



OPERATIONALIZING 'NCVET GUIDELINES'

**NATIONAL COUNCIL FOR VOCATIONAL
EDUCATION AND TRAINING**

What is NCVET?

- NCVET is an overarching regulator for long and short term training
- NCVET notified on 5th Dec 2018- to consolidate fragmented regulatory mechanisms
- Existing fragmented regulatory mechanisms:
 - ✓ NSDA implements National Skills Qualification Framework (NSQF)
 - ✓ NCVT affiliates ITIs through the DGT and supervises their functioning
 - ✓ SSC (NSDC) – affiliation, supervisory, awarding and assessment functions
 - ✓ SCVTs regulate skill development at the state level
- Regulatory functions of NSDA, NCVT have been being subsumed under NCVET
- NCVET will regulate functioning of entities engaged in vocational education & training, both long-term and short-term

Governance Structure of NCVET

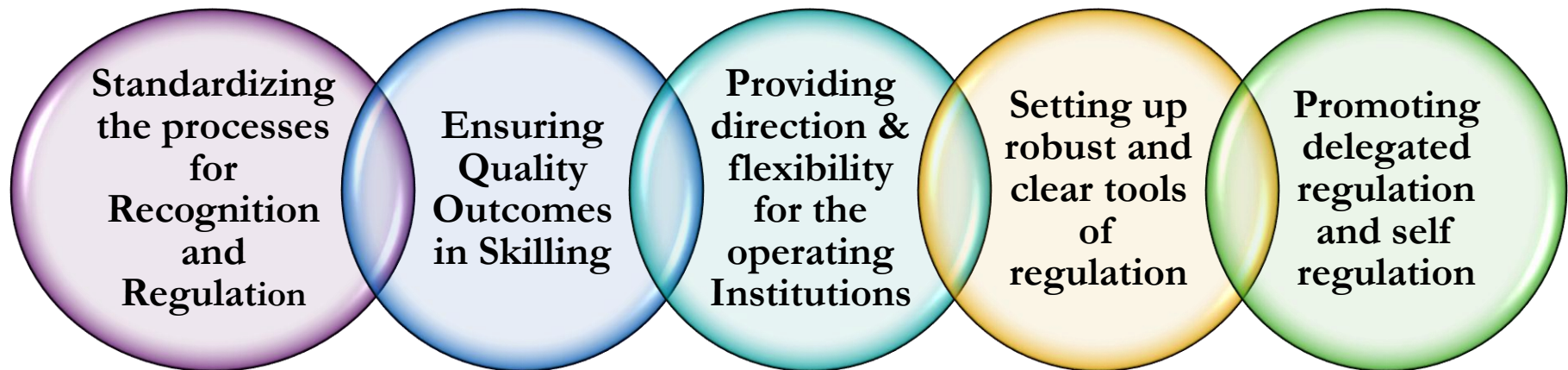
- Council is named **National Council for Vocational Education and Training**
- Council Structure (provision for 6-10 Members)
 - ✓ Head- Chairperson (Secretary/ Additional Secretary level)
 - ✓ 2 Executive Members (Additional Secretary/ Joint Secretary level)
 - ✓ 2 Non-Executive Members; 1 Nominated Member
- Selection of members by Search cum Selection Committee under Cabinet Secretary
- General Body: Headed by Minister, SDE with representatives from Central Ministries, State Governments & industry to advise the Council
- Advisory Committees: Expert committees to be set up for advise as and when required

Functions of NCVET

- Recognition and Regulation of Awarding Bodies
- Recognition and Regulation of Assessment Bodies
- Approval of Qualifications developed by Awarding Bodies
- Indirect regulation of vocational training institutes through Awarding Bodies
- Research and information dissemination
- Grievance Redressal System against recognized bodies

Formulation of AB and AA Guidelines

- In pursuance of the mandate of NCVET and the powers vested in it, 2 sets of guidelines were launched by NCVET namely:
 - ✓ Guidelines for recognition and regulation of Awarding Bodies
 - ✓ Guidelines for recognition and regulation of Assessment Agencies
- These guidelines were important for:



Structure of the Guidelines

The guidelines are structured in two parts- Eligibility and Continuation to ensure certain entry qualifications and certain continued functioning quality parameters

ELIGIBILITY CRITERIA

- ▶ Aims to ensure that entity demonstrate required sustainable capacity to offer market relevant courses and certification.
- ▶ Attempts to delineate the terms of reference of association with the NCVET while also earmarking the basic minimal organizational requirements and necessities

