



EMPANELMENT POLICY - ASSESSMENT AGENCIES

Skill Council for Mining Sector



OCTOBER 9, 2018

SKILL COUNCIL FOR MINING SECTOR

B-311, FIMI House, Okhla Industrial Area, Okhla Phase 1, New Delhi - 110020



Process Name: Empanelment of Assessment Agencies

Skill Council for Mining Sector

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Validity	:	Three Years from the date of issue
Applicability	:	All employees of SCMS
Objective	:	The objective of this SOP is to define a standard criterion to assess the Assessing Agency for accreditation, having the capabilities and experience to assess the trainees trained in outcome- oriented training in the job roles in line with QPs/ NOs and having potential to undertake assessment as per the structured procedures.
Annexures	:	Form 1 to 5, Self-Certification
Process Owner	:	Head Partner Affiliations
Document Owner	:	Head Quality Assurance
Approved by	:	Chief Executive Officer
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Date:



SOP: Criteria for the Empanelment of Assessment Agencies

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1. Essential Requirements

I. Essential Requirements

- a) Affiliation procedure for AAs must be transparent, demonstrative (with evidence) and in linewith international best practices
- b) As a pre-qualifier, all AAs must possess capabilities to **conduct on-line assessment**
- c) SSCs will empanel AAs through **open annul RFP process** (bi-annual, if need be)
- d) This process will apply to the potential as well as all existing AAs

II. Conflict of Interest

- a) **Training Provider** cannot ordinarily be appointed as an Assessment Agency
- b) Not allow **monopoly or cartelization** in assessment
- c) **No sub-contracting** or franchising would be permissible for AAs

III. Minimum Number of AAs and Cap on Target Allocation

- a) Minimum number of affiliated AAs with each SSC must **not fall under 05 at any given time.**
- b) Target Allocation under government-funded schemes to a single AA must **not exceed morethan 25% of total assessments** undertaken through that SSC in any FY.

IV. Periodic Audit

- a) It is mandatory for all SSCs to **carry out minimum one operations audit of the AA in every financial year.** Cost of conduct of audit will be borne by the respective SSCs.
- b) In case **shortcomings are found during the audit**, AA will be intimated to take corrective actions within 3 months, failure to which would lead to temporary or permanent de- affiliation of the AA.
- c) In the event of **complaints / reports about poor performance / unfair practices** against an AA, the respective SSC reserves the rights to conduct a **special audit.** Cost of such an audit will be borne by the AA at actuals not exceeding Rs 20,000 per audit.



Fee Structure for AAs

Revised fee structure is as below (to be reviewed by NSDC every 2 years)

SN	Cost Head	Cost (Rs)
(a)	Application Fees: one time non-refundable (to be paid during Stage 1 of Affiliation Process)	10,000
(b)	First Time Affiliation Fee valid for 1 year (to be paid during Stage 3 of Affiliation Process)	50,000
(c)	Annual Affiliation Renewal Fee	25,000

2. Prerequisites for Selection of AAs

I. Legal Existence: AA should be a legal entity (company or society but not firms, proprietorship or individuals; limited liability partnerships (LLPs) can be allowed)

II. Assessors Quality:

- a) AA should have a roll / panel of assessors for all sectors
- b) Details of assessors should also be available on its website with state-wise details (assessors' name, qualifications, experience and photograph along with the details of assessor affiliations with multiple SSCs)

III. Assessment Process:

- a) AA should have an expertise to carry out **online assessments** with state-of-the-art technology deployment
- b) The AAs should have the ability to develop the **assessment process and tools** for different training courses with **ability for continuous improvement**.
- c) AA should have the ability to **maintain assessment process records and details pertaining to candidates registered, tested, passed, centres, assessors**, etc, and shall preserve all the records for at **least 5 years or till the validity of any scheme** (whichever is later) at any point in time and make its online access to SSCs

IV. Geographic Spread:

- a) The agency applying for **Pan India or for Specific State** operations must empanel assessors relevant to the concerned job role in all the relevant states.
- b) Assigned assessors should be able to reach the assessment venue within **24 hours of travel time** and have the **ability to conduct assessment in regional languages**.

