

STQC Intermediary Scheme
Supplementary Guidelines/ requirements

These guidelines/ Requirements have been designed in the form of FAQs and supplement the requirements already stated in the scheme. This document is binding to all the stakeholders.

The questions have been put in different sections as follows:

- **Role of STQC Hqrs and IIQM**
- **About Course Publicity and Marketing**
- **About Faculty and Delivery of courses during STAGE-II Evaluation and thereafter**
- **About STAGE-II Evaluation and all Follow-up Activities**
- **About Financial aspects of STAGE- II Evaluation**

- **About Issue of Certificates**

- **All other issues**

I. Role of STQC Hqrs and IIQM

STQC Directorate has sub-divided the work of managing the whole intermediary scheme between STQC Hqrs and its training organization namely Indian Institute of Quality management (IIQM), Jaipur. STQC Hqrs. will manage all activities of Intermediary empanelment upto Stage-I. IIQM will manage all Post Stage-I activities including all matters related to publicity, courseware dissemination, Faculty nomination, Stage-II evaluation & recommendation, all operations related to management of courses, record keeping, fee management, participants' certificates and all post Stage-II activities.

STAGE-II empanelment certificate to intermediaries will be issued by STQC Hqrs.

II. About Course Publicity and Marketing

Q1 . Can Intermediary Organisation use STQC logo after STAGE-I approval

A: On Stage-I empanelment, the intermediary organization has been authorized to conduct STQC approved courses. Hence as per the contract agreement (para B.1) already signed, the intermediary organization can use the STQC logo for the purpose of advertising and publicity of STQC courses as per the terms and conditions stated in this agreement.

Q2. How STQC can support the intermediary organizations in promoting their approved courses.

A. STQC can participate in any marketing seminar being organized by the intermediary organization to promote STQC courses. STQC will bear all the expenditure on account of these visits except for the local travel to be arranged by the intermediary.

III. About Faculty and Delivery of courses during STAGE-II Evaluation and thereafter

Q1 . How many Intermediary faculties should deliver the course during the Stage-II evaluation?

A: Normally during the first Stage-II evaluation, all the faculties who have been empanelled should deliver the course and demonstrate their capability and competence. In case all the faculties are not available, even then minimum two faculties need to deliver the course irrespective of the number of participants.

Q2 . During Stage-II Evaluation, can only one faculty deliver the course?

A: The number of faculty empanelled by STQC have been indicated in the Stage-I empanelment letter. At least two faculty out of this list must deliver the program during Stage-II evaluation. Delivery by only one faculty is not acceptable and will result in Partial/ Full Re-evaluation.

Q3 . After Stage-II approval, can only one faculty deliver the course?

A. After State-II approval (Formal Certification) only one faculty who has been observed earlier by STQC evaluation team can also deliver the course depending upon the number of participants as per the requirement of number of faculties, defined in individual course criteria Annexure-II of the Scheme. Any faculty who has been approved later on by STQC, based on the observation report submitted by intermediary's own evaluation team is also acceptable.

No program shall be delivered by only those faculty not observed/ not approved by STQC. They can deliver the program only after formal approval conveyed by STQC after their own.

Q4. How evaluation of a faculty who has been added subsequently or has not been evaluated in the initial Stage-II shall be carried out.