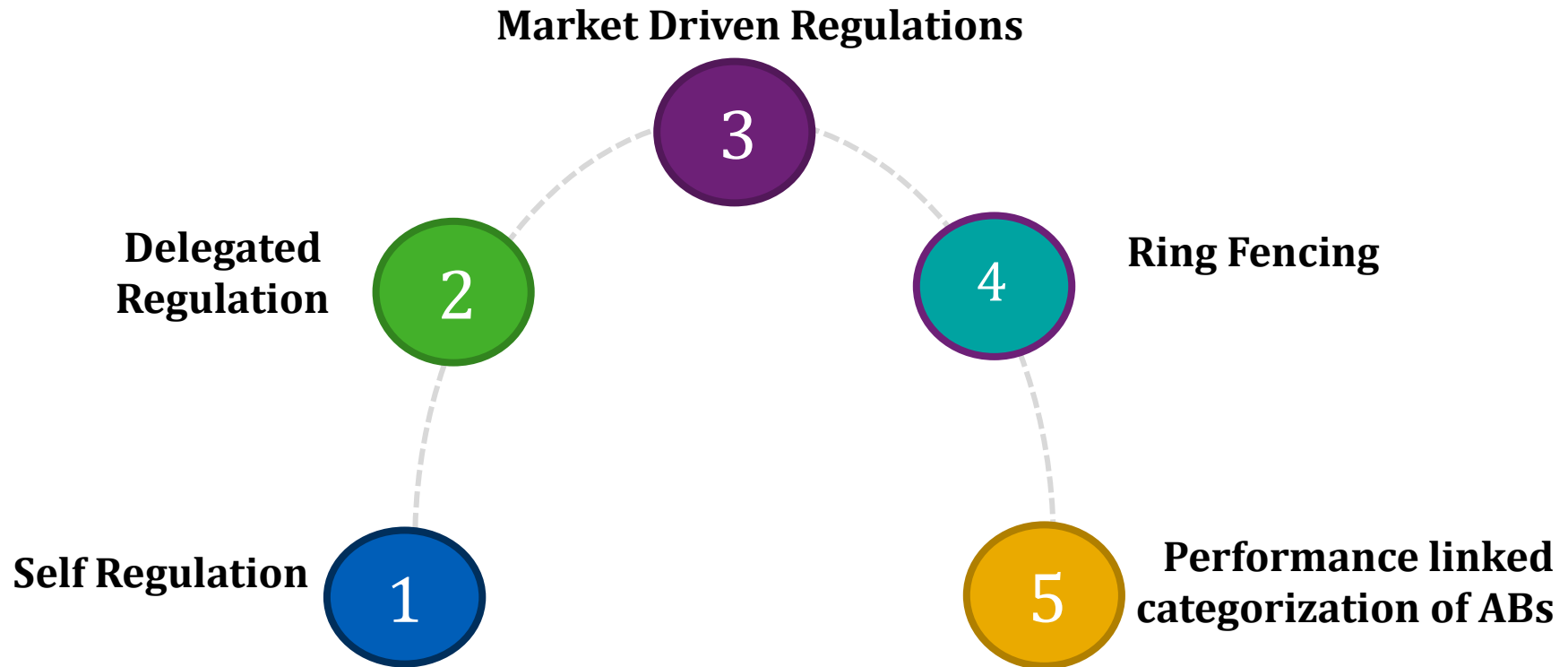
Once recognized, the recognized body will follow the Continuation Criteria as well

CONTINUATION CRITERIA

- ▶ It aims at infusing quality assurance in the processes of the operation of the recognized body.
- ▶ Adherence to continuation criteria is mandatory for the entities, to ensure continuance of their recognition by the NCVET.

**ABOUT
AWARDING
BODIES**

Key Features of AB Guidelines



Apart from these major features. Other features are centralized recognition, standardization of process and industry participation