V. Organization Structure:

- a) AA should have a **structured mechanism for Governance** including a well-



defined process for affiliation of assessors either on its payroll or on long-term contracts.

- b) AA should have assessment coordination team on its payroll with required capacity and experience to mentor, supervise, plan the assessment strategy and to guide the team of assessors.

VI. Conflict of Interest: It should declare its **linkages with other stakeholders in skill ecosystem** to ensure independence and to avoid any conflict of interest.

3. Prerequisites for Selection of Assessors

I. **Qualifications & Experience:**

- a) Assessor should possess **relevant academic, occupational qualifications and work experience** as defined in the QP.
- b) **Knowledge of assessment process** and tools with ability to **capture the assessment observations** correctly on the prescribed electronic or paper forms.
- c) **Understanding of the Occupational Standards** for the relevant QP is a must. Assessor must have the ability to **plan each task** and **allocate necessary resources**.
- d) Understanding of competencies required in the job **role for which assessment is being done with a high level of** integrity, reliability and fairness.
- e) Good **observation skills** with ability to **communicate** in writing and orally in the local language in addition to English.
- f) **Ability to use technology** viz, computers, tablets, spreadsheets, video communication tools.

II. Certified Assessor: Assessor must undergo necessary induction / orientation and certification under the TOA programme through respective SSCs.

III. Assessors in Multiple Sector: Assessors undertaking multiple sector assessments must meet the qualifications for the relevant job roles and would need to furnish a self-declaration duly acknowledged by the AA.

4. Affiliation Process for AAs – Stage 1

I. **Application & Desktop Evaluation**

- a) Prospective AA will submit the application in prescribed formats along with the payable application fee.
- b) SSC will carry out Desktop Evaluation of the prospective AA. It may invite them



for deliberation and clarity, if necessary.

- c) SSC reserves the right to select/reject the AA on merit. However, in case of rejection same must be communicated to the applicant in writing.
- d) Decision of SSC in this regard would be final and grievances should be addressed to the Affiliation Committee (team constituted by Board / Governing Council of SSC)

5. Affiliation Process for AAs – Stage 2

II. Field Visit and Final Evaluation Stage

- a) The SSC team will visit the prospective AA, meet their key staff and carry out verification of records and processes. The SSC team must visit at least two of the existing top 3 customers of the prospective AA and get their feedback in writing.
- b) The composition of the team will be two members from SSC and one Board / GC member or industry expert.
- c) Team will submit its Assessment Report for consideration to Affiliation Committee.
- d) The valuation of the AAs would be carried out under the Evaluation Framework suggested by NSDC.
- e) Minimum 60% score would be mandatory for affiliation. Those scoring between 40 to 59% could be given an opportunity for further improvement of score within 3 months based on which affiliation or rejection would happen.

III. Evaluation Matrix for AAs

S No.	Parameter	Max Points	Criteria	Weightage Points		
I	Overall Experience	15	Number of Years in assessment	More than 10 Years	5 to 10 Years	Upto 5 Years
				15	10	7
ii	Experience in sector	10	Number of Years in assessment	More than 5 Years	3 to 5 Years	Upto 3 Years
				10	08	06
iii	Candidates Assessed	10	In last 3 years	More than 25,000	10,000 to 25,000	Upto 10,000
				10	7	5
iv	Assessment Methodology	10	Will be determined by evaluation committee	Subjective score based on rigour and innovation of approach and methodology		



