	

3. Prior Experience

S.No	Name of Document	Submitted (Yes/No)
i.	Work orders 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.	
ii.	Relevant experience certificates and/or record of experience in the skill development industry	
iii.	Terms of associations with relevant entities such training partners, assessment agencies for carrying out the activities mentioned in the work orders/experience certificates	
iv.	Self-Declaration by legal head of the organization on the training and certification numbers/qualifications created/assessments carried out	
v.	Self-Declaration of the number of learners trained, certified, and placed with details of geographical spread of the organization	

3.1. Each of the **projects/programmes that the organization has done has to be listed** in the format listed below. Completion Certificate/Appointment Certificates for each of the engagements have to be attached

Project Name:		Country:
Name of Client: (if Any)		Project Location within country:
Start Date (MMYYYY):	Completion Date(MM/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 firm:	

3.2. Batch Details

No. of batches trained (Year wise)	No. of batches undergoing training	No. of assessed candidates	Key Employers	Name of courses offered

4. Sectoral Credibility and Industry Linkages

S. No	Name of Document	Submitted (Yes/No)
i.	MoUs with industry partners from the relevant sector (large, medium, and small enterprises) with clear terms of reference and tenure of association in building the capacity of the AB	
ii.	Proof of a written document wherein industries of either small, medium, and large scales of business from the relevant sector have been engaged as a member in the Governing Council/ executive committee of the organization	
iii.	Engagement of members from relevant industry as subject matter expert established through work orders/contracts	
iv.	Workshop reports/ meeting reports with sectoral industry partners	

4.1. The organization must enlist the **proposed and the already functional industry affiliations** that it currently has

Sr. No	Name of Organization	Name and Contact details of the SPOC	Sector	Start date of association	Tenure of association	Complete address	MoU submitted (Yes/No)

5. Creation of Qualification

S. No.	Name of Document	Submitted (Yes/No)
i.	Documented process of qualification creation and review process	
ii.	Written plan with identified partners for conducting qualification wise/sector wise relevant demand and supply study supporting qualification creation. E.g.: plan for skill gap analysis	

iii.	Minutes of the consultations held with industries and associations to design the qualification with stakeholders such as industry, academia, practitioners' etc.	
------	--	--

5.1. The organization must **enlist the proposed and the already NSQF aligned courses** (if any) with the relevant details

Sr. No	Sector	Qualification Name	Industry Validation done (Yes/No)	No. of batches trained and certified

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

5.2. The applicant organization **must submit evidence of the presence of standard operating procedures** for the Qualification creation, delivery, and withdrawal.

6. Infrastructure Requirements

S. No	Name of Document	Submitted (Yes/No)
i.	Lease agreement of at least 3 years of the premises	
ii.	Building plan approved by competent government authority	
iii.	Title Deed of the premises	
iv.	Google Map snapshot showing location of organization's premise and allied transport connectivity	
v.	Copy of internet/telephone bill, not older than 3 months	
vi.	Self-declaration of the IT infrastructure as owned/hired by the organization	
vii.	URL of functional website with contact details of key functionaries and other stipulations as mentioned in the AB guidelines section 6	
viii.	Data system & security of ecosystem	

7. Governance and Manpower

S. No.	Name of Document	Submitted (Yes/No)
i.	Copy of Organogram	
ii.	Self-attested declaration by directors of their roles and tenure in the Board of the organization	
iii.	MoM of the Board meetings held every fiscal year	

iv.	Internal audit reports signed by the Board	
v.	Engagement letter of Head/ CEO/COO with clear mention of roles & responsibilities, tenure and certificate of character	
vi.	Letters of engagement of key staff	
vii.	Proof of allowance/allocated budget for CPD and allied proof of membership with online/classroom based CPD courses for each function	
viii.	Self-Declaration Affidavit by authorized person stating suitability of Head/CEO/COO or any top management official as defined in point 7(v) of Section 4 of AB Guideline. i. has not been blacklisted by any agencies indicated in the AB guidelines ii. Organization is not-for profit entity	

7.1. Senior Management Details (Includes board members and legal head)

Name	Title/Designation	Phone and Email ID	Address

7.2. The resumes of the senior personnel should be submitted in the format listed below:

Position/Title		Photo
Name of Professional		
Date of Birth		

e. Education:

Year	Degree/ Diploma	University/ College/ Institution

f. Employment Record:

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

g. Membership in Professional Associations and Publications

h. Adequacy for the Assignment:

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

8. Third Party Arrangements

S. No.	Name of Document	Submitted (Yes/No)
i.	Affiliation protocols for the training partners and assessment agencies created by the organization	
ii.	Sample Agreement/Work Order for the third-party agencies	
iii.	SOP for monitoring and evaluating third parties and/or training partners	

8.1. Affiliation details

Name of Organization	Affiliation Date (DD/MM/YY)	Location	Nature of Affiliation (TP, Vendor, AA)	MoU Submitted (Yes/No/In Process)

8.2. The applicant organization must submit evidence of the presence of standard operating procedures for the Monitoring framework for third parties and training partners.