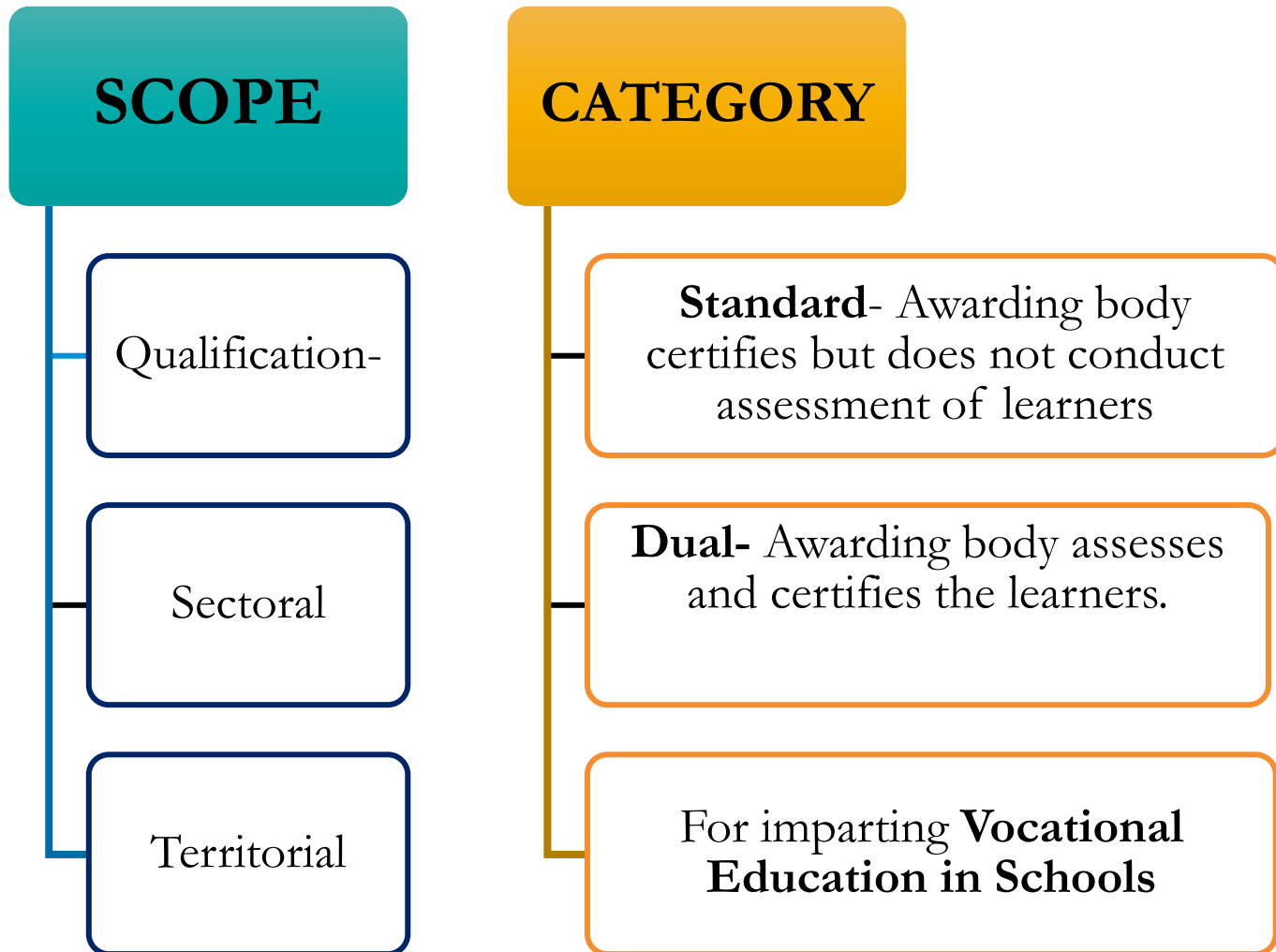
Functions of Awarding Body

- Award certification to learners in approved qualifications.
- Creation of qualifications and related learning material.
- Development of affiliation/ accreditation norms for training partners and affiliating/ accrediting training partners.
- On-boarding assessment agencies to ensure fair and reliable assessments through pre defined norms and processes.
- Monitor the functioning of training partners and assessment agencies.
- Set up a system of redressing grievances.
- Submit such information to skill related information providers as required and under the agreement granting recognition.
- Develop norms for Training of Trainers and Assessors.
- Co-operate with the Council in any inspection, investigation or audit of its activities

Type of Awarding Bodies

1. Government Bodies
 - ✓ Central Ministries
 - ✓ State Departments
 - ✓ Other bodies established by govt.
2. Directorate General of Training (DGT)
3. Sector Skill Councils (SSCs)
4. Skill Universities
5. School Boards
6. Private Bodies

Scope and Categories of Recognition



Tenure of Recognition & Fees

TENURE

- Initial recognition for a period of 3 years
- Fast track renewal for another 2 years, based on the performance (as per the risk rating framework) and adherence to the continuation criteria
- Fresh application for recognition to be submitted after completion of 5 years

FEES

- A recognition fee of Rs. 1,00,000/- only (Rs. 50,000/- refundable in case of rejection at initial scrutiny) shall be charged.
- No separate charges applicable for fast track renewal for a period of 2 years after completion of 3 years of recognition.

*For fast track renewal, AB must apply 6 months prior to completion of recognition period.

Eligibility Criteria for AB

(1/2)

1. **Legal Status:** Establish which type of AB category will entity fall into
2. **Financial Viability:** Financial strength for routine operations as an AB
3. **Prior Experience:** Relevant experience to be eligible to apply
4. **Sectoral Credibility:** To award of the qualification in that particular sector
5. **Creation of Qualifications:** Capacity to create and submit qualification
6. **Infrastructure Requirement:** Requisite infrastructure
7. **Governance and Manpower:** A strong governance and manpower is important for effective functioning of recognized AB

Eligibility Criteria for AB (2/2)

8. **Third Part Arrangements:** System of endorsing TP and/ or AA
9. **Industry Linkages:** showcase engagement of industry in key decisions of the organization
10. **Comprehensive Business Plan:** Research and planning in detailing its business foresight
11. **Grievance Redressal:** Well defined Grievance Redressal Mechanism