V	Affiliation with Govt. Organization (Govt or State Skill Missions)	10	Affiliated with minimum 1 organization	More than 5 Organisations	3 to 5 Organisations	1-2 Organisation (s)
				10	7	5
S No.	Parameter	Max Points	Criteria	Weightage Points		
Vi	Geographic Presence	10	Minimum presence in 3 States/UT	More than 10 States	4 to 10 States	3 States
				10	7	5
Vii	Affiliated with other SSC	05	Minimum affiliation with 3 SSCs	More than 5 SSCs	4 or 5 SSCs	3 SSCs
				5	3	2
Viii	Mode of assessment – Tablets/Pen and Paper	20	Assessment Modalities and Geo tagging	Online Computer based	Offline Computer based	Pen-Paper mode
				20	12	5
Ix	Monitoring Mechanism of assessments	10	Continuous Monitoring of the Assessment	Real time Online Video-Audio Monitoring & Recording	Standalone Video-Audio Records	Visits by Proctors
				10	5	3
X	Number of Subject Matter Experts on company's payroll	20	Based on evaluation of CVs	More than 5 Experts	3 to 5 Experts	Upto 2 Experts
				20	12	8
i	Number of Assessors on payroll	10	No. of Assessors	More than 25 Assessors	10 to 25 Assessors	Upto 9 Assessors
				10	7	5
Xii	Number of full time employee	10	No. of full time employee	More than 25 Employees	11 to 25 Employees	Upto 10 Employees
				0	7	3
Xiii	Valid ISO Certification	10	Continuous Years in service with ISO Certification	More than 5 Years	3 to 5 Years	Upto 3 Years
				10	7	5
Grand Total		150				

Note: The above matrix would be evaluated by a committee nominated by the SSC GC and it would be authenticated & countersigned by the SSC CEO for record.



IV. Evaluation Scorecard for Assessing Agencies

Grade	Score	Action to be Taken for Prospective AA	Action to be Taken for Existing AA
A	60% to 100%	To affiliate	To continue in business for 1 year.
B	40% to 59%	To reject but could be given an opportunity for further improvement of score within 3 months to Grade 'A' based on which affiliation could happen	To be suspended with a 3 month notice to improve further to Grade 'A', else face termination with eligibility to apply in the next RFP process for AA affiliation
C	Less than 40%	To reject with eligibility to apply in the next RFP process for AA affiliation after 1 year	To terminate from business for 1 year with eligibility to apply in the next RFP process for AA affiliation (post completion of 1-year termination period)

Affiliation Process for AAs – Stage 3

I. Affiliation & Orientation

- a) All eligible AAs will be formally intimated by SSC after receiving the prescribed Affiliation Fee.
- b) The Affiliation will be valid for one year, after which the AA will apply for renewal based on fresh evaluation against Evaluation Matrix

7. Due diligence - Forms and Documentation

Some of the essential forms for documentation of AAs are given at annexure. SSCs are free to develop additional forms if required.

8. Validation of existing AAs affiliated to SSCs

In compliance to the criteria specified in para 4 (III) above, all SSCs will re-validate currently affiliated AAs by 30 Oct 2018 and take action under the para 4 (IV) above.

8. Conclusion

The underlying responsibility of the assessment Agency would be to operationalise the process of onsite assessment of the trainees taking overall care of the process of evaluation. The evaluation will be focused on evaluating if the candidate knows how to perform the required tasks as part of his job role. This SOP does not restrict the SSC from adopting additional methodology to strengthen the overall assessment process within the laid down parameters. In addition, the SSCs would be free to evolve the required parameters for capturing the domain knowledge among the assessors.



Annexures

Form 1 - Self-Declaration by the Assessment Agency

(To be filled by the Administrator of the AA in his own hand)

S.N	Current Business Status	Commitment (delete not applicable)	If Yes, please furnish not full details	Remarks
1	Are you a Training Partner in the Skill EcoSystem?	YES / NO		
2	Are you an Income Tax Payee?	YES / NO		
3	Are you a registered legal entity in India?	YES / NO		
4	Have you ever been rejected for affiliation by any SSC?	YES / NO		
5	Do you have any linkages with any other organisation in the assessment domain?	YES / NO		
6	Have you ever been engaged in assessment operations in past or present with a different entity?	YES / NO		
7	Do you have necessary financial resources for the operation of skills assessment including associated liabilities?	YES / NO		Please attach last 3 years balance sheet.
8	Do you have a Web Site of your own?	YES / NO		
9	Do you have Assessors affiliated to your AA?	YES / NO	On payroll _____ On Long Term Contract _____	Please give total numbers
10	How many of your Assessors are undertaking multiple sector assessments?	YES / NO	On payroll _____ On Long Term Contract _____	Please give total numbers
11	If granted affiliation, do you have the capability to undertake On-line assessment with immediate effect?	YES / NO		If yes, please give the details of the availability of software and hardware to undertake the assignment.
12	Do you have the capability to develop question bank for On-line assessment?	YES / NO		If yes, please give the details of available subject experts with the agency.
13	Are you affiliated with DGET & State sponsored schemes?	YES / NO		