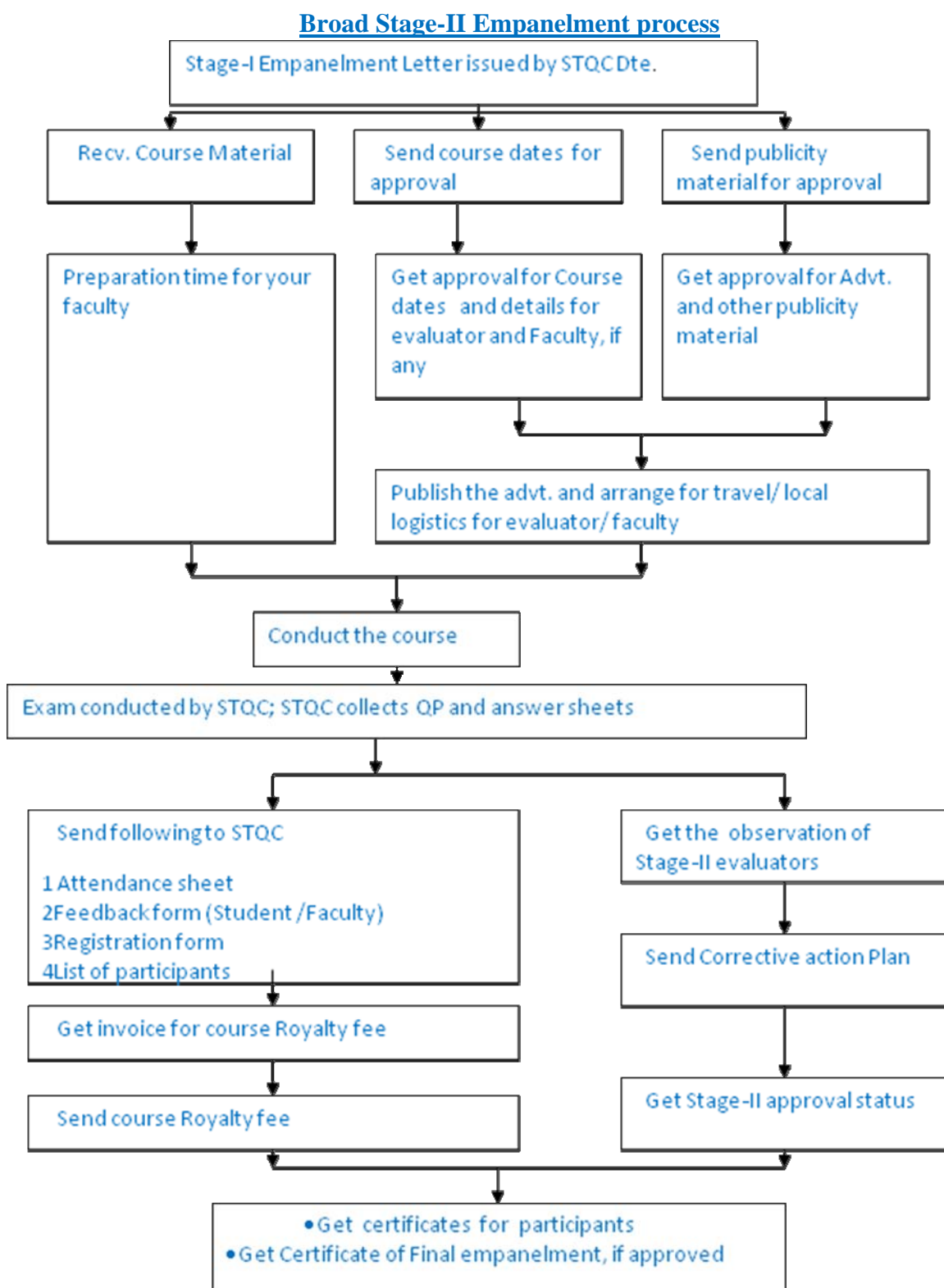
A. Only after Stage-II empanelment (Formal Certification), any faculty member who has not been evaluated earlier by STQC team, shall be evaluated by Intermediary's own faculty (already evaluated by and empanelled with STQC) and a formal report shall be submitted to STQC for each faculty. Such new faculty shall also be covered under the annual surveillance to be carried out by STQC. Such new faculty shall not deliver the course independently till such time approved by STQC.

Q5 . Should Intermediary give Prior intimation of faculty before conduct of each course to IIQM/STQC.

A. Yes.

- Q6. Is it possible for the intermediary to have its own faculty also in addition to STQC faculty. Or Is it possible to include a “potential” faculty from Intermediary joining as an associate with STQC faculty or Can a course be jointly conducted by STQC and Intermediary faculty.
- A. Not provisioned in the scheme at present.
- Q7. Can a course be conducted in a manner that it runs on several days with breaks in between Or Is it possible to have a gap between the main program and the examination dates.
- A. While this situation is possible and acceptable after formal Stage-II empanelment, it should be avoided in STAGE-II evaluation because of STQC evaluation Team logistics issues. The final Exam (wherever applicable) should also preferably be in continuation with the course, so that the same team can evaluate the conduct of exam in one go. However, if the exams are held separately, STQC will depute some other evaluator for that day and all the logistics including travel will have to be borne by the Intermediary.
- Q8. After STAGE-II approval, Will STQC continue to have a control on the examination paper and its conduct.
- A. STQC will like to exercise this control atleast in those cities, where an STQC centre exists. Rest of the cases will be dealt on a case to case basis.

IV. About STAGE-II Evaluation and all Follow-up Activities



Q.1 How much time period should be given to IIQM for confirmation on availability of STQC Faculty/ Evaluators.

A. A minimum of three weeks notice is required from Intermediary Organisation, for confirmation on availability of STQC Faculty/ Evaluators for conduct of course(s) by STQC faculty and/or STAGE-II Evaluation.

Q.2 If for some reason the course is to cancelled/ postponed, how much in advance the notice should be given to IIQM.

A. A Minimum of 1 week notice is required, from Intermediary organisations, if the course is being postponed/ cancelled by the intermediary for whatever reasons.

Q3. What is the composition of the Evaluator team for Stage-II evaluation?