9. Industry Linkages

Name of Document	Submitted (Yes/No)
Written document wherein industries engagement of has been ensured in key decisions of the organizations either through Membership/MoUs/Meetings/Workshops etc	

10. Continuous Professional Development

S.No	Name of Document	Submitted (Yes/No)
i.	Comprehensive Business Plan document mentioning the following details must be submitted by the organization:	
ii.	Targeted geographies with details of distinct officials and the relevant qualifications to be delivered	
iii.	Trainers and assessors inducted/to be inducted	
iv.	Proposed number of learners to be certified and placed	
v.	Prospective employers for placing certified trainees	
vi.	Financials allocated for each of the activities	

10.1. 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 Awarding Body at least for a time period of one year. (Part of the business/financial plan)*

10.2. Comprehensive Business Plan:

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

- Sector and Labor market research plan for present qualifications and those to be developed
- Proposed training capacity with geographical spread-must cover proposed number of trainees to be trained, proposed number of trainers to be hired, proposed number of operational staff to be hired
- Financial outlay and budget projections for implementation of the business plan
- Comprehensive risk assessment and mitigation strategies for overall operations
- Comprehensive monitoring plan for enlisted training partners and third-party agencies

11. Grievance Redressal Mechanism

S. No	Name of Document	Submitted (Yes/No)
i.	Self-declaration affidavit for the establishment of a grievance redressal cell and policy of how grievances are resolved	
ii.	Letter of appointment of third-party arbitrator/ legal counsel representative in the grievance redressal council	
iii.	Self-declaration affidavit for establishment of a POSH committee for the organization's staff and declaration of the such committees being present for all its affiliated bodies	
iv.	Details of helpline number	

11.1. Committee details

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

11.2. Sexual harassment committee details

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

Part - II Assessment Function:

1. 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)	
Permanent Account Number (PAN) and Goods and Services Tax (GST) registration details & any other statutory requirement under GoI/State Government	Mandatory	
For international agencies - <ul style="list-style-type: none"> ▪ Mutual Agreement Copy with Indian partner firm ▪ Shareholder Agreement with Indian partner firm <p>Permission from Ministry of Home Affairs, submission of FCRA clearance certificate and evidence of separate bank account for foreign funds</p>	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)	
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	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 organization is a consortium)	
Power of Attorney for Lead Member of	Mandatory (if the applicant	

Consortium	organization is a consortium)	
Minutes of the consultations held with industries and associations to design the assessment strategy for their greater participation in assessment process	Mandatory	
Self-declaration by the head of the organization on the availability of assessments tools including ICT tools for assessment and monitoring	Mandatory	

2. Financial Viability: The organization must submit the following documents:

Name of Document	Nature of Document	Submitted (Yes/No)
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	
Internal audit reports signed by the Board		

3. Senior Management Details (Includes board members and head of the organization)*

Name	Title/ Designation	Phone and Email Id	Address

- *Copy of Organogram Engagement letter of Head of the Organization delineating roles & responsibilities, tenure, and certificate of character (police verification)
- Copy of electricity/ telephone bill mentioning residential address of the Head of the Organization
- 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:

Position /Title		Photo
Name of Professional		
Date of Birth		

3.1. Education:

Year	Degree/ Diploma	University/ College/ Institution

3.2. Employment Record:

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

3.3. Membership in Professional Associations and Publications**3.4. Adequacy for the Assignment:**

Detailed Assigning Organization	Tasks the	Reference to Prior Work/Assignments that Best Illustrates capacity to Handle the Assigned Tasks

3.5. List of assessors/examiner/proctors

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

3.6. SME Details

S. No	Name	Prior Experience	Tenure of engagement

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

4. Prior Experience

Each of the projects/programmes that the organization has done has to be listed in the format listed below. Work order(s) 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 (MM/YYYY):	Completion Date (MM/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 organization:		

5. Sectoral Credibility

5.1.

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

5.2.

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

6. Geographical credibility

6.1.

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

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

6.2. Accessible Assessment Tools

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

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

7. 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

8. Assessment Experience

The organization must enlist the details of the 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

9. 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*

10. Comprehensive Business Plan:

The organization 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

11. 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

12. Miscellaneous

I. For other infrastructure related documents

13. 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 neither 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 XII: CLASSIFICATION OF THE STATES & UTS IN CATEGORY I & II

S.No.		State/UT
1	Category -I	Andaman and Nicobar Islands
2		Lakshadweep
3		Dadra and Nagar Haveli
4		Daman and 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		Jammu and Kashmir
19		NCT of Delhi
20	Category - II	Chhatisgarh
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	



National Council for Vocational Education and Training
(Ministry of Skill Development and Entrepreneurship)
Kaushal Bhawan, Karol Bagh
New Delhi-110005