14	Are you affiliated with any other SSCs/ other recognized Agencies having capacity to carry out assessments for the job roles applicable to the SSC?	YES / NO		
15	Have you ever been subject to legal action in the case (s) of malpractices and unfair conduct?	YES / NO		
16	Have you ever been banned /suspended for the services offered by you?	YES / NO		

I, _____ (name),

S/o _____ r/o _____

_____, Mobile

No _____, do hereby declare that I have furnished the above details to the best of my ability and knowledge and I fully understand that any incorrect information will render my agency disqualified for affiliation. If granted affiliation, I do also agree to meet the other operational conditions as laid down by the SSC for the conduct of assessment.

Date:

Place

(Authorized Signatory)



Form: 2 Number of years of existence

Legal Constitution of Applicant

(Registered Public Limited/ Private Limited Company/ Registered Society/ Trust/ Association/Trade Body/ Registered Educational Institution/ University/ Partnership Firm)

Type of the Bidding Entity

Name of Registering Authority

Registration Number

Date of Registration

Place of Registration

For and on behalf of:

(Company Seal)

Signature:

Name:

Designation:

Note:

1. Please provide copy of the registration certificate from the appropriate Registering Authority.
2. Please provide details of first assessment conducted to ascertain the number of years of experience in specific sectors.



Form: 3 Financial Standing – Annual Turnover

Certificate from the Chartered Accountant/Audit Firm regarding Annual Turnover from assessment programs in India of the applicant in the immediately preceding 3 financial years.

Financial Year ending 31st March	Turnover From Assessment activities (Rs. Lakh)
2015-16	
2016-17	
2017-18	

Name of the audit firm/Chartered Accountant:

Seal of the audit firm:

(Signature, name and designation a

nd registration Number of the Chartered accountant/ audit firm)

Date:

Note: Please provide certified copies of audited financial statements of the firm for the immediately preceding two financial years. In the event the Financial Statements for the year 2014-15 are unaudited, provisional financial statements duly certified by Chartered Accountant/audit firm may be submitted.



Form: 4 Details of candidates Assessed

Details of the assessments completed in last 3 years by the Applicant. The Applicant should have assessed minimum 10,000 candidates in total and at least 1000 in the SSC specific Sector for which affiliation is sought. Information to be furnished in modules pertaining to vocational skills courses/ modules notified by NCVT/SCVT/Sector Skills Council or recognized by any state or central government

S. No	Project	FY	Location of Project (State)	Project Details	Details of Supporting Proof Provided with Page number

For and on behalf of:
Seal)

(Company

Signature:

Name:

Designation:

(Authorized Representative and Signatory)



Form: 5 List of States for empanelment

This form shall contain the information of states where the applicant is applying for getting empanelled.
The previous operations in the states shall be present here with sufficient proof.

S.No	State Name	Number of assessors based on in this state and are engaged by the Applicant	Number of centres/ office/ operations in the state

For and on behalf of:
Seal)

(Company

Signature: Name:

Designation:

(Authorised Representative and Signatory)



CERTIFICATION

I, the undersigned, certify that to the best of my knowledge and belief, the details provided in the form have correctly described me, my qualifications, and my experience. I understand that any wilful misstatement described herein may lead to the cancellation of my qualification as a certified assessor, if engaged.

Signature of Assessor:

Date:

References: 1.

2.