Applicability of Guidelines to different ABs

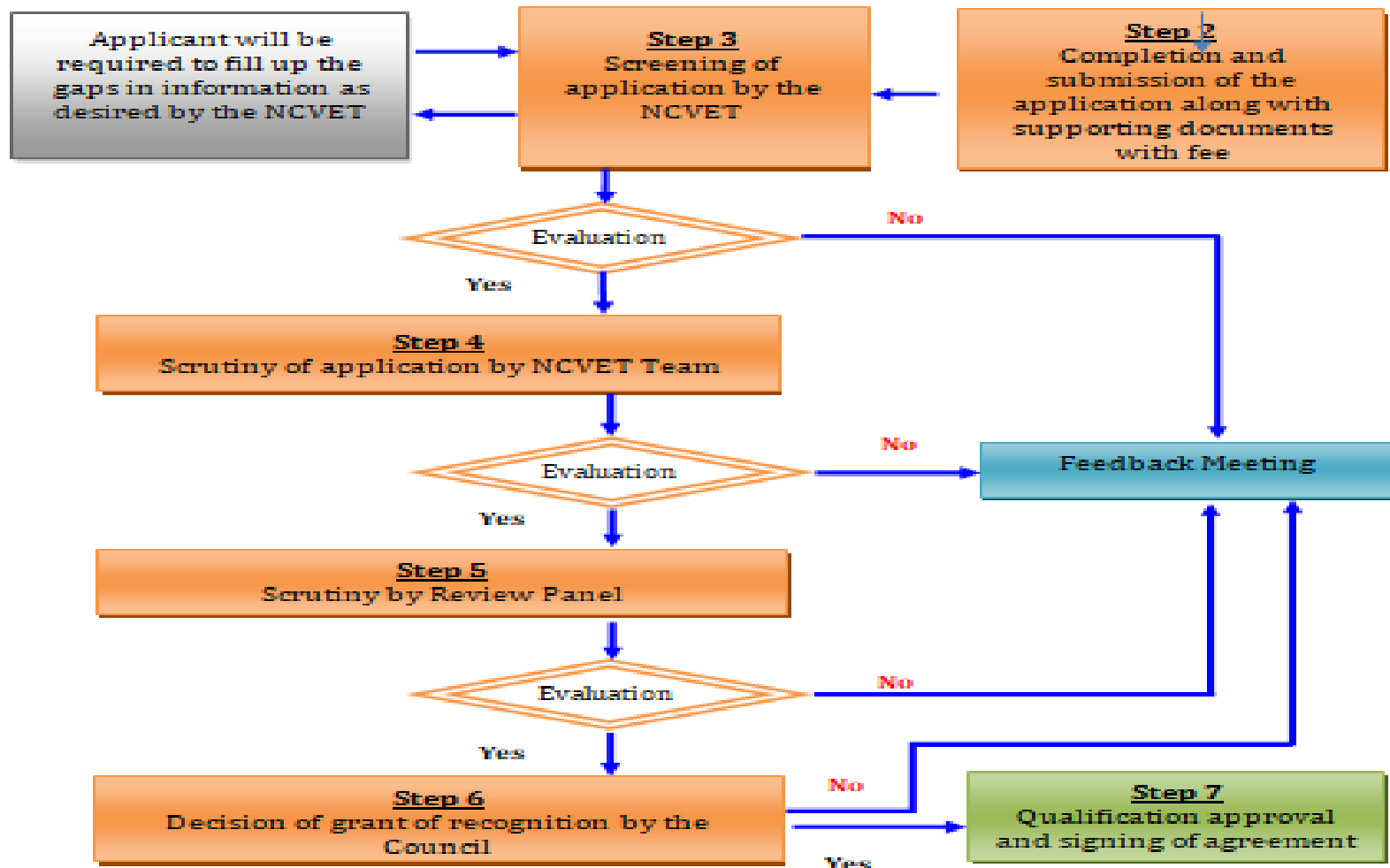
Eligibility Criteria	Central Ministries	State Dept	Other Govt. Bodies	DGT	SSC	Skill Universities	School Boards	Private Bodies
Legal Status	x	x	✓	x	✓	✓	x	✓
Financial Viability	x	x	x	x	✓	✓	x	✓
Sectoral Credibility	✓	✓	✓	x	✓	✓	x	✓
Prior Experience	x	x	x	x	x	✓	x	✓
Creation of Qualifications	✓	✓	✓	✓	✓	✓	x	✓
Infrastructure Requirement	✓	✓	✓	✓	✓	✓	✓	✓
Governance & Manpower *	✓	✓	✓	✓	✓	✓	✓	✓
Third Party Arrangements	✓	✓	✓	✓	✓	✓	✓	✓
Industry Linkages	✓	✓	✓	✓	✓	✓	✓	✓
Comprehensive Business Plan	✓	✓	✓	✓	✓	✓	✓	✓
Grievance Redressal	✓	✓	✓	✓	✓	✓	✓	✓
Placement Performance	✓	✓	✓	✓	✓	✓	x	✓

*Central Government Ministries, State Departments, other Govt. bodies, School Boards and DGT shall be exempted from the following parameters under this criterion:

- Presence of clearly earmarked full-time legal head with no additional responsibilities
- Undertaking by the legal head (as evidence against para 7 of section 3.9 of guidelines)
- Para 7 (v) of section 3.9 of guidelines

Process for Recognition of AB

Step 1 An organization which fulfills the eligibility criteria as indicated in the AB guidelines, based on self-review, can express interest to NCVET for recognition on the dedicated portal and a NCVET dedicated case member is nominated



Continuity Criteria

1. **Financial** : ensure ongoing viability of operational
2. **Organizational**: Ensure strong governance structure
3. **Technology and Data Management**: ensure availability of robust and functional IT system
4. **Training**: as part of delegated regulation
5. **Assessment**: as part of delegated regulation
6. **Qualifications**: Ensure qualifications are market relevant, NSQF aligned and approved by NCVET
7. **Industry Engagement**: ensure support and inputs from industry across its vital operations
8. **Inclusivity**: gender parity and affirmative action for marginalized sections
9. **Grievance Redressal Mechanism**: ensure that Grievance Redressal Mechanism exists and functions.
10. **Others** like usage of logo, certification and probity

Monitoring Mechanism



Annual Review

- To be conducted after completion of each year during the tenure of AB starting from the date of its recognition
- AB to submit a self-evaluation form along with necessary documents as per format
- Evaluation and arrival at a risk rating of the recognized AB
- Inspection based on risk rating or need basis

Continuous Performance Monitoring

- Continuous monitoring by ABs will be carried out throughout the tenure of recognition
- ABs are required to develop and maintain IT portals and MIS related to their operation
- In case of any malpractices, AB to report to NCVET immediately
- Process oriented scrutiny mechanism to keep a parallel check on operations of ABs.