A For all “Certified Programs” the Stage-II evaluation team will ideally be a two member team capable of delivering the course entirely of their own. However, if situation demands even one member team is also acceptable. Any STQC Faculty(s) for that course can act as the evaluator. One of the member should preferably be the IIQM, STQC Course Co-ordinator. In other programs including Awareness programs one person evaluator team is also good enough.

Q4. What are the aspects to be checked during STAGE-II Evaluation

A. During the course the following is checked:

- Technical Competence of faculty
- Quality of Course Delivery
- Quality of course material
- Classroom Facilities including infrastructure and logistics
- Course Advertising and Publicity
- Conduct of Examination
- Verification of Documents earlier submitted during STAGE-I approval

In addition IIQM,STQC will also check the following:

- Adherence to all the course organizational requirements
- Analysis of participant’s feedback etc.

This is as per Annexure-V of the intermediary scheme. Some of these parameters are not applicable, when the course is delivered by STQC faculty. A detailed checklist has been prepared and will be used by STQC evaluators during the STAGE-II evaluation.

Q5. How to ensure that the course logistics are adequately managed to the desired level.

A. As part of Stage-I evaluation, STQC Team has already assessed the competence of Intermediary organization including the adequacy of stated infrastructure. STQC has also shared any course logistics requirements for each course with the intermediary. The evaluation team will record their observations regarding adequacy of course logistics during the Stage-II evaluation while suggesting the intermediary to improve the same during the course, if required. As regards courses requiring special logistics requirements,

STQC/ IIQM will also ensure that the same are maintained at the desired level before start of the course. STQC has taken due care in the scheme that the interests of the course participants do not suffer on any account.

Q5 . What if during the course it is found that participant's pre-requisites of the course have not been ensured.

A. The course Co-ordinator must ensure that the course pre-requisites are properly conveyed before the conduct of the course. In extra ordinary situations, where this still happens, the evaluation team records this as a NC. The intermediary organization shall ensure that such situations are avoided in subsequent programs.

Q 6. What are the different outcomes of the Stage-II evaluation and what is the result of each of the outcome?

A. The possible outcomes are:

a) “Recommended for empanelment”:

The intermediary organization will be recommended for empanelment when the organization demonstrates required capability in all applicable attributes of evaluation in Stage-II as well as scores $\geq 80\%$ in overall evaluation and that there are no issues observed.

And

When there are no issues w.r.t. course organization noticed by IIQM, STQC.

Result:

- Recommended for empanelment.
- No minor or major NCs reported, however, there may be some Observations.

Process:

- Summary report and Observations are submitted to the intermediary.
- The intermediary consider the issues and submit their response to IIQM.
- IIQM recommends the Stage-II empanelment (without waiting for intermediary response)
- STQC Dte. issues the Stage-II certificate to the intermediary [issued course-wise]

b) Recommended subject to Satisfactory Corrective actions Report

This shall be recommended in case of following:

- If score in individual attribute $>70\%$ and overall score $< 80\%$.
- If score in individual attribute $<70\%$ (Not applicable for Technical competence for faculty/tutor attribute) and overall score $\geq 80\%$.
- If there are minor NCs and observations reported but no major NC

And

When there are minor issues w.r.t. course organization noticed by IIQM, STQC

Result:

- Recommended for empanelment subject to submission of satisfactory corrective actions and closure of all NCs.
- There may be few minor NCs and Observations but no major NC .
- The intermediary organization will have to take corrective actions to the satisfaction of STQC and demonstrate the same in subsequent surveillance visits.

Process:

- Summary report along with NCs and Observations is communicated to the intermediary organization.
- The intermediary organization implements appropriate actions and communicates to IIQM,STQC
- IIQM,STQC reviews the actions/action planned and submits recommendations for Stage-II empanelment to STQC Hqrs subject to satisfactory response from Intermediary.
- STQC Dte issues the Stage-II certificate. (separately for each course)
- Corrective actions are verified in surveillance visits.

c) No Empanelment:

No empanelment shall be recommended in case of following:

- If score in any individual attribute <70% and overall score < 80%.
- Score in technical competence of faculty attribute <70%.
- Any Major NC is reported

And

- When there are minor issues w.r.t. course organization noticed by IIQM, STQC

Result:

- NO empanelment.
- There will be major NCs, minor NCs and observations.
- The intermediary organization will have to take corrective actions and demonstrate the same in Stage-II re-evaluation visit.

Process:

- The summary report along with all NCs and observations are communicated to the intermediary organization.
- The intermediary organization implements appropriate actions and communicates to IIQM, STQC.
- Full or partial Stage-II re-evaluation is carried out in next course. Intermediary organization pays for the one evaluator fee in addition to other charges/ logistics arrangements as applicable for the lead faculty.
- Appropriate action is initiated based on the output of this evaluation.