Self-Regulation

- The ABs would be urged to self-regulate and enhance their performance in line with overarching principles of quality
- ABs should set up in-house mechanisms in line with the performance metrics of NCVET to drive their operations and those of the third parties affiliated by it

Day-to-day monitoring will be responsibility of AB
A monitoring Framework is underway

Risk Rating Parameters



ABs found to be on high risk in the below mentioned parameters, will shift to high risk category:

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

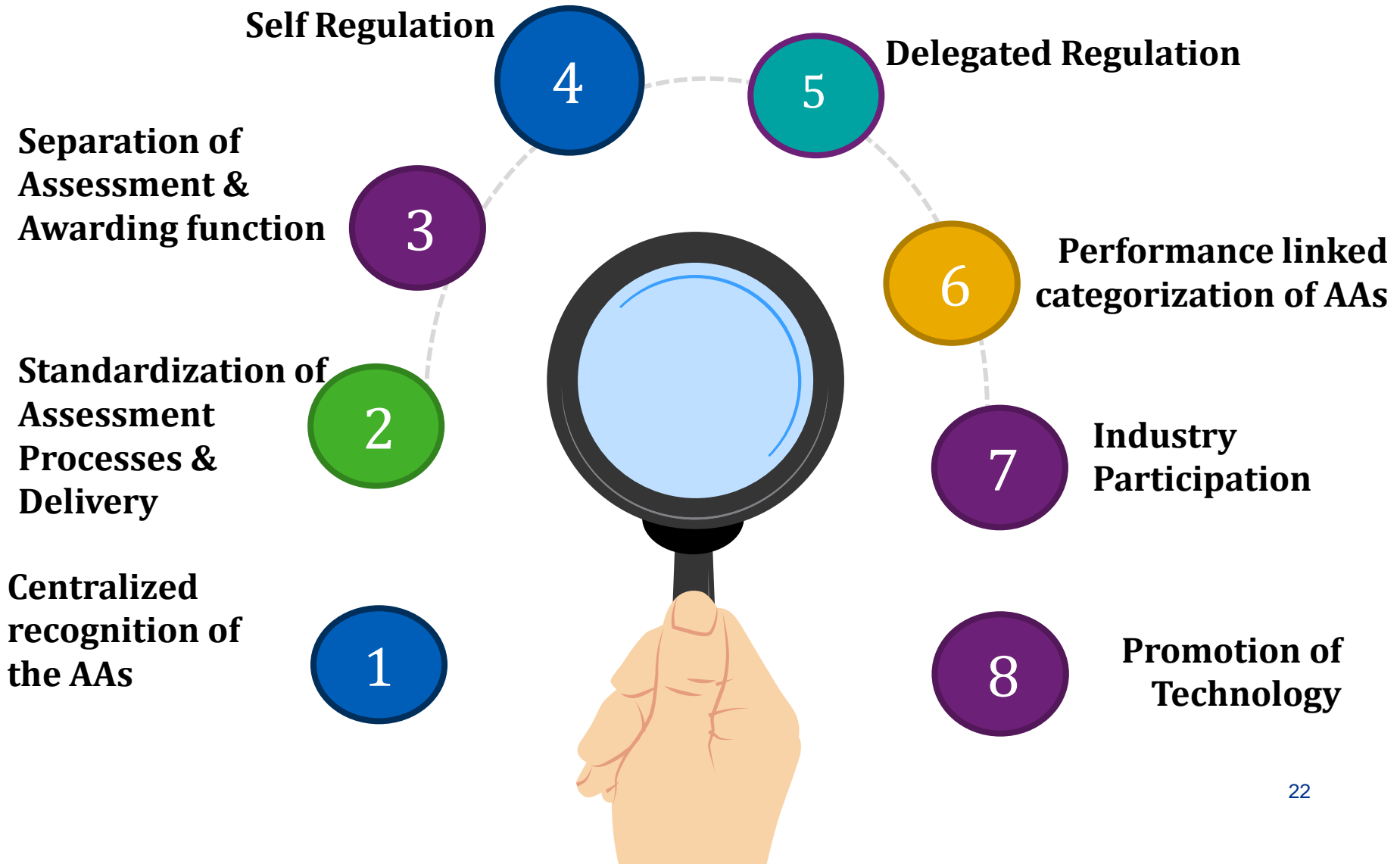
Risk Mapping and Risk Mitigation

- Risk mapping to be done once a year
- The ABs would be adjudged as being in low, medium or high risk (risk levels) based on the total risk score obtained
- The total risk score for an AB, will be calculated as
Total risk score = \sum (weightage x risk score of each parameter)
- NCVET to take action based on Risk Level and frequency of Occurrence

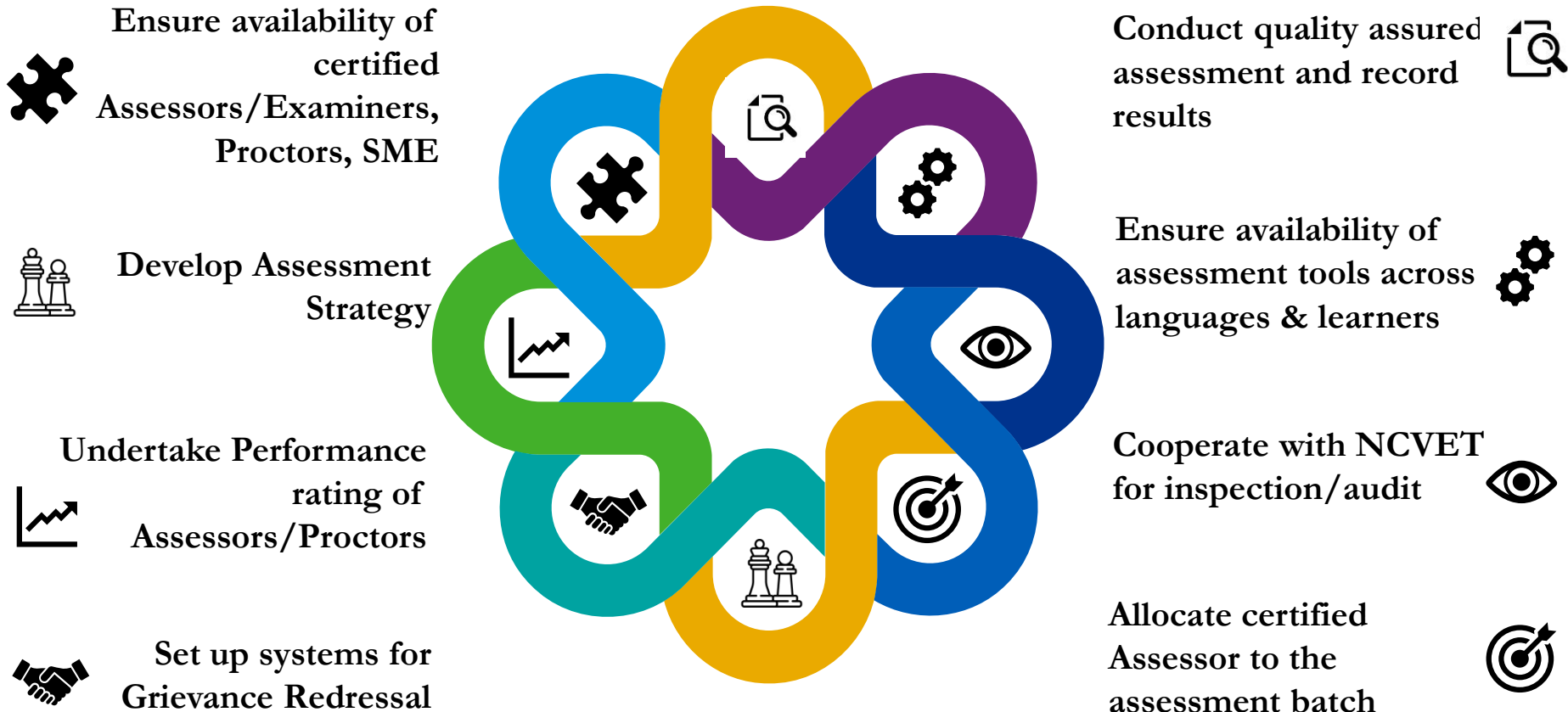
RISK RATING	MITIGATION STRATEGY
Low Risk	<ul style="list-style-type: none"> ▪ Tolerable risk. No specific review activity is required, and the AA would have to follow the routine functionalities and submit the quality improvement plan.
Medium Risk	<ul style="list-style-type: none"> ▪ The recognized body would have to submit a risk prevention plan and identify a team of personnel to oversee the improvements.
High Risk	<ul style="list-style-type: none"> ▪ Immediate action would have to be identified and undertaken. ▪ The improvement actions would have to be delineated in a risk mitigation and management plan. ▪ Penalties and/or warnings would be imposed as per the decision of NCVET. ▪ In extreme cases, immediate withdrawal of recognition status 20 maybe considered.

**ABOUT
ASSESSMENT
AGENCIES**

Key Features of AA Guidelines



Functions of Assessment Agency



Scope and Categories of Recognition



Standard Recognition

Entity recognized for conducting assessment



Dual Recognition

Entity recognized for conducting assessment and certification.

- ABs imparting training directly in its own campus for its approved qualifications
- Central Ministries/ State Departments/ Government institutions or bodies, are eligible



Recognition for Vocational Education in Schools

Can be facilitated through either Dual recognition or third party assessment through NCVET recognized AAs



Sectoral

Recognition for assessment in **one sector or multiple sectors** as per Eligibility Criteria



Geographical

Recognition in one State or multiple States/UTs as per Eligibility Criteria.