Note: The IIQM, STQC is authorised to arrive at any of the above conclusion (because of whatever reason) based on the Report submitted by the evaluator Team and based on the other documents submitted by the intermediary.

Definition:

Major NC – Major Nonconformity [The Absence, total breakdown or lack of implementation of a system/key processes, either as single incident or combination of number of similar processes, resulting in failure to achieve key learning objective(s) of the training course]

Minor NC- Minor Nonconformity [An isolated or sporadic lapse in the conduct of the course, which could reasonably lead to a failure in achieving the leaning objective(s) of course, if not addressed or corrected.

Observations -Opportunity for Improvement [An issue where improvement would benefit achievement of learning objectives of course. consideration by Intermediary is required]

- Q7. Can the STAGE-II Evaluation be conducted with course running on many days with breaks in between.
- A. While this situation is possible and acceptable after formal Stage-II empanelment, it should be avoided in STAGE-II evaluation because of STQC evaluation Team logistics issues. The final Exam (wherever applicable) should also preferably be in continuation with the course, so that the same team can evaluate the conduct of exam in one go.
- Q8 . During Stage-II it is found that the faculty is not competent to deliver the course. The course objectives are not met.
- A. The STQC evaluator team intervenes and explains to the extent as desired. STQC Evaluations team should also guide the Intermediary (may be in an offline mode) so as to ensure the fulfillment of course objectives In extreme situations, the evaluator team takes over the course and delivers the rest, without impacting course objectives. Any such fact will also be noted in the Stage-II evaluation report. The evaluator team always comprise of STQC empanelled faculty.
- Q9. What happens to participants when the intermediary is not through in STAGE-II evaluation
- A. The purpose of not recommending empanelment in any STAGE-II evaluation, is to ensure that the intermediary takes enough corrective actions to ensure achieving the overall course objectives in subsequent evaluation. Every Stage-II course is already under evaluation by a team of competent STQC faculty (evaluators). As stated earlier, if for some reason the intermediary faculty is found not to be competent enough, STQC faculty will intervene to the extent required and ensure that the course objectives are fulfilled and the participants do not suffer. This may require some adjustment in terms of course schedule..

V. About Financial aspects of STAGE- II Evaluation

- Q1. Who bears the cost of visit of the evaluator Team in the initial STAGE-II evaluation.
- A. As per the originally envisaged and approved scheme (ver.1.2), the intermediary organization was supposed to arrange for the travel and all local logistics for the evaluation team of upto two persons per course. However, as per the decision taken in the meeting between STQC and Intermediaries held at STQC Hqrs on 15th June,2010, it was agreed that as the main objective of the Govt. is to promote the Capacity Building, that the cost of travel and stay shall be managed by STQC out of its own budget. The intermediary organization has to arrange for the local transport facility for the team. There will be no per manday cost charged from intermediaries.
- Q2. What will be the cost repercussion, if the intermediary is not able to qualify in the initial STAGE-II evaluation.
- A. IIQM, STQC will organize the re-evaluation visit. The Re-evaluation will be done either partially or fully by one member or two member team depending upon the seriousness of findings in the earlier STAGE_II evaluation visit. The intermediary organization this time will arrange for the travel and all local logistics for the evaluation team. They will also have to bear the cost of evaluator team as per STQC faculty rates indicated at para D, Annexure-VI of the scheme.
- Q.3 Who bears the cost of STQC Team, if they are invited to join in the marketing seminars conducted by Intermediaris for STQC courses.
- A. As stated earlier, that in such cases STQC will bear all the expenditure on account of these visits except for the local travel to be arranged by the intermediary.

VI. About Issue of Certificates

Q1. Who issues the course certificates & how are they communicated to the participants?

- A. There is a provision of two types of certificates in the scheme. There are:
- Certificate of Empanelment given to the Intermediary Organisation.
 - Certificate of Attendance and/or Certificate of Qualification given to the course participants.

The first Certificate is issued by the STQC Dte in the same way, as has been given for STAGE-I approval earlier.

The participant certificates are issued from IIQM, STQC. IIQM, STQC prepares the course certificates; sends it to the intermediary organization after receipt of payment as per the invoice raised earlier. The intermediary organization distributes the certificates to the individual participants.

Q2. What is the validity period of the Empanelment Certificate.

- A. The validity of the Certificate is one year. However, when issued for the first time, its validity period is the same as that of the STAGE-I approval. The certificate shall be renewed every year after payment of Annual fees and subject to satisfactory evaluation during the surveillance visits.

Q3. Can the empanelment Certificate be suspended/ cancelled.

- A. The certification shall be suspended, if
- a) during the annual surveillance or during the course examination evaluation/ Feedback evaluation, it is found that there are the course objectives are not getting fulfilled which is likely to impact STQC's image
 - b) The Intermediary withdraws of its own.
 - c) There is a breach of empanelment agreement