Tenure of Recognition & Fees

Tenure

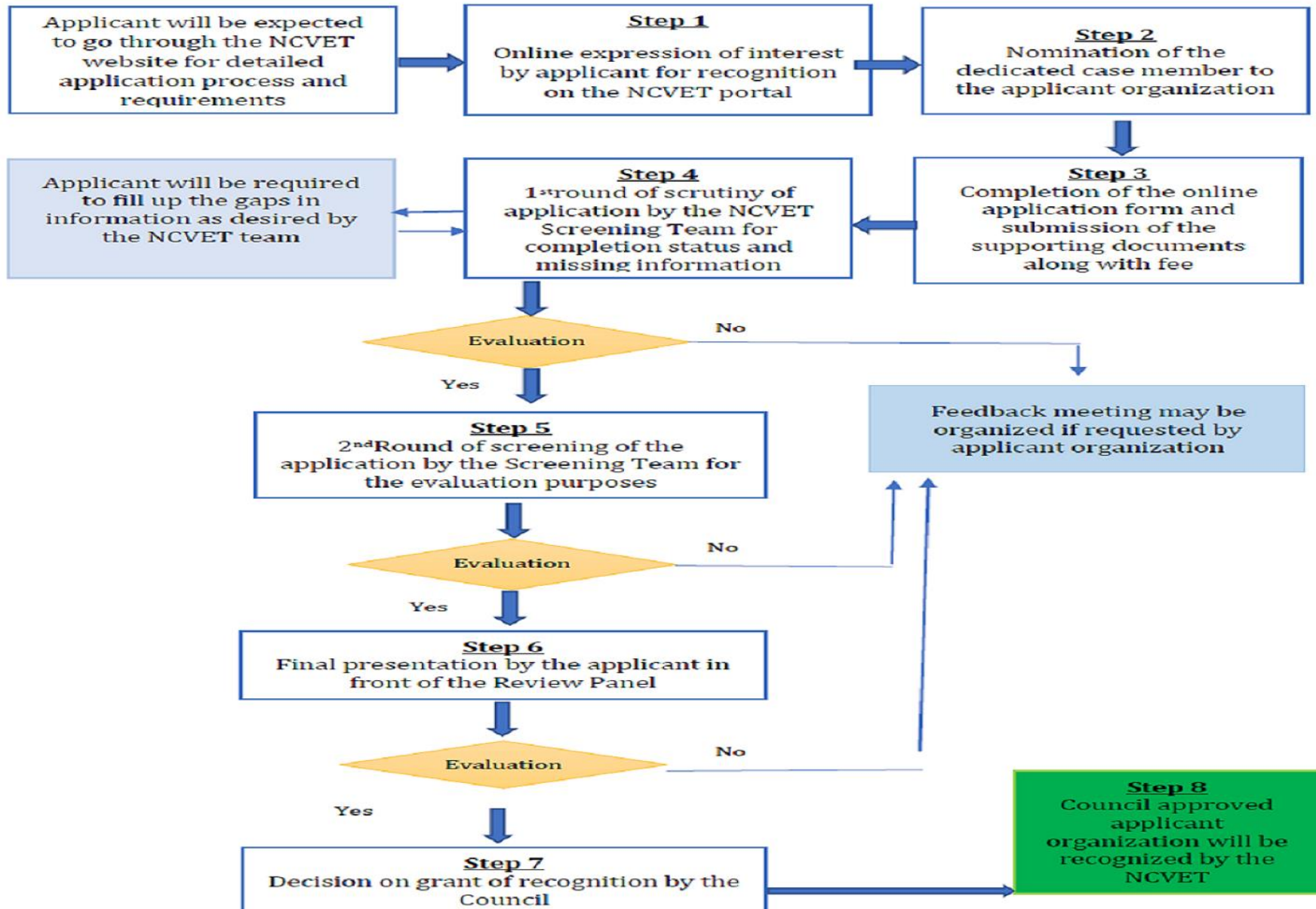
- Initial recognition for a period of 3 years
- Fast track renewal for another 2 years, based on the performance (as per the risk rating framework) and adherence to the continuation criteria
- Fresh application for recognition to be submitted after completion of 5 years

Fees

- A recognition fee of Rs. 1,00,000/- only (Rs. 50,000/- refundable in case of rejection at initial scrutiny) shall be charged.
- No additional fee for affiliation/accreditation would be charged from an AA by the AB.
- No separate charges applicable for fast track renewal for a period of 2 years after completion of 3 years of recognition.

*For fast track renewal, AA must apply 6 months prior to completion of recognition period.

Recognition Process



Operational Models



Third Party Assessments *

- Phase I: ABs will have flexibility to select any AA(s) from pool of recognised AAs, based on sector & geography
- Phase II: Random allocation of AAs to training batches once ABs raise a request through NCVET tech platform
- No further Affiliation of NCVET recognized AAs by ABs
- Rating of AAs



Centralized Assessments

- Bodies with dual recognition have their own internal mechanisms for conducting assessments e.g. Govt Depts, Skill Universities, etc
- Bodies with dual recognition will be recognized based on the eligibility criteria



Independent Assessment Centres

- Entities like PMKKs/ IISC/ industry skill centres of repute/ autonomous institutes by GOI to set up independent sector wise assessment centres.
- Assessment Centres to have tie ups with the respective ABs to facilitate assessment and certification

**Assessment fees will be as per various scheme guidelines of which minimum 60% shall be given to AA.*

Eligibility Criteria for AA

(1/2)

- ✓ **Legal Status:** Must be registered as Company/Society/ Charitable Trust/LLP/Consortium
- ✓ **Financial Viability :** Minimum turnover of Rs. 3 crore (cumulative) in the last 3 financial years
- ✓ **Prior Experience :** Total experience in any 2 years in the last three years (inclusive of the year of application)

RECOGNITION SOUGHT FOR	ASSESSMENTS CONDUCTED
Category 'I' States/UTs*	7,500
Category 'II' States/UTs*	15,000
Pan India	75,000

- ✓ **Governance and Manpower :** Adequate Assessors/Proctors, SMEs and SOP on recruitment, training & deployment
- ✓ **Sectoral and Geographical Credibility:** Evidence of having conducted assessments in a sectors & geography

Eligibility Criteria for AA

(2/2)

-
- ✓ **Comprehensive Business Plan:** Presence of budget projections planned assessments for the upcoming fiscal year.
 - ✓ **Infrastructure and Accessible Assessment Tools:** Availability of adequate assessment tools and aids to support the delivery of assessment pertaining to the qualification
 - ✓ **Assessment Strategy and Delivery:** Presence of SOP for development of Assessment Strategy, content development (QB), assessment & delivery processes, performance reporting, roles and responsibilities of assessors, proctors and SME
 - ✓ **Data Management Systems:** Systems to record, validate and report all relevant assessment details
 - ✓ **Appeals and Grievance Redressal :** Establishment of a grievance redressal committee.

Applicability of Guidelines to different AAs

Eligibility Criteria	Central Ministries	State Dept.	Other Govt. Bodies	DGT	Private AAs	School Boards	Skill Universities
Legal Status	✗	✗	✓	✗	✓	✗	✓
Financial Viability	✗	✗	✗	✗	✓	✗	✓
Sectoral Credibility ¹	✓	✓	✓	✓	✓	✓	✓
Geographical Credibility ²	✓	✓	✓	✓	✓	✓	✓
Prior Experience	✗	✗	✗	✗	✓	✗	✓
Infrastructure & Accessible Tools	✓	✓	✓	✓	✓	✓	✓
Governance, Admin & Manpower ³	✓	✓	✓	✓	✓	✓	✓
Assessment Planning & Delivery	✓	✓	✓	✓	✓	✓	✓
Data Management System	✓	✓	✓	✓	✓	✓	✓
Industry Linkages	✓	✓	✓	✓	✓	✗	✓
Comprehensive Business Plan	✓	✓	✓	✓	✓	✗	✓
Grievance Redressal ⁴	✓	✓	✓	✓	✓	✓	✓

[1]: *Central Government Ministries, State Departments, other Govt. bodies, School boards and DGT shall be exempted from the following clause:: “To establish sectoral credibility, the entity should have evidence of having conducted assessments in a sector for which recognition is sought”.* (Section 5.5.a.i)

[2]: *School Boards shall be exempted from the following clause: “The entity should have evidence of availability of assessor/ examiners and proctors well-versed in the local language of the region to facilitate the delivery of assessment’* (Section 5.5.b.i)

[3]: *Central Government Ministries, State Departments, other Govt. bodies, School Boards and DGT shall be exempted from the following parameters under this criterion: Presence of clearly earmarked full-time legal head with no additional responsibilities’*

[4]: *School Boards shall have their own grievance redressal mechanism.*

Monitoring Mechanism



Annual Review

- AA to submit a self-evaluation form along with necessary evidences associated with it
- Based on evaluation by NCVET, risk rating of the AA will be computed

Continuous Performance Monitoring

- Continuous monitoring by ABs based on quality norms prescribed in the guidelines
- In case of any malpractices, AB to report to NCVET immediately
- Entities with Dual recognition to set up a monitoring unit within their organization to monitor assessment process

Inspection

- Inspection will be carried out on a need basis and under extraordinary situations like serious complaints, fraudulent activities and high-risk ratings of the recognized AAs
- NCVET may undertake random visits in some cases, on need basis

Day-to-day monitoring will be responsibility of AB

Rating Parameters for recognized body



Risk rating	Mitigation strategy
Low Risk	<ul style="list-style-type: none"> ▪ Tolerable risk. No specific review activity required. AA to follow the routine functionalities & submit the quality improvement plan.
Medium Risk	<ul style="list-style-type: none"> ▪ The recognized body to submit a risk prevention plan and identify a team of personnel to oversee the improvements.
High Risk	<ul style="list-style-type: none"> ▪ Immediate action would have to be identified and undertaken. ▪ Improvement actions to be delineated in a risk mitigation and management plan. ▪ Penalties and/or warnings would be imposed as per the decision of NCVET. ▪ In extreme cases, immediate withdrawal of recognition status maybe considered.

NCVET Links

Access to

- NCVET Website: **www.ncvet.gov.in**
- Guidelines and Operational Manual for Recognition of Awarding Body and Assessment Agency: **<https://ncvet.gov.in/guidelines>** (Also accessible on NCVET Home Page)
- NCVET Gazette Notification:
<https://ncvet.gov.insites/default/files/NCVET.pdf>

NCVET Email IDs

Mail to

- Submission of proposals for Qualifications and regarding Recognition of Awarding Bodies and Assessment Agencies: **proposals-ncvet@gov.in**
- For any queries: **ncvet-help@gov.in**
- For any grievance related to Awarding Bodies, Assessment Agencies, Dual Recognition, etc.: **grievance-ncvet@gov.in**

Thank you